

The Andrew W. Mellon Foundation

*Report
from January 1, 2010
through December 31, 2010*

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As of December 31, 2010

THE ANDREW W. MELLON FOUNDATION, a not-for-profit corporation under the laws of the State of New York, resulted from the consolidation on June 30, 1969, of the Old Dominion Foundation into the Avalon Foundation with the name of the Avalon Foundation being changed to The Andrew W. Mellon Foundation. The Avalon Foundation had been founded in 1940 by Ailsa Mellon Bruce, Andrew W. Mellon's daughter. The Old Dominion Foundation had been established in 1941 by Paul Mellon, Andrew W. Mellon's son.

The Foundation makes grants in five core program areas: higher education and scholarship; scholarly communications and information technology; performing arts; museums and art conservation; and conservation and the environment. Collaborative planning by the Foundation and its grantee institutions generally precedes the giving of awards and is an integral part of grantmaking. Unsolicited proposals are rarely supported. Prospective applicants are therefore encouraged not to submit a full proposal at the outset but rather a query letter of a page or less that sets forth the need, nature, and amount of any request. The Foundation does not make grants to individuals or to primarily local organizations.

Within each of its core programs, the Foundation concentrates most of its grantmaking in a few areas. Institutions and programs receiving support are often leaders in fields of Foundation activity, but they may also be promising newcomers or in a position to demonstrate new ways of overcoming obstacles so as to achieve program goals. The Foundation seeks to strengthen institutions' core capacities rather than encourage ancillary activities, and it seeks to continue with programs long enough to achieve meaningful results.

The Foundation makes its particular areas of emphasis within core programs known in a variety of ways. Annual Reports describe grantmaking activities and present complete lists of recent grants. The Foundation's Web site, at <http://www.mellon.org>, describes the core programs in some depth, offers complete texts of past Annual Reports, and furnishes other information concerning the Foundation's history, evolution, and current approach to grantmaking.

PRESIDENT'S REPORT

The activities of The Andrew W. Mellon Foundation can be described very simply. We support work in the humanities and the arts through grants to institutions of higher education, performing arts organizations, museums, libraries, and institutions similarly committed to work in these fields. We feel increasingly lonely.

As 2011 began, serious consideration was given in the US Congress to the outright elimination of the National Endowment for the Humanities and the National Endowment for the Arts. One might say that, in national terms, the budget of each was already so embarrassingly small (in the range of \$150 million, or about the cost of one F-22 Raptor airplane) that it would not make much difference. This would, of course, be wrong in terms of the efforts that the endowments support, reaching into all of the fifty states. At least as important, however, is that the very mention of the possibility is a stunning sign of the times and a stinging indictment (one among a number) of the nation's priorities. To this we may add the fact that a number of the nation's leading foundations have in recent years greatly reduced their support of the arts and humanities. And in the world of higher education, a combination of circumstances often conspires to cause the current severe budget pressures to fall disproportionately on the humanities and the arts.

All of this occurs at a moment in which the need for higher education and for a strong place for the humanities and the arts within higher education and beyond has never been greater. With the economy again growing, we continue as a nation to disinvest in our future and to disinvest in ourselves. This will eventually take its toll on the economy and on our civic and intellectual life. It will furthermore increase the already growing income disparity that underlies many of our social ills and that in other nations has continually led to political unrest.

In addressing these matters, higher education is a good place to start. Higher education cannot be divorced from a good many other concerns, not least K-12 education and the family life (or lack of it) into which many children are born and grow up. These concerns may be most prominent in the lower half of the national income distribution, but they are not absent in the upper half. Nevertheless, the strength of its institutions of higher education has been a leading factor in the nation's prosperity and well-being. If the nation is

to continue to prosper—economically and as a democracy—its institutions of higher education must gain in strength rather than be systematically weakened. This will require more serious attention to the nature of the national need for higher education at a variety of levels in an appropriate relation to one another, rather than a willingness to leave much too much to chance and to the vagaries of public opinion and special interests with no inclination or ability to think of the long-term future. It takes at a minimum about twenty-one years for a person to be born and graduate from college. This means that education in general and higher education in particular require thinking ahead in a systematic way. Yet it is hard to name anything that the nation seriously plans for on such a horizon.

The principal attention to higher education at the moment, aside from the many state governments intent on reducing resources for it, seems to come from a horde of prolific critics eager to point out its many failures and to assign blame. It would not be possible here to take up individually any significant number of the books of this type that have recently appeared. But several themes run in and out of them.

Two features of the dominant themes appearing in various combinations are simple-mindedness with respect to the nature of higher education as an enterprise and nostalgia with respect to some imagined golden age of higher education in the past (often a golden age coterminous with the period in which the author was him- or herself an undergraduate at one of the nation's elite institutions). Both make it easy to assign blame to one or a few parties for current "failures." The "failures" tend to be of two types: higher education costs too much, and the students aren't learning anything. The blame is placed primarily on the faculty and secondarily on craven college and university administrators who capitulate to the faculty and grow their own numbers, all the while demanding higher and higher compensation.

All of this makes good newspaper copy in an age of increasing discontent. But a more nuanced understanding will be required if the long-term future is to be addressed. And the stakes are very high. Higher education as an issue has many of the features of health care. Unfortunately, the character of our recent and current debate about health care does not inspire confidence in our ability to have a productive discussion of higher education. But the price of failure cannot be borne in the long term in either case.

Does higher education cost too much? Is this cost rising too fast? Who is in fact bearing this cost and who ought to? The answers to these questions require in the first instance a refined analysis of what higher education does in fact cost and what are the components of that cost in the rather different types of the 4,500 institutions that attempt to provide it. The averages that are often cited obscure much more than they reveal. The simplest and most obvious example of this mixes together the increased rate at which tuition in public institutions has risen in response to reductions in state budgets and on a rather low base with the slower rate at which tuition in private institutions has risen on a much higher base. Even this distinction, however, does not ultimately clarify the issue, for the very notion of tuition itself requires clarification. Tuition certainly does not begin to represent the full cost to the institutions. It is more nearly the advertised price to the consumer. But in most institutions, the price actually paid by consumers varies substantially because of both internal and external subsidies or “discounts.” It is probably safe to say that there is no nonprofit institution in which the consumer is paying the full cost, even if the consumer pays full tuition. This leads directly to the fundamental question to society—what should the consumer pay and who should make up the difference between that amount and the full cost?

This in turn brings us back to the question of the actual full cost of higher education and its principal drivers. The components of this cost vary widely across the different types of institutions. This fact, however, does not prevent the critics from making blanket statements blaming the problem of cost on the faculty. Specious calculations are made showing that the faculty hardly works at all, devotes too much time to research rather than teaching, and has tenure and therefore cannot be obliged to change its wasteful habits.

Whatever one believes about the institution of tenure as a protector of academic freedom, tenure is clearly not a driver of costs in higher education because tenure is steadily being eroded. Recent studies show that only about 50 percent of the faculty in higher education hold tenured or tenure-track positions. And of the total amount of instruction being carried on, only about 20 percent is given by such people. This is the result of the increasing use of contingent faculty—instructors with short-term or part-time appointments, often at very low wages with no health-care or other benefits. Whether this substitution of cheap labor for more expensive labor

is the best way of reducing costs is a serious question. In any case, tenure is not preventing it in many institutions.

Research is a favorite subject of complaint, hyperbolically represented on occasion as the snake in the educational Garden of Eden. Here it is absolutely essential to distinguish among the types of educational institutions and among the types of research, if any, that are carried on in them. The easiest type of research to identify is research in the physical and biological sciences that is sponsored by the federal government or by the corporate world, though the latter has declined significantly in recent decades. Unlike most other developed countries and some rapidly developing ones, the United States adopted a policy in the wake of World War II of carrying on scientific research in the national interest primarily in universities rather than in separate federally supported laboratories and institutes. That there was a need for such research was widely believed on grounds, perhaps principally, of national defense but also on grounds of economic prosperity and competitiveness. The principal exceptions to this policy are the relatively few national laboratories of the Department of Energy, the largest of which carry on classified weapons research in the main, and the National Institutes of Health, which carry on research internally as well as sponsoring research in universities. At present, universities perform just over half of the nation's basic research, and the federal government supports about \$31 billion, or 60 percent, of universities' total annual spending on basic research as well as applied research and development. The largest nonfederal source of funds for university research and development work is universities' own institutional funds, which account for 20 percent of the total. By 2006, industry supported only 5 percent of the total.

These and other figures make clear that the federal government does not pay the full cost of the research that it sponsors in universities and that the universities themselves make up the greatest share of the difference. Some of these costs, especially the cost of major new buildings, are borne in part by generous donors, often alumni. Nor does the federal government pay the full cost of administration and other infrastructure that supports research or the cost to institutions of complying with federal regulations. And except in some fields in the biomedical sciences, the federal government in general pays none of the academic-year salaries of the faculty members who carry on the research. A thorough account of all of the costs and

sources of support for this research would reveal a substantial contribution from undergraduate tuition, especially in the private research universities but increasingly in the public universities as well. That is to say that the cost of federally sponsored research is indeed one of the drivers of the cost of higher education that is recovered in part through tuition in research universities. It is thus disingenuous of the architects of the federal government's budget to steadily reduce the degree to which the government pays the full cost of research while complaining about increases in tuition.

None of this is to say that the nation does not need more and better scientific research or that universities are not the places in which to conduct it. The arguments for both are powerful. It is to say only that the nation must confront directly the cost of the scientific research that it should carry on and not expect that research to be covertly subsidized by undergraduate education, about the cost of which it wishes to complain.

There are, of course, other kinds of research, and there are very many institutions for which research of any kind, as usually understood, is not a core mission. A fuller account of the place of research in higher education must begin by doing away with a too simple opposition of teaching and research. This requires first of all a much broader understanding of the term *research*, one that would make clear its essential relationship to teaching of the kind that matters.

To say that the principal problem with undergraduate education is research is to consign undergraduates to the mere memorization of what earlier generations have thought and said. This cannot be the basis for educating a citizenry that will prosper economically, politically, or intellectually. One might dare even to say spiritually. The research instinct should be a part of the life of everyone, whatever his or her occupation. Human beings are born with this instinct, and it should be nourished at every stage of their lives. It is easily associated with explorations of the physical world, as when a child turns over a rock or speculates about what might happen if this color is mixed with that. But society does a great deal to suffocate this instinct, and it often entirely neglects that instinct in relation to matters that lie beyond the physical world. Many of the methods that purport to gauge "learning outcomes" fail utterly to capture what might best be meant by learning, which is what lies at the heart of research broadly conceived.

Research is not only the work of scientists. It is the work of any thoughtful person who exercises any profession, any reader of books, any artist. To make a life in any pursuit is to do what the artist does. In A. R. Ammons' words:

art makes life, just as it makes itself, an
imitation: art makes shape, order, meaning,
purpose where there was none, or none discernible,
none derivable; life, too, if it is to have
meaning, must be made meaningful; if it is to
have purpose, its purpose must be divined, invented,
manifested, held to

The work of the scientist is, like the work of the artist, to make “shape, order, meaning, purpose where there was none, or none discernible.” But that is also the work of the humanist, the stock analyst, the entrepreneur, the citizen, the parent, the reader. And that is the work that every undergraduate must be educated to do—as a habit of mind. It is not sufficient for the student of chemistry to memorize the periodic table without grasping for ways hitherto unimagined in which its elements might be assembled. Nor is it sufficient for the student of history or literature to memorize the names and dates and received myths of famous people or the plots of famous novels without striving to find order, meaning, purpose where at first there appeared to be none.

That is the quality of mind that must lie at the heart of the national spirit for reasons of economic competitiveness but even more for reasons of being a nation worth defending, remembering, admiring. It must therefore be at the heart of education at every stage and certainly at the heart of undergraduate education. To live life to the fullest both professionally and personally is in effect to do research daily. In the lives of undergraduates it entails requiring them to “figure things out” on their own and then to be challenged about whether they have figured them out adequately. This is not likely to happen if the faculty does not itself live life in this way. It is perhaps quite simply unfair to expect the faculty to develop steadily in their students the instinct for discovery and the thrill of it while foreswearing any continuing experience of it themselves.

If we grant that research is not the problem but, properly defined, is instead crucial to the solution, we must still confront the appropriate combination of ingredients in the lives of faculty members and students alike. This leads quite straightforwardly to the ratio that lies at the heart of the economy of all institutions of higher education. How many students per faculty member can an institution support while responsibly meeting its obligations to both parties? This is to ask the productivity question.

The answer to this question will depend on what the product is thought to be. The product is surely more than some target number of undergraduate degrees per unit of time. The product of higher education across all institutions, though it differs across types of institutions, must include not just certificates and degrees but genuinely thoughtful undergraduates as well as advanced and professional graduates, research in the national interest and for its own sake, and service to society of many kinds. Holding the means of production (that is, the faculty and staff) constant, we could of course increase the productivity of some product lines by decreasing production in others. But let us say that we could come to agreement on the right “product mix” for higher education. Are there methods by which we could increase the productivity of the enterprise as a whole and in the process constrain the growth of costs to a rate at or below that of the economy in general? Could higher education be more efficient?

The short answer is “yes.” In leading universities in the 1960s, the typical assistant professor in the humanities taught three courses per semester. Today such a person might teach two courses per semester, with periodic opportunities to teach fewer for the sake of devoting more time to research. Teaching duties in the natural sciences and in some of the social sciences started lower and were reduced faster. This implies that we could increase the efficiency or productivity of higher education simply by returning to the practices of fifty years ago. Of course, this reduces costs only if we reduce the number of faculty or increase the number of students. Similar things might be said about nonacademic staff, though it would simply not be possible to reduce the number of staff in information technology to what it was in the 1960s, and the same would need to be said about some other staff, such as those that attend to compliance with government regulation and to the needs of students with disabilities and so forth, all of which have grown substantially.

Then what? Sooner or later, increases in productivity will begin to decline and reach a limit—if we believe that in an education worthy of the name there must always remain some core of direct human interaction. There is no disruptive technology that will take the place of an adult asking a young person to write about something of substance and then sitting with that young person, challenging him or her to observe more acutely and to frame a stronger argument in support of an original idea. This is an activity that must be undertaken thousands of times every day all across the country if we are to develop the minds that will ensure the nation's welfare in every sense. It has not been a feature of the educational systems of some countries with whom we now begin to compete. These countries are beginning to recognize this difference and are attempting to incorporate the US style of education even as we start to see it weaken.

This kind of education is expensive on a per student basis because it requires attention to students one at a time, and after a certain point it is not subject to productivity gains. How then can it be afforded? This will require thinking about the entire system of higher education and the variety of kinds of education that it provides. Let us imagine some total number of seats for students in the system. Elements of liberal arts education—the research instinct properly defined—should be present for every one of those seats. But for reasons of talent and inclination, only some fraction of those seats will be needed for the deepest and most expensive kind of education. There will also need to be seats for many other kinds of education in the professions and the trades, many of which will be much less expensive. This begins to sound like rationing, and this may remind us of the debate about health care. But the only solution to the problem of the cost of higher education will entail coming to conclusions about how many students get what kinds of education and how to achieve the right balance among the most and least expensive forms of it—all the while ensuring that every student has access to the highest educational attainment of which he or she is capable. De facto, there will be rationing and cross-subsidies, but this need not impede access.

Some critics now complain that in the current system, with its rising costs, students are not in general learning much if anything, and there is a good deal of data to suggest that many college students work rather little and are guided in the main by social rather than

academic concerns. Whose fault is that? Once again, the faculty is often assigned the blame. If only the faculty cared more about their students and less about their research, all would be well.

Here we encounter the curious view that higher education needs to be subjected to more market discipline if it is to survive and improve, as if the market for higher education had not made higher education what it is. Higher education exists in a very competitive market for the talent of both faculty and students. Yet a familiar complaint about colleges and universities is that they do not know their customers or respond adequately to their wishes. Colleges and universities have changed steadily in response to the wishes and inclinations of students and their parents, often in ways that are then lamented by the critics who claim that higher education costs too much and that students are not learning anything. It is not easy to imagine the college or university that could appeal to students and parents by bragging not only that it was returning to the days of effectively higher student-faculty ratios but also to those same days when students ate what was put in front of them at appointed hours and slept in a relatively small room with a stranger of the same sex. The institutions that have built elaborate recreational facilities and food courts and other amenities have built them not because the faculty or even most administrators thought them essential to an education of high quality. They have built these things because the market has demanded them and has been willing to pay for them to some degree. For better or worse, we do not in this country prevent people from making foolish choices with their money, even when the sum of all of those choices has manifestly bad consequences for the nation. The faculty, meanwhile, faced with a good many students (and some of their parents) who complain about their grades and who relentlessly choose courses with little assigned reading and no assigned writing may very well come to feel that the rewards (not monetary, to be sure) for doing research and debating it with their colleagues are somewhat greater than for teaching undergraduates.

If we wish to know what is wrong with higher education we will need to recognize that its current state reflects a good deal about our culture of which we cannot be proud. It means recognizing that the consumers, aided and abetted by *U.S. News & World Report*, are a significant part of the problem. This means thinking about how young people come to have the values that they have and how certain values might be strengthened as opposed to others.

The Andrew W. Mellon Foundation cannot alone address very much of this. We can, nevertheless, help institutions reinforce the values inherent in the study of the liberal arts, especially the humanities and the arts. Despite those who maintain that research is the problem in higher education (by which they usually mean undergraduate education), this Foundation will continue to support research in the humanities and the arts on the part of both faculty and students in the belief that research as an activity is what we mean when we say that every mind should steadily be engaged in making “shape, order, meaning, purpose where there was none, or none discernible.”

In the pages that follow, the Foundation’s program staff offer summary accounts of their activities in 2010. The remainder of the report contains a compilation of the Foundation’s grants for 2010 and its annual financial statements.

Don M. Randel
March 2011

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Higher Education

In the Foundation’s 2009 *Annual Report*, President Randel signaled the Foundation’s intention to coordinate more closely the program that has supported the humanities and the arts in research universities and the program supporting liberal arts colleges. During the second half of 2010, this anticipated transition toward greater integration of the Research Universities and Humanistic Scholarship (RUHS) program and the Liberal Arts Colleges (LAC) program began; it was understood that this transition would continue through much of 2011. With the retirement of Harriet Zuckerman in the spring of 2010 and the departure of Program Officer Joseph Meisel in October 2010 (who accepted the position of deputy provost at Brown University), Vice Presidents Philip Lewis and Mariët Westermann assumed joint responsibility for RUHS, and Program Officer Eugene Tobin took on primary responsibility for LAC. The principal divide between the two programs—the focus of RUHS on graduate education and of LAC on undergraduate education—has been eliminated. The three leaders of higher education’s programmatic effort are working together on developing college/university collaborations and on encouraging projects in Research-1 universi-

ties that reflect the Foundation's abiding interest in the liberal education of undergraduates and in the promotion of the study and practice of art in liberal education. They also intend to pursue more concerted collaborations with their colleagues in the Foundation's other programs in the humanities and the arts. In the following summary of the Foundation's grantmaking in higher education in 2010, both convenience and actual practice dictate that the distinct rubrics of the two programs in higher education be maintained.

Research Universities and Humanistic Scholarship

For the first half of 2010, RUHS continued to be led by Ms. Zuckerman, senior vice president of the Foundation since 1992, and by Mr. Meisel, program officer since 2001. During the third quarter of the year, Mr. Meisel continued in the program officer's role and served as a mentor for the current leaders of the program, Mr. Lewis and Ms. Westermann.

Through 2010 the central programmatic activities of RUHS continued as in the past. Ten scholars received New Directions Fellowships for training in fields other than their own, and 32 Emeritus Fellows were awarded funds for continuing their scholarly work. Ten new John E. Sawyer Seminars in the Comparative Study of Cultures were funded, as were six summer dissertation seminars for groups of advanced graduate students and initiatives in four university-based humanities centers. Three senior humanists were chosen for Distinguished Achievement Awards, which have been awarded annually for the past decade: Joseph Leo Koerner, an authority on German art and philosophy; Jonathan Lear, a philosopher and psychoanalyst; and Edward Muir, a historian of the Italian Renaissance. Through grants to the American Council of Learned Societies (ACLS), two major programs supporting scholars—the Charles A. Ryskamp Research Fellowships and the Frederick Burkhardt Residential Fellowships for Recently Tenured Scholars—were renewed for an additional six years. Finally, no fewer than a dozen grants in support of advanced study in research centers, institutes, and archives provided funds for a wide variety of scholarly endeavors across the humanities.

During the spring, preliminary reports from participating scholars and institutions confirmed the value of the Foundation's investment in 50 two-year postdoctoral fellowships, awarded in a

competition conducted by the ACLS, that sought both to assist deserving new PhDs in the humanities who faced a grim job market and to enable colleges and universities handicapped by the recession to bring strong young scholars into their teaching programs. Accordingly, a decision was made to continue this temporary effort to assist the academic profession during a period of financial recovery for one more year. Moreover, five universities received direct grants supporting postdoctoral fellowships in the humanities, and pursuant to an initiative undertaken by the Foundation's president, a special grant enabled the ACLS to launch a pilot program that will place six to eight recent PhDs in postdoctoral positions outside the academy, notably in government agencies and nonprofit organizations. RUHS also continued its efforts to enable experimentation in discrete academic fields such as religious studies or the history of botany. Several of these grants register the Foundation's enhanced commitment to the place of the arts—to making and presenting art, as well as studying it—in university curricula and research agendas. These grants provided support for performance studies, dance studies, the study of keyboard music, the exploration of baroque opera, and collaborations of working artists with academic scholars in both research and teaching.

During the final months of 2010, RUHS introduced some potentially significant new departures, each of which resulted from initiatives undertaken by the president. In cooperation with the French embassy in Washington, a grant was awarded in support of the Partner University Fund to underwrite partnerships between humanities programs in American and French universities. Another transnational grant will support a partnership between the University of Minnesota and the University of the Western Cape in South Africa. A modest grant to the American Academy of Arts and Sciences will fund a commission of educators, business leaders, and policymakers that will examine the state of the humanities and social sciences in the US education system and make recommendations for strengthening them. In what is arguably its most innovative intervention of the year, the Foundation granted \$10 million to the University of Wisconsin at Madison, to be matched one-to-one by the State, for the purpose of restoring faculty positions lost as a result of budget-cutting measures and strengthening the humanities with new postdoctoral positions and funding for graduate fellowships. This highly exceptional grant was emblematic,

moreover, of the Foundation's continuing effort to sustain the humanities in the nation's great public universities.

Liberal Arts Colleges

While leadership of the program continued to be shared by Mr. Lewis and Mr. Tobin, in midyear Mr. Tobin took over the primary responsibility for both its day-to-day administration and its relations with grantees. As in the past, the dominant objective of LAC grants was to support curricular renewal and faculty development in the approximately 70 colleges that regularly receive grants from the Foundation. In 2010, the most prominent focus of the preceding year—the encouragement of collaboration among groups of colleges that form regionally-based consortia—was vigorously maintained. Support for consortia totaling slightly more than \$7 million included endowment grants of \$2.5 million, respectively, to the Associated Colleges of the South and the Great Lakes Colleges Association. Other grants supported a set of digital and library-sharing initiatives launched by six upstate New York colleges, an academic and administrative planning effort among five liberal arts colleges in the Pacific Northwest, and discrete collaborations among groups of two or three colleges in different areas of the country. In addition, during the summer the program informed its grantees of the Foundation's interest in contributing to arrangements that would facilitate productive relations between liberal arts colleges and research universities. Along with this opening toward a new dimension of multi-institutional collaboration, the program conveyed to its grantees its concern with the widespread trend in undergraduate education to emphasize pre-professional programs that purport to prepare students for gainful employment. The interest of the Foundation lies, so to speak, in liberalizing the pre-professional—in asserting the central value of a liberal arts education for any and all professional pursuits and thus in supporting efforts to weave a liberal arts core and ethos into the curricula and co-curricular horizons of undergraduate programs in business, engineering, and other career-targeting areas of study. The assumption is that when such vocationally-oriented programs cohabit with the classic fields of study in a collegial setting conducive to interaction and cross-fertilization, these educational enterprises can be complementary and mutually reinforcing.

During 2010, LAC followed the pattern of the last several years in distributing its grants under four durable rubrics: faculty career enhancement, libraries and information technology, curricular development and educational effectiveness, and presidential support. The last of these categories is the simplest: grants ranging from \$50,000 to \$250,000 provide college presidents with discretionary funds to deploy in support of institutional priorities. Under the heading of faculty career enhancement, the grants offer assistance to faculty members at various stages of their professional lives and, increasingly in recent years, to institutions that can benefit from thoughtfully designed arrangements coupling retirements of veteran faculty, the recruitment of junior faculty, and the use of postdoctoral fellows to achieve institutional renewal, curricular flexibility, and financial stability. The program continues to offer a steady stream of grants to colleges that undertake to review and revamp the undergraduate curriculum in the humanities. One specific feature of the past several years has been a concerted effort to promote interdisciplinary studies of the environment. The Foundation's leadership, satisfied that this vein of curricular development has been seeded successfully, has opted to discontinue environmental studies grants after 2011. In keeping with the transformation of the National Institute for Technology in Liberal Education into a networking organization that focuses less on introducing faculty to instructional technology and more on the strategic management and sharing of educational environments among multiple institutions, grants under the rubric of libraries and information technology are, on the one hand, veering increasingly toward the so-called "digital humanities" and the development of "digital literacy" by faculty and students alike, and, on the other hand, toward ongoing planning for the transformation of libraries into multifaceted centers of learning that expand their roles far beyond the traditional functions of collecting print materials and housing archives.

In three other important respects, LAC's work during the year reflected the larger emphases of the Foundation's work with institutions of higher education. Paired grants to Eugene Lang College, The New School for Liberal Arts in New York, and the American University of Paris introduced, in the LAC universe, the possibility of international partnerships that RUHS has also begun to explore. Again in tandem with RUHS, LAC pursued a concerted effort during the year to promote opportunities both for institutions and

for new humanities PhDs who are embarking on careers as scholars and teachers by funding postdoctoral fellowships in liberal arts colleges. Often incorporated into multipurpose grants as a component that entails the interaction of the fellow with veteran faculty members, the postdoctoral positions serve multiple purposes: to allow young humanists to pursue their scholarly work and professional development, to train them in the arts of teaching and participating in the liberal arts community, to enhance the curriculum of the college that recruits them, and to help institutions allocate valuable faculty resources to meet current and future needs. Finally, in an effort to support one of President Randel's priorities for undergraduate education—the positioning of work in the arts as a vital component of the curriculum—and in parallel with grants to research universities that promote collaborations of artists and scholars in research and teaching, the LAC made the first in a series of grants that will position the arts at the intersection of curricular innovation and community engagement.

Diversity Initiatives

The Diversity Initiatives program, led by Carlotta Arthur, has grown considerably in its scope over the past several years. The Mellon Mays Undergraduate Fellowship (MMUF) program continues to be the centerpiece of efforts to help transform the academy into an intellectual and educational community that fully reflects the diversity of the US population at large, but grantmaking activities have expanded to include many other institutions and programs that buttress the Foundation's mission. A portion of the program budget continues to support academic programs, faculty career enhancement, libraries, and strategic planning at select historically black colleges and universities (HBCUs). Overall these programs constitute a broad-based effort to enhance diversity in higher education and mitigate the underrepresentation of disadvantaged groups in American society.

MMUF supports students with academic promise—those from underrepresented minority groups and other students with a demonstrated commitment to diversity—who wish to seek doctoral degrees and pursue careers in higher education. MMUF is active at 42 institutions, including three South African universities, and also works with the United Negro College Fund (UNCF) consortium of 39 HBCUs. As of December 2010, 3532 students have been

selected to participate in MMUF over the 22 years of its history. The total number of PhDs earned by fellows is 373, and 42 of them have been awarded tenure. The number of PhDs in progress is 571. While MMUF begins by targeting exceptional undergraduate students, recent efforts have devoted greater attention to the advancement of graduate students and junior faculty. The program will continue to emphasize work in these areas as the number of MMUF graduate and postdoctoral fellows grows.

In past years, the simultaneous renewal of financial support to a majority of MMUF member institutions was covered by a large infusion of Foundation funds. As this strategy has become increasingly unwieldy, the renewal process has been restructured to provide for a staggering of program renewals over consecutive years. The 2010 budget began this process, which further adjustments in 2011 will continue, by adding an extra year of support for MMUF to 11 institutions.

The Diversity Initiatives program provided significant renewal of support for the Faculty Career Enhancement program administered by the UNCF as well as renewals for the American Indian College Fund's Faculty Research Program, the University of Massachusetts at Amherst's Mutual Mentoring Initiative, Wheaton College's Summer Institute for Literary and Cultural Studies, Emory University's Visiting Scholars Program, and the Kohala Center's dissertation fellowships. In February 2010, the Foundation hosted a grantwriting seminar for ten HBCU grantees. Response from the attendees was extremely positive, and planning grants were later awarded to support the development of programs of strategic importance to the institutions' presidents.

Scholarly Communications and Information Technology

The Foundation's Scholarly Communications and Information Technology (SCIT) program was led in 2010 by Donald J. Waters and Helen Cullyer. The program was formed in January 2010 with the merger of the Foundation's Scholarly Communications and Research in Information Technology programs. SCIT's four primary objectives are to: (1) support the efforts of libraries and archives to preserve and provide access to materials of broad cultural and scholarly significance; (2) assist scholars in developing specialized resources that promise to open or advance fields of study in the humanities and humanistic social sciences; (3) strengthen the pub-

lication of humanistic scholarship and its dissemination to the widest possible audience; and (4) support the design, development, and implementation of software applications and services that advance the objectives of the Foundation's core constituents.

During 2010, SCIT funded projects to help libraries consolidate print collections and adapt both to new technologies and to the acquisition of increasing quantities of digital materials. The University of California received an award to develop the Western Regional Storage Trust, an organization in which research libraries throughout the western US will share the cost and responsibilities of archiving print journals. Although the acquisition of digital collections has the potential to improve the accessibility of resources, electronic materials pose some difficult legal challenges for librarians and their counsel. In response to this problem, the Association of Research Libraries, in collaboration with American University's Center for Social Media and Washington College of Law, received funds to develop a code of best practices regarding fair use in academic libraries. The increase in born-digital and digitized collections has also taxed the technological infrastructure of research libraries, many of which are interested in adopting flexible open source software applications. LYRASIS, a service organization for libraries, received a grant for the development of new consultation, support, and hosting services for a variety of open source products.

In addition, SCIT continued its backing of the basic and critically important activities of cataloging and preserving collections. The Council on Library and Information Resources (CLIR) received funds to administer in 2010 and 2011 its Hidden Collections initiative, a national, peer-reviewed, competitive grantmaking program for the cataloging of uncataloged and unprocessed special collections in the US institutions that are effectively "hidden" from scholars. The CLIR review panel selected 17 institutions as award winners in 2010.

In the area of preservation, SCIT focused on the conservation of print and manuscript materials as well as the preservation of analog audiovisual collections. Following the indefinite suspension of the graduate-level training program in book and paper conservation at the University of Texas at Austin, SCIT granted funds to three graduate programs in art conservation (at Buffalo State College, New York University, and the University of Delaware) to develop pilot initiatives that would train graduate students in book and paper conservation, in cooperation with library and information schools

and research libraries. In addition, SCIT provided funds to endow new senior book and paper conservators at Columbia and Duke Universities, and the University of Illinois at Urbana-Champaign (UIUC). To help ensure the preservation of audio collections, awards were made to the American Composers Orchestra, National Symphony Orchestra Association, Houston Symphony Society, and Saint Paul Chamber Orchestra, and to Syracuse University for use by its Belfer Audio Laboratory and Archive. New York University, in collaboration with Loyola University and the University of California at Berkeley (UC Berkeley), is embarking upon a Foundation-funded project to determine best practices for replacing and preserving videotapes in circulating collections.

To help scholars build resources and tools to advance their fields, a number of grants were made in the area of medieval studies. Stanford University is undertaking technical work to improve the interoperability of major digitized manuscript collections, while Johns Hopkins University and the University of Toronto are coordinating a number of research projects that would use digitized collections from multiple repositories. The University of Waterloo is developing a tool for the annotation of digitized manuscripts, while Saint Louis University received funds for a manuscript transcription tool. To improve access to and understanding of medieval Arabic sources, the Foundation made grants to the University of Zurich for the development of its Arabic Papyrology Database and to Harvard University, in collaboration with Tufts University, for the creation of an electronic corpus of medieval Arabic translations of Greek philosophical and scientific texts.

SCIT also made grants to fund electronic editing, and the publication of both digital editions and reference resources related to those editions. These awards included grants to Duke University to complete development of an online platform for editing Greek documentary papyri, to UC Berkeley to develop procedures that would allow documentary editors to share their editorial notes with editors from related projects across several institutions, and to the Virginia Foundation for the Humanities for an electronic prosopography of individuals from the Founding Era that would be published by Rotunda, the electronic imprint of the University of Virginia Press.

In information technology, SCIT provided funding for Project Bamboo, a multi-institutional effort led by UC Berkeley, to design and develop virtual research environments for the collection, analy-

sis, and interpretation of digital resources, with an emphasis in the first phase on textual sources. In order to further develop standards and protocols for the annotation of digital content of all media types, UIUC is continuing to lead the Open Annotation Collaboration (OAC). In the current phase, a number of repositories will experiment with implementing OAC standards. Stanford University received funds to direct an initiative to use and enhance the Software Environment for the Advancement of Scholarly Research (SEASR) for a number of scholarly research projects in literary studies that involve text-mining and linguistic analysis. In addition, the American Museum of the Moving Image received funding for the second phase of development of CollectionSpace, an open source collections management system for museums. SCIT also collaborated on technology-related grants funded in other program areas of the Foundation and described elsewhere in this report.

Performing Arts

The Foundation's Performing Arts program was led in 2010 by Susan Feder and, until July, Diane Ragsdale. It makes grants in music (with an emphasis on orchestras and opera), theater, and dance, with additional support for presenting organizations, service organizations, and related institutions working to advance the field (several of which administer regranting programs that extend the Foundation's reach). Many grants support the creation, presentation, and dissemination of ambitious or rarely performed artistic work and are evaluated on the basis of artistic excellence, distinctiveness, and impact. While the program has long focused on supporting the work of generative artists—composers, playwrights, and choreographers—it has increasingly concentrated on strengthening the developmental process of their work, both before and after a premiere. Grants also helped organizations adapt their practices, structures, or programming to a rapidly changing environment (including collaborative initiatives), and provided support for documentation and preservation, legacy planning, international exchange activities, technological and media-related innovations, and professional development. In addition, the program continued its recent emphasis on enhancing the role of the performing arts on college and university campuses. While the program's grants are national in

scope, they also reflect the Foundation's role as a New York-based funder.

In the music program, the year's highlights included a series of grants made to opera companies and organizations devoted to the development of new opera. Collaborative grants to the Opera Company of Philadelphia and Gotham Chamber Opera will enable them to establish and share resident composers, support workshops for a co-commissioned opera, and build organizational capacity for them and a smaller complementary company. Several grants will support curriculum-based programs to address skills for composers and librettists not typically taught in academic settings, while others have a project-based focus that provides a more flexible developmental process for new works. The Foundation's support for orchestras in 2010 concentrated on smaller, leading institutions with distinctive artistic and organizational offerings that address long-term sustainability and that may serve as models for other orchestras adapting to changed circumstances. Acknowledging the evolving role of orchestra musicians, several grants funded musician-led initiatives, such as the one for ICElab, a commissioning, incubation, and performance program. The Foundation also awarded grants to National Public Radio and New York's WQXR designed to broaden access to concert broadcasts on terrestrial and digital radio. Two of the program's largest grants went to support the operations of new centers in New York City that will serve the rehearsal, audition, and convening needs of orchestras, opera companies, and other performing arts organizations.

The Foundation's theater program continued to support companies distinguished by their sustained commitments to artists, distinctive artistic visions, and histories of producing new or artistically ambitious works, often by means of extended residencies and partnerships aimed at strengthening the quality of new work. Among the highlights were grants to: the Oregon Shakespeare Festival for *American Revolutions*, where more than 100 artists, historians, and institutions will create 37 new plays, each work inspired by a moment of change in US history; three university-based professional theater programs; and three companies that produce community-based theater. For collaborative work, grants went to the Austin Circle of Theaters (to support planning for a collective of local theaters to share resources more effectively) and the National New Play Network, which administers the Continued Life of New Plays and

Collaborations initiative. A grant to the New England Foundation for the Arts will launch the first full round of the National Theater Project, which will enable companies—particularly those devising nontraditional theater—to develop, produce, and tour new work.

In dance, the Foundation began an initiative that provides support to seven leading independent and university-based presenters. These organizations will be able to increase the resources they make available to independent, artist-led dance companies and to deploy them flexibly, with the objective of achieving more fully realized productions. The Foundation renewed its support to the Center for Creative Research, which pairs established movement-based artists with colleges and universities and fosters interdisciplinary connections among artists, scholars, and others. Additionally, several grants were made to support vital preservation efforts for single choreographer dance companies. For the critical role it plays in achieving greater diversity in classical ballet training and performance, Dance Theater of Harlem also received a grant.

The Foundation responded to the growing need for support for cultural exchange activities by providing increased support for the Mid Atlantic Arts Foundation's USArtists International, which provides travel subsidies for US-based artists performing at international festivals and other events. It also provided support for Theatre Communications Group's new Global Connections program, which supports both new and existing international artistic collaborations. A grant to Jazz at Lincoln Center helped fund its Cuban tour, and a grant to Wesleyan University will help develop and implement a post-graduate professional certificate program for US and international performing arts presenters. Technology-related grants were made to support planning for Project Audience, an initiative aimed at developing technologies to help community-level arts service organizations aggregate information and build demand for cultural events; a course on strategic technology planning for nonprofit arts organizations; and a Web-based audience engagement platform. In light of continued economic uncertainty, the Foundation extended its program-related investment (administered by the Nonprofit Finance Fund) beyond the initial 18-month term and expanded the geographic reach of the zero-interest loan pool to serve small and midsized performing arts grantees on a national basis. It also made a grant to the Creative Capital Foundation (CCF) to support a revolving loan fund for individual performing artists. Among the regranteeing programs

supported by Mellon in 2010 were first-time grants to the Foundation for Contemporary Arts, which provides support to small, independent groups that have had difficulty attracting institutional funding but have nonetheless become important incubators and contributors in their fields, and to CCF for the Multi-Arts Production Fund. The Foundation also joined with the National Endowment for the Arts and leading private foundations to launch an initiative to enhance the physical and social character of neighborhoods, towns, cities, or regions through arts and cultural activities.

Museums and Art Conservation

The Museums and Art Conservation program began a transition in March 2010 when Angelica Z. Rudenstine, its program officer for the preceding 15 years, retired. At that time, Ms. Westermann assumed leadership of the program, which was to remain a part of her broader portfolio when, in the summer of 2010, she joined the officers of the Foundation as a vice-president. With the support of staff members Alison H. Gilcrest and Ashley Farrell, the program continued to assist museums in their mission of preserving, studying, interpreting, and displaying art for local, national, and international audiences. Since responsibility for grantmaking to research universities and centers of advanced study in the humanities was integral to Ms. Westermann's vice-presidential role, it was natural for the program to begin exploring, during the second half of the year, the potential for new relationships between museums, centers for art historical research, and universities.

While grantmaking maintained continuity with the recent priorities of the program, staff set out to review emerging needs and opportunities in art curatorship and conservation. In studying funding trends to art museums by federal agencies and private foundations in the United States over the past two decades, staff found that federal appropriations for art museums have been declining in real dollars since 1994 while private foundations have stepped in to fill the gap, though without much coordination or constancy. The Foundation intends to maintain its consistent commitment to art museums, and particularly to their curatorial and conservation infrastructure. To ascertain what new directions that support might take, staff met frequently with directors of museums, foundations, and centers for art historical research as well as with chairs and fac-

ulty in graduate programs in art history and conservation. These discussions, which are continuing in 2011, have begun to distill several themes, including the relevance of art museums for a diversifying population, the need to optimize technological access, lack of diversity among museum staff, a pending leadership vacuum as a generation of museum directors retires, and insufficient opportunities for graduate students to receive object-based curatorial training. Museum directors expressed a desire to address these concerns while maintaining focus on core curatorial and conservation missions. These are complicated and interconnected issues, and the Foundation intends to support multiple approaches to them, encouraging collaborations between museums and universities where appropriate.

Initial efforts to support museum directors in their demanding roles included select invitations to new directors who have compelling visions for museums with the capacity to be field leaders. Two such grants went to the Philadelphia Museum of Art and the Nelson-Atkins Museum of Art. The program's historical interest in strengthening curatorial ranks was maintained with an endowment challenge grant for the curatorship of modern and contemporary drawings at the Pierpont Morgan Library. Program staff also identified several museums with collections of national and international importance that would benefit from enhanced curatorial support. The Birmingham Museum of Art and the Museum of the City of New York each received first-time grants to establish postdoctoral fellowships in their curatorial departments.

Many museums are grappling with the need to strengthen or clarify the place of contemporary art—loosely defined as art made after 1960—in their collections and programs. In recognition of this interest, the Foundation made a grant to the Guggenheim Museum to establish parameters for interpreting, installing, and preserving the Panza Collection of Minimalist, Post-Minimalist, and Conceptual art. A grant to the Wexner Center for the Arts at Ohio State University will enable it to study and present contemporary art of Brazil in a sustained fashion. This grant acknowledges that curators of contemporary art need to spend significant time in the communities where art is produced, and that artists from those communities need to be present in the centers where their art will be exhibited. Both initiatives will contribute to the development of research infra-

structure in contemporary art, a topic of rising concern in the field that will continue to have the Foundation's attention.

The Foundation's dedication to strengthening the place of art museums and objects within the college and university curriculum also shaped grants to the Bowdoin College Museum of Art, where a new postdoctoral position will be endowed, and Johns Hopkins University, for an undergraduate program that has students working with major museums in the greater Baltimore area on collections research, interpretation, and presentation. An exceptional grant to the Courtauld Institute of Art in support of its initiative to diversify its curriculum beyond the Western tradition provided bridge funding for a new faculty position in a field of Asian art.

In conservation, the program sought to strike a similar balance between continuity and exploration. Three grants in photograph conservation, an area of intense Foundation interest in recent years, focused on the training of conservators and curators of historically significant but insufficiently known collections in St. Petersburg (Russia), the broad Middle East, and historically black colleges and universities in the United States. The Foundation's recent efforts to support digital infrastructure for conservation documentation evolved from initial grants in support of several promising experiments (which continue to yield important workflow and platform insights) to support for a few organizations with capacious IT infrastructure and international relationships. A grant to the Rijksbureau voor Kunsthistorische Documentatie in The Hague funds the rapid expansion of The Rembrandt Database, an international project that is poised to demonstrate the possibility of data sharing among many institutions and the concomitant enhancement of research outcomes. Digital management of conservation data within institutions is one of the great challenges museums face. A grant to the National Gallery of Art supports a consortium of institutions in the planning of ConservationSpace, an open source Web-based application for managing conservation documentation. The British Museum received two grants to develop a prototype for ResearchSpace, a semantic environment for data about cultural heritage objects that aims to overcome incompatibility among different institutional data management systems.

Over the past ten years, the Foundation has invested more than \$50 million in a rich array of initiatives to strengthen the role of science in conservation research, education, and practice. Grants to Yale

University for a director of scientific research and to the Nelson-Atkins Museum of Art for scientific consultations continued this program while the Foundation commissioned a review of its investments in science. Program staff is also examining the level of support available for students in graduate programs in conservation. The results of these studies will help Foundation staff identify possibilities for further investment in conservation science and education in 2011 and beyond.

The marked international character of several grants warrants a final comment on the growing integration of museums, conservation, and the history of art in a worldwide ecosystem of research, exhibitions, and publications that is shaped by global patterns in migration, tourism, and trade. The history, exchange, and preservation of art have always been global affairs, over millennia of peaceful and forced travel of art and artists. Nevertheless, the effects of globalization are now daily and consequential realities for any museum in ways inconceivable two decades ago. The scope of what museums collect and exhibit, the range of visitors they welcome, the diversity of their collaborators and competitors, and the extent of their Web-based reach have all “gone global” to unprecedented levels. This trend will not be reversed, and if managed within well-articulated strategic frameworks, it will benefit museums and the communities they serve. The Foundation stands ready to work with museums and centers of art and conservation in mobilizing the opportunities for renewal that our global condition presents.

Conservation and the Environment

The Foundation’s Conservation and the Environment program, directed by William Robertson IV with Doreen N. Tinajero and Sydney Gilbert, continued efforts begun in 2003 to help a consortium of over 180 herbaria from more than 60 countries to develop a coordinated database of high-quality digital images (600dpi) of plant Type specimens (the original specimens used to identify species). These Type images are augmented by reference works, photographs, and botanical art. The participating herbaria are contributing images for all of the Types they hold, and their estimates indicate that the total will be in excess of 2 million. The Plants Initiative database now holds about 1,500,000 images and associated data: 901,000 Types and historical specimens; 151,000 images

of artwork, photographs, and reference materials; and nearly 450,000 articles linked from JSTOR. Objects are arriving at the rate of about 7,500 per week. Searches within JSTOR Plants also display returns from the Biodiversity Heritage Library. The database is available online at JSTOR (<http://plants.jstor.org>). Staff welcome communications from any institutions holding Type specimens that have yet to be included in the database.

The Conservation and the Environment program will close in 2013 as part of the Foundation's long-term plans to focus on the humanities and the arts. Proposals continue to be accepted for the Plants Initiative and from extant grantees to provide an orderly close to the Research Bridges to South Africa programs.

Special International Emphasis: South Africa

Under the guidance of its representative in South Africa, Stuart Saunders, the Foundation promotes programs at key South African universities to produce the next generation of scholars and advance research and teaching in an innovative and purposeful way.

The University of Pretoria reached a milestone in its history in 2009. Once a strong supporter of apartheid and a hotbed of Afrikaner nationalism under the Nationalist government, the university turned a corner and appointed its first woman, its first person of color, and its first English-speaker as its vice-chancellor. A discretionary grant was awarded to support the new vice-chancellor's initiatives.

The Foundation's main thrust of support continued in the area of postgraduate fellowships, with grants targeting masters and doctoral students awarded to Stellenbosch University and the University of Cape Town. A portion of the award to Stellenbosch was allocated to postdoctoral fellows, and the University of the Witwatersrand received a grant that focused solely on postdoctoral fellowships. Postdoctoral fellows, from within South Africa and abroad, infuse the research culture of these universities with their intellectual energy. An award for the visiting fellows program at the University of the Western Cape was also intended to stimulate scholarly inquiry. The desire to attract overseas scholars—whether postdoctoral or visiting fellows—is an important component of both programs. Visiting fellows in particular are renowned scholars whose interactions and collaborative research with academic staff and postgraduate students

revitalize the university with new ways of thinking, thereby strengthening the overall quality of scholarship.

In 2006, a senior research scholars program was launched at several South African universities. It paired distinguished retired faculty with junior faculty to create a mentoring relationship that would facilitate the transfer of skills from an aging generation to the next one. These senior research scholars guided junior faculty in areas such as research design and development, preparation of research proposals, writing for publication, identifying external funding opportunities, and building professional networks. This successful program has not only bolstered the careers of junior faculty but has also allowed emeritus faculty to feel engaged and useful within the academic community. In light of these positive results, Rhodes University and the University of Stellenbosch received grants to implement this program on their campuses while the University of Cape Town received renewal support.

Finally, the promotion of scholarship in the humanities continued with grants for research centers and teaching tools. At the University of the Witwatersrand, funds supported the establishment of an interdisciplinary Centre for the Creative Arts of Africa, while the University of Cape Town received a grant for *OpenUCT*, a program that digitizes learning and research materials and makes them accessible online for the entire campus community.

The Andrew W. Mellon Foundation

Summary of Grants and Contributions, 2010

	<i>Payable and Committed at Dec. 31, 2009</i>	<i>2010 Grants and Commitments</i>		<i>Payable and Committed at Dec. 31, 2010</i>
		<i>Appropriated</i>	<i>Paid</i>	
Higher Education and				
Scholarship	\$55,671,727	\$122,512,459	\$147,365,024	\$30,819,162
Scholarly Communications and				
Information Technology . .	3,875,828	29,855,500	30,870,567	2,860,761
Performing Arts	9,901,250	36,550,907	34,599,657	11,852,500
Museums and Art				
Conservation	18,715,269	20,466,737	18,758,141	20,423,865
Conservation and the				
Environment	2,499,985	11,587,000	12,904,984	1,182,001
Public Affairs	—	25,000	25,000	—
Program grants and				
commitments — totals	90,664,059	220,997,603	244,523,373	67,138,289
Contributions and				
matching gifts	—	1,276,977	1,276,977	—
	<u>\$90,664,059</u>	<u>\$222,274,580</u>	<u>\$245,800,350</u>	<u>\$67,138,289</u>

The Andrew W. Mellon Foundation

Classification of Grants

HIGHER EDUCATION AND SCHOLARSHIP

Appropriated

American Academy of Arts and Sciences,
Cambridge, Massachusetts:

To support the continuation of the Humanities Indicators project	\$	340,000
To support the organization of a commission to examine the nation's system of education in the humanities and social sciences and recommend measures for strengthening it		277,375

American Council of Learned Societies,
New York, New York:

To support the New Faculty Fellowship program for recent PhD recipients in the humanities		5,081,000
To support the Charles A. Ryskamp Research Fellowships for advanced junior faculty members in the humanities and humanistic social sciences		3,451,000
To support the Frederick Burkhardt Residential Fellowships for recently tenured scholars		3,065,000
To support a pilot program allowing extra-academic organizations to appoint PhDs in the humanities to postdoctoral positions		1,600,000

American Indian College Fund,
Denver, Colorado:

To renew a program which promotes scholarly research by tribal college faculty members and students		500,000
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HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

American Political Science Association,
Washington, DC:

To support residential workshops for African
political scientists 898,000

American University of Paris, Inc.,
Paris, France:

To support curricular collaboration between the
American University of Paris and Eugene Lang
College, The New School in developing global
literary studies, transnational cultural studies,
and comparative urban and immigration studies . . . 370,000

To increase faculty members' opportunities for
curricular, scholarly, and professional
development 300,000

To support the collaborative work of the American
International Consortium of Academic Libraries . . 50,000

Amherst College,
Amherst, Massachusetts:

To support strengthening faculty-student research
in the humanities and social sciences 200,000

Appalachian College Association,
Berea, Kentucky:

To support participation of faculty from colleges
in the Appalachian College Association in the
Salzburg Global Seminars 362,000

Associated Colleges of the Midwest, Inc.,
Chicago, Illinois:

To support summer seminars to engage faculty from
the humanities, arts, sciences, and social sciences
around contemporary cross-disciplinary topics 700,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Associated Colleges of the South, Inc.,
Atlanta, Georgia:

To establish an endowment to support administrative
operations that serve academic programs and to
assist with current operating costs 2,700,000

Austin College,
Sherman, Texas:

To support presidential initiatives 100,000

Bard College,
Annandale-on-Hudson, New York:

To support environmental studies 621,000

Barnard College,
New York, New York:

To support a faculty research and development
seminar to explore personal and social identity
within and between nations and cultures 150,000

Bates College,
Lewiston, Maine:

To support initiatives to strengthen collaboration,
curriculum, and leadership in the arts and sciences
and to extend and integrate elements of learning . . . 150,000

Beloit College,
Beloit, Wisconsin:

To support pilot courses in the humanities that
connect in-class experiences to the liberal arts
in practice 507,000

To support presidential initiatives 100,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Bennett College,
Greensboro, North Carolina:

To support a Center for Global Studies and associated programs	498,000
To support planning for leadership curriculum development	99,000

Berea College,
Berea, Kentucky:

To support the reshaping of the college's academic structure	250,000
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Bowdoin College,
Brunswick, Maine:

To support a program of postdoctoral teaching fellowships in the humanities	600,000
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Brown University,
Providence, Rhode Island:

To support initiatives aimed at strengthening the role the Cogut Center for the Humanities plays in the instructional and scholarly activities of the university	498,000
To support the Mellon Mays Undergraduate Fellowship program	123,800
To support an Emeritus Fellowship	31,500
To support an Emeritus Fellowship	29,000

Bucknell University,
Lewisburg, Pennsylvania:

To support an environmental studies program	520,000
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Carleton College,
Northfield, Minnesota:

To support the integration of global studies across the curriculum	53,286
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HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Carnegie Mellon University,
Pittsburgh, Pennsylvania:

To support ongoing scholarly activities by a former
New Directions Fellowship recipient 50,000

Claremont Graduate University,
Claremont, California:

To support supplementary research for a
forthcoming book entitled *The American Faculty:
The New Era of Work and Careers* 15,000

Claremont McKenna College,
Claremont, California:

To provide bridge support for tenure-track
appointments in philosophy, political theory, and
religious studies, and for the appointment of
graduate writing fellows to work with students
on writing, research, and the uses of instructional
technology and presentation 750,000

Clark Atlanta University,
Atlanta, Georgia:

To support planning for improved student
recruitment and retention 100,000

Clark University,
Worcester, Massachusetts:

To support teaching and learning strategies that
connect the theory and practice of liberal
education 99,628

Colby College,
Waterville, Maine:

To support an environmental studies program 600,000
To support planning for the future needs of the
humanities 50,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

College of the Holy Cross,
Worcester, Massachusetts:

To support the establishment of the Center for
Teaching and Learning 150,000

To support summer research opportunities for
students in the humanities and humanistic
social sciences 67,630

College of Wooster,
Wooster, Ohio:

To support an environmental studies program 254,000

Colorado College,
Colorado Springs, Colorado:

To support a program of curricular renewal to
facilitate artistic collaborations across the
curriculum 490,000

To support faculty development initiatives to
improve the mentoring and retention of new
tenure-track faculty 150,000

Columbia University,
New York, New York:

To support postdoctoral fellowships in the
humanities and humanistic social sciences 2,051,000

To endow a dissertation fellowship in the history,
philosophy, and sociology of science 800,000

To support an Emeritus Fellowship 4,500

Connecticut College,
New London, Connecticut:

To support the Mellon Mays Undergraduate
Fellowship program 22,500

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Convergence,
Washington, DC:

To support a one-year postdoctoral fellowship that would bolster the U.S.-Muslim Engagement Initiative	85,000
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Cornell University,
Ithaca, New York:

To support postdoctoral fellowships in the humanities and humanistic social sciences	2,000,000
To support a series of workshops, conferences, and competitions to disseminate the results of scholarship on performance practice and keyboard instruments of the 18th and 19th centuries	400,000
To support a dissertation seminar in the humanities	161,000
To support the dissemination to performers of scholarship on performance practice and keyboard instruments of the 18th and 19th centuries	70,000
To support an Emeritus Fellowship	54,500
To support an Emeritus Fellowship	50,000

Davidson College,
Davidson, North Carolina:

To support bridge appointments in Islamic and environmental studies and undergraduate research	671,000
To support a New Directions Fellowship	252,000

Dillard University,
New Orleans, Louisiana:

To support planning for curriculum revision	100,000
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Drew University,
Madison, New Jersey:

To support faculty bridge appointments in anticipation of retirements	700,000
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HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Duke University,
Durham, North Carolina:

To support initiatives aimed at strengthening the role that the John Hope Franklin Humanities Institute plays in the instructional and scholarly activities of the university	823,000
To support a New Directions Fellowship	321,000
To support a Sawyer Seminar on the Comparative Study of Cultures entitled "Phenomenology Between Mind and Media"	175,000
To support the Mellon Mays Undergraduate Fellowship program	123,800
To support an Emeritus Fellowship	55,000

Earlham College,
Richmond, Indiana:

To support an environmental studies program	347,000
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Emory University,
Atlanta, Georgia:

To support renewal of the Visiting Scholars Program at the James Weldon Johnson Institute for Advanced Interdisciplinary Studies	533,000
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Fisk University,
Nashville, Tennessee:

To support an academic bridge program	400,000
To support planning of a comprehensive recruitment and retention program	100,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Five Colleges Incorporated,
Amherst, Massachusetts:

To support initiatives of the Five College Center for the Study of World Languages to mainstream programs in the least commonly taught languages	498,000
To support presidential initiatives	100,000

Franklin & Marshall College,
Lancaster, Pennsylvania:

To support integration of the Phillips Museum of Art and the Franklin & Marshall curriculum	500,000
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French American Cultural Exchange,
New York, New York:

To support the Partner University Fund Program to establish partnerships in the humanities between universities in France and the United States	954,000
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Gallaudet University,
Washington, DC:

To support the expansion of the Gallaudet Video Library to encompass the full range of artifact formats as the Gallaudet Deaf Digital Library	500,000
To support presidential initiatives	100,000

George Mason University,
Fairfax, Virginia:

To develop a technical interface to extract and map information from the Foundation-funded Plants Database that will enlarge the possibilities of historical inquiry	52,500
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HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Gettysburg College,
Gettysburg, Pennsylvania:

To provide bridge support for a tenure-track position in Arabic languages and cultures, undergraduate research, and faculty workshops on the Middle East and Islam	532,000
To support presidential initiatives	100,000

Graduate School and University Center,
City University of New York,
New York, New York:

To support an Emeritus Fellowship	53,500
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Great Lakes Colleges Association, Inc.,
Ann Arbor, Michigan:

To establish an endowment in support of administrative operations that serve academic programs and to assist with current operating costs . .	2,700,000
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Grinnell College,
Grinnell, Iowa:

To support the Mellon Mays Undergraduate Fellowship program	22,500
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Hamilton College,
Clinton, New York:

To support an initiative that will transform the humanities curriculum and enhance opportunities for student-faculty research collaborations	800,000
To support continuing collaborative efforts of the New York Six Liberal Arts Consortium in the areas of library collections, information technology, and faculty development	600,000
To support planning of the New York Six Liberal Arts Consortium	34,270

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Hampden-Sydney College,
Hampden-Sydney, Virginia:

To support the development of a strategic plan 55,000

Harvard University,
Cambridge, Massachusetts:

To support a Distinguished Achievement Award . . . 1,500,000

To support a summer school of theater and
performance research 351,000

To support the Mellon Mays Undergraduate
Fellowship program 123,800

To support an Emeritus Fellowship 51,000

To support ongoing scholarly activities by a former
New Directions Fellowship recipient 50,000

HBCU Library Alliance Inc.,
Atlanta, Georgia:

To support documentation and dissemination of the
organization's history and accomplishments 71,000

Hendrix College,
Conway, Arkansas:

To support faculty development workshops in the
digital humanities and bridge support for the director
of the college's Educational Technology Center 600,000

To support initiatives to enhance and expand the
breadth and depth of the curriculum 150,000

Henry E. Huntington Library & Art Gallery,
San Marino, California:

To support the endowment of a distinguished
fellowship in 19th-century American history 500,000

Hobart and William Smith Colleges,
Geneva, New York:

To support a program for faculty renewal 800,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Howard University,
Washington, DC:

To support planning for renewal of the university's Founders Library and Moorland-Spingarn Research Center	50,000
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The IHR Trust,
London, United Kingdom:

To support doctoral and predoctoral fellowships for graduate students at North American universities to work on research materials held in British institutions	730,000
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Indiana University,
Bloomington, Indiana:

To support a New Directions Fellowship	297,000
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Johns Hopkins University,
Baltimore, Maryland:

To support an Emeritus Fellowship	44,000
To support an Emeritus Fellowship	24,000

Johnson C. Smith University,
Charlotte, North Carolina:

To support planning for and piloting of recruitment activities for the institution's new arts curriculum . .	100,000
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Kenyon College,
Gambier, Ohio:

To support interdisciplinary programs in the Russian and Arabic languages and cultures	600,000
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The Kohala Center,
Kamuela, Hawaii:

To support the renewal of dissertation and postdoctoral fellowships for Native Hawaiian scholars and others committed to the advancement of Hawaiian history and culture	500,000
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HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Lake Forest College,
Lake Forest, Illinois:

To support restructuring of the first-year studies
program 539,000

Lawrence University,
Appleton, Wisconsin:

To support faculty renewal 525,000

Lewis and Clark College,
Portland, Oregon:

To support an environmental studies program 600,000

Macalester College,
St. Paul, Minnesota:

To support faculty members at various stages of the
professorial life cycle 600,000

To support a fine arts performance and exhibit
series as well as global citizenship projects 150,000

Marlboro College,
Marlboro, Vermont:

To support curricular planning in the humanities . . 49,770

Middlebury College,
Middlebury, Vermont:

To support ongoing scholarly activities by a former
New Directions recipient 50,000

To support an Emeritus Fellowship 13,200

Morehouse College,
Atlanta, Georgia:

To support planning of a Film and Digital Media
Studies program 48,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

National Humanities Center,
Research Triangle Park, North Carolina:

To support fellowship stipends 700,000

To support a program of transatlantic summer
institutes for recent PhDs in the humanities and
related social sciences affiliated with US and
European institutions 485,000

The New School,
New York, New York:

To support curricular collaboration between Eugene
Lang College and the American University of Paris
in developing global literary studies, transnational
cultural studies, and comparative urban and
immigration studies 314,000

To support an Emeritus Fellowship 55,000

New York University,
New York, New York:

To support graduate study in key humanities
departments and to endow dissertation fellowships
in the humanities 2,500,000

To support the Institute of Fine Arts in conducting
a series of review panels and related activities to
examine the state of advanced research in art history
and allied fields 1,523,000

To support a dissertation seminar in the
humanities 486,000

To support a summer pre-dissertation workshop for
graduate students in the Department of History . . . 450,000

To support an Emeritus Fellowship 55,000

To support an Emeritus Fellowship 53,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Northwestern University,
Evanston, Illinois:

To support a Distinguished Achievement Award . . .	1,500,000
To support activities to strengthen the interdisciplinary reach of the field of dance studies and the work of young dance scholars	1,420,700
To support an Emeritus Fellowship	55,000
To support the Mellon Mays Undergraduate Fellowship program	22,500
To support continued work on a database created under a Sawyer Seminar on the Comparative Study of Cultures entitled "Theatre After Athens: Reception and Revisions of Ancient Greek Drama"	20,000

Oberlin College,
Oberlin, Ohio:

To support bridge positions that will enable faculty realignment and curricular revision in key departments	800,000
To support an Emeritus Fellowship	38,000

Occidental College,
Los Angeles, California:

To support the integration of digital resources into student and faculty teaching and scholarship	700,000
To support an integrated planning process for curricular change in the humanities and humanistic social sciences	700,000
To support presidential initiatives	100,000

Ohio Wesleyan University,
Delaware, Ohio:

To support curricular reform	100,000
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HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Organization for Tropical Studies, Inc.,
Durham, North Carolina:

To renew a study abroad fellowship program for
outstanding undergraduate students in ecology 350,000

To support student diversity and enhance the
involvement of liberal arts colleges in the
organization's undergraduate semester abroad
program in South Africa 300,000

Oxford Centre for Islamic Studies,
Oxford, United Kingdom:

To support the research and editorial work for the
*Atlas of the Social and Intellectual History of Muslims
in South Asia* 300,000

Pitzer College,
Claremont, California:

To support the position of faculty director at the
Center for the Study of Global Communities 150,000

Pomona College,
Claremont, California:

To support ongoing scholarly activities by a former
New Directions Fellowship recipient 50,000

Pontifical Institute of Mediaeval Studies,
Toronto, Canada:

To support an intensive summer program in
manuscript studies, in collaboration with the
American Academy in Rome 184,000

Princeton University,
Princeton, New Jersey:

To support an Emeritus Fellowship 55,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Queen's University at Kingston,
Kingston, Canada:

To support editorial and related costs for the
Benjamin Disraeli Letters project 357,000

Queens College,
Flushing, New York:

To support bridge appointments for tenure-track
positions in Arabic and Korean and the development
of a proficiency-based language curriculum 309,000

To support the Mellon Mays Undergraduate
Fellowship program 123,800

Reed College,
Portland, Oregon:

To support summer research for faculty in the
humanities and for biology students 150,000

Rhodes College,
Memphis, Tennessee:

To support planning for the integration of public
and digital arts into the curriculum 50,000

Rhodes University,
Grahamstown, South Africa:

To support strengthening the university's research
culture through the engagement of senior
research scholars 400,000

To support the planning of a jazz heritage studies
and archive development program 97,000

Rice University,
Houston, Texas:

To support research seminars and related activities
for faculty members and graduate students in the
School of Humanities 220,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Rutgers, The State University of New Jersey,
New Brunswick, New Jersey:

To support postdoctoral fellowships in the humanities and related social sciences	1,617,000
To support an Emeritus Fellowship	25,500

Salzburg Global Seminar,
Washington, DC:

To support the renewal of an International Study fellowship program for faculty members at historically black colleges and universities	333,000
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Sarah Lawrence College,
Bronxville, New York:

To support the planning and development of an environmental studies program	95,900
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Scripps College,
Claremont, California:

To support strengthening the core curriculum in interdisciplinary humanities	500,000
To support presidential initiatives	100,000

Smith College,
Northampton, Massachusetts:

To support a two-year postdoctoral fellowship in environmental science and policy	150,000
To support ongoing scholarly activities by a former New Directions Fellowship recipient	50,000
To support an Emeritus Fellowship	39,500

Southern Education Foundation, Inc.,
Atlanta, Georgia:

To support preparation for reaccreditation reviews by historically black colleges and universities	300,000
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HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Spelman College,
Atlanta, Georgia:

To support a pilot cooperative education program . .	150,000
To support planning to increase undergraduate student research opportunities	100,000

St. John's College,
Annapolis, Maryland:

To support the redesign of the biology curriculum . .	250,000
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St. Lawrence University,
Canton, New York:

To support presidential initiatives	100,000
To support strategic and curricular planning	49,190

St. Olaf College,
Northfield, Minnesota:

To support faculty bridge appointments in anticipation of retirements	600,000
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Stanford University,
Stanford, California:

To support a New Directions Fellowship	260,000
To support a Sawyer Seminar on the Comparative Study of Cultures entitled "Comparative Wests: Transnational Perspectives on Rapid Cultural, Economic, and Environmental Transformations in the 19th-Century Settler Colonies of Western Australia, Western Canada, the Western United States, and the Pacific Islands"	175,000
To support the Mellon Mays Undergraduate Fellowship program	123,800

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Stellenbosch University,
Matieland, South Africa:

To support graduate and postdoctoral fellowships
in the humanities and social sciences for students
from disadvantaged backgrounds 800,000

To support strengthening the university's research
culture through the engagement of senior research
scholars 750,000

Sterling and Francine Clark Art Institute, Inc.,
Williamstown, Massachusetts:

To support activities to strengthen scholarship
in art history 555,000

Swarthmore College,
Swarthmore, Pennsylvania:

To support the Mellon Mays Undergraduate
Fellowship program 123,800

To support presidential initiatives 100,000

Sweet Briar College,
Sweet Briar, Virginia:

To support presidential initiatives 50,000

Syracuse University,
Syracuse, New York:

To support the continuation of joint working groups
in humanities fields in which three New York
universities have complementary strengths 60,000

Tougaloo College,
Tougaloo, Mississippi:

To support the continuation of an honors program . . 500,000

To support planning for globalization curriculum
development 100,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Trinity University,
San Antonio, Texas:

To support presidential initiatives 100,000

United Negro College Fund, Inc.,
Fairfax, Virginia:

To renew support for a faculty career enhancement
program that would provide opportunities to
improve teaching and learning and advance
faculty research 1,475,000

University of California at Berkeley,
Berkeley, California:

To support a dissertation seminar in the humanities 202,000
To support the retention of a full-time graduate
diversity coordinator for the 2010-11 academic year 53,100
To support an Emeritus Fellowship 47,000
To support the Mellon Mays Undergraduate
Fellowship program 22,500

University of California at Davis,
Davis, California:

To support four new research initiatives in the
humanities 1,485,000

University of California at Los Angeles,
Los Angeles, California:

To support a summer program for undergraduate
students from historically black colleges and
universities 300,000
To support an Emeritus Fellowship 55,000
To support an Emeritus Fellowship 50,500
To support ongoing scholarly activities by a former
New Directions fellowship recipient 50,000
To support the Mellon Mays Undergraduate
Fellowship program 22,500

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

University of California at Riverside,
Riverside, California:

To support graduate research workshops in the
humanities 110,000

University of California at Santa Barbara,
Santa Barbara, California:

To support exploratory research activities in the
uses of botanical data for historical inquiry 16,000

University of Cambridge,
Cambridge, United Kingdom:

To support the *Correspondence of Charles Darwin* . . . 2,100,000

To support the interdisciplinary work of humanities
centers through postdoctoral fellowships at the
Centre for Research in the Arts, Social Sciences,
and Humanities 584,000

University of Cape Town,
Cape Town, South Africa:

To support masters and doctoral fellowships in the
humanities 800,000

To support *OpenUCT* 800,000

To support strengthening of the university's research
culture through the engagement of senior research
scholars 750,000

To support the renewal of a writing center internship
program for Mellon Mays Undergraduate Fellowship
students at the postbaccalaureate level 133,000

To support the renewal of a regional leadership
program for South African members of the Mellon
Mays Undergraduate Fellowship program 133,000

To support a series of courses and workshops in the
areas of conservation and curatorship 53,000

To cover the cost of administrative support for
research on higher education in South Africa 17,200

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

University of Chicago,
Chicago, Illinois:

To support a Distinguished Achievement Award . . .	1,500,000
To establish a program of Residential Fellowships in Arts Practice and Scholarship	1,350,000
To support activities to strengthen the scholarship and teaching of Islamic studies	600,000
To support a summer research program for Mellon Mays Undergraduate program fellows	200,000
To support a Sawyer Seminar on the Comparative Study of Cultures entitled "Around 1948: Interdisciplinary Approaches to a Global Transformation"	175,000
To support a Sawyer Seminar on the Comparative Study of Cultures entitled "International Women's Human Rights: Paradigms, Paradoxes, and Possibilities"	165,000
To support an Emeritus Fellowship	55,000
To support an Emeritus Fellowship	47,500

University of Florida at Gainesville,
Gainesville, Florida:

To support the publication of scholarly monographs in the humanities	934,800
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University of Illinois at Urbana-Champaign,
Champaign, Illinois:

To support a New Directions Fellowship	197,000
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University of Massachusetts at Amherst,
Amherst, Massachusetts:

To renew support for a multifaceted mentoring initiative that aims to enhance the experience of new faculty and improve the prospects for retaining them . .	400,000
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HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

University of Michigan,
Ann Arbor, Michigan:

To support a dissertation seminar in the humanities . . . 193,000

University of Minnesota at Twin Cities,
Minneapolis, Minnesota:

To support exchanges of graduate students and
faculty members in the humanities and related
social sciences 845,000

University of Nebraska Lincoln,
Lincoln, Nebraska:

To support the publication of scholarly monographs
in the humanities, in collaboration with the
University of Oklahoma Press and the University
of Texas Press 781,900

University of North Carolina at Chapel Hill,
Chapel Hill, North Carolina:

To support a New Directions Fellowship 221,000

To support a Sawyer Seminar on the Comparative
Study of Cultures entitled "Precarious Work
in Asia" 175,000

University of Notre Dame,
Notre Dame, Indiana:

To support programs that promote the integration
of religious thought into academic disciplines 657,000

University of Oxford,
Oxford, United Kingdom:

To support a Sawyer Seminar on the Comparative
Study of Cultures entitled "Understanding Human
Creativity: Ecologies and Practices of Invention." . . . 175,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

University of Pennsylvania,
Philadelphia, Pennsylvania:

To support postdoctoral fellowships in the humanities and related social sciences	1,898,000
To support the Mellon Mays Undergraduate Fellowship program	123,800
To support an Emeritus Fellowship	35,000
To support an Emeritus Fellowship	30,000
To support an Emeritus Fellowship	24,500

University of Pretoria,
Pretoria, South Africa:

To provide discretionary support to the new vice-chancellor	150,000
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University of Southern California,
Los Angeles, California:

To support postdoctoral fellowships in the humanities and humanistic social sciences	1,645,000
To support a dissertation seminar in the humanities	189,000
To support the Mellon Mays Undergraduate Fellowship program	123,800

University of the Western Cape,
Bellville, South Africa:

To support visiting fellows in the humanities and social sciences	200,000
To support the Mellon Mays Undergraduate Fellowship program	22,500

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

University of the Witwatersrand,
Johannesburg, South Africa:

To support the establishment of a Centre for the Creative Arts of Africa	800,000
To support postdoctoral fellowships in the humanities	350,000
To support the Mellon Mays Undergraduate Fellowship program	22,500

University of Toronto,
Toronto, Canada:

To support a New Directions Fellowship	357,000
To support a New Directions Fellowship	274,000

University of Virginia,
Charlottesville, Virginia:

To support a dissertation seminar in the humanities	226,000
To support a New Directions Fellowship	162,000
To support an Emeritus Fellowship	55,000

University of Washington,
Seattle, Washington:

To support the publication of scholarly monographs in the humanities, in collaboration with Duke University Press, Penn State University Press, and University of Pennsylvania Press	1,257,100
To support the Digital Humanities Commons at the Simpson Center for the Humanities	600,000
To support a Sawyer Seminar on the Comparative Study of Cultures entitled "Now Urbanism: City-Making in the 21st Century and Beyond"	172,000
To support an Emeritus Fellowship	54,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

University of Wisconsin at Madison,
Madison, Wisconsin:

To support and sustain the renewal and enhancement of core humanities departments	10,000,000
To support a Sawyer Seminar on the Comparative Study of Cultures entitled "Globalization and the New Politics of Women's Rights"	175,000
To support a Sawyer Seminar on the Comparative Study of Cultures entitled "Biopolitics: Life in Past and Present"	174,000
To support ongoing scholarly activities by a former New Directions Fellowship recipient	50,000
To support exploratory research activities in the uses of botanical data for historical inquiry	17,500

Vassar College,
Poughkeepsie, New York:

To support an Emeritus Fellowship	30,500
To support the preparation of recommendations for the simplification of the college's shared governance structure	26,390

Wabash College,
Crawfordsville, Indiana:

To support the development of an Asian studies program in collaboration with DePauw University	700,000
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Washington and Jefferson College,
Washington, Pennsylvania:

To support retirement incentive costs of a bridge-to-retirement plan	500,000
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Washington College,
Chestertown, Maryland:

To support the art program and enrich the curriculum	331,000
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HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Washington University in St. Louis,
St. Louis, Missouri:

To support field-based seminars for graduate students and faculty members in the humanities and humanistic social sciences	500,000
To support a Sawyer Seminar on the Comparative Study of Cultures entitled "Graeco-Arabic Rationalism in Islamic Traditionalism: The Post-Classical Period (circa 1200–1900 CE)"	175,000
To support the Mellon Mays Undergraduate Fellowship program	123,800
To support an Emeritus Fellowship	46,000

Wellesley College,
Wellesley, Massachusetts:

To support an Emeritus Fellowship	33,500
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Wesleyan University,
Middletown, Connecticut:

To support an environmental studies program	800,000
To support the Mellon Mays Undergraduate Fellowship program	123,800

Wheaton College,
Norton, Massachusetts:

To renew support for the Summer Institute for Literary and Cultural Studies	362,100
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Whittier College,
Whittier, California:

To support a program to integrate the resources of the Los Angeles arts community with the college curriculum	600,000
To support the Mellon Mays Undergraduate Fellowship program	22,500

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Willamette University,
Salem, Oregon:

To support a pilot program for interdisciplinary student-faculty research	460,000
To support faculty innovation, reinvestment, and teaching-excellence initiatives	250,000
To support planning for a consortium of Pacific Northwestern liberal arts colleges	100,000

Williams College,
Williamstown, Massachusetts:

To support a New Directions Fellowship	208,000
To support the Mellon Mays Undergraduate Fellowship program	123,800

Xavier University of Louisiana,
New Orleans, Louisiana:

To support the continuation of a faculty development program	505,850
To support planning for a comprehensive engaged reading initiative	91,000

Yale University,
New Haven, Connecticut:

To support research, training, and other activities related to the study of performance	842,000
To support the Yale Baroque Opera Project	525,000
To support activities to strengthen scholarship in art history at the Yale Center for British Art	513,770
To support ongoing scholarly activities by a former New Directions Fellowship recipient	50,000

Total—Higher Education and Scholarship	<u><u>\$122,512,459</u></u>
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SCHOLARLY COMMUNICATIONS AND
INFORMATION TECHNOLOGY

Appropriated

American Academy in Rome,
New York, New York:

To support staff training and development
initiatives \$ 50,000

American Composers Orchestra, Inc.,
New York, New York:

To support the preservation of recorded sound
collections 79,000

American Council of Learned Societies,
New York, New York:

To support a planning study for a service to offer
members low-cost subscriptions to electronic
databases of primary source materials 32,000

American Museum of Natural History,
New York, New York:

To support the cataloging of hidden collections 117,600

American Museum of the Moving Image,
Astoria, New York:

To support the further development of an open
source collections management system for
museums 1,200,000

American Philological Association, Inc.,
Philadelphia, Pennsylvania:

To support the creation of a database and software
that would enable linking from online bibliographies
to primary source texts in Greek and Latin 215,000

American Philosophical Society,
Philadelphia, Pennsylvania:

To support staff training and development
initiatives 50,000

SCHOLARLY COMMUNICATIONS AND
INFORMATION TECHNOLOGY

(continued)

Appropriated

Arizona State University,
Tempe, Arizona:

To support the cataloging of hidden collections 155,600

Association of Research Libraries,
Washington, DC:

To support the development and dissemination of a
code of best practices regarding the fair use of
academic library materials in research and teaching . . 392,000

Buffalo State College Foundation, Inc.,
Buffalo, New York:

To support graduate student training in the
conservation of library and special collection
materials 388,000

Columbia University,
New York, New York:

To endow a new senior conservator position in the
university library 1,250,000

To support the development of a prototype database
of jazz discography 155,000

Cornell University,
Ithaca, New York:

To support development of a feasibility study and
business plan for a shared services organization for
scholarly publishers 78,000

To support a program of monographic publications
in German studies 50,000

Council on Library and Information Resources,
Washington, DC:

To support the administration of the hidden
collections grant program 305,000

To support the administration of the hidden
collections grant program 292,000

SCHOLARLY COMMUNICATIONS AND
INFORMATION TECHNOLOGY

(continued)

Appropriated

Duke University,

Durham, North Carolina:

To endow a new senior conservator position in
the library 1,250,000

To support the completion of an online editing
environment for three integrated databases
of papyri 958,000

Dunhuang Academy,

Dunhuang, China:

To support exhibition design, digital asset
management, and fundraising 332,000

Eleutherian Mills-Hagley Foundation, Inc.,

Wilmington, Delaware:

To support the cataloging of hidden collections 246,100

To support staff training and development
initiatives 50,000

Fisk University,

Nashville, Tennessee:

To support the development of a preservation plan
for the library's special collections and archives 31,500

George Mason University,

Fairfax, Virginia:

To support further software development of the
Zotero tool for citation and document management . . 600,000

To support regional training camps in digital
methods for humanistic scholarship 264,000

Greater Washington Education

Telecommunications Association, Inc.,

Arlington, Virginia:

To support an assessment of the video archives of
the *PBS NewsHour* 61,500

SCHOLARLY COMMUNICATIONS AND
INFORMATION TECHNOLOGY

(continued)

Appropriated

Harvard University, Cambridge, Massachusetts:	
To support the development of digital resources in medieval Arabic studies	327,000
To support a detailed evaluation of projects funded by the Program for Latin American Libraries and Archives	15,000
The Henry Francis du Pont Winterthur Museum Inc., Winterthur, Delaware:	
To support staff training and development initiatives	50,000
Houston Symphony Society, Houston, Texas:	
To support the preservation of recorded sound collections	200,000
Indiana University, Bloomington, Indiana:	
To support an academic research program and publication series in Global Studies	755,000
To support the development of a sustainable scholarly assessment framework based on the large-scale aggregation of scholarly usage data	349,000
Institute of American Indian Arts Foundation, Santa Fe, New Mexico:	
To support the purchase and implementation of a new integrated library system	64,000
J. Paul Getty Trust, Los Angeles, California:	
To support the cataloging of hidden collections	154,600

SCHOLARLY COMMUNICATIONS AND
INFORMATION TECHNOLOGY

(continued)

Appropriated

Johns Hopkins University,
Baltimore, Maryland:

To support research projects using digitized
medieval manuscripts and the development of
an annotation tool 347,000

King's College London,
London, United Kingdom:

To support planning for a prosopography of
medieval physicians 50,000

Louisiana State University and Agricultural and
Mechanical College,
Baton Rouge, Louisiana:

To support planning for an electronic journal
devoted to the scholarly uses and organization of
library special collections and archives 50,800

LYRASIS,
Atlanta, Georgia:

To support the development of services to assist
libraries in the choice, implementation, and use
of open source software applications 486,000

Massachusetts Historical Society,
Boston, Massachusetts:

To support staff training and development
initiatives 50,000

The Medici Archive Project, Inc.,
New York, New York:

To support the development of a new software
system and related procedures for scholarly
contributions to the online catalog of the
Medici archives 553,000

SCHOLARLY COMMUNICATIONS AND
INFORMATION TECHNOLOGY

(continued)

Appropriated

Miami University,
Oxford, Ohio:

To support the development and testing of a process that would improve the accuracy of the optical character recognition of digitized 18th-century texts and allow users to correct remaining errors	41,000
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National Film Preservation Foundation,
San Francisco, California:

To support an on-site preservation assessment of American silent-era nitrate films currently held at the New Zealand Film Archive	21,200
To support further the on-site preservation assessment of American silent-era nitrate films currently held at the New Zealand Film Archive . . .	22,000

National Symphony Orchestra
Association of Washington, D.C.,
Washington, DC:

To support the preservation of recorded sound archives	200,000
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New York University,
New York, New York:

To support the development of methods for preserving circulating video collections in academic libraries	523,000
To support graduate student fellowships and related instructional costs in the field of book and paper conservation	315,000
To support the planning of a consortium of university presses that would sell and distribute electronic books to academic libraries	47,000

SCHOLARLY COMMUNICATIONS AND
INFORMATION TECHNOLOGY

(continued)

Appropriated

North Carolina State University,
Raleigh, North Carolina:

To support planning for the more effective
federation of digital projects in the interdisciplinary
area of medieval studies 29,500

Northeast Historic Film,
Bucksport, Maine:

To support the cataloging of hidden collections 186,900

Northwestern University,
Evanston, Illinois:

To support a workshop on natural language
processing 7,500

The Pierpont Morgan Library,
New York, New York:

To support staff training and development
initiatives 50,000

RIPM Consortium Ltd.,
Baltimore, Maryland:

To support the creation of a bibliographic index
to the music journal *The Chesterian* 115,000

Saint Louis University,
St. Louis, Missouri:

To support the development of standards, services,
and scholarly tools that would enhance the use of
digitized medieval manuscripts 510,000

The Saint Paul Chamber Orchestra Society,
St. Paul, Minnesota:

To support the preservation of recorded sound
archives 200,000

SCHOLARLY COMMUNICATIONS AND
INFORMATION TECHNOLOGY

(continued)

Appropriated

San Diego Historical Society,
San Diego, California:

To support the cataloging of hidden collections 162,100

Smithsonian Institution,
Washington, DC:

To support the cataloging of hidden collections 82,500

Stanford University,
Stanford, California:

To support the use and further development of
the Software Environment for the Advancement of
Scholarly Research (SEASR) 761,000

To support the development of standards, services,
and scholarly tools that would enhance the use of
digitized medieval manuscripts 647,000

To support the cataloging of hidden collections 349,300

To support planning for increased interoperability
among digitized medieval manuscript resources . . . 55,000

Syracuse University,
Syracuse, New York:

To support a director, sound archivist, and
equipment for the university library's recorded
sound collection 505,000

To support the cataloging of hidden collections 143,100

University College Dublin, National University of Ireland,
Dublin, Ireland:

To support the development of a short title catalog
of books printed on the Iberian Peninsula between
1601 and 1650 237,000

SCHOLARLY COMMUNICATIONS AND
INFORMATION TECHNOLOGY

(continued)

Appropriated

The Regents of the University of California,
Oakland, California:

To support the development of a shared repository
system in the western US for print journals 663,000

University of California at Berkeley,
Berkeley, California:

To support the development of Project Bamboo,
a virtual research environment for humanities
scholars 1,293,000

To support the creation of online tools to streamline
the production of documentary editions 457,000

To support the cataloging of hidden collections 236,200

University of California at Los Angeles,
Los Angeles, California:

To support the development of electronic resources
in medieval studies 655,000

To support the evaluation of open source virtual
world software platforms for use in advancing
humanistic research 50,000

University of California Press Foundation,
Berkeley, California:

To support the final stages of a review of the
University of California Press 45,000

University of Chicago,
Chicago, Illinois:

To support the cataloging of hidden collections 499,500

University of Delaware,
Newark, Delaware:

To support graduate student fellowships and
related instructional costs in the field of book and
paper conservation 329,000

SCHOLARLY COMMUNICATIONS AND
INFORMATION TECHNOLOGY

(continued)

Appropriated

University of Illinois at Urbana-Champaign,
Champaign, Illinois:

To endow a new senior conservator position in the library	1,250,000
To support further development of and experimentation with a set of standards and protocols for the annotation of digital resources . . .	674,000

University of Leeds,
Leeds, United Kingdom:

To support the creation of an electronic resource that would complement the printed version of <i>The Cambridge Edition of the Works of Ben Jonson</i>	246,000
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University of Miami,
Coral Gables, Florida:

To support the technical and organizational redesign of the Cuban Digital Theater Archive	172,000
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University of Minnesota at Twin Cities,
Minneapolis, Minnesota:

To support an interdisciplinary publication program aimed at strengthening the role the university press plays in the scholarly activities of the university	483,000
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University of Nebraska Lincoln,
Lincoln, Nebraska:

To support the cataloging of hidden collections	208,500
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University of North Carolina at Chapel Hill,
Chapel Hill, North Carolina:

To support phase two of the Long Civil Rights Movement research and publication project	500,000
To support the cataloging of hidden collections	78,400
To support the creation of a laboratory for teaching digital forensics at the School of Information and Library Science	50,000

SCHOLARLY COMMUNICATIONS AND
INFORMATION TECHNOLOGY

(continued)

Appropriated

University of Oxford,
Oxford, United Kingdom:

To support further development of a prototype of an
online edition of *Medieval Libraries of Great Britain* . . . 517,000

University of Pennsylvania,
Philadelphia, Pennsylvania:

To support the cataloging of hidden collections 490,700

University of Pittsburgh,
Pittsburgh, Pennsylvania:

To support summer institutes designed to increase
the diversity of students in graduate programs at
information schools 600,000

University of Southern California,
Los Angeles, California:

To support scholarly projects using the Sophie
authoring tool, and a marketing study for Sophie . . . 260,000

To support non-destructive analysis of ancient Near
Eastern artifacts at Argonne National Laboratories . . . 24,000

University of Texas at Austin,
Austin, Texas:

To support the cataloging of hidden collections 137,100

University of Toronto,
Toronto, Canada:

To support the development of an annotation tool
for use with digitized medieval manuscripts as well
as research projects using such manuscripts 305,000

University of Waterloo,
Waterloo, Canada:

To support the development of an annotation tool
for use with digitized medieval manuscripts as well
as research projects using such manuscripts 241,000

SCHOLARLY COMMUNICATIONS AND
INFORMATION TECHNOLOGY

(continued)

Appropriated

University of Zurich,
Zurich, Switzerland:

To support the development of digital resources in
medieval Arabic studies 499,000

Virginia Foundation for the Humanities and Public Policy,
Charlottesville, Virginia:

To support the creation of an electronic reference
work entitled *The People of the Founding Era* 660,000

Virginia Historical Society,
Richmond, Virginia:

To support staff training and development
initiatives 50,000

WGBH Educational Foundation,
Boston, Massachusetts:

To support the cataloging of hidden collections 311,000

The Winthrop Group, Inc.,
New York, New York:

To support a historical study of the Gutenberg-e
publishing initiative 198,000

Yale University,
New Haven, Connecticut:

To support the cataloging of hidden collections 409,300

Total—Scholarly Communications and
Information Technology

\$29,855,500

PERFORMING ARTS

Appropriated

Aaron Davis Hall, Inc.,
New York, New York:

To support artistic initiatives \$ 50,000

Alliance of Resident Theatres New York Inc.,
New York, New York:

To support a space grant program and a Web-based
member management system 150,000

American Composers Orchestra, Inc.,
New York, New York:

To support artistic initiatives and organizational
development 400,000

American Lyric Theater Center, Inc.,
New York, New York:

To support the developmental process for new
American opera and capacity building 90,000

American Music Center, Inc.,
New York, New York:

To support the online media programs *NewMusicBox*
and *Counterstream Radio* 150,000

To support planning for a strategic alignment with
American Composers Forum and Meet the
Composer, Inc. 50,000

American Opera Projects, Inc.,
Brooklyn, New York:

To support the developmental process for new
American opera 200,000

Anthology of Recorded Music, Inc.,
New York, New York:

To support a new opera recording 12,000

PERFORMING ARTS

(continued)

Appropriated

Austin Circle of Theaters, Inc.,

Austin, Texas:

To support services to the theater field and collaborations among theaters	90,000
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Beethoven, A Non-profit Corporation,

Seattle, Washington:

To support a convening of leading radio stations to explore collaborative initiatives for classical music on terrestrial and digital radio	29,000
--	--------

California Shakespeare Theater,

Berkeley, California:

To support artistic initiatives and new partnerships . .	300,000
--	---------

Center for Contemporary Opera,

New York, New York:

To support the developmental process of new opera and music theater works	100,000
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Children's Theatre Company and School,

Minneapolis, Minnesota:

To support new work commissions related to the development of a Center for Participatory Theater . .	48,000
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Cincinnati Opera Association,

Cincinnati, Ohio:

To support the developmental process of new operas, in collaboration with the College-Conservatory of Music at the University of Cincinnati	300,000
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A Contemporary Theatre, Inc.,

Seattle, Washington:

To support a workshop to develop a theatrical adaptation of the Sanskrit legend, the <i>Ramayana</i> . . .	50,000
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PERFORMING ARTS

(continued)

*Appropriated*Cornerstone Theater Company, Inc.,
Los Angeles, California:

To support artistic initiatives 350,000

Corporate Council for the Arts,
Seattle, Washington:

To support planning for Project Audience 72,000

Creative Capital Foundation,
New York, New York:

To support the Multi-Arts Production Fund 1,000,000

To support a revolving loan fund for performing
artists 250,000Dance Heritage Coalition, Inc.,
Washington, DC:To support preservation of dance company archives
and organizational development 345,000

To support a dance archives pre-assessment project . . . 16,416

Dance Notation Bureau, Inc.,
New York, New York:To support the documentation of works in
Labanotation and the digitization of select
handwritten scores in the DNB archives 200,000Dance Theatre of Harlem, Inc.,
New York, New York:To support the enactment of a multiyear
organizational plan, and reinstatement of a national
touring presence 500,000

To support artistic and organizational development . . . 100,000

Dance/USA,
Washington, DC:

To support services to the field and Dance/NYC . . . 250,000

PERFORMING ARTS

(continued)

Appropriated

Danspace Project, Inc.,
New York, New York:

To support an expansion of the Platforms program
and to increase and improve developmental and
production support for dance companies 250,000

Demos: A Network For Ideas And Action, Ltd.,
New York, New York:

To support planning by the Institute for Culture in
the Service of Community Sustainability for a study
of recent capital projects by New York City cultural
organizations 50,000

Disalced, Inc.,
Brooklyn, New York:

To support the Dance for PD program 280,000

Florida State University Foundation, Inc.,
Tallahassee, Florida:

To increase and improve residency support for
dance companies at the Maggie Allesee National
Center for Choreography 200,000

Foundation for Contemporary Arts, Inc.,
New York, New York:

To support the Grants to Organizations program . . 500,000

The Gotham Chamber Opera, Inc.,
New York, New York:

To support collaborative opera development with
Opera Company of Philadelphia and Music-Theatre
Group, and a producing associate position in
collaboration with Music-Theatre Group 400,000

International Contemporary Ensemble Foundation, Inc.,
Brooklyn, New York:

To support the ICElab artistic initiative and
organizational development 340,000

PERFORMING ARTS

(continued)

*Appropriated*Jazz at Lincoln Center, Inc.,
New York, New York:

To support a week-long residency in Havana, Cuba . . . 210,000

Joyce Theater Foundation, Inc.,
New York, New York:

To support Dance Art New York (DANY Studios) . . . 800,000

To increase and improve developmental and
production support for dance companies and
to provide subsidized rehearsal space at Dance Art
New York 650,000L.A. Theatre Works,
Venice, California:To support the ongoing development of *The Play's*
The Thing for Higher Education 200,000Los Angeles Opera Company,
Los Angeles, California:

To support national radio broadcasts 600,000

The Louisiana Philharmonic Orchestra,
New Orleans, Louisiana:To support a professional development initiative
to train musicians in film score recording 50,000Margaret Jenkins Dance Studio, Inc.,
San Francisco, California:To support the Choreographers in Mentorship
Exchange program 100,000McCarter Theater,
Princeton, New Jersey:

To support artistic initiatives 425,000

PERFORMING ARTS

(continued)

Appropriated

Memphis Orchestral Society, Inc.,
 Memphis, Tennessee:

To support artistic initiatives 550,000

Mid Atlantic Arts Foundation, Inc.,
 Baltimore, Maryland:

To support a travel grant program for US
 performance ensembles 700,000

Minnesota Orchestral Association,
 Minneapolis, Minnesota:

To support the Community Weeks initiative 750,000

Misnomer Inc.,
 Brooklyn, New York:

To support the development and implementation
 of the Audience Engagement Platform as well as
 related organizational development 200,000

National New Play Network, Ltd.,
 Washington, DC:

To support services to the theater field and
 collaborations among theaters 425,000

National Public Radio, Inc.,
 Washington, DC:

To support the development of software and digital
 content to strengthen national classical music
 programming 750,000

New Dramatists, Inc.,
 New York, New York:

To support Full Stage USA and the Creativity Fund . . . 255,000

PERFORMING ARTS

(continued)

*Appropriated*New England Foundation for the Arts, Inc.,
Boston, Massachusetts:

To support a pilot of the National Theater Project . .	2,200,000
To support programmatic enhancements to the National Dance Project	225,000

New York Foundation for the Arts, Inc.,
Brooklyn, New York:

To support post-production costs for Bridge Records, Inc.'s recording of two new American operas	18,000
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The New York Public Library,
New York, New York:

To support the recording of the Signature Theatre Company production of Horton Foote's <i>Orphans'</i> <i>Home Cycle</i>	29,791
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New York Shakespeare Festival,
New York, New York:

To support Public LAB, the Master Writer's Chair, and the Under the Radar festival and symposium . .	2,000,000
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New York University,
New York, New York:

To support the Center for Creative Research	325,000
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Nikolais Louis Foundation for Dance, Inc.,
New York, New York:

To support a retrospective at the Joyce Theater as part of a three-year Nikolais Centennial Celebration	40,000
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PERFORMING ARTS

(continued)

*Appropriated*Nonprofit Finance Fund,
New York, New York:

To support the ArtPlace initiative	2,000,000
To support financial planning for and management assistance to organizations eligible for a Mellon-funded loan program administered by Nonprofit Finance Fund	32,000

Non-Profit Technology Enterprise Network,
Portland, Oregon:

To support the development and presentation of a course on strategic technology planning for nonprofit arts organizations	89,700
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Oberlin Dance Collective,
San Francisco, California:

To increase and improve developmental and production support for dance companies	160,000
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On the Boards,
Seattle, Washington:

To support the Dance Production Program	200,000
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Opera America, Inc.,
New York, New York:

To support the Opera Center	2,000,000
To support a convening and travel grants to encourage subsequent productions of new work . . .	60,000

Opera Company of Philadelphia,
Philadelphia, Pennsylvania:

To support a collaborative composer-in-residence program with The Gotham Chamber Opera, Inc. and Music-Theatre Group, and a new-works administrator position	1,400,000
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PERFORMING ARTS

(continued)

*Appropriated*Oregon Shakespeare Festival Association, Inc.,
Ashland, Oregon:

To support the commissioning of up to 37 new plays through *American Revolutions: The United States History Cycle* 600,000

Orpheus Chamber Orchestra, Inc.,
New York, New York:

To support the Orpheus Institute 450,000

Pat Graney Performance,
Seattle, Washington:

To support the reconstruction and touring of *Sleep and Tattoo* 25,000

Perseverance Theatre Incorporated,
Douglas, Alaska:

To support the Alaskan Stories initiative 350,000

Philharmonic-Symphony Society of New York, Inc.,
New York, New York:

To support ambitious artistic programming 1,050,000

Post-Classical Ensemble, Inc.,
Washington, DC:

To support artistic initiatives and organizational development 200,000

The Saint Paul Chamber Orchestra Society,
St. Paul, Minnesota:

To support artistic initiatives and organizational development 1,000,000

7 Stages, Inc.,
Atlanta, Georgia:

To support a symposium on Bernard-Marie Koltés in conjunction with a ten-year initiative, the *U.S. Koltés Project* 30,000

PERFORMING ARTS

(continued)

Appropriated

Sphinx Organization, Inc.,

Detroit, Michigan:

To support a national touring program and a commissioning program	500,000
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St. Luke's Chamber Ensemble, Inc.,

New York, New York:

To support an operating fund for The DiMenna Center for Classical Music	2,000,000
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To support artistic initiatives and organizational development	600,000
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Tectonic Theater Project, Inc.,

New York, New York:

To support <i>The Laramie Project</i> residency	50,000
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Theatre Communications Group, Inc.,

New York, New York:

To support professional development programs and the Global Connections travel grant program	300,000
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Theatre for a New Audience, Inc.,

New York, New York:

To support the Artistic Growth Fund	900,000
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Trisha Brown Company, Inc.,

New York, New York:

To support work on the company archives	265,000
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University of Illinois at Urbana-Champaign,

Champaign, Illinois:

To support the Krannert Center for the Performing Arts and its efforts to increase and improve development and production support for dance companies	200,000
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PERFORMING ARTS

(continued)

*Appropriated*University of North Carolina at Chapel Hill,
Chapel Hill, North Carolina:

To support residencies for ensemble theater companies at the PlayMakers Repertory Company . .	200,000
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To support artist residences associated with Carolina Performing Arts' <i>The Rite of Spring at 100</i> . .	45,000
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The Virginia Arts Festival, Inc.,
Norfolk, Virginia:

To support the developmental process of new opera at the John Duffy Composers Institute	150,000
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Walker Art Center, Inc.,
Minneapolis, Minnesota:

To increase and improve developmental and production support for dance companies	200,000
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To support an archival assessment of properties, sets, sculptures, costumes, and other objects derived from Merce Cunningham's art	15,000
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Washington Drama Society, Inc.,
Washington, DC:

To provide bridge support for the American Voices New Play Institute	404,000
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Wesleyan University,
Middletown, Connecticut:

To support artistic and curricular initiatives at the Center for the Arts	750,000
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WNYC Radio,
New York, New York:

To support broadcasts of live concerts on WQXR and music programming on the internet station Q2	700,000
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PERFORMING ARTS

(continued)

Appropriated

Yale University,

New Haven, Connecticut:

To support Yale Repertory Theatre's Center for

New Theatre 1,000,000

Total—Performing Arts

\$36,550,907

MUSEUMS AND
ART CONSERVATION

Appropriated

American Friends of the
National Gallery London, Inc.,
New York, New York:

To support the Mellon Research Fellow for the Raphael Research Resource	\$	6,237
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Birmingham Museum of Art,
Birmingham, Alabama:

To support two postdoctoral curatorial fellowships in African American art		300,000
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Bowdoin College,
Brunswick, Maine:

To establish an endowment to strengthen the curricular role of the Bowdoin College Museum of Art's collections and programs		1,000,000
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The British Museum,
London, United Kingdom:

To support the development of a prototype for a collaborative online research environment for art historians, curators, conservators, and scientists . . .		675,500
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To support the planning of a collaborative online research environment for art historians, curators, conservators, and scientists		100,000
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The Courtauld Institute of Art,
London, United Kingdom:

To support a new faculty position in the history of art in Asia circa 1000–1750		750,000
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To support the completion of the Maestro di Figline prototype project for online exchange of conservation documentation		75,000
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MUSEUMS AND
ART CONSERVATION

(continued)

Appropriated

Foundation of the American Institute for
Conservation of Historic and Artistic Works, Inc.,
Washington, DC:

To establish a photograph conservation department
at the State Hermitage Museum in Saint Petersburg,
Russia 3,460,000

Johns Hopkins University,
Baltimore, Maryland:

To support the expansion of the Museums and
Society program 484,000

LYRASIS,
Atlanta, Georgia:

To support a second phase of a photograph
preservation initiative among historically black
colleges and universities 1,400,000

Museum of the City of New York,
New York, New York:

To support four postdoctoral curatorial fellowships 694,000

National Gallery of Art,
Washington, DC:

To establish a photograph conservation department
and three staff positions 1,865,000

To support the planning of ConservationSpace, an
open source Web-based software application for
managing conservation documentation 62,000

Nelson Gallery Foundation,
Kansas City, Missouri:

To establish an endowment for consultant science
advisors and analytical services 1,100,000

To support a strategic planning initiative 300,000

MUSEUMS AND
ART CONSERVATION

(continued)

Appropriated

Ohio State University,
Columbus, Ohio:

To support curatorial programming in contemporary
Brazilian art at the Wexner Center for the Arts 782,300

Philadelphia Museum of Art,
Philadelphia, Pennsylvania:

To support planning for the reinstallation of
the Rodin Museum and several galleries in the
main building 500,000

The Pierpont Morgan Library,
New York, New York:

To endow the position of curator of modern and
contemporary drawings 1,775,000

Stichting tot Exploitatie van het Rijksbureau voor
Kunsthistorische Documentatie,
The Hague, The Netherlands:

To support the improvement of the structure of The
Rembrandt Database and to develop its contents
and linkages to other research resources 1,077,700

Solomon R. Guggenheim Foundation,
New York, New York:

To support the implementation of the first phase
of the Panza Collection Conservation Initiative 1,230,000

Stiftung Preussischer Kulturbesitz,
Berlin, Germany:

To support the integration of the Gemäldegalerie
Berlin's unique archive of autoradiographic
materials and related documentation into
The Rembrandt Database 235,000

MUSEUMS AND
ART CONSERVATION

(continued)

Appropriated

University of California at Los Angeles,
Los Angeles, California:

To support student internships and attendance at the annual meetings of the Association of North American Graduate Programs in Conservation	310,000
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University of Delaware,
Newark, Delaware:

To support workshops in photograph conservation in the Middle East, in collaboration with the Metropolitan Museum of Art and the Arab Image Foundation	560,000
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Yale University,
New Haven, Connecticut:

To endow the position of director of scientific research at the proposed Center for Conservation and Preservation	1,725,000
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Total—Museums and Art Conservation	\$20,466,737
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CONSERVATION AND
THE ENVIRONMENT

Appropriated

Academy of Natural Sciences of Philadelphia,
Philadelphia, Pennsylvania:

To support the development of a coordinated
digital database of images and information on
plants of the world \$ 93,000

Amgueddfa Cymru - National Museum Wales,
Cardiff, Wales:

To support the development of a coordinated
digital database of images and information on
plants of the world 15,000

Association Tela Botanica,
Montpellier, France:

To support the development of a coordinated
digital database of images and information on
plants of the world 250,000

Bishop Museum,
Honolulu, Hawaii:

To support the development of a coordinated
digital database of images and information on
plants of the world 36,000

Botanische Staatssammlung München,
Munich, Germany:

To support the development of a coordinated
digital database of images and information on
plants of the world 143,000

To continue support for the development of a
coordinated digital database of images and
information on plants of the world 30,000

California Academy of Sciences,
San Francisco, California:

To support the development of a coordinated
digital database of images and information on
plants of the world 116,000

CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

Carnegie Institution of Washington,
Washington, DC:

To support a program of ecological research and training	550,000
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Conservatoire et Jardin Botaniques,
Geneva, Switzerland:

To support the development of a coordinated digital database of images and information on plants of the world	535,000
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Field Museum of Natural History,
Chicago, Illinois:

To support the development of a coordinated digital database of images and information on plants of the world	136,000
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Flora of North America Association, Inc.,
Point Arena, California:

To support the development of a coordinated digital database of images and information on plants of the world	200,000
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Free University of Berlin,
Berlin, Germany:

To support the development of a coordinated digital database of images and information on plants of the world	196,000
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Friedrich-Schiller-Universität Jena,
Jena, Germany:

To support the development of a coordinated digital database of images and information on plants of the world	169,000
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CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

Fundación Instituto Botánico de Venezuela,
Caracas, Venezuela:

To support the development of a coordinated
digital database of images and information on
plants of the world 24,000

Georg-August-Universität Göttingen,
Göttingen, Germany:

To continue support for the development of a
coordinated digital database of images and
information on plants of the world 97,000

Tbilisi Botanical Garden and Institute of Botany,
Tbilisi, Georgia:

To support the development of a coordinated
digital database of images and information on
plants of the world 23,000

Harvard University,
Cambridge, Massachusetts:

To support the development of a coordinated
digital database of images and information on
plants of the world 172,000

Legal Personality of the National Botanic
Garden of Belgium,
Meise, Belgium:

To support the development of a coordinated
digital database of images and information on
plants of the world 206,000

To continue support for the development of a
coordinated digital database of images and
information on plants of the world 182,000

CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

The Linnean Society of London,
London, United Kingdom:

To support the development of a coordinated
digital database of images and information on
plants of the world 104,000

To continue support for the development of a
coordinated digital database of images and
information on plants of the world 104,000

The M.G. Kholodny Institute of Botany of the
National Academy of Sciences of Ukraine,
Kiev, Ukraine:

To continue support for the development of a
coordinated digital database of images and
information on plants of the world 64,000

The Marie Selby Botanical Gardens, Inc.,
Sarasota, Florida:

To support the development of a coordinated
digital database of images and information on
plants of the world 32,500

Martin Luther University Halle-Wittenberg,
Halle, Germany:

To support the development of a coordinated
digital database of images and information on
plants of the world 145,000

Michigan State University,
East Lansing, Michigan:

To support the development of a coordinated
digital database of images and information on
plants of the world 23,000

CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

Missouri Botanical Garden,
St. Louis, Missouri:

To support the development of a coordinated
digital database of images and information on
plants of the world 168,000

Museo Ecuatoriano de Ciencias Naturales,
Quito, Ecuador:

To support the development of a coordinated
digital database of images and information on
plants of the world 13,000

Muséum national d'Histoire naturelle,
Paris, France:

To support the development of a coordinated
digital database of images and information on
plants of the world 485,000

National Tropical Botanical Garden,
Kalaheo, Hawaii:

To support the development of a coordinated
digital database of images and information on
plants of the world 15,000

The Natural History Museum,
London, United Kingdom:

To support the development of a coordinated
digital database of images and information on
plants of the world 60,000

To continue support for the development of a
coordinated digital database of images and
information on plants of the world 446,000

To continue support for the development of a
coordinated digital database of images and
information on plants of the world 91,000

To continue support for the development of a
coordinated digital database of images and
information on plants of the world 72,000

CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

Naturhistorisches Museum Wien,
Vienna, Austria:

To support the development of a coordinated digital database of images and information on plants of the world	361,000
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New York Botanical Garden,
Bronx, New York:

To provide general support of science and library programs	500,000
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To support the development of a coordinated digital database of images and information on plants of the world	250,000
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To continue support for the development of a coordinated digital database of images and information on plants of the world	366,000
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To continue support for the development of a coordinated digital database of images and information on plants of the world	265,000
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Oregon State University,
Corvallis, Oregon:

To support the development of a coordinated digital database of images and information on plants of the world	15,000
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Pontificia Universidad Católica del Ecuador,
Quito, Ecuador:

To support the development of a coordinated digital database of images and information on plants of the world	52,000
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Rancho Santa Ana Botanic Garden,
Claremont, California:

To support the development of a coordinated digital database of images and information on plants of the world	20,500
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CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

Real Jardín Botánico de Madrid,
Madrid, Spain:

To continue support for the development of a coordinated digital database of images and information on plants of the world 110,000

The Royal Botanic Garden Edinburgh,
Edinburgh, United Kingdom:

To support the development of a coordinated digital database of images and information on plants of the world 205,000

Royal Botanic Gardens, Kew,
Richmond, United Kingdom:

To support the development of a coordinated digital database of images and information on plants of the world 620,000

To continue support for the development of a coordinated digital database of images and information on plants of the world 234,000

To continue support for the development of a coordinated digital database of images and information on plants of the world 115,000

Royal Horticultural Society,
London, United Kingdom:

To support the development of a coordinated digital database of images and information on plants of the world 22,000

Scientific Production Centre “Botanika”,
Tashkent, Uzbekistan:

To support the development of a coordinated digital database of images and information on plants of the world 32,000

CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

Smithsonian Institution,
Washington, DC:

To support the development of a coordinated
digital database of images and information on
plants of the world 420,000

Sociedad Argentina de Botánica,
Buenos Aires, Argentina:

To support an international conference on legumes 20,000

Swedish Museum of Natural History,
Stockholm, Sweden:

To support the development of a coordinated
digital database of images and information on
plants of the world 270,000

To continue support for the development of a
coordinated digital database of images and
information on plants of the world 187,000

Universidad de Antioquia,
Medellín, Colombia:

To support the development of a coordinated
digital database of images and information on
plants of the world 10,000

Universidad de Buenos Aires,
Buenos Aires, Argentina:

To support the development of a coordinated
digital database of images and information on
plants of the world 18,000

University of California at Berkeley,
Berkeley, California:

To support programs of ecological research
and training 90,000

CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

University of California at Santa Barbara,
Santa Barbara, California:

To support programs of ecological research and training	180,000
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University of Cape Town,
Cape Town, South Africa:

To support programs of ecological research and training	368,000
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To support programs of ecological research and training	300,000
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To support programs of ecological research and training	237,000
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University of Florida at Gainesville,
Gainesville, Florida:

To support the development of a coordinated digital database of images and information on plants of the world	32,000
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University of Graz,
Graz, Austria:

To continue support for the development of a coordinated digital database of images and information on plants of the world	76,000
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University of Hamburg,
Hamburg, Germany:

To support the development of a coordinated digital database of images and information on plants of the world	145,000
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University of Helsinki,
Helsinki, Finland:

To continue support for the development of a coordinated digital database of images and information on plants of the world	114,000
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CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

University of Illinois at Urbana-Champaign,
Champaign, Illinois:

To support the development of a coordinated
digital database of images and information on
plants of the world 92,000

University of Notre Dame,
Notre Dame, Indiana:

To support the development of a coordinated
digital database of images and information on
plants of the world 56,000

University of Washington,
Seattle, Washington:

To support the development of a coordinated
digital database of images and information on
plants of the world 15,000

University of Wisconsin at Madison,
Madison, Wisconsin:

To support the development of a coordinated
digital database of images and information on
plants of the world 55,000

University of Wyoming,
Laramie, Wyoming:

To support the development of a coordinated
digital database of images and information on
plants of the world 61,000

To continue support for the development of a
coordinated digital database of images and
information on plants of the world 29,000

Wageningen University,
Department of Plant Sciences,
Wageningen, The Netherlands:

To continue support for the development of a
coordinated digital database of images and
information on plants of the world 607,000

CONSERVATION AND
THE ENVIRONMENT

(continued)

*Appropriated*Yale University,
New Haven, Connecticut:

To support the development of a coordinated
digital database of images and information on
plants of the world 42,000

Total—Conservation and the Environment \$11,587,000

PUBLIC AFFAIRS

*Appropriated*Independent Sector,
Washington, DC:

To support the 2010 annual conference	\$	25,000
		<hr/>
Total—Public Affairs	\$	<u>25,000</u>

CONTRIBUTIONS *Appropriated*

Doe Fund, Inc., New York, New York:		
To provide general support	\$	40,000
Foundation Center, New York, New York:		
To provide general support		30,000
GrowNYC, New York, New York:		
To provide general support in conservation and preserving the environment in New York City		30,000
GuideStar USA, Inc., Williamsburg, Virginia:		
To support GuideStar's membership program		25,000
Nonprofit Coordinating Committee of New York, Inc., New York, New York:		
To provide general operating support		<u>75,000</u>
Total—Contributions	\$	200,000
Matching Gifts	\$	<u>1,076,977</u>
Grand Totals		<u><u>\$222,274,580</u></u>

Financial Statements

REPORT OF INDEPENDENT AUDITORS

To the Board of Trustees of
The Andrew W. Mellon Foundation:

In our opinion, the accompanying balance sheets and the related statements of activities and cash flows present fairly, in all material respects, the financial position of The Andrew W. Mellon Foundation (the "Foundation") at December 31, 2010 and 2009, and the changes in its net assets and its cash flows for the years then ended in conformity with accounting principles generally accepted in the United States of America. These financial statements are the responsibility of the Foundation's management. Our responsibility is to express an opinion on these financial statements based on our audits. We conducted our audits of these statements in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements, assessing the accounting principles used and significant estimates made by management, and evaluating the overall financial statement presentation. We believe that our audits provide a reasonable basis for our opinion.

PricewaterhouseCoopers LLP

May 20, 2011

The Andrew W. Mellon Foundation

Balance Sheets

December 31, 2010 and 2009

	<u>2010</u>	<u>2009</u>
	<i>(in thousands of dollars)</i>	
ASSETS		
Investments		
Marketable securities	\$ 1,934,796	\$ 1,969,850
Alternative investments	<u>3,498,081</u>	<u>3,020,122</u>
	5,432,877	4,989,972
Payable from unsettled securities purchases, net . .	<u>(22,333)</u>	<u>(365)</u>
	5,410,544	4,989,607
Cash	2,711	3,526
Investment and other income receivable	3,726	4,125
Other assets	3,461	3,585
Taxes receivable	3,357	3,472
Property, at cost, less accumulated depreciation of \$20,174 and \$17,554 at December 31, 2010 and 2009, respectively	<u>44,744</u>	<u>47,215</u>
Total assets	<u>\$ 5,468,543</u>	<u>\$ 5,051,530</u>
LIABILITIES AND NET ASSETS		
Liabilities		
Grants payable	\$ 39,717	\$ 51,106
Accrued expenses, including interest payable . . .	11,977	14,447
Deferred federal excise tax	15,100	7,300
Long term debt	<u>274,350</u>	<u>274,350</u>
Total liabilities	341,144	347,203
Net assets (unrestricted)	<u>5,127,399</u>	<u>4,704,327</u>
Total liabilities and net assets	<u>\$ 5,468,543</u>	<u>\$ 5,051,530</u>

The accompanying notes are an integral part of these financial statements.

The Andrew W. Mellon Foundation

Statements of Activities

Years Ended December 31, 2010 and 2009

	<u>2010</u>	<u>2009</u>
	<i>(in thousands of dollars)</i>	
INVESTMENT RETURN		
Gain (loss) on investments		
Realized, net	\$ 281,600	\$ (119,200)
Unrealized, net	382,834	951,338
Interest	24,781	19,275
Dividends	15,928	16,895
Other income	176	194
	<u>705,319</u>	<u>868,502</u>
Less: Investment management expenses	<u>(12,945)</u>	<u>(11,703)</u>
Net investment return	<u>692,374</u>	<u>856,799</u>
EXPENSES		
Program grants and contributions, net	233,650	214,083
Grantmaking operations	13,577	15,040
Direct charitable activities	2,450	2,467
Investment operations	6,171	5,412
Interest	9,560	5,184
Current provision for taxes	3,712	119
Other expenses	182	139
	<u>269,302</u>	<u>242,444</u>
Change in net assets	423,072	614,355
NET ASSETS (UNRESTRICTED)		
Beginning of year	<u>4,704,327</u>	<u>4,089,972</u>
End of year	<u>\$ 5,127,399</u>	<u>\$ 4,704,327</u>

The accompanying notes are an integral part of these financial statements.

The Andrew W. Mellon Foundation

Statements of Cash Flows

Years Ended December 31, 2010 and 2009

	<u>2010</u>	<u>2009</u>
	<i>(in thousands of dollars)</i>	
Cash flow from investment income and operations		
Change in net assets	\$ 423,072	\$ 614,355
Adjustments to reconcile change in unrestricted net assets to net cash used by investment income and operations		
Realized (gain) loss on investments, net	(281,600)	119,200
Unrealized gain on investments, net	(390,634)	(958,638)
Decrease in investment and other income receivable	399	1,205
Decrease (increase) in other assets	124	(2,607)
Decrease in taxes receivable	115	72
Decrease in grants payable	(11,389)	(1,587)
(Decrease) increase in accrued expenses	(2,470)	9,583
Depreciation and amortization expense	2,620	2,637
Increase in deferred federal excise tax payable . .	7,800	7,300
Net effect of bond amortization	629	605
Total adjustments	<u>(674,406)</u>	<u>(822,230)</u>
Net cash used by investment income and operations	<u>(251,334)</u>	<u>(207,875)</u>
Cash flow from investing activities		
Proceeds from sales of marketable securities		
Short-term	1,549,579	2,921,198
Other	3,107,543	3,650,036
Receipts from alternative investments	512,003	258,045
Net returns on financial instruments	1,963	4,229
Purchases of marketable securities		
Short-term	(1,417,200)	(2,989,062)
Other	(2,958,497)	(3,449,879)
Purchases of alternative investments	(544,722)	(416,541)
Additions to property	(150)	—
Net cash provided (used) by investing activities . . .	<u>250,519</u>	<u>(21,974)</u>
Cash flow from financing activities		
Bond proceeds	—	230,000
Net cash provided by financing activities	—	230,000
Net (decrease) increase in cash	(815)	151
Cash		
Beginning of year	3,526	3,375
End of year	<u>\$ 2,711</u>	<u>\$ 3,526</u>
<i>Supplemental disclosure of noncash investing activities</i>		
Distributions of securities received from alternative investments	<u>\$ 28,841</u>	<u>\$ 19,014</u>

The accompanying notes are an integral part of these financial statements.

The Andrew W. Mellon Foundation

NOTES TO FINANCIAL STATEMENTS

December 31, 2010 and 2009

1. ORGANIZATION AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

The Andrew W. Mellon Foundation (the “Foundation”) is a not-for-profit corporation under the laws of the State of New York. The Foundation makes grants in five core program areas: higher education; scholarly communications and information technology; performing arts; museums and art conservation; and conservation and the environment.

The financial statements of the Foundation have been prepared in conformity with accounting principles generally accepted in the United States of America (“GAAP”). The significant accounting policies followed are described below.

Investments

The Foundation’s financial assets and financial liabilities are stated at fair value. Fair value is defined as the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date.

The Foundation utilizes the practical expedient in valuing certain of its investments where ownership is represented by a portion of partnership capital or shares representing a net asset value investment. The practical expedient is an acceptable method under GAAP to determine the fair value of investments that (i) do not have a readily determinable fair value predicated upon a public market and (ii) have the attributes of an investment company or prepare their financial statements consistent with the measurement principles of an investment company.

A fair value hierarchy prioritizes the inputs to valuation techniques used to measure fair value. The hierarchy gives the highest priority to unadjusted quoted prices in active markets for identical assets (Level 1 measurements) and the lowest priority to unobservable inputs (Level 3 measurements). The three levels of the fair value hierarchy are as follows:

Level 1 Inputs that reflect unadjusted quoted prices in active markets for identical assets or liabilities that the Foundation has the ability to access at the measurement date.

Level 2 Inputs other than quoted prices that are observable for the asset or liability either directly or indirectly, including inputs in markets that are not considered to be active.

Level 3 Inputs that are unobservable.

Inputs are used in applying the various valuation techniques and refer to the assumptions that market participants use to make valuation decisions. Inputs may include price information, credit data, liquidity statistics and other factors. A financial instrument’s level within the fair value hierarchy is based on the lowest level of any input that is significant to the fair value measurement. The Foundation considers observable data to be that market data which is readily available and reliable and provided by independent sources. The categorization of a financial instrument within the hierarchy is therefore based upon the pricing transparency of the instrument and does not necessarily correspond to the Foundation’s perceived risk of that instrument.

Investments whose values are based on quoted market prices in active markets are classified as Level 1 and include active listed equities, options and certain short-term fixed income investments. The Foundation does not adjust the quoted price for such instruments, even in situations where the Foundation holds a large position and a sale of all its holdings could reasonably impact the quoted price.

Investments that trade in markets that are not considered to be active, but are valued based on quoted market prices, dealer quotations, or alternative pricing sources are classified as Level 2. These include certain US government and sovereign obligations, government agency obligations, investment grade corporate bonds and less liquid equity securities.

Investments classified as Level 3 have significant unobservable inputs, as they trade infrequently or not at all. The inputs into the determination of fair value are based upon the best information in the circumstance and may require significant management judgment. The vast majority of the Foundation's alternative investments are classified as Level 3. These investments are primarily made under agreements to participate in limited partnerships and are generally subject to certain withdrawal restrictions. Values for these partnerships, which may include investments in both nonmarketable and market-traded securities, are provided by the general partner and may be based on recent transactions, cash flow forecasts, appraisals and other factors. Market values may be discounted for concentration of ownership. Because of the inherent uncertainty of valuing the investments in such partnerships and certain of the underlying investments held by the partnerships, the Foundation's estimate of fair value may differ significantly from the values that would have been used had a ready market for the investments existed. The financial statements of the limited partnerships are audited annually by independent auditing firms. Investments in these partnerships may be illiquid, and thus there can be no assurance that the Foundation will be able to realize the full recorded fair value of such investments in a timely manner.

Realized gains and losses on investments in securities are calculated based on the first-in, first-out identification method. Included in payable from unsettled securities purchases in the accompanying Balance Sheets are payables of \$33.6 million and \$29.6 million at December 31, 2010 and 2009, respectively, net of receivables from unsettled securities sales of \$11.3 million and \$29.2 million at December 31, 2010 and 2009, respectively.

Grants

Grant appropriations include both conditional and unconditional grants. Unconditional grants are expensed when appropriated. Certain grants are approved by the Trustees subject to the grantee fulfilling specific conditions, most frequently that all or a portion of the grant funds be matched in a specified ratio. Such conditional grants are considered commitments and are not recorded as expense until the Foundation determines that the material conditions of the grant are substantially met or such meeting of conditions is probable.

Substantially all grants payable are due within one year and are recorded at face value.

Taxes

The Foundation qualifies as a tax-exempt organization under Section 501(c) (3) of the Internal Revenue Code and, accordingly, is not subject to federal income taxes. However, the Foundation is subject to a federal excise tax. The Foundation follows the policy of providing for federal excise tax on the net appreciation (both realized and unrealized) of investments. The deferred federal excise tax in the accompanying financial statements represents tax provided on the net unrealized appreciation of investments. Under federal tax law the Foundation cannot carry forward realized losses resulting from the sale of investments. The Foundation is subject to income tax at corporate rates on certain income that is considered unrelated business income under the Internal Revenue Code. The Foundation's tax returns are subject to examination by federal and various state tax authorities. With few exceptions the Foundation is no longer subject to tax examinations for years prior to 2007.

Notes to Financial Statements, (continued)

Property

Property consists of land held at cost, and buildings and their improvements located in New York City. These buildings are depreciated on a straight-line basis over their useful lives, generally twenty-five to twenty-eight years. Building improvements are depreciated over the remaining useful life of the building.

Investment Return

Investment return includes income and realized and unrealized gains or losses on all investments. Unrealized gain or loss comprises the change in unrealized appreciation or depreciation on marketable securities and alternative investments, net of deferred federal excise tax provided on such unrealized appreciation. Realized gains or losses include gains or losses realized on the sale of marketable securities and the Foundation's share of the operating results of partnership investments, whether distributed or undistributed.

Expenses

Grantmaking operations include all costs related to appropriating, paying and administering grants. Direct charitable activities include building operating expenditures for ARTstor Inc. ("ARTstor") and Ithaca Harbors, Inc. ("Ithaca"), which are independent not-for-profit entities, and expenditures for research. Investment operations include the costs of supervising the Foundation's investment portfolio. Interest expense includes interest, commitment fees and remarketing fees incurred in connection with servicing the Foundation's bonds payable. Current provision for taxes includes federal and state taxes. Other expenses include certain expenses that the Foundation is not permitted to report either as an expense of distribution or an expense of earning income.

Salaries and benefits are allocated to the activities listed above, and also to core administration, based on estimates of the time each staff member devoted to that activity. Core administration expenses are then prorated among the activities listed above on the basis of the direct salary allocations. Identifiable costs, such as consultants, are charged directly to each activity.

Amounts for program grants, grantmaking operations, and direct charitable activities shown on the Statement of Activities will not agree with the amounts on the Foundation's Form 990PF, the federal excise tax return, because a cash basis is required for reporting the expenses of distribution for tax purposes as contrasted with the accrual basis used in preparing the accompanying financial statements.

The administrative expenses of distribution, including direct charitable activities, were \$16.0 million (7.2% of appropriated program grants) in 2010, compared to \$17.5 million (8.8% of appropriated grants) in 2009.

Investment management expenses are the direct costs of portfolio management, including fees for investment management, custody and advisory services.

The Foundation's expenses by natural classification are as follows for 2010 and 2009:

	<u>2010</u>	<u>2009</u>
	<i>(in thousands of dollars)</i>	
Program grants and contributions, net . . .	\$233,650	\$214,083
Salaries, pensions and benefits	13,989	14,885
Interest	9,560	5,184
Current provision for taxes	3,712	119
Other operating expenses	8,391	8,173
	<u>\$269,302</u>	<u>\$242,444</u>

Use of Estimates

The preparation of financial statements in accordance with GAAP requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenses during the reported periods. Actual results could differ from those estimates.

Reclassifications

Certain 2009 amounts have been reclassified to conform to the 2010 presentation.

2. INVESTMENTS

Marketable securities held at December 31, 2010 and 2009 are summarized as follows:

	<i>December 31, 2010</i>		<i>December 31, 2009</i>	
	<i>Fair Value</i>	<i>Cost</i>	<i>Fair Value</i>	<i>Cost</i>
	<i>(in thousands of dollars)</i>			
Equities	\$1,269,547	\$1,015,460	\$1,153,955	\$1,011,082
Fixed income	486,098	486,732	505,652	503,516
Short-term	179,206	179,140	311,527	311,505
Derivative financial instruments	(55)	(56)	(1,284)	(769)
	<u>\$1,934,796</u>	<u>\$1,681,276</u>	<u>\$1,969,850</u>	<u>\$1,825,334</u>

The classification of investments by level within the valuation hierarchy as of December 31, 2010 is as follows:

	<i>Total</i>	<i>Quoted</i>	<i>Significant</i>	<i>Significant</i>
		<i>Prices</i>	<i>Observable</i>	<i>Unobservable</i>
		<i>(Level 1)</i>	<i>Inputs</i>	<i>Inputs</i>
			<i>(Level 2)</i>	<i>(Level 3)</i>
	<i>(in thousands of dollars)</i>			
Marketable securities	\$1,934,796	\$1,012,847	\$ 921,234	\$ 715
Alternative investments . . .	3,498,081	—	178,015	3,320,066
Payable from unsettled securities purchases, net . .	(22,333)	(22,333)	—	—
	<u>\$5,410,544</u>	<u>\$ 990,514</u>	<u>\$1,099,249</u>	<u>\$3,320,781</u>

The classification of investments by level within the valuation hierarchy as of December 31, 2009 is as follows:

	<i>Total</i>	<i>Quoted</i>	<i>Significant</i>	<i>Significant</i>
		<i>Prices</i>	<i>Observable</i>	<i>Unobservable</i>
		<i>(Level 1)</i>	<i>Inputs</i>	<i>Inputs</i>
			<i>(Level 2)</i>	<i>(Level 3)</i>
	<i>(in thousands of dollars)</i>			
Marketable securities	\$1,969,850	\$1,067,428	\$ 897,816	\$ 4,606
Alternative investments . . .	3,020,122	—	180,455	2,839,667
Payable from unsettled securities purchases, net	(365)	(365)	—	—
	<u>\$4,989,607</u>	<u>\$1,067,063</u>	<u>\$1,078,271</u>	<u>\$2,844,273</u>

Notes to Financial Statements, (continued)

The reconciliation of activity for Level 3 investments is as follows:

	2010		2009	
	Marketable Securities	Alternative Investments	Marketable Securities	Alternative Investments
	<i>(in thousands of dollars)</i>			
Balance at January 1	\$ 4,606	\$2,839,667	\$ 182,877	\$2,393,535
Transfer	—	23,741	(140,028)	(143,633)
Net realized gains	1,131	125,954	11,556	40,339
Income (losses)	—	53,098	—	(21,859)
Purchases	1,340	544,722	—	416,541
Distributions/Redemptions . .	(5,632)	(540,844)	(47,644)	(272,546)
Net unrealized gains (losses) .	(730)	273,728	(2,155)	427,290
Balance at December 31	<u>\$ 715</u>	<u>\$3,320,066</u>	<u>\$ 4,606</u>	<u>\$2,839,667</u>

Net unrealized gains (losses) included in the Statements of Activities for investments held at December 31, 2010 are \$(692) thousand for marketable securities and \$273.7 million for alternative investments, respectively. Net unrealized gains (losses) included in the Statements of Activities for investments held at December 31, 2009 were \$(2.2) million for marketable securities and \$431.5 million for alternative investments, respectively.

Set forth below is additional information pertaining to alternative investments as of December 31, 2010 and 2009:

	Fair Value	Fair Value	Redemption Frequency	Redemption Notice Period
	December 31, 2010	December 31, 2009		
	<i>(in thousands of dollars)</i>			
Equity long only (1)	\$ 64,405	\$ 54,984	Quarterly	30 Days
Equity long/short (2)	328,812	255,076	Quarterly/ Annually	30-60 Days
Limited liquidity (3)	946,777	896,363	Quarterly/ Annually	45-180 Days
Private partnerships (4) . .	<u>2,158,087</u>	<u>1,813,699</u>		
	<u>\$3,498,081</u>	<u>\$3,020,122</u>		

- (1) This category includes investments in funds that invest in equity securities in domestic and international markets, including emerging markets. The Foundation estimates that approximately 57% of the value of these funds can be redeemed prior to 2013. There are no unfunded commitments in this category.
- (2) This category includes investments in funds that invest long and short in domestic and international securities, primarily equity securities. The Foundation estimates that approximately 74% of the value of these funds can be redeemed prior to 2012. There are no unfunded commitments in this category.
- (3) This category includes investments in funds that invest in a variety of privately held and publicly available securities, including equities, corporate and government bonds, convertibles, asset backed and derivatives, and includes investments in domestic and international markets. The Foundation estimates that approximately 74% of the value of these funds can be redeemed prior to 2012. There are no unfunded commitments in this category.

- (4) This category includes investments in private equity, venture capital, buyout, credit opportunity, real estate and energy-related funds. These funds invest both domestically and internationally across a broad spectrum of industries. Generally these funds cannot be redeemed; instead, the nature of the investments is that distributions will be received as the underlying investments of the fund are liquidated. Unfunded commitments at December 31, 2010 were \$951 million, compared to \$1.20 billion at December 31, 2009.

Through certain investment managers, the Foundation is a party to a variety of interest rate swaps and options. The extent of the Foundation's involvement in these instruments is determined by the composition of the investment portfolio and the investment managers' expectations as to the direction and volatility of equity and fixed income markets as well as other economic factors. At December 31, 2010, approximately \$1.3 million in assets and \$1.5 million of liabilities related to these financial instruments are included in derivative financial instruments. At December 31, 2009, approximately \$600 thousand in assets and \$2.0 million of liabilities related to these financial instruments were included in derivative financial instruments.

Through certain investment managers, the Foundation purchases and sells forward currency contracts whereby the Foundation agrees to exchange one currency for another on an agreed-upon date at an agreed-upon exchange rate to minimize the exposure of certain of its marketable securities to adverse fluctuations in financial and currency markets. At December 31, 2010, the Foundation had open foreign currency contracts with notional amounts of approximately \$87.7 million in assets and \$87.6 million in liabilities included in derivative financial instruments. At December 31, 2009, the Foundation had open foreign currency contracts with notional amounts of approximately \$30.3 million in assets and \$30.2 million in liabilities included in derivative financial instruments. All of these derivative financial instruments are carried at fair value, and changes in fair value are recognized currently in the Statements of Activities.

Financial instruments such as those described above involve, to varying degrees, elements of market risk and credit risk in excess of the amounts recorded on the balance sheet. Market risk represents the potential loss the Foundation faces due to the decrease in the value of financial instruments. Credit risk represents the maximum potential loss the Foundation faces due to possible non-performance by obligors and counterparties as to the terms of their contracts.

Management does not anticipate that losses, if any, resulting from its market or credit risks would materially affect the financial position and operations of the Foundation.

The Foundation invests in a variety of fixed income securities and contractual instruments, which by their nature are interest rate sensitive. Changes in interest rates will affect the value of such securities and contractual instruments.

3. BONDS PAYABLE

At December 31, 2010, bonds payable consists of \$230 million of bonds issued in June 2009 (the "Fixed Rate Bonds") and \$44.4 million of bonds issued in June 2008 (the "Variable Rate Bonds").

The Fixed Rate Bonds have a maturity date of August 1, 2014. These bonds bear a 3.95% fixed rate of interest, payable semi-annually. The bonds may be redeemed at any time by the Foundation at a price equal to the greater of (i) 100% of the principal amount, and (ii) the sum of the present value of the remaining scheduled payments of principal and interest. The Foundation estimates that the fair value of the Fixed Rate Bonds at December 31, 2010 and 2009 was \$243.4 million and \$238.4 million, respectively. Interest incurred in 2010 and 2009 for the Fixed Rate Bonds was \$9.1 million and \$4.7 million, respectively.

Notes to Financial Statements, (continued)

The Variable Rate Bonds have a maturity date of December 1, 2032. Bond interest is reset weekly by the Foundation's bond agent. Bond holders have the right to tender their bonds to the bond agent weekly, and the agent has an obligation to remarket such bonds. Bonds that cannot be remarketed must be redeemed by the Foundation. The Foundation believes that the fair value of the Variable Rate Bonds approximates the book value. The average interest rate applicable in 2010 for the Variable Rate Bonds was 0.3% and in 2009 was 0.6%. Interest incurred in 2010 and 2009 was \$137 thousand and \$226 thousand, respectively.

In connection with the Variable Rate Bond offering, the Foundation entered into a \$30 million dedicated line of credit agreement. Borrowings, if any, under this line of credit are at the discretion of the Foundation and are to be used solely to fund redemption requirements of the Variable Rate Bonds. The line of credit agreement expires on September 8, 2011. This facility has an annual commitment fee on unfunded commitments of 0.20%. As of December 31, 2010 and 2009, there were no borrowings outstanding under the line of credit.

4. TAXES

The Internal Revenue Code imposes an excise tax on private foundations equal to two percent of net investment income (principally interest, dividends, and net realized capital gains, less expenses incurred in the production of investment income). This tax is reduced to one percent when a foundation meets certain distribution requirements under Section 4940(e) of the Internal Revenue Code. The Foundation qualified for the one percent rate in 2010 and in 2009. Certain income defined as unrelated business income by the Code may be subject to tax at ordinary corporate rates.

The provision for taxes consists of a current provision for the federal excise taxes on net investment income and federal and state taxes on unrelated business income and a deferred provision on the change in unrealized appreciation of investments. The current tax provision for 2010 includes a \$4.0 million provision for federal excise tax on net investment income. The current tax provision for 2009 included \$88 thousand benefit for federal excise tax on net investment income. Federal and state taxes on unrelated business income were immaterial in 2010 and 2009. The change in unrealized appreciation in 2010 and 2009 reflected on the Statements of Activities includes a provision for deferred taxes of \$7.8 million and \$7.3 million, respectively, based on net unrealized appreciation of investments at two percent. Taxes paid, net of refunds, in 2010 and 2009 were \$3.6 million and \$46 thousand, respectively.

5. GRANTS, CONTRIBUTIONS, AND COMMITMENTS

The following table of grant activity by major program area includes all grant appropriations approved during 2010. Grants payable and committed at December 31, 2009 have been adjusted to reflect a cancellation of \$8 thousand.

	<i>Payable and Committed December 31, 2009</i>	<i>2010 Grants and Commitments</i>		<i>Payable and Committed December 31, 2010</i>
		<i>Appropriated</i>	<i>Paid</i>	
		<i>(in thousands of dollars)</i>		
Higher Education and Scholarship	\$ 55,671	\$122,512	\$147,364	\$30,819
Scholarly Communications and Information Technology	3,875	29,856	30,871	2,860
Performing Arts	9,902	36,551	34,600	11,853
Museums and Art Conservation	18,716	20,467	18,759	20,424
Conservation and the Environment	2,500	11,587	12,905	1,182
Public Affairs	—	25	25	—
Program grants and commitments — totals . .	90,664	220,998	244,524	67,138
Contributions and matching gifts	—	1,277	1,277	—
	<u>\$ 90,664</u>	<u>\$222,275</u>	<u>\$245,801</u>	<u>\$67,138</u>

Grant and grant commitment activity is summarized below.

	<i>2010</i>	<i>2009</i>
	<i>(in thousands of dollars)</i>	
Grants payable		
Grants payable at January 1	\$ 51,106	\$ 52,693
Grant expense	234,412	214,575
Less: Grants paid	(245,801)	(216,162)
Grants payable at December 31	<u>\$ 39,717</u>	<u>\$ 51,106</u>
Net grant expense		
Unconditional grants	\$ 189,842	\$ 181,081
Conditional grants meeting conditions for expense	44,570	33,494
	234,412	214,575
Less: Grant refunds	(762)	(492)
Net grant expense at December 31 . . .	<u>\$ 233,650</u>	<u>\$ 214,083</u>
Grant commitments		
Grant commitments at January 1	\$ 39,558	\$ 54,651
Less: Commitments cancelled	—	(8)
Conditional grants appropriated	32,433	18,409
Less: Grants meeting conditions for expense	(44,570)	(33,494)
Grant commitments at December 31 . .	<u>\$ 27,421</u>	<u>\$ 39,558</u>

Notes to Financial Statements, (continued)

6. OTHER SERVICES

Pursuant to agreements between the Foundation and Ithaka and ARTstor, the following services and arrangements have been provided:

- Ithaka provides information technology services to the Foundation. In 2010 and 2009, Ithaka charged \$786 thousand and \$878 thousand, respectively, to the Foundation for these services.
- The Foundation provides office space, free of charge, to Ithaka and ARTstor in a building owned by the Foundation in New York City. Under the terms of the building lease, which expires December 31, 2014, office space is provided rent free; however, Ithaka and ARTstor assume certain building operating costs.

7. SUBSEQUENT EVENTS

The Foundation has evaluated subsequent events through May 20, 2011 and believes no additional disclosures are required in its financial statements.