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AGREEMENTS AND ANNOUNCEMENTS CONCERNING
POLICY AND PROGRAM OF THE ROCKEFELLER FOUNDATION

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A Report
by
Thomas B. Appleget

March 12, 1946

FOREWORD

This compilation of quotations represents a selection, from over three decades of Foundation history, of those agreements and announcements which have current validity and pertinence in program and policy. In a sense, it is a supplement to a supplement. A report, "Selected Resolutions and Agreements of the Trustees Supplementing the Constitution and By-Laws", and published in May, 1945, was the first effort to record in one place the "common law" of the Foundation. The present compilation is an extension of this first effort into the much more voluminous source material represented by the Foundation files of correspondence, reports and publications. It is, therefore, the second chapter of the report on Foundation common law. Further extensions of this inquiry are, of course, possible; at the present time they do not seem profitable.

The quotations selected represent only a small part of the material examined. Every effort was made to discard statements which seemed transitory in character or unimportant in application. In determining the emphasis to give a particular topic, consideration was given to the amount of prior discussion. On important topics more than one source has been quoted, not only to reinforce the weight of the opinion but to give some evidence of historical development. With three exceptions, detailed discussions of divisional programs have not been included. Divisional programs change. In the case of the General Education Board, the Social Sciences, and Public Health, certain principles seemed permanently important and worthy of record.

March 12, 1946

AGREEMENTS AND ANNOUNCEMENTS
CONCERNING POLICY AND PROGRAM

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PROGRAM - GENERAL CONSIDERATIONS

The Consolidation of 1929

During 1928 a conference committee of four Rockefeller boards - the General Education Board, The Rockefeller Foundation, the Laura Spelman Rockefeller Memorial, and the International Education Board - sought ways of bringing the work of these organizations into closer and more definitely cooperative relations. In the autumn the committee made a report embodying recommendations which were approved by all the groups, with the understanding that the new regime would go into effect at the beginning of 1929.

The essential features of the reorganization were these: 1) the merging of The Rockefeller Foundation and the Laura Spelman Rockefeller Memorial into a new corporation to be known as The Rockefeller Foundation, which should assume all the assets and liabilities of the two boards; 2) the extension of the scope of the new Foundation's activities to include not only public health, but the advancement of knowledge in the medical sciences, in the natural sciences (taking over the foreign program of the International Education Board), in the social sciences (heretofore administered by the Memorial), and in the humanities; 3) the administration of the public health activities of the Foundation through an International Health Division with a group of seven scientific directors; 4) the appointment of a director with necessary assistants for each of the fields - the natural sciences, the medical sciences, the social sciences, and the humanities; 5) a clearly defined division of labor between the General Education Board and the Foundation through frequent conferences of the officers; 6) the incorporation of a China Medical Board, with independent self-perpetuating trustees, to which the lands and buildings in Peking, together with endowment funds and annual appropriations, should be given.

The Consolidation of 1929 (Continued)

From this reorganization two large and well-endowed Rockefeller boards emerge: the General Education Board, with a Federal charter which limits expenditures to the United States, and The Rockefeller Foundation, incorporated under the general laws of New York State.

Review 1928

Advance of Knowledge

.....The increase of knowledge upon which human welfare depends comes largely from the laboratories dealing in the most fundamental fashion with the physical and biological sciences. In cultivating these, universities make, therefore, a notable contribution not only to knowledge, as such, but to the art of living.

Wickliffe Rose, Annual Report
General Education Board, 1925-26

In October, 1930, at a special meeting of the Trustees held at Princeton, an attempt was made to define the phrase: "advance of knowledge." President Mason who initiated the discussion expressed the question as follows:

The advancement of knowledge is the sailing direction given the officers by the Board. We would like to feel that not too great rigidity is implied. In fundamental facts there must be research in the narrow sense; but advancement of knowledge demands also interest in educational processes. There are certainly three elements: research, educational processes, and in many cases the demonstration or application of existing fundamental knowledge. A threefold attack is increasingly necessitated if we concentrate on fields. Further, knowledge is gained by applying; and sanity and value brought to research.

Dr. Day, speaking for the field of the Social Sciences, expressed the idea as follows:

Advance of Knowledge (Continued)

It is quite necessary, as I see it, to abandon any narrow interpretation of the general objective of advancing knowledge. It is important to set an objective and then utilize in the attainment of that objective every device which promises any important contribution. That may mean in some instances a broad program of education. It may mean the support of a school of business or a school of law, some professional institution which gives promise of turning out a type of professional practitioner who will have important contributions to make in the program after he is actually on his job. It may mean in another instance, the dissemination of information already available to the experts, but information which needs to be given much more general circulation in order to create a favorable condition for the attainment of the objective. It may mean in another instance, some experimentation under conditions which assure practical results, a demonstration of some method which is provisionally indicated by findings already in hand. It may mean any number of different devices, as I see it, many of which could not possibly be blanketed under the designation of acquisition of new knowledge but all of which have very important contributions to make perhaps in getting to the objective.

After discussion, the Trustees unanimously concurred in the idea that research was not to be taken in the narrow sense of the word. If the demonstration or application of knowledge is neglected, research becomes a barren process. On that point there was no difference of opinion.

Committee on Appraisal and Plan
December 21, 1934

Each program was dominated by a practical motive, to achieve concrete improvement in the conditions of life and to contribute realistically to the public welfare. That scientific research occupied an important place in each program was the consequence of the belief that the practical attack on social problems is the scientific attack broadly conceived, that more understanding was needed than could be obtained from an appeal to tradition, expediency, or intuition. The Memorial had no interest in the promotion of scientific research as an end in itself; its motive was not sheer curiosity as to how various

Advance of Knowledge (Continued)

human and social phenomena came to be and are; the interest in science was an interest in one means to an end, and the end was explicitly recognized to be the advancement of human welfare.

Laura Spelman Rockefeller Memorial
Final Report, 1933

Concentration

..... it is obvious that the resources of the Foundation, measured by the needs of governments and large social undertakings, are relatively limited. Widely disbursed in aid of a large number of existing agencies, the income would have little appreciable effect; it might even chiefly replace rather than supplement gifts from other sources. Only by concentrating its funds upon a few convincing demonstrations and statesmanlike programs can the Foundation justify its existence, and constructively "promote the well-being of mankind throughout the world".

Review 1917

Distribution to a large number of good causes might easily do little more than replace for a short time gifts from other sources. Concentration for considerable periods upon vital activities in limited fields seems to be the only way of doing anything worthwhile and lasting. For the present, effort is centered on public health and medical education, but the trustees keep steadily in mind the possibility that in time other things may also offer opportunities. Concentration in any field is not interpreted as permanent or rigid.

Review 1924

Concentration (Continued)

.....With practically all phases of the advance of knowledge recognized as fields of interest for the Foundation and with the opportunity for assistance throughout the world there exists inevitably a tendency to a large spreading of effort, which the officers have recognized clearly. To counteract this it seems desirable to concentrate somewhat within these fields, choosing special phases of high importance within the fields and also attacking problems which will demand the cooperative effort of several directors, and thus utilize to the full the advantages of group study and common understanding.

Officers' Report to Trustees
October, 1930

In attempting to formulate programs which will recognize both immediate and long-range values, the officers of the Foundation have been unanimous in recommending that the range of interests be much more restricted than formerly. There are strong reasons for this suggested concentration. In the first place, the resources of the Foundation are significantly large if they are applied over a narrow front, but they become ineffectual and unimportant if they are widely scattered. In the second place, efficiency of administrative procedure is greatly increased if activities are confined to relatively narrow fields within which the staff can reasonably be expected to reach a high competency. In the third place, a unique characteristic of the Foundation is the mobility and freedom of its action. Institutional and state sources of funds are, for the most part, restricted to relatively sluggish readjustments, while the Foundation is entirely free to change its strategy at any moment. The Foundation, moreover, is in a position to choose just those difficult and critically important fields which other agencies must or do neglect. Such

Concentration (Continued)

freedom of action carries with it high responsibilities for constructive leadership. This leadership should evidence itself in deep and powerful thrusts, strategically directed and sufficiently conclusive to open the way for and induce a powerful following.

Officers' Report to Trustees
April, 1933

M.M. Refers to criticism of H. A. Spoehr on concentrated program, namely that R.F. is being interpreted as attempting the direction of scientific work in this country. Certainly this is not the intention of the program. The situation would seem to be an inevitable by-product of concentration.

E.E.D. Reports that R.F. program is discouraging workers in his field from devoting time to programs which would not be eligible to receive R.F. funds.

Staff Conference
December 19, 1935

A program concerned with the advance of knowledge runs the risk of scattering its resources over too wide a field unless a fairly definite policy of concentration is adopted. Consequently, in natural science the Foundation has for several years placed its emphasis largely on experimental biology; in the social sciences, it has been particularly interested in the problems which relate to social security, international relations, and public administration; its work in the medical sciences has chiefly to do with psychiatry, broadly interpreted; in the humanities, it is working not so much on the content of humanistic studies as on the techniques by which cultural levels are affected, i.e., radio, non-professional drama, museums, libraries, and language problems.

Concentration (Continued)

There is, therefore, an essential unity in the program of the Foundation, although it covers wide and diverse fields. The underlying interest is in the general problem of individual and social living, with the aim of progress through understanding. While, necessarily, the old classifications are employed, such as natural science and social science, an endeavor is being made to think of the objective in coordinated and synthetic terms and to shape the program toward what has been called the science of man.

Review 1936

The web of knowledge is vast and intricately inter-connected, with threads radiating in all directions in such a way as to make each fact, when one closely examines it, a veritable center. Someone learns how better to polish a prism or grind a lens, and he has reached out to the farthest star, has probed deeply into the smallest cell.This is of immense help to an organization with funds to spend in the advancement of science. For it means that even if support is concentrated on a definite field, such as psychiatry in the medical sciences, for example, or experimental biology in the natural sciences, the possibility of influence on many other fields of knowledge is not surrendered. Even more important, it means that in choosing the recipients for support in science, the major emphasis can be on brains, imagination, industry and character, with only secondary consideration to the often completely baffling question, "Is this of basic importance?" It means that a brilliant man, working with devotion and determination, will somehow make of himself and of his own particular problem a significant center from which truth will expand.

Review 1939

Internationalism

Twenty-five years ago, when The Rockefeller Foundation was created, the first work it undertook was in public health. Dr. Wickliffe Rose, the director of this activity, laid out the line of attack which has since been consistently followed by the trustees: "Unless public health is conceived in international terms," he said, "the strategic opportunity of our generation will be lost."

For two decades and a half the Foundation has been guided by this principle.

Review 1937

While the Foundation seeks to relate its various activities to one another and to the correlated medical and public health systems of each country with which it works, it also welcomes chances to promote international cooperation through contributions to the League of Nations for its health work, through the granting of fellowships to medical and public health students to work at home or in countries other than their own, and through international visits of health officials, medical scientists, and administrators. The Foundation lends its influence, not to standardize national programs of medical education and public health, but to combat a narrow provincialism and to promote the freest possible exchange of ideas throughout the world.

Review 1926

.....It has not considered the flags and frontiers which proclaim that we live in a world of separated states. We go where there is the largest opportunity of advancing human welfare. We are not deterred by the political

Internationalism (Continued)

or economic complexion of nations except as it may handicap what we desire to do.....

Committee on Appraisal and Plan
December 21, 1934

Around the world our aim has been to widen the area of human knowledge by the application of scientific standards, and we have tried to keep the level of our work above the noise and quarreling. Indeed, here in the United States, the Trustees have unquestioningly voted funds for the objective study of governmental projects concerning which many of them have doubtless had grave doubts.

It is this detachment, this reputation for impartiality, which has given the Foundation the standing it now enjoys. In Europe they frequently speak of our organization as a "cohesive, stabilizing influence". What they mean is that in an era of conflict and chaos our work is being maintained on a plane where there are no national or sectarian lines. The activities in which the Foundation is engaged represent a new principle of unity in the world: the single aim of science in the discovery of truth, and the common language of scholarship as truth is applied to the welfare of mankind.

The Foundation vs. Japan
Excerpt from Confidential Report
for Trustees
October, 1937

In general, the Foundation, operating internationally, is not concerned with geographic considerations. Projects are selected for support not because of location in any particular country, but because, regardless of

Internationalism (Continued)

location, they give promise of advancing knowledge in a given field. Two large geographical areas of Foundation interest, however, i.e., the Far East and Latin America, present, to some extent at least, an exception to this rule.

Review 1938

Direct Operation

It is interesting to note that in the early days of the Foundation it was evidently the intention of the Trustees that the program to a large extent should be carried on by direct operating agencies attached to the Foundation itself, somewhat similar to the International Health Commission and the China Medical Board. For example, in 1914, the Trustees discussed the desirability of establishing, as part of the Foundation, an organization for the study of social and economic questions. A number of leading economists were consulted, and a committee was appointed, under the chairmanship of Professor Edwin F. Gay of Harvard, "to consider further the desirability of creating an Institute for Economic Research....." This Committee reported in August, 1914, unanimously recommending that studies be initiated and be carried on for a year in some chosen field with a view to discovering whether that "would offer a sufficient prospect of fruitful results to justify the establishment of a more permanent bureau or institute."

This report was considered by the Trustees but was laid over so as not to conflict with an investigation of industrial relations which the Board had already authorized under the leadership of Mr. W. L. Mackenzie King. Mr. King had been added to the staff of the Foundation a little earlier, and his relationship to the organization illustrates the direct approach to social and industrial problems which the Trustees were contemplating in 1913 and 1914.

Direct Operation (Continued)

Instead of a grant to some outside agency, such as an institute or university, the Foundation intended to create its own machinery for survey and research. The Foundation's public announcement of the investigation of public relations is illuminating:

In facing the problem of Industrial Relations, The Rockefeller Foundation is deliberately attempting to grapple with what it believes to be the most complicated, and, at the same time, the most urgent question of modern times, and it is precisely for this reason that the investigation has been instituted.

A somewhat similar attempt at a direct approach to social problems was made in the field of mental hygiene. In 1914 Dr. Thomas Salmon was appointed a member of the staff of the Foundation and remained in that capacity until 1921. It was apparently intended at first that he should approach the problem of mental hygiene in the same way that Mr. King was approaching the problem of industrial relations. That is, the projected surveys were to be carried on by the Foundation itself through its own personnel, and it was the intention of the Trustees that "the related fields of heredity, alcoholism and venereal diseases" should be included with mental hygiene and "should be approached as one broad problem, the solution of which would require the effective coordination of the several lines of inquiry subject to adequate scientific supervision."

.....The experience with the industrial relations study was an unhappy one, and out of it a very definite conviction developed among the Trustees that except as regards a narrow range of non-controversial subjects, notably public health and medicine, the Foundation's participation in the project it wished to assist must be limited to financial aid. In other words, the Foundation must become primarily not an operating agency but a fund-dispensing agency.....

Committee on Appraisal and Plan
December 21, 1934

Direct Operation (Continued)

Except in a narrow range of non-controversial subjects, notably public health and medicine, the Foundation's participation in the projects it wishes to assist must be limited to financial aid. In other words, the Foundation must be primarily not an operating agency, but a fund-dispensing agency. The experience of the past has taught us the wisdom of this policy. The work of the International Health Board is, of course, an outstanding exception to this rule. Your committee does not say that there are no other exceptions; we merely advise that exceptions be examined with care and approached with caution.

Committee on Appraisal and Plan
December 21, 1934

Except to a limited extent in public health, the Foundation is not an operating organization. It conducts no researches of its own. Its activities are confined to the support of other agencies - universities, laboratories and research institutes - and to the training through fellowships, of competent personnel in the various fields of knowledge.

Review 1937
Review 1938

Flexibility

As you know, this whole matter has long been very much on my mind, and the tendency to measure success by the volume of business done by a single Board or by one department of a Board instead of by the wisest and most economical promotion of the well being of mankind by all the Boards has caused me growing concern as I think of the future. Any human institution tends to get into a rut, to confuse motion with progress, and to exalt machinery and organization above work and objectives. This is certainly true in the business world,

Flexibility (Continued)

and it is equally true in philanthropy. We get so used to following a particular line of activity that the routine and machinery by which it is accomplished takes on a certain sanctity. It is not necessary for me to tell you that there is nothing sacred or inviolate about any type of organization. Machinery and personnel are merely the instruments by which objectives are reached, and unless we keep ourselves clear-eyed and fresh and keep the machinery elastic, we run the risk of dry rot.

If these Foundations are going to fulfill the high purposes that the Founder had in mind for them - indeed, if they are to escape the decay which seems eventually to attach itself to all human institutions - they must be subjected to constant, critical scrutiny, and their directors and officers must be ready at all times to redefine their aims, reorganize their technique, and scrap existing machinery in favor of something that is better.

Letter, Mr. John D. Rockefeller, Jr.
to the Chairman of the Monday
Luncheon Group
December 28, 1925

RESOLVED that the officers be requested to keep in mind the importance of constant vigilance in the appraisal of work already in progress, in withdrawal from projects as soon as these are in a position to develop independently, in the termination of administrative units, whether Boards or Divisions, when conditions justify, and in the consideration of new opportunities whether these are closely related to present activities or extend into other fields.

February 25, 1925

Flexibility (Continued)

The need of complete adaptability in Foundation matters - both program and organization being subject to constant adjustment to changing conditions - has from the beginning been stressed by the Trustees. On no other principle has so much emphasis been placed. If our work is to be kept out of ruts, if we are to avoid frustration and stagnation, our programs and our methods must be kept elastic, fresh, alive and open-minded. To achieve this result constant vigilance and continued self-appraisal are necessary both by the officers and by the Trustees.

Committee on Appraisal and Plan
December 21, 1934

The Long-Range View

.....There are two general lines of policy either of which a foundation can follow: one is to engage in projects which with better perspective are seen to be of temporary significance; the other is to select problems which lie at the root of human difficulties, and which require for their solution patience, tenacity, research, careful planning, generalship and adequate and continuing funds. Because projects of this latter type are always difficult to discover, the temptation which every foundation constantly encounters is to take the easy road, to do the obvious thing - even if it is something which because of its popular appeal other agencies might support, or which ultimately would be taken care of anyway by the slow but inevitable application of existing knowledge. The difference between these two courses is the difference between the superficial and the fundamental, between a policy of scattered activities and a policy of concentration.

Committee on Appraisal and Plan
December 21, 1934

The Long-Range View (Continued)

The task which faces all institutions concerned with the advance of knowledge is not only to keep this faith alive but to make certain, as far as they can, that the streams of culture and learning, wherever they may be located or however feebly they may now flow, shall not be blocked. In line with this latter function, in so far as circumstances and limited funds make possible, The Rockefeller Foundation conceives its principal role.

This concern for the future is a matter of stern, practical sense. The specialized talents and abilities that are meeting this emergency and those that will meet emergencies to come are not produced by feverish last-minute activities. No amount of pressure can suddenly create a supply of thoroughly trained and broadly experienced physicists, mathematicians, chemists, biologists, economists and political scientists. These men represent the trained intelligence without which a war cannot be won, or a lasting peace achieved. They emerge spontaneously, unpredictably, but irresistibly out of long, patient and sustained effort. Pure research, the clean urge to gain new knowledge, the sympathetic appreciation of imaginative scholarship even when it seems remote and unrelated - these we must steadfastly sponsor or our vital intellectual resources will fail us in the days to come.

It is true, of course, that in an attempt to maintain long-range programs aiming at the future rather than at the present, no institution can escape the urgencies of the moment. We are all of us in the war and it is idle to pretend that business can proceed as usual. A substantial proportion of the appropriations of The Rockefeller Foundation has some relation to the present emergency.

Review 1941

The Long-Range View (Continued)

In the opinion of the Foundation there is no question as to the necessity of keeping this type of work (i.e., pure research) going. It is of vital importance that there should be no interregnum in the search for knowledge. Once the continuity is broken, with resources dissipated and scholars dispersed, the pattern will not easily be reestablished. Pure research, the pursuit of truth for its own sake, could become a luxury, as it is in Europe today - forgotten in the chaos of war and perhaps subsequently lost in an age in which utilitarian values constituted the only standard of measurement.

Review 1942

To detect genius when it appears, to distinguish between fundamental ideas that are struggling to be born and those that have already safely arrived, to be able to discriminate between the significant and the trivial - this is the difficult, indeed the almost impossible, standard by which those who would assist in extending the frontiers of knowledge must measure themselves.

If this standard is valid, it follows that the proper place for a foundation working at this task is on the frontiers, and not in the settled areas behind. Moreover, frontiers are never stationary; sooner or later they will themselves be settled, and the line will move forward once again. If fundamental research is to be promoted in any of the fields of knowledge, there can be no consideration of the status quo. Facts march. There are no areas of human thinking around which magic circles can be drawn to protect them against possible obsolescence. In physics, chemistry, mathematics, and also in the social sciences, each generation, with new light thrown by better instruments of precision or by more delicate apprehension, corrects the

The Long-Range View (Continued)

mistakes of its predecessors and makes a few of its own. Hypotheses serve their purpose and are then given honorable retirement when better ones appear. In the field of science, and in human relations as well, the problem is never finally solved; the last word is never said. Knowledge, like life itself, is dynamic and not static. What might be called the biological inevitability of change, and a broad sympathy with intellectual adventure, must be the basis of any organization whose sincere objective is the extension of knowledge.

Review 1943

Perpetuity

The temptation to visualize the future in terms of the present - to think of the needs and methods of today as having a sure claim to immortality - is one which confronts trustees as well as founders of philanthropic foundations. For example, to establish under a permanent endowment in some university or research center a department or chair of psychiatry or organic chemistry may seem, with such light as we have at the moment, a rational and socially desirable step. But what wisdom have we today to determine that a century or more hence psychiatry and organic chemistry will represent the pressing needs or the practicable techniques of that time? In endowing what they thought was of permanent importance, earlier generations made wrong guesses which embarrass us today. How can we assume that our guesses have any greater validity or are made with any clearer foresight?

Review 1937

PROGRAM - SPECIFIC CONSIDERATIONS

Applications

Every sane individual, whatever his location or connections, should be made to feel that he has had a fair chance to state his case, and that his statement has been received with patience and courtesy. Officers should avoid the professorial sin of lecturing the visitor concerning the R.F., science, and the world in general; and be sure that he gives the visitor a full chance to tell his story. When seeking information, officers should, in the language of radiation theory, be good absorbers and very poor emitters.

N.S. Notes on Officers' Techniques*

The Foundation's activities are not limited or defined by the application which it receives. A large amount of the time of Foundation officers is spent outside the office, gaining acquaintance with what is going on in research centers or in field demonstrations, not only in this country, but frequently throughout the world. Consequently a substantial proportion of the grants which the Foundation makes are not based upon "applications" at all; they are developed in the field as a **result** of discussion between representatives of the Foundation and of a particular institution. In such cases, the requests, when received are merely formal confirmations of proposals which have already been explored.

Review 1938

Out-of-Program Items

Agreement that out-of-program items carried a special load and should not be recommended unless of unique character with no competition in individual cases.

Staff Conference
May 7, 1936

*Written by Warren Weaver in 1946

Out-of-Program Items (Continued)

It is the present policy of the RF to have, for each division, fields of special interest. But the Trustees and the administration have always made it clear that a division should feel free to bring in items of exceptional interest, whether they conform to program or not. But how can one utilize this obviously desirable flexibility, and avoid setting embarrassing or improper precedents?

Furthermore, the staff of a division recognizes - and should meet - the obligation to keep itself widely and intimately informed concerning the personnel and opportunities within the areas of program interest. But no division can be so informed in all fields. Thus it would at first sight seem that officers could hardly be justified in recommending exceptional action for items outside program fields. For if these are in fields in which officers are not really widely and intimately informed, how can the officers be sure that this particular action is the exception which should be made? And how does one quiet his conscience when he thinks of the trusting individuals who read our published statements concerning program, and accordingly are too modest or shy to approach us on an item which clearly does not conform?

A solution of this difficulty which seems to work pretty well in practice is this: an exception to program should receive serious consideration only provided it is clear that the proposal in question is essentially without competition.

N.S. Notes on Officers' Techniques

Conditional Appropriations

T.B.A. Conditional appropriation of any magnitude should not be made until the whole situation at the institution is studied (including a more

Conditional Appropriations (Continued)

comprehensive view of national and regional situations. E.E.D.). It is obvious that a conditional appropriation should not be recommended unless the officers are certain that its conditions can be met and that its acceptance by the university would not do a disservice to the whole problem of the university.

Staff Conference
December 26, 1935

Selection of Leadership

The interest in men, and in the training and development of such men as give promise of producing important ideas, has many ramifications. Most are so obvious they do not require mentioning. Others are less obvious. We would prefer to support any research project in a setting that assures that able, young, developing scientists will have contact with the project. During the war we postponed consideration of an NRC request for support to ecology, not because ecological research as such was not purchasable during the war (for the senior people were available), but because we would not have gained the more important by-product of drawing young men into the field. Similarly, we are bound to be less interested in supporting the research of a crabbed lone worker, however much of a genius, than we are in aiding such men as Stakman, Cannon, Hill, etc., who attract and inspire young men.

N.S. Notes on Officers' Techniques

Precedents

The RF covers so much territory, functionally and geographically, that one ought never to get excited about one isolated project without thinking carefully about the precedent which may be established if this project is

Precedents (Continued)

approved. How many other similarly good groups of persons are there which, because of modesty or remoteness or ignorance of the possibility, have not approached us? What social justification is there for approving the one in hand, and ignoring the others? If the others come flocking in, after this grant becomes known, what are you going to say to them?

N.S. Notes on Officers' Techniques

Grants in Aid

At regular intervals someone is sure to ask (and it is a perfectly proper and important question): Why should the RF, which has almost unique power to do great things, bother with chicken feed? What justification is there for officers to take up valuable time investigating and studying small grants?

NS thinks that these questions have wholly convincing answers. Great things are very seldom - like an unbroken hen's egg - perfect in completeness, essentially indivisible, and wholly developed at first appearance. Great things are usually formed of small parts: great things usually grow from small things. If our thinking and investigation does not keep us in accurate and realistic contact with the actual operative details of science, we are not likely to be very wise about the larger plans.

We believe that grants in aid form an essential mechanism; but that, with rare exceptions, they should be used only because of their relationship to larger plans or larger hopes. Thus when someone asks us for a small grant which has no particular relation to our broader plans, then we decline this request, and refer the man to the various agencies which distribute small grants. We study and make small grants when they offer us a useful opportunity to

Grants in Aid (Continued)

supplement our larger projects, or to try out men or situations which may possibly later deserve larger support.

N.S. Notes on Officers' Techniques

Fellowships

The obvious fact that the successful extension of scientific research, medical education, and public health work is dependent upon discovering exceptional individuals and giving them the best available training makes this plan of granting fellowships clearly a sound and fundamental policy. The Foundation does not create inflexible fellowship systems but is guided solely by the possibility of finding unusual persons who give distinct promise of promoting the end in view. The international implications and consequences of sending students from one country to another for purposes of study and research need not be amplified.

Review 1919

The fellowship policy of the Foundation aims at flexibility, selection, and specific preparation. No fixed number of fellowships is assigned to any one subject or country. Only candidates of exceptional promise are chosen, to whom positions in government or institutional service have been assured on the completion of their studies.

Review 1922

The Foundation does not publicly solicit applications, but selects with the advice of governments and university departments, younger officials and graduate students of promise for whom positions of significance in their

Fellowships (Continued)

own countries are assured on the completion of professional studies abroad or at home. It cannot be too emphatically stated that it is no part of the Foundation's purpose to induce or make it easy for persons to settle permanently in countries other than their own. The aim is to prepare them for better service in their home lands.

Review 1924

In general, the fellowships supported by the Foundation are limited to those students who have finished their graduate work and have had several years of practical experience in their chosen fields. The initial application does not come from the candidate himself, but from his superior who has had an opportunity to gauge his work. One of the usual conditions of the fellowship is the assurance that a post will be waiting for the candidate in his native country upon his return. The Foundation guards carefully against the danger of allowing the fellowship experience to expatriate the fellow.

Review 1936

It is perhaps unnecessary to stress the point that these fellowships have been awarded solely on the basis of merit. No other considerations, political or otherwise, have influenced the decisions. The Foundation has been interested in giving students of exceptional promise and quality an opportunity to continue their studies in institutions where they could gain the greatest benefit. Whether those institutions were in the United States or in Europe or in Latin American countries other than their own has been immaterial in the plans of the Foundation. In other words, the primary concern has been the

Fellowships (Continued)

training for leadership in the advance of knowledge, regardless of boundary lines or other extraneous considerations.

Review 1943

Questions of race, color, religion, and politics are of themselves totally irrelevant. We do not care whether a candidate is hunchbacked or handsome. But we do care if any circumstance arising out of such otherwise irrelevant factors threatens to handicap or circumscribe the effectiveness of the candidate as a future leader in science. For, working all over the world, we cannot hope to deal with the mass problems of scientific training, even on higher levels. We must concern ourselves with excellence. Only by concentrating on the training of future leaders can we hope to make the most of our opportunity.

N.S. Notes on Officers' Techniques

Declinations on PrincipleGeneral Statement

The Foundation does not make gifts or loans to individuals, or finance patents or altruistic movements involving private profit, or contribute to the building or maintenance of churches, hospitals, or other local organizations, or support campaigns to influence public opinion on any social or political questions, no matter how important or disinterested these questions may be.

Review 1944
Substantially as above,
Review 1917, 1922-1928, 1936-1943

Declinations on Principle (Continued)Relief

During the years 1914-1916 the Foundation maintained its own relief organization in Europe, but when the United States entered the war, this staff was withdrawn and appropriations for allied countries were made directly to the American Red Cross. The policy of the Foundation has been to work so far as possible through a few coordinated agencies rather than to distribute relatively small sums to a large number of independent societies.

Review 1918

Although The Rockefeller Foundation leaves relief work in the ordinary sense to other agencies, the postwar situation of many medical laboratories and libraries in Europe justified a policy of specific emergency aid.

Review 1923

A catastrophe like this (Mississippi Flood) naturally raised the question as to what The Rockefeller Foundation might do. It might of course contribute to the popular Red Cross fund, but would this actually help? Might not such a gift, as a matter of fact, really hinder by giving the public the idea that its subscriptions were unnecessary or at any rate could be reduced in amount? It was decided to adhere to the policy of not contributing to emergency relief funds. Again, should the Foundation appropriate a large sum and undertake a public health campaign of its own in the flooded area where there was some fear that epidemics of certain diseases might break out? Such a program would have been dramatic, but it would have been out of keeping with the Foundation's policy of working only with official health organizations.

Declinations on Principle (Continued)

Relief (Continued)

This idea then was not seriously entertained. But another kind of opportunity was warmly welcomed. A program was worked out by which the United States Public Health Service, the health departments of seven states which had been affected by the flood, and local county governments were to cooperate in establishing county health organizations in 100 counties of the flooded area. The Rockefeller Foundation agreed to contribute towards this plan.

Review 1927

.....(1) The funds of the Foundation cannot wisely be applied to general charity or relief. This principle was established in the earliest days of the Foundation and has been reiterated by the Trustees on a number of occasions. If used to ameliorate human distress caused, for example, by famine or flood or earthquake or some other calamity, our funds would soon be exhausted with no permanent result. In 1913, Mr. Greene, the Secretary of the Foundation, expressed the principle as follows:

As between objects which are of an immediately remedial or alleviatory nature, such as asylums for the orphan, blind or crippled, and those which go to the root of individual or social ill-being and misery, the latter objects are preferred - not because the former are unworthy, but because the latter are more far-reaching in their effects. Moreover, there are many charitably disposed persons to whom remedial and alleviatory agencies make the more effective appeal.

.....(2) The single exception to this rule which has occasionally been admitted is the contribution to the combined relief agencies of New York City. This has been done on the theory that the Foundation has a special obligation in New York State from which it holds its charter and by which it is granted exemption from taxation. Moreover the Foundation is a resident of

Declinations on Principle (Continued)

Relief (Continued)

New York City. In a discussion of this matter by the Trustees in 1918, the following agreement was reached:

(a) That a special obligation to New York City and State did exist.

(b) That in meeting this obligation there was no reason for departure from the general policy of the Foundation (that a program of general charity or relief, for instance, would not be wise or effective).

(c) That the officers should make a study with a view to presenting for the consideration of the Board a constructive program in public health or some other field for New York City and State.

In the last two or three years, however, since the depression began, the Board has adopted the policy of a contribution directly to the combined charities of New York City. In view of the sweeping character of the depression, this is doubtless a wise step; but your committee believes that a more desirable method of discharging our special obligation to the State and City is contained in the suggestion of the Board of Trustees in 1918.

Committee on Appraisal and Plan
December 21, 1934

Controversial Subjects

There are some things which no foundation can wisely do, either directly or indirectly, either as an operating agency or as a fund-dispensing agency. Dr. Vincent's words in 1917 are as true today as they were then. "The Foundation must refrain from supporting propaganda which seeks to influence public opinion about the social order and political proposals, however disinterested and important these may be." We cannot take sides on questions of this kind. Indeed we must be scrupulous to avoid the appearance of taking

Declinations on Principle (Continued)Controversial Subjects (Continued)

sides. This does not mean, however, that the Foundation is debarred from participation in controversial subjects where funds can be employed to promote disinterested inquiry under appropriate auspices.

Committee on Appraisal and Plan
December 21, 1934

Subjects of a controversial nature cannot be avoided if the program is to concern itself with the more important aspects of modern social life. In fact, successful treatment of issues of a controversial sort would be so important a contribution to the fundamental objectives of the program that the existence of militant differences of opinion can not be thought to preclude the promotion of inquiry under appropriate auspices.

Statement of Policy
Laura Spelman Rockefeller
Memorial 1928
Adopted by The Rockefeller
Foundation
January 3, 1929

Fields of Industrial Interest

There are certain fields of research in NS which, while unquestionably valuable and desirable, have generally not interested the RF. Perhaps geology is a good illustrative example. We have done little here, and mainly I think for the reason that this field has close relation with very large and rich industries - mining and oil - from which geology can reasonably expect support. This reasoning has a dangerous loophole - namely, we would be foolish to sit by and permit such a field to become too concerned with commercial applications and too little free to do basic research in pure science.

Declinations on Principle (Continued)

Fields of Industrial Interest (Continued)

We have been similarly little concerned with research in engineering, both because it has its own natural sources of support elsewhere, and because most of it is not research anyway.

The reverse of this coin is that we ought to be specially sympathetic to the needs of relatively small groups of scholars who have no rich uncles in business - astronomers and mathematicians, for example.

N.S. Notes on Officers' Techniques

Institutional Development

One ends up by realizing that the general development of any one institution is simply not our pigeon: and that development of departments of fields within institutions raises difficult problems which have been solved in certain cases of compelling need and importance; but which require broad and thorough study before any moves are made.

N.S. Notes on Officers' Techniques

Buildings

There is a prejudice against financing buildings. Except in very unusual circumstances, we expect institutions to obtain their buildings elsewhere. The arguments are many and strong. A building is a visible monument which often attracts a personal giver. These personal givers have a natural and proper interest in certain institutions (their own, or the place that gave them an honorary degree, say), and therefore they can logically give to one institution and remain indifferent to the needs of others; while we have no justification for any such discriminatory interests. On the other hand, we

Declinations on Principle (Continued)

Buildings (Continued)

obviously cannot give buildings to all universities. Buildings usually are used for mixed educational and research purposes; while our interests are heavily the latter. Buildings fall down and burn up; and still worse can be misused for purposes entirely foreign to our aims. We have more opportunities than we can possibly meet, in which we do not need to spend money for buildings, but need only to make an existing physical plant effective.

To which should be added that in the face of sufficiently compelling opportunities we do finance buildings.

N.S. Notes on Officers' Techniques

Badly Planned Projects

As a general rule it is not expedient to entertain applications for the aid of projects, however meritorious, that have not been carefully thought out by their promoters, so that the purposes to be accomplished, the form of organization to be employed, the persons prepared to assume the permanent responsibility for the project, the precise programme to be followed and the amount of financial support already secured, may be stated with precision as the basis of the application.

Principles and Policy of Giving
Memorandum by J.D. Greene, 1913

Permanent Support

In general it is unwise for an institution like The Rockefeller Foundation to assume permanently or indefinitely a share of the current expenses of an endowed institution which it does not control. Such a continuing relation inevitably carries with it a continuing responsibility for the conduct

Declinations on Principle (Continued)Permanent Support (Continued)

of the institution that is aided. The relation should therefore not be entered into unless with the deliberate intention of assuming such responsibility.

Principles and Policy of Giving
Memorandum by J.D. Greene, 1913

Local Support

It may be said that when an individual or an institution goes into a community with the intention of making a contribution to its welfare, no gift of money, however large, and no outside agency, however wise or good, can render a service of unqualified good and permanent value except so far as the gift or the agency offers the means or the occasion for evoking from the community its own recognition of the need to be met, its own will to meet that need and its own resources, both material and spiritual, wherewith to meet it.

Principles and Policy of Giving
Memorandum by J.D. Greene, 1913

There is another guiding principle of the Foundation. It withdraws entirely from a project as soon as this has become self-directing and self-supporting. The International Health Board ordinarily expects to bring its part in a demonstration of hookworm or malaria control or of county health work to an end within a short and limited period. The Board's share of the cost steadily grows less as the government takes over more and more of the burden. The project is regarded as a success when the public funds bear the whole cost. In the case of a medical school or institute of hygiene project, as soon as the university or government has complied with the conditions the Foundation pays its share and has no further responsibility. It scrupulously refrains from all intervention in the administration of the institution.

Local Support (Continued)

The foregoing strictly applies only to major undertakings. The Foundation is ready, on request, to lend expert service or give minor kinds of emergency or other aid unconditionally to health departments, medical schools, institutes of hygiene, and a few nurse-training centers when this is feasible. Even in such instances, increases of public funds and of private gifts are likely to be hastened.

Review 1924

Gifts in Perpetuity

On the other hand, The Rockefeller Foundation must carefully avoid the dangers incident to gifts in perpetuity. Having, as Mr. Gates has said, the qualities of deathlessness and universality it is better able than any private individual to adapt its gifts from generation to generation to the most urgent needs of the time. It should therefore be careful not to hamper its own trustees nor the trustees of other institutions by gifts in perpetuity narrowly limited to particular uses.

Principles and Policy of Giving
Memorandum by J.D. Greene, 1913

Established Agencies

Wherever possible The Rockefeller Foundation works through agencies already established. Frequently the machinery for a given piece of work is already set up, but in order that it may function efficiently slight monetary assistance or technical counsel is needed. Bearing this in mind, The Rockefeller Foundation in 1926 continued its policy of aiding established agencies either financially or through the cooperation of experts qualified to make surveys and give advice.

Review 1926

Propaganda

The Rockefeller Foundation is not an advocate of any doctrine or theory, whether in medicine or the social sciences. It has nothing to promote. In bringing distinguished scholars like Sir William Beveridge to America, or in sending America's distinguished scholars abroad, it is interested only in the exchange of ideas and experience out of which increasing knowledge and wisdom may grow.

Review 1943

PROGRAM - DIVISIONAL CONSIDERATIONS

The General Education Board

1. That as long as it continues to have funds of its own, the General Education Board be operated as at present.....
2. That when the Board's funds are exhausted (or practically so) The Rockefeller Foundation finance the continuance of its work.....
3. That the board of trustees of the General Education Board be re-constituted and the number of trustees be reduced to nine.....

However, in order that the General Education Board and The Rockefeller Foundation may be closely integrated, it is suggested that the President of the Foundation should be the Chairman of the Board of the General Education Board, serving without compensation, and that among the other trustees of the General Education Board should be the Chairman of the Board of The Rockefeller Foundation and perhaps the Treasurer.....

4. That the title of "President" of the General Education Board be abolished and that the administrative head of the Board be called "Director". This would put him on a par with the directors of the divisions of The Rockefeller Foundation.....

5. That the General Education Board authorize the Foundation to handle its funds and, by checks in its (the Board's) name, make all payments for its account. This same arrangement now exists between the Foundation and the China Medical Board.....

6. That the Director of the General Education Board present an annual report of the work of the Board just as the Board has done over many years.

The Future of the General
Education Board
Raymond B. Fosdick
March 1944

The Social Sciences

.....In May, 1924, the Executive Committee of the Memorial was requested by the Trustees to examine carefully certain questions of policy which had been raised and to discuss them with Dr. Vincent, President of the Foundation, Dr. Buttrick and Dr. Rose of the General Education Board, and Dr. Abraham Flexner also of the General Education Board. A memorandum which met the views of all concerned was prepared and submitted to the Trustees of the Memorial who adopted it as a statement of their official policy in the field of the social sciences. This memorandum in part reads as follows:

"The present memorandum proposes to indicate principles which affect the ability of the Memorial to become associated with projects in the field of social science. Certain principles would seem to make association undesirable. It appears advisable

1. Not to contribute to organizations whose purposes and activities are centered largely in the procurement of legislation. Examples: National Child Labor Committee, National Consumers' League, National Women's Party.
2. Not to attempt directly under the Memorial to secure any social, economic or political reform. Examples: more playgrounds, less unemployment, extension of the merit system in civil service.
3. Not to contribute more than a conservative proportion toward the current expense of organizations engaged in direct activity for social welfare. Examples: International Migration Service, Playground and Recreation Association.
4. Not to carry on investigations and research directly under the Memorial, except for the guidance of the Memorial. Examples: Handbook on Camping, Opportunities in Vocational Education of Women, Relations between Immigration and the Business Cycle.
5. Not to attempt to influence the findings or conclusions of research and investigations through the designation of either personnel, specific problems to be attacked, or methods of inquiry to be adopted; or through indirect influence in giving inadequate assurances of continuity of support.

The Social Sciences (Continued)

6. Not to concentrate too narrowly on particular research institutions, incurring thereby the danger of institutional bias....."

Committee on Appraisal and Plan
December 21, 1934

Public Health

The State was adopted as the unit of organization and of work. It was regarded as fundamental in the interest both of economy and of efficiency that the work be done as far as possible through existing agencies. Each State has its own system of public health, its own system of organized medicine, its own organized public press, its own system of public schools - these four fundamentals and a host of minor agencies which can be used to advantage in educating the people. These are established institutions rooted in the life and traditions of the people; to enlist these agencies in the accomplishment of the task is to insure the permanency of the work from the beginning.....

The Rockefeller Sanitary Commission
Report, 1910

Government activities are, for the most part, necessarily and properly deliberate; they are limited by legal and administrative restrictions. The Trustees of a Foundation have, within the provisions of its charter, relatively a free hand. Only such an institution, for instance, could select the world's leading authority on a certain disease, provide a staff and all necessary funds and send him to foreign countries in order to eradicate from the world one of the deadliest of infectious maladies. It would be a mistake, therefore, for The Rockefeller Foundation to hamper itself by adopting inflexible rules, or to tie its own hands with red-tape.

Review 1917

Public Health (Continued)

From the outset of its health work the Foundation's International Health Board has entered an area only at the invitation of the government concerned. All of its work has been based upon at least three primary considerations: 1) cooperation with the authorities, 2) the community's assumption of some part of the expense, and 3) an agreement that if the experiment is successful, the government will take over the enterprise as a part of its official machinery.

Review 1919

The Board seeks not to take the place of government agencies but to help them educate their constituencies to recognize that a given health project is desirable, feasible, and economically possible.

Review 1922

.....the official agency is the continuing source of authority; it represents permanence; what it adopts as a part of its regular procedure stands a good chance of being perpetuated. It is only the government that can maintain the sole basis of a sound public health organization. That basis is the sanitation of the environment and the control of communicable diseases. Without good water and milk; proper disposal of wastes; clean food; sanitary housing; protection against typhoid fever, smallpox, malaria, and diphtheria; and a minimizing of scarlet fever, measles, venereal diseases, and tuberculosis, a village, town, or city cannot hope to do effective work in infant and maternity welfare, school hygiene, and the other features of a well-rounded scheme of public health.

Public Health (Continued)

The Rockefeller Foundation, therefore, has adopted the policy, so far as public health is concerned, of working only with and through governments. Its International Health Board lends a hand only on the invitation of an official agency. Nor is any effort made to over-persuade a government to undertake a forward step prematurely or with misgiving. The project for which aid is sought must be something new in the official program - a qualitative demonstration, not merely an expansion of the old. The whole purpose is to help a health officer to prove to his community the value of an innovation. A further consideration has to do with cost. It would be a disservice to put a demonstration on a level which could not later be fairly well maintained out of the public funds, for the Board undertakes the cooperation only on the clearest understanding that its contribution is to diminish steadily until the public budget has assumed the whole expense. To withdraw entirely at the earliest moment that the success of the demonstration will permit is the Board's constant aim. Cooperation not rivalry, response not propaganda, economy not speculation, temporary aid not continued subsidy, official responsibility not usurpation of authority, a permanent gain not an ephemeral exploit, are the watchwords of the Foundation, a private agency, in its relations with official organizations of public health.

Review 1925

The chief aim of the Foundation's health activities is to help governments to create or improve general public health organizations with central, statistical, laboratory, engineering, and other services, trained personnel, effective technic, well-rounded programs, and local administrations which cover

Public Health (Continued)

the entire state or national domain. A concrete demonstration of what can be done to curb a prevalent disease in a given community is usually the most striking and successful way of convincing the officials and the people that public health work is both feasible and worth while. To the Foundation, then, control of typhoid fever, or malaria, or yellow fever is not so much an end in itself as a means of setting up a permanent organization which will gradually extend the scope of its work from the installation of latrines and water-supplies to control of communicable diseases and ultimately even to mental hygiene, i.e., from sanitation to sanity.

Review 1927

In the field of public health, the policy of the Foundation is necessarily realistic. No attempt is made to cover the whole complex domain of present day sickness prevention. Instead, work is concentrated on certain diseases where there is a reasonable expectation that they can be transferred from the non-preventable to the preventable class.

To control a widespread disease, it is not enough to know how a single case can be cured. Methods must be developed which will turn the disease over to the public health worker, who thinks not in terms of the single individual but in terms of the community. The approach which is now being followed is laboratory research, tested by field experimentation and demonstration under actual practice conditions. This combination of laboratory and field service the Foundation is in a unique position to undertake, because it is not tied to any one country or region but can make its studies and set up its laboratories wherever necessary. Most of the health work which the Foundation

Public Health (Continued)

is at present carrying on under this plan is being done in cooperation with governmental agencies, both national and local.

Review 1936

In health work, as perhaps in many other of its activities, the function of a foundation is to blaze a trail, to try out techniques, to experiment with new methods. If its funds are wisely spent, a foundation can be an advance guard. It can skirmish ahead into the realm of the unknown and the unexplored, and pass back to the public health authority of the state the new ideas that are captured.

Review 1936

Within the field of public health the activities of The Rockefeller Foundation are constantly shifting as old programs are completed and new opportunities discovered. A fundamental policy is to limit the work to exploration, pioneering and experiment, avoiding prolonged support of any activity which has become routine.

Review 1938

They illustrate one of the principal functions of a foundation and perhaps the main justification for its existence, i.e., the support of exploratory work or of demonstration in areas where, because techniques are untried and results are uncertain, public funds cannot readily be obtained to blaze the trail. Sometimes, too, emergencies develop which are of such critical importance to scholarship and the advance of knowledge that the time lag involved

Public Health (Continued)

in securing public funds might seriously jeopardize an essential undertaking. Here again a foundation has a useful function to perform.

Review 1942

Public health can no longer be thought of exclusively in national terms. Whether we like it or not, our technologies now confront us with inescapable demands for a new approach. Some kind of regularized international cooperation is essential. Whatever we may think of the League of Nations, its Health Organization blazed a new trail in the international attack on disease - a trail that must be widened into a firm road. Certainly a service of epidemiological intelligence covering the whole world is an immediate necessity, and many other essential public health activities not only lend themselves to collective approach but can be effectively handled only by that method.

Review 1943

TRUSTEES

Interlocking Directorates

I am inclined to agree with Mr. Fosdick in what he says about interlocking directorates between the various foundations. While there is justification, I think, for a few such liaisons between the four Rockefeller Boards, it seems to me it would be dubious policy to establish official connections between the foundations which have been created under different auspices. New foundations are being formed now rather rapidly, and public attention is sure, sooner or later, to be focused again upon these institutions. I think the idea that they in any sense formed a "combine" would arouse public criticism. Furthermore, there seems to be a distinct advantage in enlisting the services of a larger number of public-spirited and well-known citizens as directors in these foundations.

Letter to John D. Rockefeller, Jr.
from George E. Vincent,
December 28, 1921

Compensation

.....No trustees of any Rockefeller board have ever been paid, and the entire policy of The Rockefeller Foundation, the General Education Board, the International Education Board, the Laura Spelman Rockefeller Memorial and the Rockefeller Institute has always been based on the idea of unpaid service by their trustees. We do pay traveling expenses and hotel expenses in connection with the meetings of the trustees, but, as you say, we do not regard these expenses as "payment.".....

From a letter from Raymond B.
Fosdick to F.E. Andrews
April 16, 1945

Retirement During Discussion

There is no official ruling under which RF Trustees are obligated to retire from meetings during discussions of projects in which they are particularly interested.

The custom of retiring under such circumstances has been observed.

Inter-Office Correspondence
Norma S. Thompson
April 6, 1936

OFFICERS

Commitments

When in warfare a commander is so unwise as to commit himself to an advance beyond the point he can really defend, then he is in for a very bloody retreat. Officers should not only remember this: they should realize that it is unwise and unnecessary ever to commit themselves in advance to any assurances whatsoever -- ever to suggest or even to hint that action on a request will be favorable. If the action turns out to be favorable, then the hint is unnecessary. If the action turns out to be unfavorable, then the hint would be disastrous.

Officers should always make it clear that RF decisions rest ultimately with the Trustees; and that it is improper to attempt a forecast of Trustee reaction. The wise officer remembers that it is improper, even in circumstances where he is quite certain that it is possible.

N.S. Notes on Officers' Techniques

Formal Approval of Requests

There is, however, one requirement concerning requests which (at least in NS) is never waived. We insist on having in writing a statement from a high administrative official of the institution in question indicating his approval of the request in question. This high official is usually the president, but may sometimes safely be a dean.

This requirement is based on experience. The RF must meticulously avoid any act which could be interpreted or even misinterpreted as an attempt on our part to force support on an institution in order to accomplish purposes which we seek, but which are not part of the genuine internal interests of the institution.

N.S. Notes on Officers' Techniques

Transfer of Grants

Very frequently we are waited on by say, Professor Stinkmeister of Chilombia University who says: "I have a fine offer from Princeyard, and I would like to know if I can transfer there my present grant which still has three years to run. Or if this is not possible, can you assure me that I have as good a chance of getting RF grants at Princeyard as at Chilombia; and what in general do you think about the move?" Our answer is: we wish to avoid as completely as is possible the giving of any advice or assurance which would influence the transfer of personnel from one university to another. If you decide to leave Chilombia, the present grant cannot be transferred. If you do go, then we must treat the new situation de novo; and we are not prepared to discuss it until after you are well settled down in the new job and have thus had a chance to know in dependable detail what your needs and possibilities there are.

This sometimes seems a little rough; but practically always the man sees, either at once or eventually, that it is sound.

N.S. Notes on Officers' Techniques

Advice to Recipients

Frequently persons come to us, after grants have been made, and with the very best of intentions and with the friendliest and most complimentary motives, ask our advice about the management of the project. The answer in almost all cases should make it clear that while we are pleased that they want to ask us, it would be inappropriate for us to respond. We recommended the grant precisely because we had confidence in their technical competence and in their judgment. They not only have complete freedom to decide these details for themselves; indeed, it is precisely their job to do so, and not ours.

N.S. Notes on Officers' Techniques

Entertainment

Officers should remember that many persons they meet in foreign countries are, by our standards, rather poor and very proud and sensitive. Even within the United States, the professors are not specially flush with spare cash. These are some of the reasons why officers should entertain official visitors with taste and modesty, but never with ostentation.

But these are not all of the reasons. It took years really to convince the public that the founders and officers of this institution treat the available money as a serious public trust. The magnitude of the resources makes the institution more, rather than less, careful. Especially in Latin countries, the pains we take to use our dollars carefully causes initial astonishment, but eventual respect.

One minor evidence of the RF attitude toward the careful use of money is the fact that the officers operate out of simple offices - nothing like as elegant or for that matter as comfortable as those which recipients of our grants often have and sometimes obtain from our funds.

N.S. Notes on Officers' Techniques

Decorations

RESOLVED that officers are expected to decline in behalf of themselves and their colleagues to become candidates for decorations, academic degrees or other honors bestowed by institutions or governments with which The Rockefeller Foundation has or may have any relations.

November 4, 1927

Amended June 17, 1938

It is expected that the officers and staff of the Foundation will make every reasonable effort to forestall the offering of such honors to them by

Decorations (Continued)Amended June 17, 1938 (Continued)

making the position of the Foundation known. Whenever an honor is proffered, in spite of the above precautions, and it appears that exceptional circumstances might make declination embarrassing and perhaps discourteous, the situation should be promptly referred to the home office for decision. In extreme cases in which even this delay would in the judgment of the officer be highly unfortunate, the honor may be accepted, but full details should be reported to the home office.

MISCELLANEOUS

Relation to Founder

February 19, 1915

Dear Son:-

Your letter of February 1st, advising me of the resolution passed by The Rockefeller Foundation at its meeting held May 22nd, 1913, expressing the desire of the Foundation to appoint me its Honorary President for the term of my life is at hand.

While much appreciating the spirit which has prompted the members of the Foundation to tender me this position, it seems to me best that I should not assume any official relationship to the Foundation, even of an honorary character.

Please express to the members of the Foundation my thanks for the courtesy which they have extended to me.

Affectionately,

(Signed) Father.

Mr. John D. Rockefeller, Jr.,

Principal FundSecurities

It is more convenient for me to provide funds for the Foundation by a gift of these specific securities rather than by a gift of cash, and I believe the securities have intrinsic and permanent value which would justify you in retaining them as investments; but in order to relieve you from any uncertainty or embarrassment with regard to them I desire to state specifically that you are under no obligation to retain any of these investments, but are at liberty to

Principal Fund (Continued)Securities (Continued)

dispose of them or any of them and change the form of investment whenever in your judgment it seems wise to do so.

Letter to The Rockefeller Foundation
from John D. Rockefeller
June 14, 1913

Expenditure

The early conception was that the capital fund of the Foundation was to be maintained in perpetuity.* This conception, however, was later abandoned in favor of the idea that no attempt should be made to conserve principal, but that principal as well as income should be spent if necessary for whatever worthy objects appealed to the Trustees. This new conception involves at least

* The first ten million dollars which Mr. Rockefeller gave to the General Education Board in 1905 provided that the principal of this sum was to be held in perpetuity as a foundation for education. In a letter to the Board, dated June 30, 1905, Mr. F. T. Gates pointed out, however, that "If at any time the Board should think it wise, Mr. Rockefeller might be open to a suggestion, that at the end of fifty or one hundred years the Board might have the liberty to distribute the principal, if, say, two-thirds or three-quarters of the then members should think it expedient so to do". On the other hand, Mr. Gates felt there was something to be said for perpetuity. In the same letter he stated, "There is great advantage - how great no one can now foresee - in the elasticity of a central fund permanently held as endowment, only the income of which is to be distributed.A great central fund like this, not fixed in the endowments of a hundred colleges, but independent with an income of its own, can adjust itself to new conditions as they arise, both of worthiness and of need.One of the greatest, if indeed not the greatest, advantage of endowment held by a central board lies in its flexibility, its elasticity, its ready adaptation to various and changing needs and conditions." In 1909, Mr. Rockefeller removed any restrictions as to the expenditure of the principal fund given in 1905. The bill to incorporate The Rockefeller Foundation, introduced in Congress in 1910, contained no provisions relating to the expenditure of principal either by way of limitation or otherwise. The present New York State charter contains the following sentence: "The Corporation hereby formed shall have power to deal with and expend the income and principal of the corporation in such manner as in the judgment of the Trustees will best promote its objects.

Principal Fund (Continued)Expenditure (Continued)

the possibility of the termination of the Foundation within the period, perhaps, of a generation or two.

Committee on Appraisal and Plan
December 21, 1934

Responsibility as Minority Stockholder

Does The Rockefeller Foundation vote its stock in agreement or concert with other interests to promote any special purpose or policy? Mr. Debevoise explained that as a routine procedure proxies are sent out by the managements of the companies. These proxies are signed either by the Treasurer, the Assistant Treasurer, or the Counsel, and are returned in the usual form. The Foundation does not as a rule sign special proxies without ascertaining first what is sought to be accomplished and then only when plans meet with the approval of the Foundation. It has carefully abstained from any combination with other interests. In other words, the Foundation pursues the course usually followed by a stockholder so long as he is satisfied with the management of a corporation.

What courses are open to the Foundation if it is dissatisfied with either the business or social policy followed by a corporation in which it has a minority interest?

a. It can sell its stock holdings and withdraw entirely. This was done in the case of the U.S. Steel Corporation, whose policy of 12-hour day and 7-day week was not approved.

b. If someone takes the initiative in advocating another policy in which the Foundation has confidence, it can give proxies to such an individual or group.

Principal Fund (Continued)Responsibility as Minority Stockholder (Continued)

c. It could ask to be represented on the Board of Trustees or in other words take the initiative in assuming the responsibility for a new policy. It was agreed that this would be unwise. The Foundation is primarily and normally an investor. To attempt to control the policy of the corporation would be to assume a responsibility which the Foundation is not in a position to discharge.

While the above represents an agreement as to the wisest policy to be pursued in ordinary circumstances, it was also recognized that crises might arise in which the trustees might feel it their duty to take vigorous public action with respect to a given situation.

Informal Conference, India House,
May 24, 1927
Present: William Allen White,
Raymond B. Fosdick, Frederick
Strauss, Thomas M. Debevoise,
Edwin R. Embree, and George E.
Vincent.

Membership in Other Organizations

.....The Rockefeller Foundation has never assumed membership in any other organization and is not likely to initiate such a practice at the present time. Frankly, it seems to me that the relations of the Foundation to other organizations are such that acceptance of outside membership on the part of the Foundation would introduce complications in which the Foundation could not reasonably become involved.....

Letter to Willford I. King from
Edmund E. Day
January 22, 1934

Membership in Other Organizations (Continued)

Mr. Edwin R. Embree, Secretary of The Rockefeller Foundation, has given me your letter of April 29 in which you communicate the desire of the General Committee of the University College Hospital to appoint three members of The Rockefeller Foundation as Life Governors of the Corporation of the University College Hospital, honoris causa.

This proposed action is deeply appreciated, and I am confident that the Committee will not misinterpret the decision on our part, that it would be, all things considered, better not to have such appointments made. We are brought into constant relationships with a large number of institutions and organizations, and it seemed best for us to adopt the policy of not accepting even honorary official relationships with any of these agencies.

I am sure you will attribute this attitude not to lack of deep interest in the University College Hospital, but to a scrupulous desire not to give any grounds for the belief that The Rockefeller Foundation wishes to influence the policy or administration of the hospital, or any of the other institutions in various parts of the world with which we are cooperating....

Letter to J. Gerald T. Buckle
from George E. Vincent,
May 10, 1921

Publicity

The Rockefeller Foundation, in common with other large foundations, considers its stewardship as a semi-public trust and willingly assumes certain obligations with respect to its publicity. It is now generally accepted that every enlightened philanthropic agency must audit and publish its finances; list its investments; carry no large unclassified or contingent items; publish the names of its trustees and officers; reveal the agencies through which its

Publicity (Continued)

work is done; and, above all, keep the public fully acquainted with its aims and activities. Not all foundations, by any means, live up to even these rudimentary principles of informative publicity. In this respect The Rockefeller Foundation has always had a position of leadership.

Report on Publicity
Thomas B. Appleget
December 9, 1936

Announcement of Grants

Since its establishment, The Rockefeller Foundation has followed the practice of recording its grants in an Annual Report which appears early each year. The Foundation in this way seeks to fulfill its responsibility of accounting to the public for the current use of the funds it holds in trust. Consequently, the Foundation has no reason to ask that recipients make any announcement on their part. Recipients who wish to acknowledge the receipt of funds may do so either by routine reference or by similar listing in their annual reports. Where special circumstances make some further announcement seem desirable to the recipient, however, the officers of the Foundation would appreciate the opportunity of seeing such announcements in advance, whenever circumstances permit, and particularly when interpretation of the Foundation's action is involved.

The Foundation's action, in making a grant, carries implicit approval of the proposal for which the grant is made. It likewise implies full confidence in the recipient, who is responsible for giving effect to the proposal and for its results. Just as there is no expectation or desire on the part of either the recipient or the Foundation that such results be submitted to the Foundation for approval, so there should be no acknowledgment of the grant - as, for

Announcement of Grants (Continued)

example, in the prefaces of books - which might imply or suggest that those results carry the specific approval of the Foundation. The Foundation particularly requests that its name should not be used on the jackets or in any advertising of books or in designating projects, fellowships, laboratories, or buildings toward which it has contributed.

Printed Announcement of
Statement Adopted
1943

We are frequently asked by fellows and by recipients of grants what our policy is with respect to the insertion in published papers of a statement recognizing RF support. Our answer is: If you feel that it is to your own advantage or interest to do so, we will not object to a brief and simple statement; but as far as we are concerned, we would somewhat prefer that such statements not be made. A similar answer is given if we are asked about the possibility or necessity of public announcements of grants. A younger worker, or a scientist in a smaller country, such as Latvia for example, often feels a very considerable pride in the fact that he has received help from the RF: and it is definitely and legitimately to his own advantage (and his institution's) to let this be known. Such cases it is hardly fair to discourage beyond the point of assuring that the notice be simple.

N.S. Notes on Officer's Techniques

Use of Rockefeller Name

RESOLVED that the officers are requested to keep in mind that it is the policy of the Trustees to withhold consent for the use of the name Rockefeller in connection with buildings or endowments for which The Rockefeller Foundation has contributed funds.

November 4, 1927