

The Andrew W. Mellon Foundation

*Report
from January 1, 2001
through December 31, 2001*

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THE ANDREW W. MELLON FOUNDATION, a not-for-profit corporation under the laws of the State of New York, is the result of 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 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 six core program areas: higher education; museums and art conservation; performing arts; population; conservation and the environment; and public affairs. Collaborative planning by the Foundation and its grantee institutions generally precedes 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 their request, along with evidence of suitable classification by the Internal Revenue Service. The Foundation does not make grants to individuals or to primarily local organizations.

Within each of its six program areas, 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 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. These considerations require thoughtful, long-term collaboration with recipients.

The Foundation makes its particular areas of emphasis within core program areas 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 six core program areas 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

September 11 and Its Aftermath

No account of the year just past could fail to acknowledge the impact on all of us of the attacks on the World Trade Center and the Pentagon. During the day of September 11, staff at the Foundation's offices in New York did the same kinds of things as so many others in the city did—contacted family members, colleagues, and friends; attempted to find those thought to be in downtown Manhattan on that fateful morning; reassured one another as best we could; and simply tried to cope (including searching for places to sleep for those who could not get home). In the midst of bewilderment, fear, and bereavement, there was an extraordinary sense of “family” that united all those thrown together that day.

Our attention then turned more or less immediately to the search for appropriate responses by the Foundation as a grant-maker. The Trustees held a meeting (by telephone) ten days after the attack. At that meeting, the Trustees approved special recommendations prepared by Carolyn Makinson, the Foundation's program officer for population and refugee studies, that authorized the expenditure of modest funds to meet the immediate needs of not-for-profit organizations in Lower Manhattan with which the Foundation had an ongoing relationship and to support entities with special expertise that could help victims suffering from trauma.

The Trustees also discussed at some length the questions of whether and how the Foundation might make a considerably larger commitment in response to this unprecedented event. There was unanimous support for doing something substantial, and staff were instructed to develop specific proposals for consideration by the Trustees at a special meeting to be held later in the fall. While the Foundation's Trustees and staff were instinctively inclined to support the families of the victims—the firefighters, policemen, and those trapped in the buildings—we also felt that help would surely come from other sources for the needs of the victims' families because of the heart-wrenching immediacy of the disaster. The secondary effects on the community seemed less likely to receive necessary attention. Trying to do something that would help the

sectors that the Foundation knows well through its daily work seemed to be a way in which we might make a long-term difference to the institutions most directly affected, to all New Yorkers, and to those beyond New York who respect and value the contributions of these institutions.

Consistent with this line of thinking, the Trustees voted, at a special meeting on November 14, to create a \$50 million fund to be used primarily to assist New York City cultural organizations (especially museums, performing arts organizations, and libraries) that were directly affected by the events of September 11. The Trustees also wanted to do something that would be of even broader benefit to the people of New York. After considering various possibilities, it was decided to set aside a portion of the \$50 million fund to support the public parks that had been so important in the aftermath of the tragedy—as venues for people who needed to be with others, safe places where people could reflect and collect their thoughts, and places where people could give thanks for the safety of those who had survived the terrible ordeal.

In reaching their decision to provide significant funding for cultural and performing arts organizations affected directly by the attack and its aftermath, the Trustees were responding to both the tremendous rebuilding challenges that confronted everyone in the City of New York and the particular needs of a sector that has long been of special interest to the Mellon Foundation. New York City is many things, but among the institutions that help to define its special qualities are its museums, libraries, and theater, dance, and music organizations. The attack of September 11 had direct and substantial effects on these entities: nearly all suffered tremendous losses in revenue from visitors, donors, and governmental sources; many were forced to cancel long-planned events and, at the same time, to address compelling new needs. A number of these organizations, especially the smaller ones, were highly fragile to begin with, lacking reserves and operating with lean staffing. The very existence of some was threatened, and a number of their larger cousins were challenged to find ways to sustain core aspects of their operations. The Trustees' idea was to create a pool of resources that could assist this important group of New York institutions adjust to new fiscal realities.

All of us recognized, of course, that while \$50 million is a considerable sum, it would not begin to address the full range of urgent needs that confronted cultural and performing arts institutions in

New York. Thus, it was hoped that the creation of the fund would also have a strong “signaling effect,” calling attention to the issues facing these organizations, improving their morale, and encouraging others to provide additional help. Institutions of all sizes, with and without prior associations with the Foundation, were invited to submit proposals, and over several hundred requests for support were received and reviewed.¹

The first three grants, totaling approximately \$8 million, were made in late December. The recipients were three performing arts service organizations—Alliance of Resident Theatres/New York, American Music Center, and New York Foundation for the Arts—which, in turn, agreed to make grants to several hundred small and mid-sized performing arts organizations.² The process of reviewing requests from museums and related organizations continued apace, and in January 2002, a second round of grants, totaling approximately \$6.6 million, was made to 29 generally small to mid-sized museums and related organizations. The wide range of institutions helped in this round included the American Museum of the Moving Image, the Brooklyn Children’s Museum, El Museo Del Barrio, the Intrepid Sea, Air & Space Museum, the Jacques Marchais Museum of Tibetan Art, the New Museum of Contemporary Art, and the Smithsonian Institution–National Museum of the American Indian.

As this report is being drafted (mid-February 2002), consideration is being given to requests from parks, botanical gardens, libraries, and other museums and performing arts organizations, including many larger ones. The Foundation’s intention is to make all of the remaining grants under this special program by April.

¹ Responsibility for overseeing the administration of this special fund was entrusted to Dennis Sullivan, the Foundation’s Financial Vice President, and a special Trustee committee chaired by Hanna Gray. In carrying out these additional responsibilities, which he handled with characteristic care and dedication, Mr. Sullivan has been ably assisted by Michele Warman, the Foundation’s Secretary and General Counsel, several program officers and their deputies (most notably Angelica Rudenstine and Catherine Wichterman, as well as Donald Waters and William Robertson), and other administrative staff members.

² Apart from the \$50 million fund, grants were also approved at the December Board meeting to assist two organizations well qualified to support activities related to trauma counseling in New York and a third organization active in coordinating the responses of US humanitarian organizations to the crisis in Afghanistan (all listed in the Classification of Grants at the back of this report).

Careful stewardship and accountability are necessary, and we will report in detail on the allocation of these funds in next year's Annual Report, when we expect to list direct grants to at least 100 organizations under this program. But we do not want to delay in reporting that the response to this special initiative has been gratifying in many ways. Apart from receiving many very thoughtful expressions of thanks, staff have been struck by the generosity of spirit of so many leaders of the organizations involved. There has been very little self-promoting, and in many instances organizations that were themselves in serious straits understood and supported efforts by the Foundation to first address the needs of others that were in even greater difficulty.

What the Foundation has been able to do represents only a small part of what is needed, and the help of many individuals as well as civic agencies and other private funders is going to be required as cultural institutions of enormous importance to the vitality of civic life in New York seek to find their way after a tragedy beyond anyone's imagining. Recent reports of improved attendance notwithstanding, the museums, performing arts organizations, libraries, and parks continue to face daunting challenges—especially in light of the city's budgetary situation. I know that I speak for the Trustees as well as for our staff in saying that it has been a privilege to participate in what has been, and must continue to be, a truly collective effort.

The Scale of the Foundation's Grantmaking

In announcing the creation of the special \$50 million fund in response to the events of September 11, the Foundation made clear that this appropriation was "extra," and was not to come at the expense of the Foundation's regular grantmaking program, which is based on longer term assessments of needs and opportunities in the areas in which the Foundation is active. This clear separation was especially important in 2001, because it had been necessary at the start of the year to revise downward the base level of spending contemplated by the Trustees at their September 2000 Retreat. The size of the Foundation's endowment at the time of that Retreat—which had grown to approximately \$5 billion as a result of exceptional investment returns—led us to anticipate a grantmaking budget for 2001 of approximately \$210 million, and much of the dis-

cussion at that Retreat (as summarized in last year's Annual Report) focused on whether the Foundation should use its greatly enhanced grantmaking capacity to deepen its commitment to existing areas of emphasis or broaden its fields of activity. The decision was made to "deepen rather than broaden," and the sharp subsequent decline in stock market values makes that decision, in retrospect, look even wiser than it did at the time. As a consequence of this needed recalibration, we ended 2001 with base level appropriations of just under \$180 million (excluding the relatively small part of the \$50 million fund appropriated in December 2001), an appreciably lower figure than originally contemplated but still substantially higher than the base levels of \$156 million in 1999 and \$144 million in 1998.³

This high degree of volatility in investment returns required staff to adjust their grantmaking plans, but to do so without interrupting support for programs with long time horizons or changing signals in ways that would be disruptive for grantees. A combination of circumstances made it possible to achieve this balance. We were helped by the timely intuition of our Financial Vice President that some correction in stock market values was likely, by the steady rather than precipitous increases in grantmaking in those recent years when stock prices were rising so rapidly, and by the Foundation's longstanding practice of maintaining a sizable contingency fund. In fact, we were able not only to sustain important ongoing programs but also to launch a number of important new initiatives in 2001. As the balance of this report explains, these initiatives included the establishment of new programs in support of faculty in the humanities, vigorous pursuit of work in art imaging ("Art-STOR"), the creation of technology centers that we believe will benefit a large number of liberal arts colleges, new efforts to address system-wide needs in scholarly communication, and an increase in the international reach of the Foundation.⁴ The lack thus far of any real recovery in financial markets has led us to estab-

³ Appropriations in 2000 were \$220 million, but included in this record total were a number of one-time grants made in December 2000 that totaled roughly \$30 million; thus, the base level budget in 2000 was about \$190 million, or some \$10 million above the amount appropriated in 2001.

⁴ A complete list of appropriations approved during 2001 is provided at the back of this report. I have chosen to focus the discussion in the text on a small number of major themes.

lish a base-level grantmaking budget for 2002 of \$185 million—an amount that, while up only modestly from the corresponding figure for 2001, is sufficient to allow us to support these new programs as well as strengthen a number of ongoing activities.

*Faculty Fellowships in the Humanities
and Related Disciplines*

Last year's Annual Report signaled the development of a substantial number of new initiatives intended to reemphasize the Foundation's long-term commitment to the humanities and related disciplines. Taken together, these new initiatives, seen in conjunction with existing programs, are intended to sustain scholarship at all phases of a faculty member's professorial career as well as to support the leading institutions in which teaching and learning are pursued (including research universities, liberal arts colleges, research libraries, and centers for advanced study). Harriet Zuckerman and Joseph Meisel are the staff members responsible for direct oversight of these programs at the Foundation, and they have prepared a special essay summarizing the evolution of this group of programs and giving the rationale for them.⁵ It appears as the last part of this report, and presidents of colleges and universities, provosts, deans, and faculty members will, I believe, find it to be a comprehensive guide to the opportunities now being made available by the Foundation to faculty members and their home institutions, as well as to recent recipients of PhDs and aspiring doctoral candidates.

The specific programs described by Ms. Zuckerman and Mr. Meisel are key components of the Foundation's broader support for higher education, research libraries, and the field of scholarly communication. At a time when some other foundations are moving away from the support of higher education, grantmaking to these institutions, and to others active in supporting scholarship and scholarly communication, regularly accounts for between

⁵ Ms. Zuckerman and Mr. Meisel are responsible principally for grants to research universities and centers of advanced study; they collaborate closely with colleagues working with liberal arts colleges (Pat McPherson and Danielle Carr) and with publishers, archives, and libraries (Donald Waters and Suzanne Lodato) to ensure that opportunities for participation extend beyond the research university sector.

two-thirds and three-quarters of all of the Mellon Foundation's appropriations—well over \$130 million last year. While the Foundation continues to review and modify specific programs, adjusting the scale of some and bringing others to orderly conclusions as we launch new initiatives, we expect to maintain this overall emphasis.

The most visible of the new programs launched in 2001 is the Distinguished Achievement Awards. As Ms. Zuckerman and Mr. Meisel explain in their essay, these awards are intended to support the work of professors who have made major contributions to their own disciplines, whose influence may well extend more broadly to other fields, and whose current work promises to make significant new advances through both teaching and research. Recipients are chosen from fields such as classics, history, history of art, philosophy, musicology, and all areas of literary studies, and must hold tenured appointments at institutions of higher education in the United States. Amounting to as much as \$1.5 million each over three years, the awards will provide the recipients and their institutions with opportunities to deepen and extend humanistic research. As such, the awards will benefit not only the individual scholars but also their home departments and scholarship more broadly. A key feature of the program is that the scholars remain actively engaged in the intellectual lives of their institutions. The funds underwrite salaries, research assistance and expenses, and support for graduate students and colleagues working jointly with the awardees.

In November 2001, the Foundation announced the first five recipients of Distinguished Achievement Awards: Peter Brown (history, Princeton), Stephen Greenblatt (literature, Harvard), Sabine MacCormack (history, University of Michigan), Alexander Nehamas (philosophy, Princeton), and Robert Pippin (philosophy, University of Chicago). The selection panel of eminent scholars was chaired by the Foundation's Chairman, Hanna Gray.

The Distinguished Achievement Awards are intended to underscore the value of the humanities and to have significant effects on both the work of the recipients and on humanistic scholarship; they are not, however, designed to meet the more immediate and pressing needs of scholars in general. Other fellowship programs sponsored by the Foundation are designed to cover what might be called the "scholarly life-cycle." Because they are described in detail in the

Zuckerman-Meisel essay at the end of this report, I will simply list them here (with new initiatives marked with an asterisk):

1. *The ACLS/Andrew W. Mellon Fellowships for Junior Faculty*, open to assistant professors with at least two years of teaching experience; administered by the American Council of Learned Societies (ACLS).
2. *The Charles A. Ryskamp Research Fellowships*,* for assistant professors with exceptional records of scholarship; named in honor of the Foundation's distinguished former Trustee, Charles Ryskamp, who retired in 2001, these awards are also administered by the ACLS.
3. *Sabbatical Fellowships*, for mid-career faculty members who have already received commitments for partial sabbatical support from their home institutions; administered by the American Philosophical Society (APS) and jointly funded by APS and the Foundation.
4. *Frederick Burkhardt Residential Fellowships for Recently Tenured Scholars*, administered by the ACLS.
5. *New Directions Fellowships*,* available starting in 2002, to advanced untenured and recently tenured faculty members in the humanities and kindred social sciences who wish to acquire systematic training outside their own disciplines; to be overseen by the Foundation's newly appointed Senior Advisor, Phillip Griffiths, currently Director of the Institute for Advanced Study at Princeton.
6. *Emeritus Fellowships*,* to be awarded, beginning in 2003, to eminent senior scholars in the humanities and humanistic social sciences who wish to continue their scholarship and writing, and to retain an affiliation with their institutions, while retiring from their permanent posts; also to be overseen by Phillip Griffiths.

In addition, the Foundation supports postdoctoral fellowship programs at both universities and liberal arts colleges, "special collections fellowships" designed to enable recent PhDs to work intensively in primary source collections, faculty fellowship programs at a number of independent research libraries, research assistant pro-

fellowships at the Institute for Advanced Study's School of Historical Studies, and fellowships for humanists at the National Humanities Center and the Center for Advanced Study in the Behavioral Sciences. Finally (as the Zuckerman-Meisel paper also explains), the Foundation continues to support a range of predoctoral programs intended to attract excellent candidates to PhD programs in the humanities and to facilitate the timely completion of doctoral studies.

In concluding this brief summary of specific programs, I should emphasize that the Foundation is committed to supporting *institutions* even when the grants are designated as awards or fellowships. By way of a few examples, the Distinguished Achievement Awards are designed to support the institutions at which the recipients work by providing for visiting appointments, special courses, and even, if the recipient wishes, graduate fellowships. Our postdoctoral fellowships are, of course, as much for the benefit of the institutions as they are means of supporting young scholars. The special collections fellowships aim to make library holdings the focus of scholarship and thus used more effectively in teaching. Finally, the emeritus fellowships provide a way for institutions to retain ties with some of their most active senior faculty members even in retirement. In short, a premise of this entire program is that the effectiveness of scholars and the institutions at which they work are interdependent. Most scholars benefit enormously from institutional resources and a supportive infrastructure as they fulfill their multiple roles as teachers, colleagues, and creators of new knowledge.

*ArtSTOR*⁶

The Foundation's commitment to the humanities is by no means confined to support of faculty fellowships and doctoral study. All fields within the humanities, especially art history, architecture, and archaeology, as well as many disciplines within the social sciences, make increasing use of images in both teaching and research—and they would, we are told by many experts in the field,

⁶ In drafting this section, I have relied heavily on the materials prepared by Neil Rudenstine and James Shulman for the Foundation's December 2001 Retreat. Messrs. Rudenstine and Shulman should be regarded as co-authors of this section.

make even greater use of visual content if it were more readily available. Students and faculty members would benefit greatly if it were easier for users to access images and related text at their workstations—and, in the case of students, in their rooms. Faculty members would be helped if it were easier for them to incorporate digital images into their lectures and presentations, and then to manipulate the content in appropriate ways.

In an effort to address such needs, and to take advantage of the opportunities made possible by advances in information technology and the lessons learned through the creation of JSTOR, the Foundation announced in 2001 that it would sponsor the formation of “ArtSTOR.” ArtSTOR’s mission is to aggregate, “store,” and electronically distribute digital images and related scholarly materials for the study of art and other fields in the humanities.⁷ We were privileged to announce at the same time that Neil Rudenstine, who recently concluded his service as President of Harvard University, would return to the Foundation to lead an advisory group that was established to guide the development of ArtSTOR, and then to chair its board when it is formally established as an independent entity. James Shulman, a one-time Renaissance scholar who has been my colleague in studying policy issues in higher education for over seven years at the Foundation, is Executive Director of ArtSTOR.

At the Foundation’s December 2001 Retreat, the Trustees devoted considerable time to a full review of the progress made to date in developing ArtSTOR, and to the many complex issues not yet resolved. One clear conclusion is that working on this project inspires humility! I would now like to summarize relatively briefly the challenges that this new initiative faces, the accomplishments to date (really since last September, when Mr. Rudenstine’s schedule allowed him to concentrate on ArtSTOR), and some of the many open issues.

A great deal of time and energy has gone into thinking through the most basic conceptual questions concerning the aims of ArtSTOR and how best to achieve them. This process has involved extensive consultations with leaders in this country and abroad

⁷ The full text of the announcement, which was made on April 1, 2001, may be found on the Foundation’s Web site <http://www.mellon.org>.

from academic institutions, museums, libraries, and research centers; specialists in imaging and in building databases; others experienced in the creation of digital resources; experts in intellectual property rights; and wise generalists. Building ArtSTOR into a trusted repository where content owners and educational users can come together will require not only time and resources, but also collegiality and the active participation of individuals from all of these communities. Many people have been generous in providing good counsel, and we are particularly grateful for the collaborative spirit of many friends at the Getty Trust.

These extended discussions have led to greater clarity concerning fundamental operating assumptions and principles. Some key conclusions follow.

- *A Promising Prospect.* As Neil Rudenstine has put it: “We all recognize that there is no substitute for direct engagement with original works of art or for actual archival study. But the special opportunities presented by digital technologies constitute the most fundamental development in the potential for increased access and flexibility of use since the advent of photographic reproduction.” In general, those who have been consulted have been enthusiastic about the potential contribution of ArtSTOR and have urged us on. While we expect that the “audience” for ArtSTOR will evolve and broaden over time, scholars, academic institutions, museums, and similar organizations are expected to be the primary users.
- *Building “Collections.”* The universe of art objects is infinite and most objects or artifacts are unique. The unbounded scope of the field and the idiosyncratic nature of each individual piece mean that the strategy for building content must entail working with (or creating) meaningful *collections* rather than random conglomerations of images.
- *Depth and Breadth.* ArtSTOR intends to be helpful in creating and assembling “deep” scholarly resources that will allow scholars to do new kinds of work, at the highest level of quality (the Mellon International Dunhuang Archive, described below, is an outstanding example). At the same time, we recognize the need to develop a much broader and reasonably comprehensive “Image Gallery” that will meet the needs of faculty who

wish to use images to enrich teaching and learning. We see these resources blending together in the same ways that good teaching and research are thoroughly complementary.

- *Providing Adequate Catalog Information.* There are far more images of art works in existence than there are adequate descriptive catalog records to identify them. Since a searchable online catalog relies on accurate data organized in a coherent fashion, the success of all such digital projects is utterly dependent on the organization and management of such data. Continuing efforts will be needed to update and expand catalog information over time, and this process will require the active collaboration of many museums and other institutions.
- *Utilizing Previously Curated Collections.* Considerations of both time and expense make it wise to benefit as much as possible, especially initially, from “already curated” collections that permit the expeditious adding of images and related catalog information.
- *Technical Challenges.* Working with digital images in research, on Web sites, and in the classroom requires an active software environment (rather than “read-only” access) so that users can manipulate, store, and present groups of images. In time, ArtSTOR may need to develop considerable technical capacity of its own to address the many challenges involved in delivering a dependable service of this kind and in facilitating interconnections with other data and image repositories. Fortunately, however, we are able initially to benefit from the considerable technical expertise already available at both Mellon (Ira Fuchs and Tom Nygren) and JSTOR (Kevin Guthrie and others). Also, ArtSTOR has licensed the use of Luna Imaging’s *Insight* software and has been able to draw upon the extensive experience of Michael Ester and his colleagues at Luna Imaging. An important objective is to develop a user-friendly ArtSTOR Web site (<http://www.artstor.org>) that will convey essential information to users and also enable them to employ the *Insight* tools in convenient ways.
- *Intellectual Property Rights.* While case law regarding the intellectual property rights associated with art images is still evolving, we are encouraged by conversations with leading experts in

the field who believe that ArtSTOR has a sound legal basis for creating and distributing its database to academic audiences. It is important to reiterate that ArtSTOR will be a not-for-profit entity and that it intends to make its content available only to licensed users, for non-commercial educational and scholarly purposes, in a regulated environment.

- *Focus Groups and User Testing.* To minimize the risks of moving too rapidly on the basis of what could prove to be wrong assumptions, considerable time and effort need to be spent working with a wide range of potential users to learn what is and is not valuable to them, what they most want to be able to do, and how conveniently they can take advantage of what ArtSTOR will offer.
- *Time Horizons, Expectations, and the Need for Collaboration.* It is more and more evident that building the kind of scholarly resource that we envision will require a considerable commitment of time, talent, and resources, and that it will be important that colleagues and users understand what it is possible to accomplish, and on what time schedule. We are determined not to create unrealistic hopes that are then dashed. Digital projects continue to be costly and difficult to carry out effectively, as the participants in any number of other initiatives can testify. Sustainability is difficult to achieve, but of critical importance.

Tangible progress has been made in addressing a number of the challenges listed above. Readers of this report are likely to be most interested in the current status of plans for the content of ArtSTOR (recognizing that content, as well as audiences, will evolve over time, and that adding content will always be a “work in progress”). To date, commitments have been made to include in ArtSTOR:

- *The Mellon International Dunhuang Archive.* Through an ambitious multi-institutional, multinational effort (involving to date grants totaling about \$7 million to Northwestern University, the Dunhuang Research Academy, The British Library, the British Museum, the Musée Guimet, the Bibliothèque nationale de France, and the Lo Archive at Princeton) substantial progress has been made in creating original images and data related to the Dunhuang cave shrines in China. As explained in previous Annual Reports, the intention is to create a scholarly

archive of high quality that will provide access to materials that are dispersed around the world, often not open to the public or (in the case of paintings in the upper reaches of the caves) not always visible even on-site.⁸

- *The Museum of Modern Art's Digital Design Collection (DDC)*. This deep collection of design objects and drawings, that has been carefully curated by MoMA over the years, will create a visually powerful archive of high resolution images for educational uses. The DDC is a three-year project, budgeted at \$1.7 million, which has been described at length in previous Annual Reports and is now essentially complete.

- *The Arts of the United States ("the Carnegie Collection")*. In June 2001, the Trustees approved a \$150,000 grant to the University of Georgia that will pay for the digitization of 4,200 images of American art and architecture that have been widely used (in the form of slides) in colleges and universities for many decades.

- *The Huntington Archive of Asian Art*. Through a grant of \$264,000, approved in June 2001, the Trustees appropriated the funds needed to pay for the on-site digitization and cataloging of 10,000 images from an extraordinarily valuable personal collection of images of Asian art and architecture compiled over decades by two faculty members at Ohio State University.

- *The Slide Library at the University of California at San Diego (UCSD)*. At their December meeting, the Trustees approved a proposal to work with UCSD to digitize a core collection of 250,000 images that have been used successfully for teaching and that could, in time, also support research in a wide variety of fields (at a projected cost of about \$2 million). A particularly appealing aspect of this collection is that it contains carefully prepared catalog information that is associated with each image and hence will be a highly searchable core component of the Image Gallery in its early days.

⁸ This project also illustrates the important role that the creation of high-quality digital images can play in creating a permanent record of major sites and works of art that could deteriorate over time—or even be destroyed by natural forces or conflicts. Creating and preserving this record is an important objective in its own right.

- *The Illustrated Bartsch*. Also approved in December was a grant of more than \$700,000 to digitize a 96-volume reference collection of old master prints that is widely used by scholars in its print version. The grant will also permit the commissioning of additional volumes, which will be included in the “Digital Bartsch.”

A few words should be said about scheduling, staffing, and organizational matters. In the early part of 2001, it was anticipated that ArtSTOR would file for independent not-for-profit status by the end of the year, and the Foundation’s Trustees were prepared to provide the necessary start-up funding. Further reflection, and the experience gained in addressing some of the conceptual and other issues identified above, led us to conclude that it would be wiser to “incubate” ArtSTOR within the Mellon Foundation until at least the end of 2002.

Under the leadership of Messrs. Rudenstine and Shulman, ArtSTOR is recruiting a small staff of highly qualified and strongly committed individuals who can lead the building of collections (Max Marmor, former Art Librarian at Yale University, has this responsibility) and the development of museum relations (a responsibility entrusted to Nancy Allen, former Director of Information Resources at the Museum of Fine Arts in Boston). In addition, effective use is being made of a range of outside advisors and consultants, as well as of Mellon staff who have been, in effect, seconded to ArtSTOR on at least a part-time basis. Mutually beneficial collaborations between ArtSTOR and JSTOR are also being explored. We expect that there will be opportunities both to link content (especially now that JSTOR is creating a separate cluster of art history journals and is working to improve linking capacities) and to achieve some economies of scale in hosting servers and distributing content—while preserving the separate identities and missions of each of these entities.⁹

⁹This is related to a still broader set of issues concerning the extent to which lessons learned by JSTOR in digitizing journal literature can benefit, in varying degrees, a number of other digital projects of potential value to the scholarly world. Since previous Annual Reports have generally contained a section about JSTOR, and some readers have come to expect this, let me note here some indicators of last year’s extraordinary growth in the JSTOR resource and in the interest in it, worldwide. During 2001, JSTOR added 42 new journal titles to its collection, and it has signed

Consistent with what is said above about the need to work closely with users in developing this resource, the ArtSTOR contingent intends to do a considerable amount of work with focus groups in the spring of 2002, to move to broader testing of its user interface and at least an initial set of collections by the fall of 2002 (or perhaps the winter of 2003). The current plan is to begin to enroll the first institutional participants at some point in 2003. Achieving a sustainable financial plan for ArtSTOR is a critically important objective.

At times, the multiple challenges involved in creating an entity like ArtSTOR seem daunting. But it would be wrong to end this account without emphasizing the sense of excitement (and of accomplishment) that is shared by all who are participants in this undertaking. In our view, ArtSTOR holds the promise of significant scholarly, educational, and related benefits. The “fit” between the new technology and visual images is an absolutely natural one. The ability to combine—and manipulate flexibly—images, data, texts, and other materials, offers the opportunity to bring about a substantial transformation in art-related teaching, learning, and research. The capacity to create coherent and readily accessible special collections, in considerable depth, is a distinctive attribute of ArtSTOR. Consequently, while there are certainly risks and obstacles ahead, the enterprise is one that has the potential—over time, and with broad collaboration—to meet a major need, and to create an exceptionally powerful new instrument that will be able to serve important educational purposes across many fields of knowledge.

up 64 more titles for later inclusion in its various collections (Arts and Sciences I and II, General Science, Ecology and Botany, and Business, with Art History in progress). It now offers access to the full runs of 218 titles, and it has nearly 9 million pages of content online. As of the end of 2001, there were 1,264 institutional participants from 58 countries. Between the end of 2000 and the end of 2001, the number of accesses of JSTOR (searching, browsing, printing, etc.) increased 52 percent. Over this same one-year period, the number of articles printed from the database increased from 3,180,499 to 6,338,702—an increase of 99 percent. By any standard, Kevin Guthrie and his colleagues continue to make remarkable progress in both creating an extraordinarily valuable archive of scholarly literature and enhancing access to it.

*Liberal Arts Colleges:
Collaborations and the Search for Scale*

The Foundation's continuing commitment to liberal arts colleges was demonstrated in 2001 through appropriations that totaled more than \$25 million. One theme that runs through many of the specific programs supported by these appropriations is the value of institutional collaboration. Rarely does a single college confront a problem that is not also present at a great many other colleges, and it is often possible to develop a sharper understanding of the issues and to identify promising approaches through projects that bring together a number of colleges that have similar objectives. A major challenge for liberal arts colleges is to find ways to benefit from the economies of scale generally available to larger institutions without losing the virtues of intimacy and independence that are their hallmarks. Four separate initiatives represented on the 2001 grant list illustrate the variety of ways in which the collaboration theme has taken shape:

1. *Faculty Career Enhancement Studies.* Over the last two and one-half years, appropriations for faculty career enhancement (totaling \$10.5 million) have been made to 23 liberal arts colleges on the explicit understanding that they will work together (often initially in pairs, and then in larger groupings) to identify and meet professional development interests that faculty members have at different stages of their careers. Experience suggests that it is generally easier for faculty members to think analytically (and more objectively and less personally) about their own circumstances when they are working in concert with colleagues from another institution; and then, of course, ideas that spring up in one context may well resonate in another.

The latest grants in this series were approved in December for projects at Vassar/Middlebury, Rhodes/Furman, Scripps/Harvey Mudd, and DePauw/Denison.¹⁰ One common approach is to begin by compiling profiles of faculty members at different career stages and then comparing their needs for professional development, as faculty members see them,

¹⁰ The other colleges participating in this project are: Barnard/Wellesley, Bryn Mawr/Haverford/Swarthmore, Carleton/Macalester, Amherst/Williams, Grinnell/Oberlin/Pomona/Reed, and Smith/Wesleyan.

with faculty support programs currently in place. This process encourages faculty and administrators to consider trade-offs, recognizing both limitations on resources and the need to take into account new pressures caused by the increase in two-career families, greater interest in interdisciplinary curricular initiatives, and new pedagogical developments, including especially the growing importance of digital technologies. It is too soon to know how productive this multi-institutional approach will prove to be, but the hope is that this set of grants will produce fresh thinking about how best to support the continuing professional development of college faculty.

The Foundation is also providing support for minority faculty members in the early stages of their careers as an extension of its Mellon Minority Undergraduate Fellowship Program. This new initiative complements faculty career enhancement programs that are being supported at historically black colleges and universities, in part through direct grants and in part through a collaborative program with the United Negro College Fund.

2. *Developing "Virtual" Departments of Classics and Archaeology.* In the curricular area, the Foundation has supported efforts by the Associated Colleges of the South (ACS) to create "virtual" programs of study in classics and archaeology (through a project named "Sunoikisis"). None of the colleges in the ACS could afford more than a small number of faculty members in these fields, and yet by pooling their faculty resources (32 faculty members in all) they can offer a curriculum and access to research materials, including records from an ACS-sponsored excavation in Southwestern Turkey, that are competitive with the offerings of much larger institutions. The program's leaders have raised the level of technological competence of their colleagues in the use of Web-based material through summer conferences at the ACS Technology Center at Southwestern University.

It is, of course, natural to assume that such creative and ambitious efforts are "inherently" worth what they cost. It is to the credit of the ACS that it wishes to study systematically the pedagogical benefits and costs of this project, to permit a more informed judgment of value received in relation to resources

expended. The Foundation expects to support such an assessment as the first project under its newly constituted “Teaching and Technology” program that is led by Saul Fisher.¹¹

3. *Study Abroad.* The Foundation has appropriated approximately \$3 million to support improvements in the numerous foreign study programs offered by liberal arts colleges. Three consortia (the Associated Colleges of the Midwest, the Associated Colleges of the South, and the Great Lakes Colleges Association) have taken the lead in creating “Global Partners,” and to date, 42 colleges have participated in the program. Three centers of international study have been established in Russia/Central Europe, East Africa, and Turkey. Web-based materials developed by language and technology task forces will be made available to all partner institutions and a greater emphasis will be placed on the dissemination of teaching materials and on engaging faculty and deans in providing more coherent international experiences for students. Related programs are being supported at Bates/Bowdoin/Colby, a group of colleges that has established joint off-campus centers (in London, Quito, and Cape Town), as well as at Hobart/William Smith/Union.

Collaborations of other kinds can improve the quality of curricular offerings in many fields, and in many parts of the world. To provide just one more example, the Foundation is sponsoring several projects intended to help liberal arts colleges enhance their offerings in conservation and ecology by facilitating their participation in major study centers abroad. The Foundation’s program officer in this field, William Robertson, has worked diligently to link liberal arts colleges with field-based programs at the Organization for Tropical Studies in Costa Rica and Kruger National Park in South Africa (as well as at the Marine Biological Laboratory and Friday Harbor Laboratory in the United States). Scientists based at leading American research universities are active participants in these projects, and they too will benefit from access to resources such as

¹¹ This new program is an outgrowth of the Foundation’s Cost-Effective Uses of Technology in Teaching program (CEUTT), which was also led by Saul Fisher, working with Tom Nygren and Gil Whitaker. Information about both the old and the new program is available on the Foundation’s Web site.

those available in Kruger Park and from interactions with new colleagues (in this instance from South African universities). It is highly unlikely that any single college, working alone, could either forge such programs or manage its participation in them effectively.

4. *Establishment of Regional Technology Centers.* Of all the efforts of this kind launched in 2001, and in previous years for that matter, the most expensive and potentially the most important is the establishment of a series of regional technology centers. Nearly \$11 million was appropriated in 2001—the largest single appropriation of the year—to establish centers for educational technology in the Northeast (Middlebury, Vermont), the South (Southwestern University in Texas), and the Midwest (Ann Arbor, Michigan). In addition, provision has also been made for a “National Institute for Technology and Liberal Education” (to be located in Burlington, Vermont).

This ambitious initiative grew out of experience at the Foundation in funding a number of individual institutional projects in technology and in creating a Center for Educational Technology at Middlebury that emphasized language training. There is a widely shared conviction that the time has come to promote stronger and more creative collaborations that will serve the academic aspirations of widely dispersed colleges and, at the same time, allow them to exercise more control over the costs of attempting to stay at least somewhat current with this burgeoning technology. Liberal arts college presidents are having an increasingly difficult time meeting the expectations of faculty and students concerning access to all manner of electronic material and technologically sophisticated instruction. Rapid advances in technology are making investments in hardware, software, and training quickly obsolete, and requiring new business and planning models. It has also become increasingly difficult for the colleges to attract and retain high-quality technology staff members who will work effectively with intellectually demanding faculty and students. These conditions make it difficult for small colleges with limited resources to compete in the education marketplace today.

We believe that a nationally organized structure with distributed regional technology centers can provide a highly effi-

cient model for collaborative efforts designed to: (1) support faculty members and librarians in managing the integration of technology into teaching and research; (2) provide professional development for instructional technology staff; (3) train students in advanced technology and information literacy; (4) enhance the ability to explore and demonstrate the instructional potential of emerging technologies; (5) share best practices and systems; (6) encourage strategic planning for college facilities in the digital age, including libraries, laboratories, and media classrooms; and (7) stimulate collaborative arrangements with research university programs. Some of the regional centers will probably offer “circuit rider” assistance to colleges in their catchment basins. The National Institute will have a coordinating role and will also take responsibility for proposing cost-sharing protocols. While the Foundation has cheerfully accepted the need to invest heavily in launching this enterprise, these centers will have to become largely if not entirely self-supporting—which should be possible if the anticipated cost-savings and other benefits materialize.

Libraries and Scholarly Communication

The Foundation’s longstanding interest in libraries and scholarly communication was reflected during 2001 in further grants in support of preservation endowments (at Indiana University, the University of Chicago, and UCLA) and also in renewed support for preservation field service centers and the preservation research program at the Rochester Institute of Technology. In addition, several major new initiatives were launched in 2001. Space will permit me to mention just four.

1. *The “Electronic Enlightenment.”* This is an ambitious project intended to support the development of an online database of the correspondence of 18th-century intellectuals. As an initial step, the Foundation has provided funding to the University of Oxford that will be used by the Voltaire Foundation based there to create a prototype online database that will aggregate digitized versions of the definitive scholarly editions of the correspondence of Voltaire and Rousseau; the prototype will also provide a powerful search engine to help sort, filter, and arrange

these letters for display and study. Then, as a next step, the Foundation is funding a study of the complicated organizational, technological, and conceptual problems involved in making possible a far larger collaborative effort that would involve many university presses and the papers of a wide range of Enlightenment figures including Bentham, Locke, Adam Smith, Franklin, Jefferson, and Montesquieu. The Princeton University Press is coordinating this planning process. Of course, larger commitments of funds would have to depend on an assessment of the value of the prototype and the outcome of the study.

2. *Metadata Harvesting Services.* Following considerable exploratory work led by Donald Waters, the Foundation's chief program officer in the field of scholarly communications, the Foundation has embarked on an experimental effort to determine the requirements for developing portal services oriented to scholars' needs, based on a variety of Internet technologies including a new "harvesting" protocol that was developed under the auspices of the Open Archives Initiative. The objective is to make contents of library catalogs and other elements of the "deep web" far more accessible than they are at present. Seven institutions have been selected to participate in the first phase of this research (the Research Libraries Group, the Woodrow Wilson International Center for Scholars, the Southeastern Library Network, Inc., Emory University, the University of Illinois at Urbana-Champaign, the University of Michigan, and the University of Virginia). Each of the seven institutions has defined an approach to a part of this vast and complicated territory that, if successful, should be instructive generally. To mention just one example, the University of Illinois at Urbana-Champaign is developing a general-purpose harvesting tool that it will use to create a portal that can integrate information about special collections, portions of which are held in different institutional archives and are described using a different standard for each.

3. *University Press Digital Distribution Centers.* A recent study by librarians at Yale University and other institutions in the New England Research Library Consortium found that a surprisingly high fraction of all titles assigned in history and litera-

ture courses (eight out of ten) were published by university presses. Despite this important indicator of their importance, the economics of scholarly publishing remain precarious, to say the least. Even scholarly titles regularly assigned in courses are often sold in hundreds of copies. Because of the high fixed costs involved, presses typically print more copies than they can sell and then confront inventory problems. In an effort to address this important set of issues, the University of Chicago Press proposes to create a Digital Distribution Center that will have a short-run, digital-printing capacity and a digital book repository. Technologies for printing digital files have improved to the point where quality is much better than it used to be, and unit costs have become quite reasonable. This initiative should allow a rigorous test of the proposition that such technologies offer a promising approach to the cost-effective publication of important scholarly monographs and to keeping key texts available (“in print”) in one form or another.

4. *Applications to the Field of Music.* Finally, I should mention new efforts in 2001 to encourage applications of information technology to musicology and the study of serious music. Working in collaboration with the Hewlett Foundation, efforts are being made to create a musicology cluster within JSTOR. In addition, under the leadership of our colleague, Suzanne Lodato, the Foundation has been working with the Recorded Anthology of American Music (RAAM) to develop an online searchable collection of its holdings of audio recordings, liner notes, and music scores. The Foundation has also supported an initiative by an international group of musicologists and computer scientists based at Harvard to develop software for digitally encoding and transcribing “neumes,” the signs and symbols that were used in the earliest Western music notation systems for Christian chants and other forms of medieval music, but which do not translate easily to modern musical notation systems. Finally, as part of Catherine Wichterman’s program in the performing arts, the Foundation made a grant to the Philadelphia Orchestra Association as the umbrella organization for the newly established Electronic Media Forum, a group that is exploring uses of technology to support orchestras.

Research in Information Technology

As is evident from what has been written above, and as is equally evident from everyday observation, Internet technologies now offer attractive opportunities to enhance many of the traditional forms of teaching, conducting research, and storing and transferring scholarly materials. Our Foundation sees the new technologies as ways of complementing established ways of studying, writing, and learning, not as substitutes. And we believe that one of our advantages as a funder of new applications of technology to the humanities and other fields of special interest to the Foundation is that we are interested in these new techniques as aids in accomplishing age-old purposes, not as ends in themselves. The Foundation's Vice President for Research in Information Technology, Ira Fuchs, has spent his entire professional life in higher education and embarks on all of the projects that he studies and shepherds from exactly this perspective.

One of the major commitments made by the Foundation in 2001 is a good illustration of the goals that we believe institutions of higher education should seek to further as they become more and more adept technically. Along with the Hewlett Foundation, the Mellon Foundation made a sizeable grant to MIT (\$5.5 million) to underwrite the pilot phase of a Web-based initiative called OpenCourseWare (OCW) that is intended to provide free worldwide access to the educational materials of all courses taught throughout the Institute. It should be emphasized that OCW is not a collection of formal, interactive courses. It is a comprehensive set of course *materials* that includes syllabi, reading lists, detailed lecture notes, assignments, examinations, problem sets and solutions, and, as appropriate, examples of student work. Without charge, it is expected, eventually, to give students, faculty, and others throughout the world access to organized, indexed, high-quality educational materials from more than 2,000 MIT courses. The uses to be made of these materials would of course depend entirely on the interests and needs of a wide variety of institutions and users. In supporting this visionary effort by MIT to place educational values ahead of commercial gain, the Foundation is also very much aware, as is MIT, that it is not enough simply to assume that the results of the project will justify the high costs involved. The Foundation was insistent from the first conversations with representatives of MIT

that provision be made for a careful, objective assessment of who uses the resource, to what ends, and with what success. MIT is fully committed to this approach and agrees that, in this important respect, the project is truly experimental.

In December 2001, the Trustees approved a second set of grants recommended by Mr. Fuchs, this time for the purpose of developing an open source authentication system for Web-based services on a single campus (the University of Washington is the grantee) and across institutions (Dartmouth College is the principal grantee). Explaining the technical aspects of these complementary projects would require a level of sophistication well beyond my own, and I will make no such attempt. But the general objectives and principles are straightforward. If full use is to be made of electronic resources, and if promises to providers of content concerning access to their content are to be honored, it is essential to solve problems of *authentication* (determining that a user is a legitimate member of the academic community even if the user is off campus) and *authorization* (confirming that the user is entitled to gain access to a particular resource). Solving both of these problems is essential if we are to explore new directions in the protection and use of intellectual property. In supporting this work by leaders in the field, the Foundation also seeks to underscore its broader commitment to addressing major problems that are common to members of the academic community, and to encouraging solutions that will be non-proprietary and open to improvement over time by others. In short, our commitment is to a system-wide approach that will emphasize the broader perspective of the entire community, rather than more parochial interests.

International Grantmaking

At each of the Foundation's last two Board Retreats, the Trustees discussed the international reach of the Foundation's grantmaking. Each time they reaffirmed strongly that geographic boundaries mean less and less, and that the Foundation should pursue its major programmatic objectives where there is the best opportunity to be useful. It is also evident that there is more and more overlap between activities in this country and activities abroad. Thus, while the Foundation will surely continue to concentrate its grantmaking in the United States, it would not be surpris-

ing if, over time, the percentage of grant dollars going to institutions overseas increased modestly from the present level of about 18 percent. It may be useful to mention examples, drawn from the 2001 record, of the Foundation's activities outside of the United States.

The one part of the world in which the Foundation has adopted a country-specific approach is South Africa. The reasons for working intensively in South Africa have been described in other Annual Reports and need not be repeated here. In my view, South Africa is an important example of how one of the most repressive regimes in the world could be—and has been—transformed peacefully; it is an important beacon of hope in a world far too divided along racial and ethnic lines. While no one would claim that South Africa has addressed all of its problems successfully, or that it is free from difficulties now (certainly not!), the ability of South Africa to continue to make progress remains an important symbol of what can be accomplished. In addition, the existence in South Africa of an infrastructure that is advanced in many ways gives South Africa an unusual opportunity to contribute to the development of the whole of sub-Saharan Africa.¹²

Since 1988, the Foundation has made grants under its South African program that now total in excess of \$50 million, and in June 2001, the Trustees received a comprehensive report on activities over this period that was co-authored by the Foundation's program officer for South Africa, Tom Nygren, and the Foundation's Senior Advisor, Stuart Saunders, former Vice Chancellor of the University of Cape Town. It is impossible to summarize the report here. But its major conclusions were that much has been accomplished (some setbacks notwithstanding), that the Foundation can contribute still more in the near term, especially by concentrating on those sectors such as higher education that we understand best, and that the Foundation should plan on sustaining its recent level of grantmaking (approximately \$5 million to \$8 million per year) for the next five years. This recommendation was accepted by the Trustees. The

¹² By coincidence, a long story describing how South Africans are contributing to economic development throughout the southern part of Africa appeared in *The New York Times* (Rachel L. Swarns, "Awe and Unease as South Africa Stretches Out," *The New York Times*, Sunday, 17 February 2002, sec. 1, p. 1) right after this section was drafted.

willingness of Stuart Saunders to make an even greater commitment to overseeing Foundation activities in South Africa, and our confidence in him, were important factors in this decision.

Two other Foundation programs have long been “international” in their sweep, and there is nothing new to report in these areas. Carolyn Makinson continues to lead a highly successful program in population studies and forced migration that includes innumerable relationships between individuals and institutions in all parts of the world. Similarly, William Robertson’s program in conservation and the environment continues to feature research in ecology that spans many continents. The building of the content of the Mellon International Dunhuang Archive to include invaluable manuscripts, paintings, and other materials in London and Paris also continued apace in 2001. So too did the Foundation’s support of humanities faculty members from Eastern European countries who were accepted as visiting fellows at leading centers of advanced study throughout Europe.

Of greater interest, because it is newer, is the decision made in 2001 to include a small number of European (and especially British) institutions in some of the Foundation’s core programs in higher education. Thus, a grant of more than \$700,000 was made to University College London for support of postdoctoral fellows in the humanities. In the library area, large grants were made to the University of Cambridge to help it convert the remaining parts of its “guardbook” (the catalog representing the library’s core academic collection of books and serials) to electronic format, and to the British Council, which is helping the Russian State Library, the largest library in Europe and the second largest in the world, add one million machine-readable book records to its online catalog.

The Foundation also approved a series of grants in 2001 to allow the Natural History Museum in London and the Royal Botanic Gardens (Kew) to digitize botanical holdings of great importance and make them available to scholars on a single Internet site. An additional award to the Natural History Museum is designed to make a digital record of its remarkable holdings of artwork, manuscripts, and other materials related to the exploration and colonization of Australia (the so-called First Fleet Collections, created in large part by prisoners and seamen in the first fleet of convicts shipped to Australia) available to scholars worldwide—perhaps as a part of ArtSTOR.

In the field of the performing arts, the Foundation made its first venture into the international arena with a \$750,000 grant to Arts International so that it could in turn provide support for 30 emerging and under-recognized American music, theater, and dance organizations that wish to tour and participate in international festivals. The museum program, under the leadership of Angelica Rudenstine, sponsored a carefully arranged pilot program designed to introduce Chinese museum professionals to American museum practice. The Metropolitan Museum of Art, the Smithsonian Institution (through its Freer Gallery of Art and its Arthur M. Sackler Gallery) and the Art Institute of Chicago were key participants in this potentially important project.

It seems fitting that these expanding international connections were being put in place at the same time that the Foundation elected its first Trustee from outside the United States, Colin Lucas, a distinguished historian of the French Revolution who is now the Vice Chancellor of Oxford (having served previously on the faculty of the University of Chicago). Mr. Lucas was able to attend the Trustees' December meeting and Retreat, and it was evident immediately that he will make a major contribution to the work of the Foundation.

In reviewing the wide range of activities that took place in 2001, I am reminded again of how extraordinarily fortunate the Foundation is in the quality and dedication of both its Trustees and its staff. The recent appointments of Neil Rudenstine and Phillip Griffiths provide exceptional new talent to the Foundation, and it is gratifying to see how well the staff as a whole functions. I must pay special tribute to Dennis Sullivan, my colleague at Princeton and now for 11 years at the Foundation, who has announced his intention to step down as Financial Vice President to pursue other interests. In addition to discharging all of his normal responsibilities for the management of the Foundation's finances and general infrastructure, Mr. Sullivan took on the challenging task of managing the Foundation's response to the events of September 11. It is a mark of the man that he never missed a step. We are now in the process of adding two senior colleagues to take over his responsibilities, a fact that speaks for itself. There is no way I can express

adequately my appreciation, professionally and personally, for all that Dennis Sullivan has contributed to the work of the Foundation. To say that he will be missed is such a gross understatement that I am at a loss to find language to convey how inadequate the phrase is.

William G. Bowen
February 18, 2002

THE FOUNDATION'S PROGRAMS FOR RESEARCH UNIVERSITIES AND HUMANISTIC SCHOLARSHIP

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Introduction

The Foundation's programs for research universities and humanistic scholarship have undergone significant change over the last two years, as President Bowen indicated in his report for 2000. Emphasis has shifted from providing substantial resources for graduate training in the humanities and related social sciences to sustaining scholarship at all phases of the professorial career. What remains unchanged is the Foundation's long-term commitment to supporting the best scholarship and fortifying the strongest institutions for humanistic education, training, and research.

By way of a beginning, we briefly summarize the Foundation's principal activities before the transition began. Following this, we turn to the thinking that lies behind the Foundation's efforts on behalf of research universities and humanistic scholarship. The remainder of this essay is then taken up with describing the major new programs that are being established in accordance with these views, as well as the continuities with programs that have been underway for some time.

The Graduate Education Initiative

Beginning in 1990, the Foundation launched its Graduate Education Initiative (GEI), a program that would last a decade and be the largest effort in support of graduate training in the humanities undertaken by a private funder. At the time the initiative was conceived, doctoral training in the humanities and kindred social sciences was poorly funded and confronted a number of structural problems. In particular, students took a long time, on average, to

earn their PhDs, and too many advanced students departed before finishing their degrees. Informed by the research conducted in the late 1980s by President Bowen and then Executive Vice President Neil Rudenstine,¹ the Foundation went on to invest approximately \$80 million between 1990 and 2000 to assist the students in 52 departments at ten leading research universities.² These departments were encouraged to review their curricula, examinations, advising, official timetables, and dissertation requirements with an eye to facilitating timely degree completion and to reducing attrition while maintaining or increasing the quality of doctoral training they provided.³ In the process, systematic data were assembled on students' progress—or lack of it—thus providing (often for the first time) participating departments and institutions with information needed to track the effectiveness of their efforts.

The active grantmaking phase of GEI included substantial annual appropriations to the ten universities, and then endowment grants of \$1 million to each of them along with the provision of a further \$1 million challenge to help sustain the gains achieved under the initiative. In the decade after GEI began, many of the most serious problems in graduate education came to be widely acknowledged, and some have begun to be ameliorated—due in part to the attention the initiative focused on them, and in part to the reduction in the size of many graduate programs.

Collection of longitudinal data on the students' characteristics when they matriculated, the financial support they received, the academic requirements they met, and the degrees they earned was central to GEI. Although the research needed to judge the long-term effectiveness of the initiative is still in train, preliminary analyses have already provided the participating universities with useful information about their doctoral programs. Data will continue to be collected and analyzed until the last GEI cohorts are presumed

¹ See William G. Bowen, "President's Report," *Report of The Andrew W. Mellon Foundation, 1989* (New York, 1990), pp. 7-15; and William G. Bowen and Neil L. Rudenstine, *In Pursuit of the PhD* (Princeton, 1992).

² Columbia, Cornell, Harvard, Princeton, Stanford, and Yale Universities, and the Universities of Chicago, Michigan, Pennsylvania, and California at Berkeley.

³ See William G. Bowen, "President's Report," *Report of The Andrew W. Mellon Foundation, 1991* (New York, 1992), pp. 7-12.

to have finished their studies. To permit an even more detailed assessment of GEI's effects, these data have been supplemented by information on changes the departments made and will be further amplified by a survey of the students' experiences to be fielded in 2002–03. In time, a report on what has been learned will be published—including both the successes and the disappointments this unprecedented effort engendered.

Shaping a New Agenda

The scheduled conclusion of this decade-long investment presented the Foundation with the occasion to consider new means for supporting research universities and humanistic scholarship. Following longstanding Foundation practice, staff consulted with leading scholars from the humanities, senior university administrators, and other key advisors, to learn more about the most pressing problems confronting the various disciplines and the institutions that sustain them, and to determine the most promising opportunities for Foundation assistance. Not surprisingly, those consulted agreed on some matters and disagreed on others, but a set of widely shared concerns emerged from these conversations, including:

- the limited funds available to faculty members at all stages of their careers for pursuing their scholarship;
- the promise of cross-disciplinary scholarship and its frequent shortcomings;
- the fragmentation or fragile coherence of some disciplines in the humanities;
- the scarcity of jobs available to new PhDs, the related growth in numbers of adjunct or “non-ladder” teachers, and the conviction that it has become increasingly difficult for this reason and others to attract the brightest undergraduates to careers in the humanities;
- the intensification of expectations for scholarly productivity by junior faculty members;
- the uncapping of mandatory retirement and the resulting “graying” of the faculty;

- the ability of institutions to keep up with the growth of knowledge and the demands of digital technology;
- the need for institutions to share resources as well as to make more effective use of their own scholarly assets; and
- the failure of the humanities to make an effective “case” for themselves to the wider public.

These concerns were matched by general agreement that the Foundation should consider providing additional resources for faculty scholarship, postdoctoral fellowships, institutional strengthening, inter-institutional collaborations, and support of the disciplines. That said, it was also agreed that the Foundation should not abandon its support for graduate education, for the development of scholarly resources, or for independent research libraries and centers for advanced study.

Programmatic Objectives

Mellon’s new programs for research universities and humanistic scholarship are intended to respond—to the extent that Foundation resources permit—to the most important of these concerns. As a result, the objectives of the new programs are defined first, by their direct beneficiaries—faculty members, graduate students, universities, and so on—and second, by their relevance to several premises that have informed the Foundation’s approach and priorities.

One premise underlying the Foundation’s programs is that the effectiveness of scholars and that of the institutions at which they work are interdependent. Scholars benefit from access to superior colleagues, students, and resources as they fulfill their multiple roles as teachers, faculty members, and creators of new knowledge. Institutions, for their part, are defined by the quality of scholarship and teaching of those associated with them, as well as by the means they are able to provide for facilitating academic accomplishment. A second premise recognizes that disciplinary boundaries shift, and that the blending of disciplinary specialties has real scholarly potential when strongly rooted in particular disciplines. A third premise is that excellent scholarship in the humanities often requires direct confrontation with documents, artifacts, and other sources, and that younger scholars should be encouraged to develop a deeper

understanding of how such materials can be used. A fourth premise is that the core scholarly and teaching missions of institutions can be strengthened by better use of existing assets and by sensible collaborations.

Support for Scholarship

The following sections provide more detailed information about new and continuing Foundation programs that are focused on sustaining humanistic scholarship.

Distinguished Achievement Awards

This major new program, launched in 2001, has three principal objectives: to enable notable scholars in the humanities to pursue their work under especially favorable conditions, to enrich teaching and learning in the humanities at their institutions, and to underscore the decisive contributions to the nation's intellectual life made by humanistic scholarship. The awards are intended for those whose contributions have been recognized within their own disciplines, whose influence may well have extended more broadly to other fields, and whose current work promises to advance the humanities. Recipients are chosen from fields such as classics, history, history of art, musicology, philosophy, religious studies, and all areas of literary studies, including the study of foreign literatures, and must hold tenured appointments at institutions of higher education in the United States. The disciplinary distribution of the awards depends only on the merits of the candidates.

The awards, which are for three-year terms, provide the recipients and their institutions with enlarged opportunities to deepen and extend humanistic research and teaching. Funds are granted to, and overseen by, the institutions with which the recipients are affiliated. Although the awards are structured flexibly so as to meet recipients' particular scholarly needs, a key feature of the program is that the scholars remain actively engaged in the intellectual lives of their institutions for most of the award period. The funds underwrite salaries, scholarly projects, research assistance and expenses, and support for visiting colleagues. Distinguished Achievement Awards may not be held concurrently with other similar awards.

In November 2001, following an exacting process of nomination and review, the Foundation announced the first five recipients of Distinguished Achievement Awards: Peter Brown (history,

Princeton), Stephen Greenblatt (literature, Harvard), Sabine MacCormack (history, University of Michigan), Alexander Nehamas (philosophy, Princeton), and Robert Pippin (philosophy, University of Chicago). The selection panel of eminent scholars was chaired by the Chairman of the Foundation's Board, Hanna H. Gray, and included Mellon's two Senior Advisors in the Humanities. Following Trustee approval, the recipients were asked to submit plans developed in collaboration with their institutions' academic leadership. The first grants were awarded to their institutions in March 2002. In each of the next two years the Foundation will make additional awards, after which the results of the program will be reviewed.

Faculty Fellowships

While the Distinguished Achievement Awards are intended to call attention to the value of the humanities and to have significant positive effects on the recipients' work, their institutions, and humanistic scholarship more broadly, they are not designed to meet the more immediate and pressing needs of scholars generally. Support for the work of faculty members in the humanities and kindred social sciences is scarce—a condition that has been exacerbated in recent years as the National Endowment for the Humanities and other funding sources have departed the field. While a small number of institutions have created quite generous provisions for faculty leaves, this is hardly the norm. External funding remains crucial, and the need for more of it was almost universally stressed by those with whom we consulted.

The Foundation has long recognized the importance of supporting scholars and humanistic inquiry. It has, for example, provided nearly \$12.6 million (including \$8.5 million of endowment funds) since 1977 for the fellowship programs of the National Humanities Center.⁴ In addition, since 1978, the Foundation has awarded more than \$10 million (including \$7.75 million of endowment funds) to the main fellowship program of the American Council of Learned Societies (ACLS).⁵

⁴These figures do not include additional grants awarded to the Center for general support and other scholarly activities.

⁵ Currently, this program awards 60 fellowships per year for assistant (\$30,000), associate (\$40,000), and full professors (\$50,000).

While such broad-based support is crucial, the staff's consultations also underscored the fact that scholars at different stages of their careers have quite different needs and objectives. Accordingly, the Foundation is launching new programs that, in conjunction with existing initiatives, effectively cover what might be called the "scholarly life-cycle." These are intended to complement one another in deepening the overall mission: the strengthening of institutions and the promotion of the higher learning and scholarship in America.

1. *Fellowships for Junior Faculty Members.* In 2001, the Foundation inaugurated two new competitive fellowship programs designed to underwrite the scholarship of untenured faculty members, both overseen by ACLS:

- *ACLS/Andrew W. Mellon Fellowships for Junior Faculty.* Under this program, assistant professors with at least two years of teaching experience can apply for support to advance their scholarship.⁶ The program is a response to the high standard of scholarly productivity that earning tenure now requires and to institutional provisions for leaves that are often *ad hoc* or nonexistent.

- *Charles A. Ryskamp Research Fellowships.* Named for the distinguished literary scholar and library and museum director at the conclusion of his long service as a Foundation Trustee, these generous fellowships aim to do for humanists something akin to what the NSF Young Investigator program does for scientists. A limited number of Ryskamp Fellowships will provide significant support for advanced assistant professors in the humanities and related social sciences whose work has already contributed to their fields and who have well-designed plans for new scholarly projects.⁷

⁶ More information about this program is available on the ACLS Web site: <http://www.acls.org/felguide.htm>.

⁷ More information about this program is available on the ACLS Web site: <http://www.acls.org/rysguide.htm>.

2. *Fellowships for Faculty Members at Mid-Career.*

- *Sabbatical Fellowships.* Funded jointly by the American Philosophical Society (APS) and the Foundation, these fellowships are open to mid-career faculty members at universities and four-year colleges in the United States who will be taking sabbatical or research leaves and whose work would benefit from a full year's teaching relief, but whose institutional support covers less than full salary. APS encourages candidates to use the resources of the Society's library, but this is not a requirement of the fellowship.⁸
- *Frederick Burkhardt Residential Fellowships for Recently Tenured Scholars.* Overseen by the ACLS, these fellowships aim to encourage adventurous and wide-ranging research that requires more substantial commitments of time than is usually available to scholars at this stage of their careers. Recipients are expected to spend a year at one of a limited number of residential study centers that have an established record of advancing scholarship in a number of disciplines.⁹
- *New Directions Fellowships.* Both scholars and university administrators alike think that the quality of work in the humanities that crosses disciplinary boundaries has been uneven. This kind of scholarship holds great potential, but in practice it can demand formal substantive and methodological training that faculty members are rarely in a position to acquire. This fellowship program aims to permit scholars to gain such training in connection with work on problems that interest them most. The fellowships are for faculty members in the humanities and kindred social sciences who have been recently tenured or who are close to tenure review, and who seek systematic training (through formal coursework or other programs of organized study) outside their own disciplines. In addition to facilitating the work of individual faculty members, it is hoped that these

⁸ More information about this program is available on the APS Web site: <http://www.amphilsoc.org/grants>.

⁹ More information about this program is available on the ACLS Web site: <http://www.acls.org/burkguid.htm>.

awards will benefit the humanities more generally by encouraging the highest standards in cross-disciplinary scholarship. This program was launched at the beginning of 2002. Invitations were extended to 30 institutions to recommend, following an internal competition, candidates for the program. Beginning in 2003, the Foundation's new Senior Advisor, Phillip Griffiths, will oversee this program.

3. *Emeritus Fellowships*. With the lifting of mandatory retirement at age 65, the transition of scholars from teaching and administrative duties to emeritus status has become increasingly problematic—especially at research universities with large complements of older faculty members who choose not to retire. The best evidence in hand (from the Foundation-supported study by Orley Aschenfelter and David Card of the faculties of more than 100 institutions) indicates that earlier research underestimated the numbers of faculty members, especially in private research universities, who would continue teaching past 65 years of age.¹⁰ Although the problems that the “uncapping” of retirement presents cut across all disciplines and are far too large for the Foundation to contemplate trying to resolve, staff were encouraged to develop a program of Emeritus Fellowships for senior scholars in the humanities and humanistic social sciences that would enable them to continue their research and writing, to retain an active affiliation with their institutions, and to provide them with some incentive to retire. This program, which we expect to inaugurate in 2003, will also be overseen by Phillip Griffiths.

These new initiatives, open to faculty members at both colleges and universities, build upon, and provide a new context for, a number of existing Foundation programs, most of them begun in the last decade. These include research assistant professorships at the Institute for Advanced Study's School of Historical Studies, support for humanist fellows at the Center for Advanced Study in the Behavioral Sciences, and faculty fellowships at independent research libraries (for example, the John Carter Brown Library, the

¹⁰ Orley Aschenfelter and David Card, “How Did the Elimination of Mandatory Retirement Affect Faculty Retirement?” working paper no. 448, Industrial Relations Section, Princeton University, October 2000. Accessible at http://www.irs.princeton.edu/pubs/working_papers.html.

Folger Shakespeare Library, the Huntington Library, and the Newberry Library).¹¹ Taken together, and especially in combination with the Foundation's new initiatives, these programs represent a significant commitment of resources to support scholars in the humanities.

Postdoctoral Fellowships in the Humanities

Postdoctoral fellowships are standard in the sciences, but relatively rare in the humanities.¹² Yet current conditions—the poor job market in the humanities, higher standards of accomplishment required for tenure-track appointments, the limited exposure to teaching that some graduate programs provide, and the contracting size of faculties—make such fellowships increasingly apt as a first stage in the scholarly life-cycle. In the mid-1990s, the Foundation made grants for postdoctoral programs at four institutions that were not included in GEI, and has since added other high-quality institutions that presented compelling proposals.¹³ When GEI concluded in 2000, the ten universities that had participated became eligible.¹⁴

In addition to providing outstanding recent PhDs with opportunities to teach excellent undergraduates and substantial time for scholarship, these programs also benefit the institutions that receive them. Some institutions have used postdoctoral fellows to enrich course offerings without increasing the number of full-time faculty

¹¹ The Foundation also supports short-term (usually three-month) research fellowships for younger humanists from selected Eastern European countries to work at one of 17 institutes for advanced study in Western Europe, the Middle East, and most recently South Asia. Overseen by the Council of American Overseas Research Centers, the program gives the fellows access to archives and museums, helps them become acquainted with new work in their fields, and brings them into the international community of scholars.

¹² Postdoctoral fellowships in the humanities depart from the model of those in the sciences, which are typically concerned only with further research training.

¹³ The non-GEI institutions that have received grants under this program to date are: Brandeis University, California Institute of Technology, Dartmouth College, Northwestern University, University of California at Los Angeles, University College London, University of Southern California, and Washington University.

¹⁴ Postdoctoral fellowships are also supported at another 14 institutions under the Foundation's Liberal Arts Colleges program. The objectives of these fellowships are to allow outstanding young academics to begin their teaching careers despite the difficult job market, and to enable selective colleges to enrich their curricula and refresh their faculties.

members. Others have used them to replace graduate student instructors with more fully trained teachers. Fellowships have also aided institutional efforts to rationalize and improve graduate programs. In other situations, they have helped relieve the very real pressure to expand such programs to meet increased needs for undergraduate teaching.

Although they have varied according to the different requirements and structures of the participating universities, the Foundation's postdoctoral programs all share a number of fundamental attributes. Fellows, who are appointed for two years, spend half their time on scholarly work and half their time on teaching. They are given a variety of teaching opportunities (large lecture classes, seminars, and graduate courses). Senior faculty members with relevant interests take responsibility for the fellows' integration into the relevant institutions and departments. Because there is no widely accepted standard for compensation of postdoctoral fellows in the humanities, the Foundation has set a guideline at 85 percent of institutions' starting salaries for assistant professors in the relevant field.

In addition to these "regular" postdoctoral programs, the Foundation has recently initiated a new program of *Special Collections Fellowships* to enable recent PhDs to work intensively in primary source collections related to their scholarly interests and to perform useful bibliographic work for the libraries that hold these materials. They might also collaborate with library and archival staff on projects that would provide broad scholarly access to special collections through electronic media.

These new fellowships have several objectives: to promote greater use, for both scholarship and teaching, of the special library and archival collections housed at universities, while enabling accomplished recent PhDs to carry out innovative work. They will also strengthen the infrastructure of the humanities by increasing knowledge of special collections and access to them, and bridging the divide that sometimes exists between academics and librarians. The Foundation's guidelines for Special Collections Fellowships are similar to those of the main postdoctoral program. They differ in that the fellows' teaching is tied to the special collections, their teaching loads are reduced, and they are expected to work with appropriate library and archival staff and to develop courses based on the collections. The first Special Collections postdoctoral program was funded at the University of Michigan.

Doctoral Education

The conclusion of the Graduate Education Initiative by no means signals the Foundation's withdrawal from the vital area of doctoral training. The Foundation's commitment continues, and is substantial. Six programs should be mentioned.

1. *Andrew W. Mellon Fellowships in Humanistic Studies*. Now in its tenth year, Mellon Fellowships assist both the individual fellows and by extension the universities at which they choose to study, while also signaling the Foundation's long-term interest in graduate education in the humanities. Administered by the Woodrow Wilson National Fellowship Foundation, the program is designed to encourage exceptionally promising students to consider academic careers in the humanities. Each year, approximately 85 applicants (around one-eighth of the total pool) are awarded these prestigious fellowships, which cover full tuition costs and required fees for the first academic year in any accredited graduate program in the United States or Canada and also provide stipendiary support (increased in 2001 to \$17,500). The rigorous competition—in which regional and national panels of distinguished scholars assess candidates' transcripts, test scores, personal interviews, letters of recommendation, and writing samples—ensures that the promise of the fellows is extremely high.¹⁵ With the conclusion of the Graduate Education Initiative, the Mellon Fellowships program constitutes the Foundation's single largest annual commitment to doctoral training.

2. *Research Fellowships for Graduate Students*. The Foundation also supports several programs that underwrite research by advanced graduate students. Three of them focus on archival research and fieldwork, which play central roles in a number of disciplines such as history, art history, and anthropology. In other humanistic fields, working with documentary source materials also underlies much of the best scholarship and is becoming more prevalent in dissertation-level work. Yet support for archival research and fieldwork by graduate students in

¹⁵ More information about this program is available on the Woodrow Wilson National Fellowship Foundation Web site: <http://www.woodrow.org/mellon>.

the humanities is relatively scarce. Thus competition for the following fellowships has proved intense:

- *International Dissertation Research Fellowships*. Administered by the Social Science Research Council (SSRC) in collaboration with the ACLS, and supported by the Foundation since 1997, these fellowships are awarded on a competitive basis to graduate students whose dissertation work is comparative, cross-regional or cross-cultural, and requires nine to 12 months study in the field. The fellowships, open to PhD candidates in the humanities and social sciences enrolled in doctoral programs in the United States, are highly sought after (applicants now number around 900 annually) and highly selective (approximately one applicant in 20 receives an award). The program seeks to promote comparative and historical study of questions rooted in the fellows' disciplines but also of broader interest. Furthermore, it seeks to ensure that the fellows start their careers with reasonably deep knowledge of some part of the world outside the United States. The fellowships provide students with access to research materials not available in this country and give them first-hand experience of working abroad. Over the long term, the work of the fellows should broaden their disciplines by encouraging more systematic comparative inquiry. Upon completion of their work in the field, fellows also participate in multidisciplinary workshops addressing themes pertinent to this kind of scholarship.¹⁶ In March 2002, following a highly favorable external review, the Foundation awarded funds to continue the program.
- In addition, two new programs also provide graduate students in the humanities with opportunities to conduct archival research. The *Mellon Fellowships for Dissertation Research in Original Sources*, administered by the Council on Library and Information Resources (CLIR), provide ten fellows per year with preparation for research abroad at an archival "boot camp," as well as a year of research sup-

¹⁶ More information about this program is available on the SSRC Web site: <http://www.ssrc.org/fellowships/idrf>.

port and participation in a workshop on their return from the field. These workshops provide occasions for fellows to report on their work and to receive guidance on how to begin transforming their notes into a dissertation. This program also aims to help inform the library and archival community about the research needs of graduate students and the effective organization of scholarly resources.¹⁷ The *IHR Mellon Fellowships for Dissertation Research in the Humanities*, overseen by the University of London's Institute of Historical Research, is similar in its overall aims to CLIR's initiative. Each year, the fellowships, which are open to applicants in all fields of the humanities, enable five graduate students from American institutions to spend a year working in collections of source materials available in and around London while also receiving advice from British experts. In addition, five short-term pre-dissertation research fellowships per year are also available through this program.¹⁸

3. *Dissertation Seminars.* Since 1992, the Foundation has provided support for dissertation seminars led by outstanding faculty members. Initiated by the Foundation's then Senior Advisor in the Humanities, Alvin Kernan, the seminars sought to encourage graduate student participants to consider the relationship of scholarship and writing to various theories of interpretation and methods of inquiry employed in the humanities. The focus of the program has evolved since then, but its core objectives remain: it fosters the intellectual development of young scholars by exposing them to systematic study of specified subjects, and encourages the completion of superior dissertations in a timely fashion. The seminars meet from six to ten weeks, one or more times a week, typically during the summer. Although the subjects of the seminars, and the approaches

¹⁷ More information about this program is available on the CLIR Web site: <http://www.clir.org/fellowships/mellon/mellon.html>.

¹⁸ More information about this program is available on the IHR Web site: <http://ihr.sas.ac.uk/cwis/mellon.html>. The Foundation also recently awarded a small grant to the Council for European Studies (CES) to expand its long-standing and successful program of short-term pre-dissertation travel fellowships to explore the availability of archival sources. More information about this program is available on the CES Web site: <http://www.europamet.org/frames/overall.html>.

to interpretation and practice they offer, are left up to the seminar leaders and their home institutions, the seminars must have a well-defined objective or set of problems. The majority of seminar participants are advanced graduate students, but faculty members, archivists, librarians, curators, and other members of the scholarly community may also be involved. The results of this program have been extremely positive overall. Indeed, some institutions report that the effects are transforming.

4. *Graduate Workshops.* First established at the University of Chicago in the mid-1980s, graduate workshops bring together doctoral students and faculty members from a number of departments to discuss both their own work and new developments in broad subject areas of common interest. Organized, convened, and discontinued according to the sustaining scholarly interest in the subject, workshops at Chicago have proved to be a powerful, but also flexible and inexpensive, enrichment of graduate training. The Foundation supported Chicago's workshops through the Graduate Education Initiative and has also underwritten an effort to transplant the Chicago workshop model to Stanford University, where, according to a recent external review, it is meeting with considerable success. The Foundation has also assisted the creation of a workshop program at the University of Wisconsin at Madison.

Institutional Support

Consistent with our premise that scholars and institutions are mutually dependent, the strengthening of the humanities demands that support be extended to institutions as well as to individuals. Such support can take a variety of forms, but we have decided for the time being to concentrate on two types of institutional assistance. The first is designed to help leading research universities make existing institutional resources—for example, humanities centers and other types of facilities—more effective contributors to their central scholarly and teaching missions. The second seeks to promote the sharing of resources among institutions, where such collaborations make good sense and involve complementary strengths.

University Humanities Centers and Other “Specialized Assets”

Like botanical gardens, theaters, and museums, humanities centers at universities are highly specialized assets.¹⁹ Some play major roles in their institutions; others are peripheral. All are costly to maintain. The Foundation’s program for university humanities centers is designed to increase their contributions to teaching and research. Although university humanities centers have proliferated over recent decades, until recently the Foundation supported only the major national centers (the National Humanities Center, the Institute for Advanced Study, and the Center for Advanced Study in the Behavioral Sciences) as a matter of policy.²⁰ However, it is clear that university-based centers—while varying widely in age, activities, and funding—also provide significant resources for humanistic scholarship and could contribute more effectively to their universities. Staff therefore concluded that the Foundation should consider supporting a limited number of excellent established humanities centers, and a few highly promising newer ones, at leading research universities.

Following discussions with center directors, academic leaders, and others, the Foundation invited proposals explicitly aimed at strengthening the connections between the centers and the core academic activities of their universities. The kinds of activities for which the centers sought funding varied according to their particular needs, but included: (1) incorporating graduate students into center activities; (2) using center resources to strengthen the undergraduate curriculum in the humanities; (3) increasing the

¹⁹ Universities have also spawned or incorporated such diverse entities as specialized libraries, data archives, media laboratories, research institutes, and forests. In scholarly and educational terms, these are often underutilized resources for the institutions that support them. The Foundation seeks to assist universities in bringing these special resources and facilities into closer coordination with the institution’s core scholarly and teaching missions. (Grants in this program area are related to, but significantly broader than, the Special Collections Fellowships described above.) Since 1992, the Foundation’s Museums program has awarded grants to 18 colleges and universities to help them enhance the educational role of their campus museums.

²⁰ Some Foundation-funded programs—graduate workshops at Stanford, for example—have been located at, and managed by, universities’ humanities centers, but the centers were not supported as institutions.

opportunities for intellectual exchange among faculty members in the humanities and other fields; and (4) creating opportunities for librarians to spend a period of residence at the centers. A small number of grants to other centers will likely be made in the next two years.

Institutional Collaborations

Like other areas of Foundation interest, teaching and scholarship in the humanities often profit from the pooling of institutional resources. Three types of collaboration have received Foundation support. Discipline-based collaborations for doctoral education are the first type. The Foundation's support for Latin American studies in particular has provided several "natural experiments" of this kind, most notably the program run jointly by Duke University and the University of North Carolina at Chapel Hill.

A second type of collaboration links research universities and other institutions (e.g., liberal arts colleges, historically black colleges and universities, and independent research libraries) to foster graduate training and to enlarge curricular offerings. For example, a collaboration between Emory and Dillard Universities provides opportunities for graduate students in the humanities at Emory to teach at Dillard, and aims also to encourage Dillard's undergraduates to pursue graduate work in the humanities at Emory. Another collaboration the Foundation has supported—between the California Institute of Technology and the Henry E. Huntington Library and Art Gallery—includes dissertation seminars and postdoctoral fellowships that offer students, faculty members, and library staff opportunities that neither institution could provide on its own.

The third type of collaboration underwrites exchanges of scholars between research universities and liberal arts colleges. For many years, the Foundation supported the Midwest Faculty Seminar—a joint enterprise of the University of Chicago and some 29 liberal arts colleges—which brings college faculty members in the region to the University for intensive seminars on subjects in the humanities and social sciences. Recently, the Foundation has also funded a program in which recent PhDs from the University of Michigan teach at Kalamazoo and Oberlin Colleges, while college faculty members take leaves at the University.

Sawyer Seminars

The John E. Sawyer Seminars on the Comparative Study of Cultures support both institutions and individual scholars and thus qualify as a kind of omnibus program. To a greater or lesser extent, they embody the four premises articulated at the beginning of this essay. The seminars engage faculty members, postdoctoral fellows, and graduate students in systematic, comparative study of the historical and cultural sources of significant contemporary developments. They usually involve participants from a number of disciplines, while stimulating fruitful connections among the different parts of a given institution and often between one institution and others nearby. With 73 seminars funded to date at 29 institutions, this program has proved to be particularly robust, thanks to the extremely high quality of the proposals received from the institutions invited to participate (including those that have not been funded) and a superb selection panel that has distinguished itself by its unflinching rigor.

Established in 1994, and named in honor of the Foundation's long-serving third president, the seminars have brought together scholars from a variety of fields mainly, but not exclusively, in the humanities and social sciences, for intensive study of subjects chosen by the conveners. This program provides opportunities for inquiry that would (in ordinary academic circumstances) be difficult to pursue, while at the same time avoiding the institutionalization of such work in new centers, departments, or programs. The current maximum award for each Sawyer Seminar is \$110,000, which includes support for a postdoctoral fellow and for dissertation research fellows.

To judge both by the results to date and by the considerable interest that continues to be expressed by scholars and university leaders, the vitality of the program shows no sign of diminishing.²¹

²¹ Perhaps the best way to demonstrate both the intellectual vigor and catholicity of this program is simply to list (in no particular order) examples of the seminars' subjects: the foreign languages and literatures of North America; autobiography and the forging of identities; genocide in comparative perspective; nationalism and the shaping of national identities; "retroactive justice"; transitions from dictatorships to democracies; the role of the military in political and social change; how particu-

Even so, it is a highly labor-intensive undertaking for the Foundation's small program staff. To focus the needed attention on new initiatives, we have decided to put the Sawyer Seminars on hiatus.

Future Directions: Discipline Development

Over the next few years, while the current set of new programs is being launched, staff will be exploring ways in which Foundation funds could help strengthen the core disciplines of the humanities and sub-disciplines of particular interest. This is hardly a new category of activity for the Foundation. For example, medieval studies is a field of great significance in humanistic scholarship that the Foundation has supported with postdoctoral fellowships at the University of Notre Dame and the Pontifical Institute of Mediaeval Studies in Toronto, and an endowment challenge for a chair in manuscript studies at the Pontifical Institute. In another example, the Trustees have approved substantial awards over the past decade to improve graduate training in the history, sociology, literature, art, and archaeology of Latin America, and thus to building needed capacity in that area of scholarship. Similarly, the Foundation-supported Atlantic History Seminars at Harvard University have helped to establish an important sub-discipline by bringing together young scholars from the United States and abroad, all of whom work on the common, comparative, and interactive aspects of the history of the peoples of the Atlantic world while exposing participants to approaches, source materials, and intellectual traditions different from their own.

The Foundation's senior advisors and staff think that discipline development merits greater emphasis. Past efforts have produced a repertoire of useful mechanisms for disciplinary support. While we are also eager to consider new approaches, we expect to continue the existing pattern of assisting initiatives at institutions with estab-

lar illnesses and disabilities come to be defined as public health issues; the effects of mass media structures on the maintenance of civil society; current Western economic theory and alternative visions of economic processes; the connections between domestic urban problems and global economic developments; millennialism; the circulation of poetry; the effects of scientific and technological innovation on rural culture; and computer science as human science.

lished strengths in areas of interest where Foundation funds can be used effectively. In general, we do not anticipate working with disciplinary societies, which are more appropriately supported by their members.

Finally, in light of recent events, it seems appropriate to say a few words about the Foundation's past efforts to support Middle Eastern studies and future prospects for its further involvement in this area. In the late 1980s, staff surveyed the state of Middle Eastern studies to determine whether promising opportunities existed for investing in this field and if so, which were most likely to be effective. This study earmarked as a top priority language training in Arabic, Persian, and Turkish, especially by professional language instructors. It also noted that scholars needed to work abroad in appropriate institutional settings, and emphasized the importance of strengthening contacts between scholars in the United States and those in the region. Accordingly, the Foundation made a series of grants to a small number of United States universities that already had capacity in this area, as well as to the American Universities in Beirut and Cairo. While this initiative awaits formal assessment, it is clear that it was an uphill struggle. Although language training has greatly improved and professional language instructors are being increasingly used, the number of students studying Middle Eastern languages and cultures is still small and a number of the institutions that received support have had great difficulty in raising funds to meet the challenge portion of the Foundation's concluding endowment grants.

Foundation staff continue to think that Middle Eastern studies merits support and have recently provided funds through the Liberal Arts Colleges program for an online course in the history, cultures, and languages of the Arab world. Beyond this, the extent and character of further assistance for scholarship on the Middle East and for graduate training in the area remain uncertain. We anticipate that any revival of grantmaking by the Foundation in these areas will be highly selective, focused, and designed so as not to create funding "cliffs" when programs come to an end.

The Andrew W. Mellon Foundation

Summary of Grants and Contributions, 2001

	<i>Payable and Committed at</i>	<i>2001 Grants and Commitments</i>		<i>Payable and Committed at</i>
	<i>Dec. 31, 2000</i>	<i>Appropriated</i>	<i>Paid</i>	<i>Dec. 31, 2001</i>
Conservation and the Environment	\$ 2,500,000	\$ 16,934,000	\$ 17,434,749	\$ 1,999,251
Museums and Art Conservation	8,441,158	12,755,931	10,069,016	11,128,073
Performing Arts	5,010,311	16,247,800	18,840,535	2,417,576
Higher Education and Scholarship	31,335,646	104,819,343	100,774,375	35,380,614
Population	5,588,451	22,203,000	24,138,567	3,652,884
Public Affairs	1,165,770	1,875,000	2,200,751	840,019
*Other	—	8,629,000	8,629,000	—
Program Grants & Commitments—Totals . . .	\$ 54,041,336	\$ 183,464,074	\$ 182,086,993	\$ 55,418,417
Contributions	—	235,000	235,000	—
Totals	\$ 54,041,336	\$ 183,699,074	\$ 182,321,993	\$ 55,418,417

*“Other” includes grants related to the events of September 11, including \$7,950,000 from the \$50 million fund, \$430,000 in regular grantmaking, and \$249,000 made as Officer’s Grants.

The Andrew W. Mellon Foundation

Classification of Grants

CONSERVATION AND THE ENVIRONMENT

Appropriated

Brown University,
Providence, Rhode Island:

To support ecological research and training \$ 300,000

Carnegie Mellon University,
Pittsburgh, Pennsylvania:

To support scholarly research on the implementation
and effects of environmental regulations 200,000

Center for Resource Economics,
Washington, DC:

To support a publications program 375,000

Colorado College,
Colorado Springs, Colorado:

To support ecological research and training 160,000

Drury University,
Springfield, Missouri:

To investigate how transfers of materials and
nutrients from the surrounding marine environment
control plant ecosystems on islands in the Gulf of
California 29,000

Duke University,
Durham, North Carolina:

To support ecological research and training 265,000

Ecological Society of America, Inc.,
Washington, DC:

To support a revolving publications fund 750,000

To support programs to encourage minority
participation in ecological research and training 54,000

CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

Harvard University, Cambridge, Massachusetts:		
To support ecological research and training	330,000	
Idaho State University, Pocatello, Idaho:		
To support ecological research and training	98,000	
Indiana University, Bloomington, Indiana:		
To support ecological research and training	265,000	
Institute of Ecosystem Studies, Inc., Millbrook, New York:		
To support ecological research and training	320,000	
To support ecological research and training	130,000	
Los Angeles County Museum of Natural History, Los Angeles, California:		
To support research on the interrelationships of leaves and fungi in canopy trees at the Smithsonian Tropical Research Institute in Panama and Australia	21,000	
Natural History Museum, London, United Kingdom:		
To digitize botanical images and research materials . . .	180,000	
To digitize botanical images and research materials . . .	119,000	
To digitize botanical images and research materials . . .	115,000	
New York Botanical Garden, Bronx, New York:		
To support ecological research and training	900,000	

CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

Northern Arizona University,
Flagstaff, Arizona:

To support ecological research and training 290,000

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

To support ecological research and training 900,000

To support ecological research and training 295,000

To support ecological research and training 260,000

To support the development of undergraduate
semester-abroad courses and graduate training at
Kruger National Park 50,000

Pontificia Universidad Catolica de Chile,
Santiago, Chile:

To support ecological research and training 380,000

Resources for the Future, Inc.,
Washington, DC:

To support a fellowship program to study the
implementation and effects of environmental
regulations 1,200,000

Royal Botanic Gardens, Kew,
Richmond, United Kingdom:

To digitize botanical images and research materials . . . 230,000

To digitize botanical images and research materials . . . 82,000

Smithsonian Institution,
Washington, DC:

To support a meeting concerning an international
electronic initiative to link biology information
resources with other institutions 25,000

CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

Southwest Missouri State University,
Springfield, Missouri:

To support the study of how transfers of nutrients from
the surrounding marine environment control plant
ecosystems on islands in the Gulf of California 29,000

State University of New York at Stony Brook,
Stony Brook, New York:

To support ecological research and training 330,000

Trust for Public Land,
San Francisco, California:

To provide general support 1,750,000

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

To support programs to encourage minority
participation in ecological research and training 60,000

University of California at Berkeley,
Berkeley, California:

To support ecological research and training 395,000

To support ecological research and training 170,000

University of California at Davis,
Davis, California:

To support ecological research and training 330,000

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

To support ecological research and training 360,000

University of Cape Town Fund, Inc.,
New York, New York:

To support ecological research and training 400,000

To support ecological research and training 235,000

CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

University of Colorado at Boulder,
Boulder, Colorado:

To support ecological research and training 280,000

University of Connecticut,
Storrs, Connecticut:

To support a research project that uses molecular
analysis to determine the parentage of trees and
seedlings of the canopy palm *Iriartea deltoidea* in
a tropical second growth forest 17,000

University of Denver,
Denver, Colorado:

To support ecological research and training 145,000

University of Florida,
Gainesville, Florida:

To support ecological research and training 470,000

University of Maine,
Orono, Maine:

To support ecological research and training 80,000

University of Minnesota,
Minneapolis, Minnesota:

To support a program to encourage minority
participation in ecological research and training 80,000

University of Pennsylvania,
Philadelphia, Pennsylvania:

To support ecological research and training 435,000

To support ecological research and training 300,000

University of the Witwatersrand,
Johannesburg, South Africa:

To support ecological research and training 430,000

CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

University of Utah,
Salt Lake City, Utah:

To support ecological research and training 340,000

To support ecological research and training 200,000

University of Washington,
Seattle, Washington:

To support ecological research and training 545,000

University of Wisconsin at Madison,
Madison, Wisconsin:

To support ecological research and training 370,000

To support ecological research and training 260,000

Woods Hole Research Center,
Woods Hole, Massachusetts:

To support ecological research and training 450,000

Yale University,
New Haven, Connecticut:

To support ecological research and training 150,000

Total—Conservation and the Environment

\$16,934,000

MUSEUMS AND
ART CONSERVATION

Appropriated

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

To support a fellowship as part of the pilot initiative to
train Chinese museum professionals \$ 47,306

Amon Carter Museum of Western Art,
Fort Worth, Texas:

To endow positions in photograph and paper
conservation 1,700,000

Art Institute of Chicago,
Chicago, Illinois:

To support a pilot initiative to train Chinese museum
professionals 13,000

Barnes Foundation,
Merion, Pennsylvania:

To support a collection assessment and inventory,
conservation survey, and preliminary research on the
permanent collections 250,000

Carnegie Mellon University,
Pittsburgh, Pennsylvania:

To support publication of the research papers of
Robert Feller 48,000

Detroit Institute of Arts Founders Society,
Detroit, Michigan:

To establish three postdoctoral Mellon Curatorial
Fellowships 345,000

George Eastman House,
Rochester, New York:

To support the advanced residency program in
photograph conservation and to establish a photograph
conservation library and program archive 457,000

MUSEUMS AND
ART CONSERVATION

(continued)

Appropriated

Harvard University,
Cambridge, Massachusetts:

To support two advanced-level conservation science
fellowships at the Straus Center for Conservation 705,000

To support a one-year planning process to identify
preservation needs of Harvard University's photograph
collections and to develop plans to implement a
long-term photograph preservation program 50,000

Metropolitan Museum of Art,
New York, New York:

To support the museum's permanent endowments for
scholarly publications 2,000,000

To support a pilot initiative to train Chinese museum
professionals 123,000

To support an analysis of the museum's scientific needs 49,500

To support a fellowship as part of the pilot initiative to
train Chinese museum professionals 42,125

Museum of Modern Art,
New York, New York:

To provide for costs related to the Digital Design
Collection 90,000

National Gallery of Art,
Washington, DC:

To purchase essential scientific equipment 300,000

Philadelphia Museum of Art,
Philadelphia, Pennsylvania:

To support positions for a senior conservator and a
senior conservation scientist, and to purchase essential
analytical equipment 1,900,000

MUSEUMS AND
ART CONSERVATION

(continued)

Appropriated

Smithsonian Institution,
Washington, DC:

To support a pilot initiative to train Chinese museum professionals	24,000
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Toledo Museum of Art,
Toledo, Ohio:

To create and endow a conservation department and to support the position of senior conservator	1,750,000
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Walters Art Gallery Endowment Foundation, Inc.,
Baltimore, Maryland:

To create and endow two mid-level curatorial positions	2,215,000
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To support three postdoctoral Mellon Curatorial Fellowships	372,000
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Worcester Art Museum,
Worcester, Massachusetts:

To support a scholarly publication based on the “Antioch: The Lost Ancient City” exhibition	200,000
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Yale University,
New Haven, Connecticut:

To support the Art Gallery’s April 2002 symposium on early Italian painting	75,000
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Total—Museums and Art Conservation	<u><u>\$12,755,931</u></u>
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PERFORMING ARTS	<i>Appropriated</i>
Alliance of Resident Theatres, New York, New York:	
To provide grants to small and mid-sized theaters \$	1,200,000
Alvin Ailey Dance Foundation, Inc., New York, New York:	
To support artistic initiatives	150,000
American Composers Orchestra, Inc., New York, New York:	
To support <i>Orchestra Tech</i> , a multi-year initiative to explore the uses of technology in symphonic music . . .	50,000
American Dance Festival, Inc., Durham, North Carolina:	
To support artistic initiatives and organizational development	200,000
Art Sweats, Inc., New York, New York:	
To support artistic initiatives and organizational development	110,000
Arts International, Inc., New York, New York:	
To support international exchange programs for emerging dance, music, and theater organizations	750,000
Association of Performing Arts Presenters, Inc., Washington, DC:	
To support services to the dance field	75,000
Bang On A Can, Inc., New York, New York:	
To support planning for the Bang on a Can Summer Institute for composers	42,800

PERFORMING ARTS

(continued)

Appropriated

Boston Symphony Orchestra, Inc.,
Boston, Massachusetts:

To support the Tanglewood conference on the role of
music directors and conductors 10,000

Brooklyn Academy of Music, Inc.,
Brooklyn, New York:

To support opera programming 350,000

Chicago Theatre Group, Inc.,
Chicago, Illinois:

To support its resident artist program 450,000

Cross Performance, Inc.,
New York, New York:

To support artistic initiatives 110,000

Cunningham Dance Foundation, Inc.,
New York, New York:

To support artistic initiatives and organizational
development 250,000

Dance Continuum, Inc.,
Putnam Valley, New York:

To support artistic initiatives and organizational
development 75,000

Dance Exchange, Inc.,
Tacoma Park, Maryland:

To support succession planning 40,000

Dance Heritage Coalition, Inc.,
Washington, DC:

To support programs to improve preservation,
documentation, and archival practices in the
dance field 500,000

To support the strengthening of fundraising efforts . . . 50,000

PERFORMING ARTS

(continued)

Appropriated

Dance Theatre Workshop, Inc.,
New York, New York:

To support programming and artist services 300,000

Dance USA,
Washington, DC:

To support Dance/NYC 400,000

To support professional development programs 200,000

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

To support the commissioning and presentation of
new work 75,000

Discalced, Inc.,
Brooklyn, New York:

To support the creation of new work 250,000

Douglas Moore Fund for American Opera, Inc.,
Little Ferry, New Jersey:

To support fellowships for opera composers and
librettists 25,000

DOVA, Inc.,
New York, New York:

To support artistic initiatives and organizational
development 75,000

Foundation for Dance Promotion, Inc.,
New York, New York:

To support artistic initiatives and organizational
development 250,000

Garth Fagan Dance, Inc.,
Rochester, New York:

To support artistic initiatives and organizational
development 150,000

PERFORMING ARTS

(continued)

Appropriated

Glimmerglass Opera, Inc.,
Cooperstown, New York:

To support artistic initiatives 350,000

Gotham Dance, Inc.,
New York, New York:

To support artistic initiatives and organizational
development 75,000

Houston Grand Opera Association, Inc.,
Houston, Texas:

To support artistic initiatives 450,000

Inta, Inc.,
New York, New York:

To support artistic initiatives and organizational
development 75,000

Jacob's Pillow Dance Festival, Inc.,
Lee, Massachusetts:

To support artistic initiatives and organizational
development 300,000

Joe Goode Performance Group,
San Francisco, California:

To support the creation of new work 75,000

John F. Kennedy Center for the Performing Arts,
Washington, DC:

To support the Sondheim Symposium 50,000

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

To support artistic initiatives and organizational
development 150,000

PERFORMING ARTS

(continued)

Appropriated

Los Angeles Opera Company,
Los Angeles, California:

To support artistic initiatives 750,000

Margaret Jenkins Dance Studio, Inc.,
San Francisco, California:

To support artistic initiatives and organizational
development 100,000

MEM Associates, Inc.,
New York, New York:

To support a market test for *The Chronicle of the Arts* . . . 50,000

Music-Theatre Group, Inc.,
New York, New York:

To provide transitional staffing support and assistance
for long-range planning efforts 50,000

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

To support the New England Dance Project 300,000

New York City Opera, Inc.,
New York, New York:

To support artistic initiatives 1,250,000

Omaha Symphony Association,
Omaha, Nebraska:

To support long-range planning 25,000

Ontological-Hysteric Theatre, Inc.,
New York, New York:

To support the creation of new work 30,000

Opera America, Inc.,
Washington, DC:

To support artistic initiatives 300,000

PERFORMING ARTS

(continued)

*Appropriated*Opera Theatre of Saint Louis,
St. Louis, Missouri:

To support artistic initiatives 350,000

Paul Taylor Dance Foundation, Inc.,
New York, New York:To support artistic initiatives and organizational
development 250,000Performance Zone, Inc.,
New York, New York:

To support services for individual artists 35,000

Philadelphia Orchestra Association,
Philadelphia, Pennsylvania:

To support the Electronic Media Forum 200,000

Pick Up Performance Company, Inc.,
New York, New York:To support artistic initiatives and organizational
development 150,000Pittsburgh Symphony Society,
Pittsburgh, Pennsylvania:To support artistic initiatives and organizational
development 900,000Princeton University,
Princeton, New Jersey:To support the Center for Arts and Cultural Policy
Studies 425,000Ringside, Inc.,
New York, New York:To support artistic initiatives and organizational
development 150,000

PERFORMING ARTS

(continued)

Appropriated

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

To support artistic initiatives and organizational
development 800,000

San Francisco Symphony,
San Francisco, California:

To support artistic initiatives and organizational
development 900,000

Signature Theatre Company, Inc.,
New York, New York:

To support the production of new work 30,000

St. Louis Symphony Society,
St. Louis, Missouri:

To support research on international models of artistic
leadership in symphony orchestras 15,000

Stephen Petronio Dance Company, Inc.,
New York, New York:

To support artistic initiatives and organizational
development 110,000

Theatre for a New Audience, Inc.,
New York, New York:

To support performances at the Royal Shakespeare
Theatre 50,000

Trisha Brown Dance Company, Inc.,
New York, New York:

To support artistic initiatives and organizational
development 250,000

To support the company's move into new studio space 40,000

PERFORMING ARTS

(continued)

*Appropriated*University of Rochester,
Rochester, New York:

To support the Eastman School of Music's orchestral studies program	1,000,000
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Urban Institute,
Washington, DC:

To support the development of a national database of information on services and support programs for artists	25,000
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Virginia Polytechnic Institute and State University,
Blacksburg, Virginia:

To support costs of the Orchestra Forum	50,000
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Total—Performing Arts

\$16,247,800

HIGHER EDUCATION
AND SCHOLARSHIP

Appropriated

Allegheny College,
Meadville, Pennsylvania:

To support a new strategic planning effort at the
institution \$ 40,000

American Association of Collegiate Registrars
and Admissions Officers,
Washington, DC:

To support the timely completion of the third NELS
longitudinal study by the US Department of Education 10,000

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

To support the costs of administering Charles A.
Ryskamp Research Fellowships 116,000

American Historical Association,
Washington, DC:

To support the Guttenberg-e program for electronic
publication of history dissertations 980,000

American Philological Association, Inc.,
Philadelphia, Pennsylvania:

To support final production costs of the *Barrington
Atlas of the Greek and Roman World* 25,000

American University in Cairo,
New York, New York:

To support a new Center for Learning and Teaching . . 750,000

American University of Beirut,
New York, New York:

To support the Center for Behavioral Research 160,000

Amigos Library Services,
Dallas, Texas:

To strengthen programs and financial structures of
preservation field services 50,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Appalachian College Association,
Berea, Kentucky:

To endow a librarian position and support it until
endowment earnings are generated 1,050,000

To expand professional development opportunities for
women administrators in member colleges 100,000

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

To support foreign study programs 500,000

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

To establish educational technology centers in the
Northeast, South, and Midwest 1,700,000

To further develop the virtual classics and archaeology
program 695,000

To support foreign study programs 500,000

Association of Independent Colleges and
Universities of Pennsylvania,
Harrisburg, Pennsylvania:

To support the development of a secure, Web-based,
purchasing system 100,000

Association of Research Libraries,
Washington, DC:

To support a working symposium on special collections 20,000

Association of Vermont Independent Colleges,
Colchester, Vermont:

To support JSTOR membership of ten colleges in the
association 133,500

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Balboa Art Conservation Center,
San Diego, California:

To strengthen programs and financial structures of
preservation field services 42,000

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

To support the creation of a digital video archive based
on the Slobodan Milosevic trial 37,000

Bates College,
Lewiston, Maine:

To enrich programs in the humanities 450,000

To support existing environmental studies programs 300,000

Beloit College,
Beloit, Wisconsin:

To support a new president's plan to restructure the
college's study abroad program 50,000

Berea College,
Berea, Kentucky:

To support research on the determinants of student
attrition 200,000

Bibliothèque nationale de France,
Paris, France:

To digitize manuscripts and printed scrolls to be
included in the Mellon International Dunhuang
Archive 1,100,000

Boston College,
Chestnut Hill, Massachusetts:

To support a study of the college preparation of Rhodes
scholars since World War II 35,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Boston Consortium for Higher Education, Inc.,
Wellesley, Massachusetts:

To support a unit that would perform risk
management, internal audit, and legal services 225,000

Boston University,
Boston, Massachusetts:

To support a graduate training program in Latin
American literature in collaboration with Harvard and
Brown Universities 350,000

To support a meeting of Foundation-funded scholars
working on diversity in higher education 28,000

Bowdoin College,
Brunswick, Maine:

To support foreign study programs 490,000

To support the continuation of the Colby/Bates/
Bowdoin foreign study programs while two new
presidents help structure the next proposal to the
Foundation 50,000

Boyer Center for Education and Society,
Grantham, Pennsylvania:

To develop the Boyer Center program to help
colleges and universities restructure their residential
communities 15,000

Brandeis University,
Waltham, Massachusetts:

To support postdoctoral fellowships in the humanities
and related social sciences 900,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

British Council,
London, United Kingdom:

To support the retrospective conversion of library card
catalogs to electronic format 1,180,000

To support the planning of a retrospective catalog
conversion project at the Russian State Library 17,000

British Library,
London, United Kingdom:

To support the conservation of manuscripts and
scrolls to be represented in the Mellon International
Dunhuang Archive 265,000

British Museum,
London, United Kingdom:

To support painting and textile digitization and
documentation for the Mellon International Dunhuang
Archive 310,000

Brown University,
Providence, Rhode Island:

To support a study of the lower enrollment levels of
underrepresented minority males in higher education 50,000

Bryn Mawr College,
Bryn Mawr, Pennsylvania:

To support a program for women in mathematics 250,000

To develop, in collaboration with Swathmore and
Haverford Colleges, a shared library research collection
as well as an off-site storage space 89,000

California Institute of Technology,
Pasadena, California:

To support postdoctoral fellowships in the humanities
and related social sciences 440,000

To support dissertation seminars in the humanities . . . 90,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Carleton College,
Northfield, Minnesota:

To support the postdoctoral fellowship program 500,000

Center for Advanced Study in the
Behavioral Sciences,
Stanford, California:

To support fellowships for humanists 1,500,000

To support a Sawyer Seminar on the historical and
cultural sources of major contemporary developments 108,000

Center for Research Libraries,
Chicago, Illinois:

To support a planning process to assess the scholarly
value of collections 50,000

To support the costs of creating a complete archive of
the paper copies of JSTOR journals 24,000

China Institute in America, Inc.,
New York, New York:

To support the planning and development of fellowship
programs for graduate students and scholars in the
field of China studies 27,000

City College,
New York, New York:

To support the college's reinstatement into the Mellon
Minority University Fellowship program 400,000

City University of New York,
New York, New York:

To support scholarships in the undergraduate honors
program 1,500,000

Claremont McKenna College,
Claremont, California:

To support existing environmental studies programs 298,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Claremont University Center,
Claremont, California:

To support the implementation of a common administrative computing system for the seven Claremont colleges	985,000
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Clark Atlanta University,
Atlanta, Georgia:

To support strengthening academic programs in the social sciences	500,000
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Colby College,
Waterville, Maine:

To support to a new president in institutional planning	50,000
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Colgate University,
Hamilton, New York:

To support new models in undergraduate foreign study	283,000
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To support existing environmental studies programs	260,000
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To support programs designed to increase faculty involvement in residential campus life	180,000
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Colorado College,
Colorado Springs, Colorado:

To support the appointment of new faculty in the humanities and social sciences in anticipation of retirements	790,000
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Columbia University,
New York, New York:

To support the role of the Heyman Center for the Humanities in the instructional and scholarly activities of the university	309,000
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To support seminars to help recent PhD recipients turn their dissertations into electronic publications	122,000
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To support a graduate colloquium on higher education in the United States	80,000
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HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Connecticut College,
New London, Connecticut:

To support the new president's programs to strengthen
the intellectual mission of the college 50,000

Conservation Center for Art and Historic Artifacts,
Philadelphia, Pennsylvania:

To support and strengthen programs and financial
structures of preservation field services 47,000

Constitutional Court Trust,
Johannesburg, South Africa:

To support planning for the Constitutional Court's
virtual library 43,000

Cornell University,
Ithaca, New York:

To support the retrospective conversion of library card
catalogs to electronic format 830,000

To support the Higher Education Research Institute . . 525,000

To support the role of the Society for the Humanities
in the instructional and scholarly activities of the
university 187,000

To support a Sawyer Seminar on the historical and
cultural sources of major contemporary developments 110,000

To support a determination of the feasibility of
commissioning a study of management education
in Eastern Europe 5,000

Corporation for Research and Educational
Networking,
Washington, DC:

To support the improvement of CREN's methods
of disseminating advanced technical information to
colleges and universities, and to assist providers of
scholarly information in the use of digital certificates . . 48,600

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Council for European Studies,
New York, New York:

To support short-term pre-dissertation fellowships for
graduate students in the humanities and social sciences 50,000

Council of American Overseas Research Centers,
Washington, DC:

To support a program of short-term research
residencies for Eastern European scholars at institutes
for advanced study located in Western Europe,
the Middle East, and South Asia 2,500,000

Council of Independent Colleges,
Washington, DC:

To support a research program on the independent
sector of higher education 125,000

Council on Library and Information Resources,
Washington, DC:

To support archival research fellowships for graduate
students in the humanities 800,000

To support the selection, documentation, and
digitization of images for ArtSTOR's Image Gallery . . . 741,000

To support institutionally based studies of the
requirements for and use of scholarly information 340,000

To support a baseline measurement study of the
scholarly use of art, manuscripts, and other materials
from Dunhuang, China 50,000

Dartmouth College,
Hanover, New Hampshire:

To support the development and deployment of an
open source, end-to-end, inter-institutional, public key
infrastructure 1,650,000

To support postdoctoral fellowships in the humanities
and related social sciences 730,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

DePauw University,
Greencastle, Indiana:

To support planning activities that will address the
needs for faculty career enhancement 60,000

Dickinson College,
Carlisle, Pennsylvania:

To support foreign study programs 64,000

Dillard University,
New Orleans, Louisiana:

To support the honors program 410,000

To support HBCU presidents' efforts to recruit and
retain new faculty members 150,000

Duke University,
Durham, North Carolina:

To support an institutional study of undergraduate
academic performance 375,000

To support the role of the John Hope Franklin Institute
for Interdisciplinary Studies in the instructional and
scholarly activities of the university 325,000

Emory University,
Atlanta, Georgia:

To support the study of Internet search engine
applications designed to improve access to scholarly
communications 290,000

Fisk University,
Nashville, Tennessee:

To support the development of an institutional
strategic plan 50,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Five Colleges, Inc.,

Amherst, Massachusetts:

To support the expansion of the self-instruction language program located at the University of Massachusetts at Amherst and serving the Five Colleges 50,000

To support a summer pilot program on video-conferencing for faculty members on each campus 50,000

Gordon College,

Wenham, Massachusetts:

To support a collaborative program to improve the technology competencies of faculty members at four historically black colleges (Bethune-Cookman, Edwards Waters, Florida Memorial, and Oakwood) and an Appalachian institution (Lee University) 50,000

Graduate School and University Center,

City University of New York,

New York, New York:

To support the role of the Center for the Humanities in the instructional and scholarly activities of the university 286,000

To support the enhancement of the music bibliography database of the Répertoire International de Littérature Musicale and to help JSTOR select a cluster of scholarly music journals 164,000

To support a Sawyer Seminar on the historical and cultural sources of major contemporary developments 110,000

Great Lakes Colleges Association, Inc.,

Ann Arbor, Michigan:

To support the establishment of educational technology centers in the Northeast, South, and Midwest 2,600,000

To support foreign study programs 500,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Hamilton College,
Clinton, New York:

To support stage one of a student learning assessment 330,000

Harvard University,
Cambridge, Massachusetts:

To support the role of the Humanities Center of the
Faculty of Arts and Sciences in the instructional and
scholarly activities of the university 268,000

To support the development of software designed to
transcribe medieval music notation into electronic form 150,000

To support dissertation seminars in the humanities . . . 125,000

To support planning for the Radcliffe Institute's
research cluster 50,000

To support dissertation seminars in the humanities . . . 50,000

To support a workshop on digital imagery for works
of art 43,200

To support museum publications of scholarly merit . . . 35,000

Haverford College,
Haverford, Pennsylvania:

To support postdoctoral fellowship programs 500,000

Heritage College,
Toppenish, Washington:

To support a program designed to preserve and
revitalize the Sahaptin language 345,000

Hobart and William Smith Colleges,
Geneva, New York:

To support a new president's institutional assessment
and planning efforts 50,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Humanity in Action, Inc.,
New York, New York:

To support new models in undergraduate foreign study 100,000

Illinois Wesleyan University,
Bloomington, Illinois:

To support faculty career enhancement and a review of
the governance structures of the institution 40,000

Indiana University,
Bloomington, Indiana:

To support an endowment for preservation staff and
spendable funds for equipment 1,000,000

To support the establishment of an online archive
of video recordings that documents research in
ethnomusicology 80,000

Jewish Theological Seminary of America,
New York, New York:

To support initiatives in conservation management . . . 474,000

Johns Hopkins University,
Baltimore, Maryland:

To support attendance by librarians from developing
countries at the upcoming conference of the
International Federation of Library Associations 45,000

Johnson C. Smith University,
Charlotte, North Carolina:

To support HBCU presidents' efforts to recruit and
retain new faculty members 150,000

JSTOR,
New York, New York:

To support the addition of a cluster of scholarly music
journals to the JSTOR database 450,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Kalamazoo College,
Kalamazoo, Michigan:

To support a pilot project for an international study
program 20,000

Lake Forest College,
Lake Forest, Illinois:

To support the redesign of the college's first-year
studies program 50,000

Library Information Network Consortium,
Rīga, Latvia:

To support the costs of sending Latvian librarians to
attend an international workshop 3,200

Macalester College,
St. Paul, Minnesota:

To support postdoctoral fellowship programs 500,000

To support a planning process for the collaboration
with the Early American centers in Philadelphia 12,000

Marquette University,
Milwaukee, Wisconsin:

To support the planning of modern library services for
the university 6,100

Massachusetts Institute of Technology,
Cambridge, Massachusetts:

To support a Web-based initiative that will provide
worldwide access to all of the university's courses 5,500,000

Master Drawings Association, Inc.,
New York, New York:

To support special projects related to the publication of
the scholarly journal, *Master Drawings* 50,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Mercy College,

Dobbs Ferry, New York:

To support the creation of a professional career network to aid the current undergraduate and graduate students in business and accounting majors through mentoring programs	40,000
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Middlebury College,

Middlebury, Vermont:

To support the establishment of educational technology centers in the Northeast, South, and Midwest	4,000,000
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To support the establishment of educational technology centers in the Northeast, South, and Midwest	2,100,000
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Minnesota Private College Research Foundation,

St. Paul, Minnesota:

To support a Minnesota higher education study of college costs, affordability, and choices	175,000
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Morehouse College,

Atlanta, Georgia:

To support programs designed to increase faculty involvement in residential campus life	200,000
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To support efforts to recruit and retain new faculty members	150,000
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Morris Brown College,

Atlanta, Georgia:

To create an honors program with the University of Minnesota	600,000
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Mount Holyoke College,

South Hadley, Massachusetts:

To support the appointment of new junior or intermediate-level faculty in the humanities and social sciences	790,000
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HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

To support the establishment of educational technology centers in the Northeast, South, and Midwest	570,000
To support Czech and Slovak librarians at the 2001 CASLIN seminar	13,000
To support staff in connection with the technology center's project	8,000
National Gallery of Art, Washington, DC:	
To support editorial and related costs for a <i>Historiographic Guide to Andean Sources</i> at the Center for Advanced Study in the Visual Arts	120,000
National Humanities Center, Research Triangle Park, North Carolina:	
To support the conclusion of the Center's Sawyer Seminar on liberal cultures and their critics	22,500
National Information Standards Organization, Bethesda, Maryland:	
To support a workshop to explore the development of new standards for library performance measures and statistics	31,500
National Library of Estonia, Tallinn, Estonia:	
To support the costs associated with the Foundation's Conference on Union Catalogs to be hosted by the National Library	30,000
New York Public Library, New York, New York:	
To support a permanent endowment to maintain collections at the Schomburg Center for Research in Black Culture	1,000,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

New York University,
New York, New York:

To support a graduate program in moving image
preservation 732,000

Northeast Document Conservation Center,
Andover, Massachusetts:

To support programs and financial structures in
preservation field services 47,000

To support a seminar on the preservation of paper and
photographs in South Africa's Eastern Cape region . . . 38,000

Northwestern University,
Evanston, Illinois:

To support the expansion of the university's honors
workshop programs 560,000

To support and strengthen the role of the Kaplan
Center for the Humanities in the instructional and
scholarly activities of the university 280,000

Occidental College,
Los Angeles, California:

To support programs designed to increase faculty
involvement in residential campus life 150,000

Ohio State University,
Columbus, Ohio:

To support the selection, documentation, and
digitization of images to be incorporated into
ArtSTOR's Image Gallery 264,000

To support the selection, documentation, and
digitization of images to be incorporated into
ArtSTOR's Image Gallery 58,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Open University, Milton Keynes, United Kingdom:	
To support research on the correspondence and serial publications of Alfred Russel Wallace	45,000
Organization for Tropical Studies, Inc., Durham, North Carolina:	
To support a Minority Scholars in Ecology program . .	250,000
Oxford University Press, Inc., New York, New York:	
To support the development of digital distribution centers for university presses	518,000
Pennsylvania State University, University Park, Pennsylvania:	
To support a Sawyer Seminar on the historical and cultural sources of major contemporary developments	110,000
Philander Smith College, Little Rock, Arkansas:	
To support the creation of an honors program	188,000
Pomona College, Claremont, California:	
To support and strengthen the Asian studies program	270,000
Princeton University, Princeton, New Jersey:	
To support cataloging of Princeton Library's medieval manuscripts and to digitize their illuminations for inclusion in the <i>Index of Christian Art</i>	450,000
To support data collection and research on the demo- graphics of minority students at selective institutions of higher learning	334,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Princeton University Press,
Princeton, New Jersey:

To support the development of an online database of
the correspondence of 18th-century intellectuals 74,000

RAND Corporation,
Santa Monica, California:

To support the planning of a project demonstrating the
use of emulation methods for the preservation of digital
information 50,000

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

To support the continued planning, design, and
implementation of the Database of Recorded American
Music 895,000

Research Libraries Group, Inc.,
Mountain View, California:

To support the study of Internet search engine
applications designed to improve access to scholarly
communications 196,000

Rhodes College,
Memphis, Tennessee:

To support planning activities that will address the
needs for faculty career enhancement 76,000

Rochester Institute of Technology,
Rochester, New York:

To support and foster the preservation research
program at the Image Permanence Institute 750,000

Rockefeller University,
New York, New York:

To support a summer training program for minority
undergraduate students considering entry into
MD-PhD programs 500,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Rollins College,
Winter Park, Florida:

To support the president's new strategic planning
process 40,000

To support the planning of a new initiative for faculty
renewal 18,000

Saint Augustine's College,
Raleigh, North Carolina:

To support JSTOR membership and train librarians at
Saint Augustine's and Barber Scotia Colleges in its use 35,500

Saint Catherine's Monastery,
Athens, Greece:

To support the digital imaging of the monastery's
collection of medieval illuminated manuscripts 50,000

Saint Paul's College,
Lawrenceville, Virginia:

To support the planning efforts to design a
collaborative project among three historically black
colleges (Saint Paul's, Saint Augustine's, and Voorhees)
and an Appalachian institution (the University of the
South) 20,000

To support JSTOR membership and train librarians in
its use 18,000

Salzburg Seminar in American Studies, Inc.,
Middlebury, Vermont:

To support a fellowship program for faculty members
from historically black and central Appalachian colleges 600,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

San Francisco State University,
San Francisco, California:

To support a project to measure the costs and
pedagogic effectiveness of using technology to improve
undergraduate education 375,000

Sarah Lawrence College,
Bronxville, New York:

To appoint new junior or intermediate-level faculty in
the humanities and social sciences 800,000

Scripps College,
Claremont, California:

To support programs designed to increase faculty
involvement in residential campus life 150,000

To support planning activities that will address the
needs for faculty career enhancement 64,000

Sea Education Association, Inc.,
Woods Hole, Massachusetts:

To support a program to encourage students from
underrepresented minority groups to pursue careers in
oceanography 150,000

Slovak National Library,
J. C. Hronskeno 1, Slovakia:

To support the retroconversion of the Slovak
monograph production of the 20th century, providing
access to much of the Slovak national bibliography 50,000

Social Science Research Council,
New York, New York:

To support an external evaluation of the Foundation-
supported International Dissertation Research
Fellowship program 49,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Southeastern Library Network, Inc.,
Atlanta, Georgia:

To support the study of Internet search engine
applications designed to improve access to scholarly
communications 300,000

To support and strengthen programs and financial
structures of preservation field services 41,000

Southern Education Foundation, Inc.,
Atlanta, Georgia:

To support the instructional technology assistance
program 475,000

Southwestern University,
Georgetown, Texas:

To support plans for the further diversifying of
students and faculty 50,000

Spelman College,
Atlanta, Georgia:

To support a transition program for women in
mathematics 125,000

To support the dissemination of results of a survey of
archival and library materials at 80 historically black
colleges and universities 50,000

To support the expansion of the Archives Institute
to include the training of archival assistants at selected
historically black colleges and universities 50,000

To support travel for senior faculty members to
strengthen existing ties with Mangosuthu Technikon
in South Africa 7,650

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

St. Lawrence University,
Canton, New York:

To support the establishment of a teaching and
learning center 170,000

Stanford University,
Stanford, California:

To support postdoctoral fellowships in the Introduction
to the Humanities program 1,265,000

To support and improve the quality and effectiveness of
graduate education within selected departments of the
humanities and social sciences while reducing time-to-
degree and attrition rates 225,000

To support a Sawyer Seminar on the historical and
cultural sources of major contemporary developments 110,000

To support the development of a business plan for
the ongoing operation of the Stanford Encyclopedia of
Philosophy 43,000

Swarthmore College,
Swarthmore, Pennsylvania:

To support the president's efforts to restructure the role
of athletics 350,000

Talladega College,
Talladega, Alabama:

To support curricular and course development for a
new honors program 50,000

Trinity College (Hartford),
Hartford, Connecticut:

To support research opportunities for faculty and
students 49,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Tulane University,
New Orleans, Louisiana:

To support a Sawyer Seminar on the historical and cultural sources of major contemporary developments	110,000
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Union College,
Schenectady, New York:

To support the residential program and establish interdisciplinary academic relationships	250,000
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To provide supplemental support of the faculty retirement program	115,000
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University College London,
London, United Kingdom:

To support postdoctoral fellowships in the humanities and related social sciences	710,000
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University of California at Berkeley,
Berkeley, California:

To support a workshop to create a research and policy agenda concerning for-profit ventures and online and distance learning in higher education	50,000
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To support the preparation for publication of the Foundation-funded study of the careers of doctoral recipients from US institutions	22,893
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To support the preparation of a monograph on the research and findings of projects conducted under the Foundation's Cost-Effective Uses of Technology in Teaching (CEUTT) program	19,100
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To support preliminary research for a study of the economics of scholarly journal publishing	15,500
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HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

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

To support library preservation programs	1,090,000
To support research at the Center for Education Policy and Evaluation	253,000
To support a three-dimensional, virtual reality computer model of the Roman Forum	127,000
To support a Sawyer Seminar on the historical and cultural sources of major contemporary developments	110,000
To support a pilot program designed to prepare undergraduates from historically black colleges and universities for doctoral programs in the humanities and humanistic social sciences	50,000

University of Cambridge,
Cambridge, United Kingdom:

To support the retrospective conversion of library card catalogs to electronic format	1,183,000
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University of Cape Town Fund, Inc.,
New York, New York:

To support the Center for Social Science Research	1,200,000
To support the university's participation in the Mellon Minority University Fellowship program	650,000
To support the Vice Chancellor at the University of Cape Town with discretionary funds	150,000
To support programs that will help the increasingly diverse student body participate fully in campus life . . .	45,000
To support a second conference for women administrators from the five institutions in the Western Cape of South Africa	6,600

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

University of Chicago,
Chicago, Illinois:

To support graduate education in the humanities and
related social sciences 2,500,000

To support the development of digital distribution
centers for university presses 1,500,000

To support library preservation programs 1,000,000

University of Connecticut,
Storrs, Connecticut:

To support a project to preserve the archives of the
African National Congress 700,000

University of Fort Hare,
Alice, South Africa:

To support the Vice Chancellor with discretionary
funds 100,000

University of Georgia,
Athens, Georgia:

To support the incorporation of digitized images into
ArtSTOR's Image Gallery 155,000

University of Hertfordshire,
Hatfield, United Kingdom:

To support an analysis of the costs and revenue
associated with reproduction services of libraries,
museums, and archives 50,000

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

To support library preservation programs 1,000,000

To study Internet search engine applications designed
to improve access to scholarly communications 183,000

To support the development of an online, multi-level,
cross-linked, annotated bibliography of scholarly
publications in the area of music information retrieval 32,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

University of London,
London, United Kingdom:

To support archival research fellowships for graduate students in the humanities at the Institute of Historical Research 480,000

To support the development of a business plan to strengthen the organizational and financial basis of the Courtauld Institute of Art 49,000

To support the use of JSTOR by scholars at the Warburg Institute 35,000

University of Michigan,
Ann Arbor, Michigan:

To support postdoctoral fellowships in the humanities and related social sciences 1,400,000

To support an exchange of recent PhD's from the university with faculty members from Kalamazoo and Oberlin Colleges 900,000

To support fellowships in the university's special collections libraries 860,000

To support a study of Internet search engine applications designed to improve access to scholarly communications 150,000

To support research on the changing composition of university faculty 50,000

University of Natal,
Durban, South Africa:

To support the linking of museum collections at higher education institutions in the KwaZulu-Natal region of South Africa 190,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

University of Nebraska,
Lincoln, Nebraska:

To support a project to measure the costs and pedagogic effectiveness of using technology to improve undergraduate education	350,000
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University of Notre Dame,
Notre Dame, Indiana:

To support the assembly, translation, and editing of the Dead Sea Scrolls	50,000
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University of Oxford,
Oxford, United Kingdom:

To support enhanced access to source texts of classical antiquity and related scholarly materials	465,000
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To support the development of an online database of the correspondence of 18th-century intellectuals	296,000
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To support the digitization of Voltaire's correspondence	49,000
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To support the digitization of medieval music manuscripts	36,000
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University of Pennsylvania,
Philadelphia, Pennsylvania:

To support postdoctoral fellowships in the humanities and related social sciences	1,150,000
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University of Pittsburgh,
Pittsburgh, Pennsylvania:

To support the pilot phase of a project exploring the use of the layered structure of Geographic Information Systems software as a tool for the analysis of medieval manuscripts	25,000
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HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

University of Southern California,
Los Angeles, California:

To support institutionally based studies of the
requirements for and use of scholarly information 295,000

To support the evaluation of software needed by the
West Semitic Research Project to create an online
database of ancient Near Eastern inscriptions 12,500

University of the South,
Sewanee, Tennessee:

To support the appointment of new faculty in the
humanities and social sciences in anticipation of
retirements 790,000

To support the establishment of a students' research
fund that will enable more student-faculty collaborative
work to occur 50,000

University of the Witwatersrand,
Johannesburg, South Africa:

To support the African International Relations Center 500,000

To support the Vice Chancellor with discretionary
funds 150,000

University of Virginia,
Charlottesville, Virginia:

To support a large-scale digital object repository and
retrieval system 1,000,000

To support a study of Internet search engine
applications designed to improve access to scholarly
communications 300,000

To support a Sawyer Seminar on the historical and
cultural sources of major contemporary developments 107,000

To support dissertation seminars in the humanities . . . 50,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

University of Washington,
Seattle, Washington:

To support a study of the role of race and ethnicity in students' transition from high school to college and the effect of a Washington State referendum on college attendance by minorities 400,000

To support a marine science research training program for minority students 300,000

To support the development of an open-source authentication system for Web-based services 262,000

University of Wisconsin at Madison,
Madison, Wisconsin:

To support research workshops in the humanities 100,000

To support a study of biomedical science at Rockefeller University 50,000

Upper Midwest Conservation Association,
Minneapolis, Minnesota:

To support and strengthen programs and financial structures of preservation field services 47,000

Ursinus College,
Collegeville, Pennsylvania:

To support the design of new faculty development initiatives 23,550

US.ZA Education Initiative,
Stellenbosch, South Africa:

To support a quantitative literacy program at the University of Cape Town 220,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Vanderbilt University,
Nashville, Tennessee:

To support the construction of a scholarly portal for
ancient Near Eastern studies 100,000

Vassar College,
Poughkeepsie, New York:

To support postdoctoral fellowship programs 500,000

To support activities that address faculty career
enhancement needs 76,000

Victoria and Albert Museum,
London, United Kingdom:

To support painting and textile digitization and
documentation for the Mellon International Dunhuang
Archive 200,000

Virginia Historical Society,
Richmond, Virginia:

To support a symposium and an exhibit entitled
“Hidden Treasures Revealed: The Paul Mellon
Collection of Americana” 50,000

Virginia Polytechnic Institute and State University,
Blacksburg, Virginia:

To support a project to measure the costs and
pedagogic effectiveness of using technology to improve
undergraduate education 50,000

Virginia Union University,
Richmond, Virginia:

To support the strengthening of academic programs . . . 90,000

Wake Forest University,
Winston-Salem, North Carolina:

To support foreign study programs 200,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Washington University,
St. Louis, Missouri:

To support dissertation seminars in the humanities . . . 1,080,000

To support the study and documentation of the process
by which the authors of a scholarly textbook on the
history of American art identify and select images to
include in the text 36,200

Wellesley College,
Wellesley, Massachusetts:

To support a Wellesley and Five Colleges faculty
seminar on gender politics in postcolonial Africa 43,750

Wells College,
Aurora, New York:

To support a faculty career enhancement program that
will focus on cross-disciplinary collaborations 30,000

Western Cape Tertiary Institutions Trust,
Cape Town, South Africa:

To support the CALICO library project for training
and computer software that will merge library catalogs 46,500

Western Interstate Commission for Higher
Education,
Boulder, Colorado:

To support the US-UK Postsecondary Education
Dialogue 45,000

Western Maryland College,
Westminster, Maryland:

To support the new president's plan to identify the
college's major educational assets and begin a program
of faculty development 50,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Whitman College, Walla Walla, Washington:	
To support existing environmental studies programs . . .	300,000
Whittier College, Whittier, California:	
To support a student research program and site visits to three sets of liberal arts colleges to study successful new curricular and campus life initiatives	50,000
Williams College, Williamstown, Massachusetts:	
To support the postdoctoral fellowship program	500,000
Woodrow Wilson International Center for Scholars, Washington, DC:	
To support the study of Internet search engine applications designed to improve access to scholarly communications	150,000
Woodrow Wilson National Fellowship Foundation, Princeton, New Jersey:	
To support the Mellon Fellowships in Humanistic Studies	4,150,000
To support the second phase of a South African public policy education program	1,435,000
To support increased stipends for Mellon Fellowships in Humanistic Studies	290,000
Xavier University of Louisiana, New Orleans, Louisiana:	
To support and strengthen the Center for the Advancement of Teaching	350,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Yale University,

New Haven, Connecticut:

To support postdoctoral fellowships in the humanities and related social sciences	717,000
To support research, training, and education in the history of physical and biological sciences	595,000
Total—Higher Education and Scholarship	<u>\$104,819,343</u>

POPULATION	<i>Appropriated</i>
African Population and Health Research Centre, Inc., Nairobi, Kenya:	
To support demographic research and training, particularly of South Africa	\$ 150,000
AVSC International, Inc., New York, New York:	
To support practitioner-academic collaboration in research and training	600,000
Columbia University, New York, New York:	
To support family planning services in New York City	450,000
To support practitioner-academic collaboration in research and training	150,000
To support research and teaching partnerships with forced migration centers in developing countries	150,000
To support uses of information technology to advance research and teaching in forced migration studies in developing countries	150,000
Cooperative for Assistance and Relief Everywhere, Inc. (CARE), Atlanta, Georgia:	
To support practitioner career development and training	200,000
To support a network to coordinate the activities of the UN and nongovernmental organizations in the area of emergency education	150,000
To support a network to coordinate the activities of the UN and nongovernmental organizations in the area of emergency education	30,000

POPULATION

(continued)

Appropriated

Duke University,

Durham, North Carolina:

To support research on refugee children and adolescents	30,000
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Family Health International,

Durham, North Carolina:

To support a program of fellowships in contraceptive development	400,000
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Georgetown University,

Washington, DC:

To support research and teaching partnerships with forced migration centers in developing countries	280,000
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Harvard University,

Cambridge, Massachusetts:

To support the development and implementation of training courses for senior management of humanitarian organizations	425,000
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To support the planning of a research cluster on international migration by the Radcliffe Institute for Advanced Study	50,000
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Interaction American Council for Voluntary

International Action, Inc.,

Washington, DC:

To support practitioner career development and training	315,000
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To support an evaluation of the Sphere Project	150,000
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International Center for Research on Women,

Washington, DC:

To support practitioner-academic collaboration in research and training	600,000
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POPULATION

(continued)

*Appropriated*International Medical Corps,
Los Angeles, California:

To support practitioner career development and training	100,000
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To support applied research and training related to refugee health	90,000
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International Rescue Committee, Inc.,
New York, New York:

To support applied research and training related to refugee health	300,000
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To support practitioner career development and training	225,000
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To support the development and implementation of training courses for senior management of humanitarian organizations	175,000
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To support research on the provision of education to displaced populations for its Women's Commission for Refugee Women and Children	150,000
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IPAS,

Chapel Hill, North Carolina:

To support practitioner-academic collaboration in research and training	475,000
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Johns Hopkins University,
Baltimore, Maryland:

To support applied research and training related to refugee health	600,000
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London School of Hygiene and Tropical Medicine,
London, United Kingdom:

To support applied research and training related to refugee health	200,000
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POPULATION

(continued)

Appropriated

Mercy Corps International,
Portland, Oregon:

To support practitioner career development and
training 150,000

National Academy of Sciences,
Washington, DC:

To support a study of Hispanics in the United States . . . 450,000

National Foundation for the Centers for Disease
Control and Prevention, Inc.,
Atlanta, Georgia:

To support applied research and training related to
refugee health 650,000

PATH,
Seattle, Washington:

To support research and technical assistance in the
fields of contraceptive reproductive health, for use as
permanently restricted endowment 1,500,000

To support practitioner-academic collaboration in
research and training 600,000

Population Council,
New York, New York:

To support research in the field of contraceptive
development 1,500,000

To support practitioner-academic collaboration in
research and training 750,000

Save the Children Federation, Inc.,
Westport, Connecticut:

To support applied research and training related to
refugee health 150,000

To support practitioner career development and
training 100,000

POPULATION

(continued)

*Appropriated*Tufts University,
Medford, Massachusetts:

To support practitioner career development and training	300,000
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To support research and teaching partnerships with forced migration centers in developing countries	150,000
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University of Cape Town Fund, Inc.,
New York, New York:

To support and strengthen its capacity to conduct demographic research and training	600,000
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To support a South African research network on poverty and inequality	300,000
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University of Colorado at Boulder,
Boulder, Colorado:

To support demographic research and training related to South Africa	300,000
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University of Kansas Medical Center
Research Institute, Inc.,
Kansas City, Kansas:

To support a junior investigator in reproductive biology and to promote contraceptive development research	420,000
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To support a junior investigator in reproductive biology and to promote contraceptive development research	420,000
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University of Michigan,
Ann Arbor, Michigan:

To support uses of information technology to advance research and teaching in forced migration studies in developing countries	465,000
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To support South African doctoral training in demography	120,000
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POPULATION

(continued)

*Appropriated*University of Minnesota,
Minneapolis, Minnesota:

To support a Middle Eastern research and fellowship program	360,000
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University of Natal,
Durban, South Africa:

To support and strengthen its capacity to conduct demographic research and training	600,000
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To support a South African research network on HIV/AIDS	300,000
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University of North Carolina at Chapel Hill,
Chapel Hill, North Carolina:

To support uses of information technology to advance research and teaching in forced migration studies in developing countries	400,000
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To support practitioner-academic collaboration in research and training	275,000
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University of Oxford,
Oxford, United Kingdom:

To support uses of information technology to advance research and teaching in forced migration studies in developing countries	450,000
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To support research and teaching partnerships with forced migration centers in developing countries	390,000
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University of Pennsylvania,
Philadelphia, Pennsylvania:

To support and strengthen psychosocial programs among displaced populations, for use by its Solomon Asch Center for the Study of Ethnopolitical Conflict	750,000
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POPULATION

(continued)

Appropriated

To support uses of information technology to advance research and teaching in forced migration studies in developing countries	600,000
To support a junior investigator in reproductive biology and to promote contraceptive development research . .	420,000
To support a junior investigator in reproductive biology and to promote contraceptive development research . .	420,000
To support research and teaching partnerships with forced migration centers in developing countries	300,000
To support the African Census Analysis Project	50,000

University of the Witwatersrand,
Johannesburg, South Africa:

To support and strengthen the university's capacity to conduct demographic research and training	600,000
To support demographic research and training, particularly of South Africa	300,000
To support a South African research network on migration	48,000

University of Virginia,
Charlottesville, Virginia:

To support a junior investigator in reproductive biology and to promote contraceptive development research . .	420,000
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Total—Population

\$22,203,000

PUBLIC AFFAIRS

Appropriated

Bold Initiative, Inc.,
New York, New York:

To support research to develop models for effective
diversification of a workforce \$ 40,000

National Bureau of Economic Research, Inc.,
Cambridge, Massachusetts:

To support a program of research on financial
sector risk 550,000

New York University,
New York, New York:

To support a study of the economic challenges
confronting the City of New York 35,000

Philanthropic Research, Inc.,
Williamsburg, Virginia:

To support further development and utilization of a
comprehensive Web-based database of public charities,
known as GuideStar 750,000

Urban Institute,
Washington, DC:

To develop an electronic filing system for nonprofit
organizations 500,000

Total—Public Affairs

\$1,875,000

OTHER	<i>Appropriated</i>
Alan Guttmacher Institute, New York, New York:	
To support the institute following losses incurred as a result of the events of September 11, 2001 \$	30,000
Alliance of Resident Theatres, New York, New York:	
To support small and mid-sized nonprofit theaters in New York City that have incurred losses as a result of the events of September 11, 2001	2,650,000
American Music Center, Inc., New York, New York:	
To support composers and small and mid-sized music organizations in New York City that have incurred losses as a result of the events of September 11, 2001 . .	2,650,000
Interaction American Council for Voluntary International Action, Inc., Washington, DC:	
To support programs that seek to address the aftermath of the events of September 11, 2001	140,000
International Rescue Committee, Inc., New York, New York:	
To support its response to the events of September 11, 2001	65,000
Massachusetts General Hospital, Boston, Massachusetts:	
To support programs that seek to address the aftermath of the events of September 11, 2001	140,000
To support its response to the events of September 11, 2001	65,000
Mercy Corps International, Portland, Oregon:	
To support its response to the events of September 11, 2001	25,000

OTHER

(continued)

*Appropriated*New York Foundation for the Arts, Inc.,
New York, New York:

To support individual artists and nonprofit dance companies, media and visual arts organizations, and community-based cultural centers in New York City that have incurred losses as a result of the events of September 11, 2001	2,650,000
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Save the Children Federation, Inc.,
Westport, Connecticut:

To support its response to the events of September 11, 2001	64,000
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University of Pennsylvania,
Philadelphia, Pennsylvania:

To support programs that seek to address the aftermath of the events of September 11, 2001	150,000
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Total—Other

\$8,629,000

CONTRIBUTIONS	<i>Appropriated</i>
Association of Governing Boards of Universities and Colleges, Washington, DC:	
To provide general support	\$ 35,000
Council on the Environment, Inc., New York, New York:	
To support its Waste Prevention and Recycling Service	30,000
Eviction Intervention Services, New York, New York:	
To provide general support	40,000
Foundation Center, New York, New York:	
To provide general support	30,000
Marymount Manhattan College, New York, New York:	
To support the new president's strategic planning project	35,000
National Center for Nonprofit Boards, Washington, DC:	
To provide general support	30,000
Nonprofit Coordinating Committee of New York, Inc., New York, New York:	
To provide general support	35,000
Total—Contributions	<u>\$235,000</u>
Grand Totals	<u><u>\$183,699,074</u></u>

Financial Statements

REPORT OF INDEPENDENT ACCOUNTANTS

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, 2001 and 2000, and the change 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, which require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatements. 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.

A handwritten signature in cursive script that reads "PricewaterhouseCoopers LLP".

PricewaterhouseCoopers LLP
New York, New York
April 25, 2002

The Andrew W. Mellon Foundation

Balance Sheets

At December 31, 2001 and 2000

	<u>2001</u>	<u>2000</u>
	<i>(in thousands)</i>	
ASSETS		
Investments:		
Marketable securities	\$3,067,215	\$3,501,691
Limited liquidity investments	938,199	1,205,707
Other	66,000	56,000
	<u>4,071,414</u>	<u>4,763,398</u>
Cash.....	7,842	20,238
Investment and other income receivable	11,630	24,847
Receivable from unsettled securities sales	27,491	64,783
Tax refunds receivable	6,201	3,780
Property, at cost less accumulated depreciation of \$3,974 and \$3,549 at December 31, 2001 and 2000, respectively.....	<u>10,989</u>	<u>11,191</u>
Total assets	<u>\$4,135,567</u>	<u>\$4,888,237</u>
LIABILITIES AND NET ASSETS		
Grants payable	\$ 15,877	\$ 8,707
Payable from unsettled securities purchases	85,566	197,680
Accrued expenses.....	2,710	2,955
Deferred federal excise tax	1,365	11,065
	<u>105,518</u>	<u>220,407</u>
Total liabilities	105,518	220,407
Net assets (unrestricted).....	<u>4,030,049</u>	<u>4,667,830</u>
Total liabilities and net assets	<u>\$4,135,567</u>	<u>\$4,888,237</u>

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

The Andrew W. Mellon Foundation

Statements of Activities

For the years ended December 31, 2001 and 2000

	<u>2001</u>	<u>2000</u>
	<i>(in thousands)</i>	
INVESTMENT RETURN:		
Gain (loss) on investments:		
Realized.....	(\$50,554)	\$1,108,588
Unrealized, net.....	(464,386)	(774,749)
Interest	32,088	37,474
Dividends	56,629	61,268
Other income	9,684	6,220
	<u>(416,539)</u>	<u>438,801</u>
Less: Investment expenses	(13,444)	(15,168)
Net investment return.....	<u>(429,983)</u>	<u>423,633</u>
EXPENSES:		
Program grants and contributions, net	189,063	207,062
Salaries, pensions and benefits.....	8,834	7,554
Other operating expenses	5,951	4,893
Current provision for taxes.....	3,950	23,039
	<u>207,798</u>	<u>242,548</u>
Change in net assets	(637,781)	181,085
Net assets (unrestricted) at beginning of year.....	<u>4,667,830</u>	<u>4,486,745</u>
Net assets (unrestricted) at end of year	<u>\$4,030,049</u>	<u>\$4,667,830</u>

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

The Andrew W. Mellon Foundation

Statements of Cash Flows

For the years ended December 31, 2001 and 2000

	<u>2001</u>	<u>2000</u>
	<i>(in thousands)</i>	
Cash flow from investment income and operations:		
Interest and dividends received.....	\$ 102,155	\$ 85,295
Other income received	9,204	6,479
Grant refunds received.....	429	57
Federal excise tax refund received.....	2,948	
Grants and contributions paid.....	(182,322)	(204,370)
Investment expenses paid.....	(13,874)	(14,676)
Salaries and other operating expenses paid.....	(14,177)	(11,977)
Taxes paid.....	(9,317)	(23,500)
	<hr/>	<hr/>
Net cash used by investment income and operations	(104,954)	(162,692)
Cash flow from investing activities:		
Proceeds from sales of marketable securities:		
Short-term.....	4,086,445	2,891,763
Other.....	3,637,608	4,538,382
Receipts from limited liquidity investments	72,664	61,962
Capital gain distributions received	9,006	6,341
Net returns on financial instruments.....	2,610	(6,426)
Purchases of marketable securities:		
Short-term.....	(3,983,773)	(3,139,145)
Other.....	(3,578,099)	(3,793,573)
Purchases of limited liquidity investments	(153,680)	(392,081)
Additions to property.....	(223)	(827)
	<hr/>	<hr/>
Net cash provided by investing activities	92,558	166,396
Net (decrease) increase in cash	(12,396)	3,704
Cash at beginning of year.....	20,238	16,534
Cash at end of year.....	<u>\$ 7,842</u>	<u>\$ 20,238</u>
<i>Supplemental Disclosure of Noncash Investing Activities:</i>		
Distributions of securities received from limited liquidity investments	<u>\$ 142,654</u>	<u>\$ 820,443</u>

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

The Andrew W. Mellon Foundation

Statements of Cash Flows (continued)

For the years ended December 31, 2001 and 2000

Reconciliation of Change in Net Assets to Net Cash Used by Investment Income and Operations

	<u>2001</u>	<u>2000</u>
	<i>(in thousands)</i>	
(Decrease) increase in net assets	(<u>\$637,781</u>)	<u>\$181,085</u>
Adjustments to reconcile change in unrestricted net assets to net cash used by investment income and operations:		
Realized loss (gain) on investments	50,554	(1,108,588)
Decrease in unrealized appreciation of investments	474,086	790,549
Decrease (increase) in income receivable	13,217	(13,188)
Increase in grants payable	7,170	2,749
(Decrease) increase in accrued expenses.....	(245)	530
Depreciation expense	425	426
Decrease in deferred federal excise tax payable	(9,700)	(15,800)
Increase in federal excise tax refund receivable.....	(2,421)	(455)
Net effect of bond amortization/accretion	(259)	—
Total adjustments.....	<u>532,827</u>	<u>(343,777)</u>
Net cash used by investment income and operations	<u><u>(\$104,954)</u></u>	<u><u>(\$162,692)</u></u>

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

The Andrew W. Mellon Foundation

NOTES TO FINANCIAL STATEMENTS

NOTE 1—SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES:

The financial statements of The Andrew W. Mellon Foundation (the “Foundation”) have been prepared in conformity with generally accepted accounting principles. The significant accounting policies followed are described below.

Investments:

Investments in marketable securities are stated at market value. Market value is determined using daily closing last trade prices, where available, for all tradeable instruments on any global stock exchange. Realized gains and losses on investments in securities are calculated based on the first-in, first-out identification method.

Limited liquidity investments are stated at estimated fair value. Limited liquidity investments are primarily made under agreements to participate in limited partnerships and are generally subject to certain withdrawal restrictions. These investments are valued on the basis of the Foundation’s equity in the net assets of such partnerships. 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 historical cost, appraisals, market values discounted for concentration of ownership, or other estimates. 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. All limited partnerships are audited annually by independent auditing firms.

The other investment is the Foundation’s 100 percent interest in a trust that owns property from which the Foundation receives the net income. Other income is principally the income from this trust, derived primarily from royalties from coal mining, with minor amounts of income from timbering and oil and gas wells. The value of the Foundation’s investment is determined based on an estimate of the remaining mineral reserves and the timber on the properties and the discounted value of the anticipated future income. The properties are recorded at an estimated current value of \$66 million at December 31, 2001 and \$56 million at December 31, 2000.

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 conditions of the grant are met. 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. The Foundation is subject to income tax at corporate rates on certain income which is considered unrelated business income under the Internal Revenue Code.

Property:

Property primarily consists of land, 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 years.

Investment Return:

Investment return includes income and realized and unrealized gains or losses on all investments. Unrealized gains comprise the change in unrealized appreciation on marketable securities and the limited liquidity investments, net of deferred federal excise tax provided on such unrealized appreciation. Realized gain or loss includes 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:

Investment expenses are the costs of portfolio management, including fees for investment management, custody, and advisory services. Other administrative and office expenses include all costs of operating the Foundation offices, including maintenance and depreciation.

The Foundation's expenses are classified into three functional areas: program, which includes grants, grantmaking activity, and research; administration, which also encompasses investment activity; and the federal excise tax. The Foundation's expenses classified on a functional basis are as follows for 2001 and 2000:

	<u>2001</u>	<u>2000</u>
	<i>(in thousands)</i>	
Program	198,797	\$213,789
Administration	5,051	5,720
Taxes	3,950	23,039
	<u>\$207,798</u>	<u>\$242,548</u>

Use of Estimates:

The preparation of financial statements in accordance with generally accepted accounting principles 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 period. Actual results could differ from those estimates.

Implementation of New Accounting Standard:

In 2001, the Foundation implemented Financial Accounting Standards Board Statement No. 133, *Accounting for Derivative Instruments and Hedging Activities*. Such statement requires derivative instruments, such as options and futures contracts, to be recorded in the balance sheet at fair value and provides guidance for recognition of changes in value depending on the reason for holding the derivative. See Note 2 for further discussion of the Foundation's use of derivative instruments and hedges. The effect on the Foundation's financial statements of adopting this new standard was not material.

NOTE 2—INVESTMENTS:

Marketable securities held at December 31, 2001 and 2000 are summarized as follows:

	<i>December 31, 2001</i>		<i>December 31, 2000</i>	
	<i>Market Value</i>	<i>Cost</i>	<i>Market Value</i>	<i>Cost</i>
	<i>(in thousands)</i>		<i>(in thousands)</i>	
Equities.....	\$2,045,670	\$2,006,891	\$2,222,525	\$2,027,890
Fixed Income	749,361	751,300	902,582	890,460
Short-term	273,098	272,967	376,418	376,418
Derivative financial instruments.....	(914)	(584)	166	178
Total	<u>\$3,067,215</u>	<u>\$3,030,574</u>	<u>\$3,501,691</u>	<u>\$3,294,946</u>

As a result of its investing strategies, the Foundation is a party to a variety of financial instruments. These financial instruments may include equity, fixed income, and foreign currency futures and options contracts, foreign currency forwards, and interest rate cap and floor contracts. Much of the Foundation's off-balance-sheet exposure represents strategies that are designed to reduce the interest rate and market risk inherent in portions of the Foundation's investment program. Changes in the market values of these financial instruments are recognized currently in the Statement of Activities.

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. As of December 31, 2001 and 2000, the Foundation had forward currency contracts with notional amounts totaling \$4.3 million and \$5.5 million, respectively. At December 31, 2001, approximately \$4.3 million in assets and \$4.3 million in liabilities related to open foreign currency contracts, at market value, are included in derivative financial instruments.

Through a securities lending program managed by its investment custodian, the Foundation loans certain stocks and bonds included in its investment portfolio to qualified investors. These investors are required to deposit cash of a like amount with the investment custodian as collateral on such loans. The Foundation's investment custodian has indemnified the program against counterparty risk. The Foundation's gross securities loaned to certain investors at December 31, 2001 amounted to approximately \$279 million.

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 of 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.

Pursuant to its limited partnership agreements, the Foundation is committed to contribute approximately \$462 million as of December 31, 2001 in additional capital over the next ten years. Unpaid commitments at December 31, 2000 were \$512 million.

NOTE 3—TAXES:

The Internal Revenue Code imposes an excise tax on private foundations equal to 2 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 1 percent when a foundation meets certain distribution requirements under Section 4940(e) of the Internal Revenue Code. 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 provision for 2001 comprises \$2.9 million of federal excise tax on net investment income and \$1.0 million in federal and state taxes on unrelated business income. The current provision in 2000 was \$23.0 million of federal excise tax. The change in unrealized appreciation reflected on the Statement of Activities includes a provision for deferred taxes based on net unrealized appreciation of investments at 2 percent. The decrease in unrealized appreciation in 2001 resulted in a decrease of the deferred federal excise tax liability of \$9.7 million. In 2000, the deferred tax liability decreased by \$15.8 million.

NOTE 4—GRANTS, CONTRIBUTIONS, and COMMITMENTS:

The following table of grant activity by major program area includes all grant appropriations approved during 2001. "Other" grants are those grants made in response to the events of September 11, 2001.

	<i>Payable and Committed, Dec. 31, 2000</i>	<i>2001 Grants and Commitments</i>		<i>Payable and Committed, Dec. 31, 2001</i>
		<i>Appropriated</i>	<i>Paid</i>	
		<i>(in thousands)</i>		
Conservation and the Environment.....	\$ 2,500	\$ 16,934	\$ 17,435	\$ 1,999
Museums and Art Conservation	8,441	12,756	10,069	11,128
Performing Arts	5,011	16,248	18,841	2,418
Higher Education and Scholarship	31,336	104,819	100,774	35,381
Population.....	5,589	22,203	24,139	3,653
Public Affairs.....	1,165	1,875	2,200	840
Other	—	8,629	8,629	—
	<hr/>	<hr/>	<hr/>	<hr/>
Program Grants & Commitments—Totals	\$54,042	183,464	182,087	55,419
Contributions.....	—	235	235	—
	<hr/>	<hr/>	<hr/>	<hr/>
Totals	<u>\$54,042</u>	<u>\$183,699</u>	<u>\$182,322</u>	<u>\$55,419</u>

A special \$50 million fund was approved primarily to assist New York City cultural and performing arts organizations that were directly affected by the events of September 11. A portion of the fund will also be used to benefit more broadly the people of the City by supporting the public parks. Grants of \$7.9 million were made from this fund in 2001; the uncommitted balance of this fund is not reflected in the table above. As of March 31, 2002, grants from the special fund totaled \$43.7 million.

Grant and grant commitment activity is summarized below.

	<i>Amount</i>	
	<u>2001</u>	<u>2000</u>
	<i>(in thousands)</i>	
Grants Payable:		
Grants payable at January 1	\$8,707	\$5,958
Grant expense	189,492	208,619
Less grants paid	<u>(182,322)</u>	<u>(205,870)</u>
Grants payable at December 31	<u>\$15,877</u>	<u>\$8,707</u>
Net Grant Expense:		
Unconditional grants	\$165,674	\$185,858
Conditional grants	<u>23,818</u>	<u>22,761</u>
	189,492	208,619
Less grant refunds	<u>(429)</u>	<u>(1,557)</u>
	<u>\$189,063</u>	<u>\$207,062</u>
Grant Commitments:		
Grant commitments at January 1	45,335	34,003
Less commitment cancelled	—	(377)
Conditional grants appropriated	18,025	34,470
Less grants meeting conditions for payment	<u>(23,818)</u>	<u>(22,761)</u>
Grant commitments at December 31	<u>\$39,542</u>	<u>\$45,335</u>

