

The Andrew W. Mellon Foundation

Report
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through December 31, 2007

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As of December 31, 2007

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 in 1940 by Ailsa Mellon Bruce, Andrew W. Mellon's daughter. The Old Dominion Foundation had been established in 1941 by Paul Mellon, Andrew W. Mellon's son.

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

Within each of its core programs, the Foundation concentrates most of its grantmaking in a few areas. Institutions and programs receiving support are often leaders in fields of Foundation activity, but they may also be promising newcomers, or in a position to demonstrate new ways of overcoming obstacles 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. This approach requires thoughtful, long-term collaboration with recipients.

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

PRESIDENT'S REPORT

Dr. Atomic, John Adams's opera based on the life of J. Robert Oppenheimer, was performed at the Lyric Opera in Chicago in December of 2007, supported in part by a grant from The Andrew W. Mellon Foundation. It provides but one example of the ways in which opera can be genuinely engaging intellectually as well as artistically—indeed, an example of why the “intellectual” and the “artistic” should not be understood as separate categories. Of course, one could read the recent biography of Oppenheimer to learn about his place in the development of the atomic bomb. Theater and music, however, can make more powerful, both intellectually and emotionally, a personal response to matters still very much worth thinking about.

The Foundation's support of such a production derives from a continuing belief that the arts are not mere entertainment intended only for the well-to-do. The arts speak to our humanity and contribute powerfully to our understanding of ourselves and of one another. The same should be said of the objects of study, including the arts, that make up the humanities. Even in a world beset by daunting problems and too much human misery, the arts and humanities require and deserve resources, and in the grand scheme of things, the amounts are not so very large. But one sign of the times can be found in the President's budget for the fiscal year 2009. Funds for the National Endowment for the Humanities are recommended to decrease by .2 percent, and funds for the National Endowment for the Arts are recommended to decrease by 11.5 percent. Funds for public broadcasting are to be cut in half.

The landscape in higher education generally—the site of the greatest part of activity in the humanities—is similarly discouraging, especially in public higher education. Some of the nation's very best—which is to say the world's very best—public institutions face substantial reductions in resources in the coming year. This is, of course, prompted by declining state revenues brought on by current economic conditions. But the public should be wary of reducing investment in higher education, even or especially in a weak economy, since, quite apart from its intrinsic value, that investment is the single best defense against a weakened economy and weakened global competitiveness in the long run.

To judge by worldwide demand over a span of a century or more, higher education is the single most successful business the United States has ever engaged in. Nevertheless, the nation has for some years now been in danger of systematically eroding that leadership

through disinvestment. At the same time, a rising chorus of voices urges that this is the business that needs more government regulation. In this view, government officials should control prices, specify some of the ways in which internal resources are allocated, and certify educational outcomes. For those who remember that at one time it was essentially against the law for banks to lose money, this current appetite for the regulation of our most successful and valuable industry seems at a minimum misplaced.

Higher education is in fact already rather heavily regulated, and the increasing costs of complying with that regulation contribute substantially to the increasing cost of higher education to parents and students. This is especially true in the pursuit of science and thus in the largest and the wealthiest universities where the major part of scientific research in the national interest is carried on. And this is but one of the respects in which the scientific enterprise is heavily subsidized by these institutions. The federal government has never paid the full cost of research in universities, despite the apparently large amounts universities receive in research grants, and it has steadily worked at shifting a greater share of this cost to the institutions themselves. The resulting subsidy to the scientific research effort comes ultimately from private sources—a combination of philanthropy and other unrestricted resources, one of which is undergraduate tuition. Thus, leading institutions of higher education are asked to shoulder the burden not only of access to higher education but also of the scientific research that is crucial to the nation's prosperity as well as to the full exercise of its intellectual powers. A move to mandate the reallocation of resources to either one will necessarily be at the expense of the other to some degree. Both ought to be national priorities.

These sound like the views of a former university president, as indeed they are. But why should The Andrew W. Mellon Foundation and its president care about all of this? Because much the largest share of our grantmaking goes to institutions of higher education, and the Foundation thus has a broad perspective on and a deep engagement with higher education generally. And if the picture of higher education painted by those advocating greater regulation is really accurate, why should the Foundation use its resources in this way? One extreme view is that when foundations give to private higher education (and other cultural organizations), it is simply the rich giving to the rich at the expense of the taxpayer, since the wealth of both has been accumulated through tax exemptions.

Here higher education intersects with another unique feature of the United States—the culture of private philanthropy. This culture

exists in no other country in the world to anything like the same extent. And it is this culture that is largely responsible for the creation and support of the institutions of higher education that have set the standard of quality for this country and the world. These institutions were at first exclusively private institutions. Over time some public institutions joined their ranks in terms of quality. But even the best public institutions are today supported in very considerable degree by private rather than public resources. In some leading public institutions, state funds have sunk to the range of 10-15 percent of total budgets. The result, then, is that the greatest system of higher education in the world has been created and sustained by the strongest culture of philanthropy in the world. What is there about this that needs fixing?

The short form of the complaint about higher education goes as follows: It costs too much, the cost is rising too fast, and many institutions are hoarding increasing wealth at public expense when they should be using that wealth to make higher education more readily accessible to the less well-to-do. Specific proposals include imposing sanctions of various kinds on institutions that raise tuition faster than some benchmark and mandating higher fixed percentages of expenditures from endowments. These efforts are fueled further by reports in the press of a handful of private institutions with very large endowments that between about 2002 and late 2007 were growing at very substantial rates.

The principal problem with this picture is that it fails to take account of the enormous variety among the 4,000 or so institutions of higher education in the country—public and private, large and small, the very few truly wealthy, and all of the rest. For example, the oft-cited figures for the average rate of increase in tuition are driven by the increases at public institutions, where the base is in general quite low and thus the dollar amount of increases relatively small. And these increases are often a direct response to state budget cuts. But when these percentage rates of increase are conflated with the much higher tuition at private institutions, the public may conclude that rich private institutions are gouging students and their parents.

Similar imprecision obtains in discussions of endowments. To gain a good sense of the wealth that a college or university endowment represents, one must divide the endowment by the number of students that it supports in any given institution. And if one's concern is primarily with the cost of undergraduate education, one must further ask what fraction of the total student population in any institution is made up of undergraduates and what fraction of the

endowment is legally restricted to purposes other than undergraduate education. Thus, an institution with a major medical school, one or more associated hospitals, a business school, and a law school (to name only a few of the kinds of professional schools to be encountered) will have major portions of its endowment that are simply not legally available to address anything having to do with undergraduate education or undergraduate financial aid. Such questions lead inexorably to the conclusion that not even every institution with a multibillion dollar endowment is wealthy enough to reduce undergraduate tuition substantially or to offer greater amounts of financial aid. In the end, the nation has four truly wealthy institutions, and these are separated from all of the remainder by a notable gap.

Changes in financial aid policy on the part of the truly wealthy institutions, however, will often inspire other institutions to adopt policies that in some respects they cannot really afford. This has the effect of putting even more upward pressure on tuition in these institutions. For them, most undergraduate financial aid comes not from endowment but from tuition itself. That is, a significant part of the financial aid for undergraduates who qualify for it in terms of need comes from the tuition paid by students judged not to be in need of financial aid. This is purely and simply a form of income redistribution. And calls for universities with sizable endowments to spend more of them on reducing tuition and or increasing financial aid are purely and simply calls for changing the formula of income redistribution. This is to say that money given or paid to institutions for the most part by relatively wealthier individuals should be directed to the less wealthy.

The redirection of tuition from those who can pay to those who cannot is most pronounced in the poorest institutions, some of which may recycle or “discount” tuition in this way by as much as 50 percent. Among the institutions where this is practiced most extensively are the Historically Black Colleges and Universities (HBCUs). In these institutions, which the Mellon Foundation has long assisted, the educationally disadvantaged and the economically disadvantaged closely overlap. Since there are relatively few wealthy students at these institutions, income redistribution here is not from the rich to the poor so much as it is likely to be from the not quite poor to the truly poor.

The question is whether institutions of higher education should be engaged in income redistribution even to the current extent, let alone to a still greater extent. One might have thought this to be the job of the tax code. Ironically, many who have called for a still greater redistribution of income on the part of institutions of higher

education, especially private institutions, oppose in principle any increase in income redistribution through the tax code. The fact remains, however, that if money is the obstacle to higher education for a large segment of the population, the remedy will necessarily entail, by one method or another, taking money from those who have it and giving it to those who do not. No one should pretend that this will be avoided by forcing institutions of higher education to change their spending policies.

A further point should be made with regard to spending from endowment. Not only are endowments restricted in many different ways that prevent their use for keeping undergraduate tuition low to the degree that all might like. The stream of income produced by an endowment supports many fixed costs that are not easy to shed from one year to the next. Thus, every institution needs some kind of smoothing function that keeps the stream of income both inflation proof and deflation proof over very long periods of time independent of the ups and downs of the financial markets. A fixed, annual percentage rate of spending from endowment would, to be sure, produce more spendable funds in years of strong market performance like the last five or so, but it might force reductions in the dollar amounts available in years of substantial market declines. Surely it would be undesirable to have the number of scholarships or faculty members fluctuate from year to year, depending on the markets.

Foundations can better tolerate this kind of volatility and do in fact live with a fixed requirement to spend not less than 5 percent of their assets in any given year. Even in this world, however, the goal might better be to keep the grantmaking budget rising each year at or above the rate of inflation. This means that in years of strong investment returns, 5 percent might be less than one could reasonably afford, but this would enable paying out substantially more than 5 percent in years of declining investment returns so as to continue growth in the dollar amount of grants. This is essentially the policy that the Mellon Foundation has followed. In years of sharply rising markets, the dollar amount of grants has been increased in order to achieve the 5 percent floor. In years of sharply declining markets, the percentage has increased to above 5 percent so as to enable the dollar amount to rise at least modestly.

This policy reflects the kinds of institutions that we support and the kind of grantmaker that we wish to be. In general, we support institutions with long histories whose needs will not go away. And we wish to be reasonably steady in our support of those institutions. This means that the number and kinds of institutions that we sup-

port will not change radically from year to year. This in turn means that the debates about higher education touched on above will not significantly alter our grantmaking. We have not in the past nor do we now intend in the future to make grants for undergraduate financial aid, great as the need for that aid is. Our contribution to keeping the cost of higher education down will be to support work in the humanities and the arts that institutions might not otherwise be able to afford or that might simply lose out in the competition for resources that inhabits every institution.

Our views on supporting doctoral education are quite different. Among our largest grants in 2007 are several for graduate fellowships in the humanities. Financial aid for graduate students in these fields is even more scarce than undergraduate financial aid, and these grants will enable talented students to pursue degrees in the humanities at some distinguished universities. Each of these institutions has been encouraged to develop methods for deploying this aid that suit its own particular needs rather than follow restrictions that might be thought to apply to all institutions equally.

If our support of graduate education in the humanities reflects something of the changing landscape of higher education, it is in the inclusion of a somewhat larger number of distinguished public institutions among the grantees than in the past. As noted above, such institutions are under increasing financial pressure, and although the Mellon Foundation cannot make good the loss of state support in some of them, we have felt compelled to assist a small number with excellent programs in fields that we care most about.

The fields we care most about are, broadly speaking, primarily the humanities and the arts, which are intimately entwined—or should be—both in higher education and in society more generally. We care about them because they are inherently valuable human pursuits, and both public and private support for them is relatively meager. Of course, these activities do have their practical value as well, though that value is often realized only over long horizons. Much is said about the contribution of the arts to the economy. And higher education, with the humanities at its core, is both a very big business (about 2.8 percent of GDP; automobiles are about 3.6 percent; furniture about 3 percent) and an investment in the future prosperity of individuals and of society at large. To take but one concrete example of its value to the nation, the United States would clearly benefit from a much deeper knowledge of other people—their histories, their languages, and their cultures. We cannot afford to wait until a war breaks out before undertaking to learn about our sup-

posed enemies. It would be well, too, to have a deep knowledge of the people whom we might hope to have as our allies in such an event. In that sense, this Foundation is engaged in investing in the deep intellectual infrastructure principally of the United States. But that intellectual infrastructure is not only valuable in instrumental terms. It is valuable for its own sake and for the sake of helping each of us understand what kind of life might be worth living.

This brings me back to *Dr. Atomic*. Its moral hero is Robert R. Wilson, a physicist who not only made great scientific contributions to the Manhattan Project but who, in the opera, is the principal voice of those who most powerfully confronted the moral dilemma that the effort posed. Years later he became the founding director of the Fermi National Accelerator Laboratory, the site of what has remained until now the world's most powerful particle accelerator. In testimony before Congress on the appropriation of the considerable sums that would be required for construction of the accelerator, he was asked what its contribution to the national defense would be. He responded, "It has nothing to do directly with defending our country, except to make it worth defending."

The Andrew W. Mellon Foundation has a similar purpose. Our goal is to support some of those things that make the nation most worth defending and, further, that make the nation most worthy to be respected and admired by all of the world's peoples.

Don M. Randel
February 2008

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In the pages that follow, the Foundation's program staff offer summary accounts of their activities in 2007. The remaining parts of this report consist of an essay on the state of university presses, a compilation of the Foundation's grants for 2007, and its annual financial statements.

Research Universities and Humanistic Scholarship

Overseen by Harriet Zuckerman and Joseph S. Meisel, programs in these areas have three objectives: they support scholars' training and research, mainly through an array of fellowship programs (for graduate students and faculty members at different stages of their careers); assist institutions that sustain scholarship in the humani-

ties, including universities, centers for advanced study, and a number of specialized institutes; and encourage innovative research that offers the possibility of advancing humanistic scholarship in promising directions. In practice, many individual grants combine at least two, and some all three, of these goals.

Owing to increases in budgetary allocations, it has been possible both to expand programs in place and to undertake new ones. Last year's *Annual Report* described a major extension of the Foundation's commitment to graduate education in the humanities. In partnership with the American Council of Learned Societies and the Social Science Research Council, the Foundation's support for graduate students has been redirected to the later stages of their training where, under current conditions, it is most needed. These new programs (and related smaller ones funded through other organizations) are competitive by design and aim to reach the best doctoral candidates nationwide. In 2007, the effort was complemented by a series of endowment grants to support graduate education at institutions with historic distinction in the humanities but where resources were then and continue to be more limited than those their wealthiest peers have been able to devote to these purposes. In total, the Foundation awarded \$30 million to six institutions: \$6 million each for the large programs at Columbia University, the University of California at Berkeley, the University of California at Los Angeles (UCLA), and the University of Chicago; and \$3 million each for the smaller programs at Cornell and Johns Hopkins Universities. The formal terms of these endowments were deliberately broad so that the proceeds could be redeployed to other aspects of graduate training as needed. Each university was, however, asked to indicate how the funds would be used in the near term. In the main, these institutions plan in the short term to augment the amount of support they offer to outstanding graduate students and to extend the number of years of graduate study they cover while also increasing resources available for summer research.

These grants were intended not only to strengthen doctoral education in the humanities, but also to respond to the Foundation's concerns in recent years about the consequences of growing disparities in wealth among leading research universities. As indicated in previous reports, the emergence of a small number of institutions with far greater financial resources than their peers has undermined the beneficial competition that has traditionally existed among universities for leading faculty members, graduate students, and undergraduates, developments the mainstream media have also

begun to notice.¹ In response, the Foundation made the first of a series of substantial grants (\$2.5 million each) in 2006 that enabled a limited number of excellent but comparatively less well-endowed universities to undertake programs they themselves considered central and that promised to increase their distinctive contributions to the humanities. In 2007, grants of this kind went to three more universities: to Cornell for new senior professorships; to Berkeley for enhancing the research funds available to associate professors; and to the University of North Carolina at Chapel Hill to reinvigorate and extend its traditional strengths in medieval and early modern studies.

Among other noteworthy activities in 2007, four senior scholars received the Foundation's annual Distinguished Achievement Awards: Ellen Rosand, who specializes in Baroque opera at Yale University; Peter Schäfer, a scholar of Judaism at Princeton University specializing in late Antiquity and the early Middle Ages; Eric Sundquist, a scholar of American literature at UCLA; and Richard White, a historian of the North American West at Stanford University. Support was also given for an innovative consortium of university-based humanities centers—at Chicago, Columbia, Berkeley, and the University of Cambridge—to pursue a set of activities designed to explore and foster disciplinary innovation in the humanities. The Foundation's long-term interest in assisting in the preparation of outstanding scholarly editions was represented by grants to support the *Correspondence of Charles Darwin* and the *Benjamin Disraeli Letters* projects.

The activities of the Foundation in Research Universities and Humanistic Scholarship have also been extended through collaboration with other program areas. One illustration involves the successful annual residency of the Saint Paul Chamber Orchestra at the University of Chicago (with the grant supported by the Research University program in close consultation with staff in the Performing Arts). In a second more intensive collaboration, involving the Scholarly Communications program, two initiatives that address the problems of scholarly publishing have been undertaken. One of these deals with

¹ See, e.g., Anthony Bianco with Sonal Rupani, "The Dangerous Wealth of the Ivy League: Higher Education is Increasingly a Tale of Two Worlds, with Elite Schools Getting Richer and Buying Up All the Talent," *Business Week*, 10 December 2007, pp. 38-44; Karen W. Arenson, "Soaring Endowments Widen a Higher Education Gap," *The New York Times*, 4 February 2008, p. A14; idem, "Wealth Gap Growing Bigger Among American Colleges," *The New York Times*, 20 February 2008, p. B6.

publication of first monographs while the other is concerned with the historically complex relationships between university presses and their host institutions. The former is briefly outlined here; the latter is taken up in the Scholarly Communications section of this report. In the separate paper that follows this report, Donald J. Waters and Joseph S. Meisel treat in greater compass the current state of scholarly publishing in the United States, its history, prior Foundation efforts in this domain, and the rationales for these initiatives.

Readers will be familiar with the fact that monographs (books that present a sustained argument based on intensive study of a defined set of problems, ideas, materials, or phenomena) are the principal means of disseminating scholarship in most fields of the humanities and that publishing these works with university presses is especially crucial for junior faculty. Meeting the standards of editorial and peer review of university presses not only certifies the scholarly quality of the published work, it also helps young scholars establish their intellectual *bona fides* and forms the basis of their claims for professional advancement in promotion and tenure decisions. In recent decades, however, a number of developments in the academy and the economics of scholarly publishing, described by Waters and Meisel in some detail, have combined to make the publication of monographs in the humanities far more problematic than it once was, particularly in certain fields. In the current publishing environment, junior faculty arguably suffer more than other scholars because “first books” (generally based on dissertation research) tend to be the least marketable of all monographs.

Recognizing that limited markets present real obstacles to publication and that university presses confront such obstacles in common, this year the Foundation invited 87 US university presses (all those with directors in place) to propose ideas for collaborative projects aimed at expanding the publication of excellent scholarly monographs (typically first books by younger scholars) in both established and emerging areas of humanistic scholarship where publication prospects are poor. In response, the Foundation received 33 statements of interest involving a total of 66 presses in various combinations. Ultimately, four projects were selected for funding: the presses of Columbia University and the Universities of California and Chicago for publication of first monographs on South Asian studies; the presses of New York, Fordham, Rutgers, and Temple Universities and the University of Virginia on the English-language literatures of the Americas; the presses of the Universities of Wisconsin and Pittsburgh and Northwestern University on Slavic

studies; and the presses of Indiana, Kent State, and Temple Universities on ethnomusicology.²

Although these four proposals address different fields and envision somewhat different organizational models, all of these proposals involve the close cooperation of several presses and are designed to publish a larger number of monographs than current economic constraints would otherwise allow them to produce. The initiative aims to encourage groups of presses to expand publication in fields in which their interests overlap and to develop collaborative activities to achieve economies of scale and to expand markets for their titles. While grant funds do support some of the costs of the additional volumes to be produced, they are not to serve as subsidies that would plug the gap between the costs and expected revenues of individual titles. Proposals include plans for strengthening the fields of focus, evaluating the collaborative models, and developing strategies to sustain increased levels of publication over the longer term. It is hoped that the examples provided by these projects, and what will be learned from the assessment of their outcomes, will ultimately encourage other presses to find ways of placing greater emphasis on the vital scholarly activity of publishing monographs by younger scholars.

*Liberal Arts Colleges, Appalachian Colleges, and
Historically Black Colleges and Universities*

The Foundation's Liberal Arts Colleges program provides multiyear grants to liberal arts colleges and to consortia made up of groups of colleges; in recent years it has emphasized research and professional opportunities for faculty members, curricular and pedagogical innovation, and the enhancement of library and information technology resources. Under the leadership of Philip Lewis and Eugene Tobin, the program was a site of both transition and consolidation in 2007. It welcomed Dr. Carlotta Arthur, a psychologist, into the program officer's position vacated by Danielle Carr Ramdath, who had directed the program for Appalachian Colleges and HBCUs since 2001.

Throughout the year, the Foundation has continued funding for HBCU programs in the areas of institution building, libraries, and curriculum development. Working with the United Negro College

² Additional information on these projects is available on the Web site of the Association of American University Presses at <http://aaupnet.org/news/press/mellon12008.html>.

Fund, Carlotta Arthur has launched a review of the Foundation's programs that support the private historically black colleges and universities; she has also presided over the Foundation's emergency commitments of \$3 million to alleviate a financial crisis at Fisk University in Nashville, Tennessee. Her other major task, also transitional, has been to work on plans for the future with the Appalachian College Association (ACA), whose remarkable founding president, Alice Brown, will pass the baton to her successor, Paul Chewning (currently president of the Independent Colleges and Universities of West Virginia), on July 1. The Foundation is pleased to acknowledge ACA's extraordinary accomplishments during Alice Brown's nearly three decades of efficacious work and inspiring leadership. It has grown into a consortium of 37 colleges with assets of \$25 million. Along with many faculty development programs, ACA provides educational support to its members through the Bowen Central Library of Appalachia, a digital library named in honor of the Foundation's former president, William G. Bowen.

In the Liberal Arts Colleges program itself, consolidation of grantmaking activity in a few key categories—curricular innovation (20 grants), presidential leadership (11), faculty career enhancement (10), postdoctoral fellowships (9), and environmental studies (9)—was the order of the day.

The program carried out a modest expansion of the group of colleges and consortia from which it invites proposals, making awards to some 70 grantees in the course of the year. It was also able, thanks to an increase of \$15 million dollars in its annual budget, both to make somewhat larger grants than in the recent past and to entertain requests for funds to endow successful programs at institutions willing to match such grants with their own fundraising efforts. During the summer and fall, program staff initiated discussions with a half-dozen consortia around the country about further experiments with cooperatively organized academic programs; it also held exploratory conversations about the formation of new consortia in geographical areas where there is an adequate concentration of colleges.

As in 2006, the program received encouraging reports from the National Institute for Technology and Liberal Education (NITLE) and from Emeriti Retirement Health Solutions, both of which continue to expand while providing vital services to liberal arts colleges. NITLE is close to its goal of financial independence, and in response to Emeriti's gratifying progress, the Foundation has invited it to

request a final challenge grant in 2008 that will carry it to financial independence during the next three to five years.

Finally, under the energetic direction of Senior Advisor Susan Perry, and in collaboration with the Council of Independent Colleges, NITLLE, and Project Kaleidoscope, the Foundation supported information literacy workshops on the “Transformation of the College Library” and “Learning Spaces and Technology.” In addition, Perry continued her work with US liberal arts colleges in the areas of collaborative collection development while developing new relationships with the American-style liberal arts member institutions of the American International Consortium of Academic Libraries.

Mellon Mays Undergraduate Fellowships and Diversity Initiatives

Both the Mellon Mays Undergraduate Fellowship (MMUF) and the Diversity Initiatives programs support qualified students from underrepresented minority groups and other students with demonstrated commitments to diversity who seek doctoral degrees and wish to pursue careers in higher education. MMUF, directed by Program Officer Lydia English and administered by Associate Director Carma Van Allen, is the broad-based anchor of this effort; it covers specified fields in the humanities, sciences and social sciences. Among other, more targeted, initiatives that also serve to increase the number of underrepresented scholars among PhDs and to promote new scholarship are Emory University’s James Weldon Johnson Visiting Scholars program, which focuses on scholarship of the modern civil rights movement; the American Indian College Fund Faculty Doctoral and Research programs; the Scholars-in-Residence Program and an Undergraduate Summer Humanities Institute at the New York Public Library’s Schomburg Center for Research in Black Culture; and Wheaton College’s Summer Institute in Literary and Cultural Studies.

In 2007, the Diversity Initiatives program awarded grants to the University of Southern California and the University of Massachusetts at Amherst to increase retention and productivity of new and underrepresented faculty. These efforts seek to establish new national models for mentoring undergraduates and graduate students. Over the past year, the Foundation’s Diversity Initiatives have been extended to the University of the Witwatersrand (South Africa), which joined MMUF; to the Kohala Center on the Island of Hawai‘i, which will offer graduate and postgraduate fellowships for scholarship on Hawaiian history and culture; and to the University

of New Mexico, which received support for graduate programs in the humanities and social sciences. The program has also launched a collaboration with the Foundation's Performing Arts program through a grant to the Sphinx Orchestra.

Several continuing projects complement and extend the work of MMUF. They include partnerships with Cornell University's Future of Minority Studies program; the Institute for Recruitment of Teachers program at Phillips Andover; the Moore Undergraduate Research Apprentice Program at the University of North Carolina at Chapel Hill; the Organization for Tropical Studies undergraduate ecology fellowship programs in Costa Rica and South Africa; the Social Science Research Council Graduate Initiatives; and the Woodrow Wilson National Fellowship Foundation Dissertation and Research-Travel Grants and Junior Faculty Career Enhancement program.

Scholarly Communications

The Foundation's Scholarly Communications program in 2007 was led by Donald J. Waters and, until September, Suzanne M. Lodato. After seven years of service as associate program officer, Ms. Lodato became director of the Preservation and Access Division of the National Endowment for the Humanities.

The Scholarly Communications program has three primary objectives: to assist scholars in the development of specialized resources that promise to open or advance fields of study in the humanities and humanistic social sciences; to support libraries and archives in their efforts to preserve and provide access to materials of broad cultural and scholarly significance; and to strengthen the means by which humanistic scholarship is published and disseminated to the widest possible audience.

Among the highlights of the Scholarly Communications program in 2007 was a series of grants to enhance the availability of scholarly resources in the field of medieval studies. Support was provided to Columbia University, where Professor Stephen Murray completed a Web site that aggregates precise descriptions of the interiors and exteriors of Romanesque churches in the Bourbonnais section of France, including photographs, laser scans, structural models, and Quick-Time virtual reality panoramas. The site is now being extended to Gothic structures in early modern France beginning with a core set of medieval churches in Paris and continuing with additional

structures from the Paris environs, showing changes in structure and design through time.

In addition, several grants were made to develop a variety of online manuscript collections. The *Parker on the Web* project is a multiyear collaboration to produce a complete, high-resolution digital representation of the famed Parker Library of rare and unique medieval manuscripts at Corpus Christi College, Cambridge, and to build an interactive Web application in which the manuscript pages can be studied in the context of editions, translations, and secondary materials. The project, which has involved a collaboration among Corpus Christi College, the University of Cambridge, and Stanford University, received a third round of funding. Johns Hopkins University has been developing a Web-based resource containing multiple manuscript versions of the 13th-century romance *Roman de la Rose*. With support from the Foundation, Hopkins and the Bibliothèque nationale de France will increase the number of Rose variants that are available for study online to approximately 150 of the 250 extant manuscripts. Both Hopkins and Stanford also received funding to make it possible for scholars using either the *Parker* or *Rose* Web sites to retrieve and display manuscripts from the other site. Finally, the Université de Fribourg, in collaboration with the Abbey Library of St. Gall (Switzerland), and UCLA received funding for a joint initiative to produce a digital library on manuscripts and related scholarly materials that document the intellectual culture of the ninth-century monastic society that produced and drew inspiration from the famous Plan of St. Gall.

As part of the Scholarly Communications program's ongoing efforts to help libraries and archives make their unique special collections more accessible for research and teaching, three institutions (Columbia, Hopkins, and UCLA) received funding for the further development of an innovative approach that is also being developed with previous Foundation funding at the University of Chicago. Consulting with faculty, librarians hire and train graduate students to help process and catalog archival collections.

In another noteworthy set of special collections grants, the interests of the Scholarly Communications program intersected and complemented those of the Liberal Arts Colleges program. After it received the papers of Martin Luther King, Jr. in 2006, Morehouse College in Atlanta, Georgia, contracted with the Robert W. Woodruff Library to catalog, store, and maintain the papers and make them available for research and exhibitions. Under the auspices of the Liberal Arts Colleges program, the Foundation provided funds to

endow the position of the director of the Morehouse King collection and to support program activities involving the use of the collection. Through the Scholarly Communications program, grants were then provided to the Woodruff Library; Boston University, which holds a major collection of King's papers; and Stanford University's Martin Luther King, Jr. Research & Education Institute, which is producing a documentary edition of King's papers. Woodruff and Boston are collaborating in a cataloging effort that would employ the latest archival management tools and result in finding aids for each collection that could eventually be searched jointly online. In their cataloging, the two libraries also have access to the rich knowledge of King's papers that the editors at the King Institute have acquired; conversely, the editors will benefit from the archival arrangement and cataloging done by the archivists.

The interests of the Scholarly Communications program also overlap closely with those of the Research University and Humanistic Studies program. Last year, this intersection resulted in cross-program collaboration on two initiatives designed to strengthen scholarly publishing. As this report has already noted in the Research University section, one of these deals with the publication of first monographs. The second, described here, is designed to help forge stronger alignments between the academic priorities of research institutions and the publication programs of their presses.

Research universities often identify and pursue significant academic priorities without bringing fully to bear all of the resources available to them. As institutional budgets have tightened, rather than taking better advantage of the unique capabilities of their presses, universities have tended to distance themselves from the presses, decreased subsidies, and expected them to become self-sustaining business units. To explore the possibility that presses and their sponsoring universities could work more effectively together to strengthen their joint scholarly missions, Foundation staff launched a series of meetings with academic leaders and the directors of their affiliated university presses. These meetings resulted in grants to three institutions with promising plans to connect more effectively their academic departments and presses.

At the University of Minnesota, the Institute for Advanced Studies and the university press received funds to establish four interdisciplinary research collaboratives—design and architecture, global cultures, environmental sustainability, and health and society—and develop a program to publish primary research materials, working papers, and monographs arising from the collaboratives. At the

University of North Carolina at Chapel Hill, the press will work with the library, the College of Arts and Sciences, and the School of Law's Center for Civil Rights in publishing Web-based reference and teaching tools, as well as books on the civil rights movement and its relationship to the changing demographics of the South. Finally, one central priority of the University of Pennsylvania is to advance the study of cross-cultural interactions and, with Foundation support, the press and the College of Arts and Sciences will launch a new journal on this theme as well as produce two new series of books, one for publication of invited distinguished lectures and the other for specially designed courses. Although the specific projects and fields of study differ in each of these three initiatives, all involve the presses and their sponsoring institutions in making joint decisions about their publishing programs, and specifically in expanding the publishing capacity of the press by diversifying its publication activities and experimenting with new techniques or processes.

Museums and Art Conservation

The program for Museums and Art Conservation, directed by Angelica Z. Rudenstine with the assistance of Program Associate Alison H. Gilchrest, has continued its efforts to help outstanding art museums build and sustain their capacity to undertake serious scholarship on their permanent collections; preserve these collections, share the results of their work in appropriate ways with scholarly and other audiences, and advance the training of future generations of conservators. The program's grantmaking in 2007 focused significant resources in four areas.

First, building upon the efforts of the past eight years to strengthen science within art conservation, the Foundation made a four-year grant in support of the Art Conservation Research Center at Carnegie Mellon University, where training and research opportunities for young scientists will now be offered in the form of both pre- and post-doctoral fellowships. In addition, senior positions in museums for such scientists continue to be created and endowed, most recently at the Smithsonian's Museum Conservation Institute. Second, following the 2006 convening of directors, curators, conservators, and scientists from 12 leading UK and US institutions to discuss the ways in which digital conservation records should be created, managed, and disseminated, a similar gathering of interdisciplinary professionals, largely representing European museums, was held in May 2007 at The British Museum. Pilot projects generated by both meetings are now

underway, and others are in preparation. The level of international exchange and collaboration on this important subject has grown substantially during the past year.

The Foundation's efforts in developing the field of photograph conservation over the past decade reached a turning point in 2007. The initiative as a whole has included the establishment at George Eastman House of the first advanced training program, as well as endowed fellowships and full positions at museums with significant photographic holdings, and biannual midcareer workshops conducted in various parts of the country. Ten years of full funding for the Advanced Residency Program (ARP) at George Eastman House is due to come to an end in July 2009. By that time, 40 individuals representing 20 countries will have completed this demanding course: graduates now occupy positions in leading institutions in the US and abroad, and highly original and influential research has been conducted. Eastman House owns what is perhaps the world's greatest collection of more than 400,000 photographs reaching back to the creation of the medium in 1839. Throughout this decade, ARP faculty and fellows have taken responsibility for the preservation of these holdings. Careful planning of the transition from Mellon funding to other sources of support therefore became an urgent priority. In response, the Foundation made a \$3 million grant toward the establishment of a newly endowed conservation department, which the Eastman House board of trustees intends to supplement with an additional \$2 million. Meanwhile, plans are well underway to establish (in 2008) a Center for the Legacy of Photography at Eastman House and the Rochester Institute of Technology, where a full program of education and research in the field of photography will be launched.

The fourth area of particular focus during the past year has been an effort to strengthen aspects of the curatorial profession, especially in its scholarly dimension: opportunities and clear pathways for young scholars in museums have been inadequate; midlevel positions are scarce; and salaries are far from competitive with those available in academic institutions. The Mellon postdoctoral fellowship program, launched in 1995 and designed to increase the flow of excellent young art historians into the profession, has been widely judged a success, and compelling arguments for its establishment through endowment were offered by directors and curators at participating museums. In the words of one director, "Our collections are our greatest legacy. They require excellent curators who can install them intelligently, research them thoroughly, write well about them, and work closely with conservators in caring for and studying them

analytically. We need to be able to attract the brightest minds among our most recent PhD graduates and provide them the resources and opportunities to receive the best possible on-the-job training under the mentorship of distinguished and experienced, scholarly curators and conservators.”³

Endowed postdoctoral fellowships of this kind have now been established at the National Gallery of Art, the Philadelphia Museum of Art, and The Art Institute of Chicago at compensation levels competitive with colleges and universities, adding impetus to the museum profession’s efforts to raise its salaries across the board. Comparable fellowships will be established at the Walters Art Museum in 2008. Meanwhile, new midlevel curatorships have been established at the Saint Louis Art Museum and are under consideration at other institutions.

Performing Arts

The Performing Arts program provides multiyear grants to leading theaters, orchestras, opera and modern dance companies, and dance-specific presenters based in the US, seeking to support both creative leadership and to strengthen institutional resources. Responsibility for the Foundation’s Performing Arts program was assumed in 2007 by Program Officer Susan Feder, who works closely with Associate Program Officer Diane Ragsdale.

The Foundation’s New York Theater Program was redesigned in 2007 in partnership with the New York Foundation for the Arts, which will administer multiyear grants to the small and mid-sized theater companies in New York City. A substantial grant was awarded to the Public Theater to enable it to launch the Public Lab, a major new program to produce one new play each month, with a particular focus on works by early career playwrights that embrace important public issues of our time.

In its support of dance, the Foundation has concentrated for some years on a group of single choreographer modern dance companies. In the future, staff anticipate focusing direct grantmaking on dealing with issues of preservation and legacy confronting leading companies. Along these lines, a grant was awarded to Merce Cunningham Dance Company to support the recording, editing, and archiving of

³ James Cuno, president, and Eloise W. Martin, director, The Art Institute of Chicago, October 8, 2007.

the weekly rehearsal and technique class taught by Cunningham for future access by scholars, educators, artists, and the general public.

In the music program, support for orchestras continued to expand beyond those that participated in the multiyear Orchestra Forum (the last of these participants received their final Forum grants this year). Grants in support of ambitious artistic initiatives were awarded to leading orchestras of varying sizes. The American Symphony Orchestra League received funding for its leadership training programs, conductor fellowships, and transition to a more research-based organization capable of helping orchestras identify new artistic and operational models. The Foundation continues to support the creation of new American opera and the revival of rarely heard works. A major award to the Brooklyn Academy of Music will help endow a biennial opera festival to be curated by leading international figures. Other music grants, reflecting the increasing interaction between live art and media, will support collaborative commissions to composers and video artists at the Los Angeles Philharmonic; a series of DVDs created by the San Francisco Symphony on orchestral masterpieces, which will be distributed via television and the Internet; and radio broadcasts of performances by the Lyric Opera of Chicago.

Collaborative work was a recurring theme in several grants. With help from the Foundation, Carnegie Hall launched a new series of festivals, which involve the participation of cultural institutions throughout New York City. Lincoln Center received a substantial one-time grant for collaborative projects with other leading cultural institutions and among its campus constituents. A grant was made to the University of Illinois at Urbana-Champaign for the Krannert Center to establish a freshman seminar that will be taught by teams of arts and non-arts faculty and linked to the offerings of the University's performing arts center and museum. This award was also one of two major grants made to leading presenting organizations; the other, to the Walker Arts Center performing arts program, supports commissions, production residencies, and cultural exchange with South Africa, Brazil, and Indonesia.

Conservation and the Environment

The Foundation's Conservation and the Environment program, directed by William Robertson IV, has historically focused its attention on the field of botany and research on terrestrial ecosystems. In 2007, the program continued efforts begun in 2003 to help a consortium of 83 herbaria in 36 countries to develop a coordinated

digital database of information and images on the plants of Africa and Latin America. Central to this initiative are high-quality digital images of Type specimens (the original specimens used to identify species). The Type images are augmented by reference works, photographs, and botanical art. The database is available for a test period through JSTOR (www.jstor.org) and Aluka (www.aluka.org). Participating herbaria are asked to digitize and contribute to the database all of the Type specimens in their collections. The program hopes to hear from any institutions holding African and Latin American plant Type specimens that have yet to be included.

The program continues to assist US universities in launching research groups led by junior scientists in their first tenure-track positions that are working toward basic understandings of plant ecosystems. It is also expanding the collaborative work that the Foundation has supported between research groups at US and South African universities, particularly those that strengthen research in South African National Parks.

Research in Information Technology

The Research in Information Technology program, led by Ira H. Fuchs with Christopher J. Mackie, supports the application of information technology to a wide range of scholarly and educational purposes, placing special emphasis on research and teaching in the humanities and the arts and on the development of tools for cultural organizations and institutions that benefit from the Foundation's other programs.

In 2007, the program presented the second round of Mellon Awards for Technology Collaboration to nine institutions in the US, Canada, Sweden, and New Zealand. These grants featured a new nomination process, implemented at the request of the award committee, which solicited global, public comment on the nominations. Several awardees focused on improving access to technology by people with visual or motor impairments, including the ATutor learning management system (University of Toronto), the Firefox Accessibility Extension (University of Illinois at Urbana-Champaign), and the DAISY talking books project (TPB, the Swedish Library for Talking Books and Braille). The award committee noted that these projects enhance access to higher education as well as arts and cultural heritage institutions for tens of millions of people worldwide.

Work on the Kuali administrative systems projects (www.kuali.org) continued: Kuali Financial System released a new version and saw its first international adoption (in Africa); Kuali Research

Administration met its first delivery milestones; and the new Quali Student system project launched in September after an 18-month, community-based design process, also supported by the Foundation, that involved more than 100 institutions of higher education.

Work on scholarly tools for the arts and humanities also continued. The Visual Understanding Environment (<http://vue.uit.tufts.edu/>) and Sophie (www.sophieproject.org), both rich-media e-book authoring projects, issued interim releases in 2007 and anticipate releasing new versions in the first quarter of 2008. The Zotero personal citation management and Web research tool (www.zotero.org), initially supported in 2006, saw greater than expected adoption in 2007, including campus-wide, “official” adoptions by institutions of higher education in the US and Europe. By the end of the year, several hundred thousand copies of Zotero were in active use worldwide, which justified a further grant being made to enable Zotero to be integrated with the permanent scholarly storage capabilities of the Internet Archive.

The program also supported two large, new projects, both designed to contribute to the technology infrastructure supporting arts and humanities scholarship. This proved to be an area of significant institutional interest, as evidenced by the active involvement of numerous institutions and several major technology firms in the two projects. SEASR (www.seasr.org), a rich-media analysis environment for the arts and humanities, builds on a collaboration between the National Center for Supercomputing Applications and IBM. Fluid (www.fluidproject.org) is an international collaboration among institutions of higher education in North American and Europe and several firms, including IBM, Sun, and Google, to build user interfaces, which are more usable and accessible than those now available to people with visual and motor impairments. Fluid’s products are being retrofitted into several existing open source projects, including the Mellon-supported Sakai (www.sakaiproject.org), Quali, and uPortal (www.uportal.org) projects, as well as the Moodle course management system, and are also beginning to contribute to next-generation software projects for higher education.

Collaboration among grantees has always been a feature of the program’s projects. 2007 witnessed a significant increase in collaborative activities with other Mellon programs. Longstanding collaborations between the Information Technology and Scholarly Communications programs continued, while conversations with the Foundation’s other New York-based programs were launched. A notable initiative already underway is the OpenCollection project, a Web-based collection management system suitable for library

special collections and for small and midsized museums, which will be one of the first next-generation projects to implement the Fluid user interface capabilities.

Special International Emphases: South Africa

For almost two decades, the Foundation's program in South Africa, overseen by Senior Advisor Stuart Saunders, has sought to build capacity in higher education, especially in the humanities and the arts, and to expand the infrastructures in libraries and information technology.

Echoing the early emphasis on developing people and resources for the new democracy, the Foundation made grants in 2007 to Stellenbosch University to support its efforts to develop and mentor previously disadvantaged (principally black and women) members of the junior faculty in the University; it also made grants to The University of Fort Hare library to expand its collections in the humanities and social sciences. Recognizing that large numbers of faculty are expected to retire from South African universities in the next five years, the Foundation made grants to Rhodes University and the University of KwaZulu-Natal to assist promising young scholars through the Women's Academic Solidarity Association development program and to provide relief from teaching to individuals who need time to complete research and higher degrees.

The Foundation continues its active program of fellowships for honors, master's, doctoral, and postdoctoral students and for faculty support. In 2007, the University of Cape Town and Rhodes University received grants that will prepare the next generation of scholars at these institutions. Managerial staff, too, have benefited from funding for capacity building. The Foundation made a grant to Higher Education South Africa for its International Links program, a structured six-week mentoring program at a US institution that allows participants from South Africa to gain fresh perspectives and to learn about new approaches, both academic and administrative, that US colleges and universities are developing. Continuing its support of ongoing programs of proven quality, the Foundation awarded grants to the University of Cape Town for its opera program, for the Center for Popular Memory oral history collection, and for the cataloguing and digitization of the materials of the Bleek and Lloyd collection.⁴

⁴ See (http://portal.unesco.org/ci/en/ev.php-URL&ID=3808&URL_/DO=Do&TOPIC&URL_Section=201)

SCHOLARLY PUBLISHING INITIATIVES

Donald J. Waters
Joseph S. Meisel

In 2007, the Scholarly Communications and Research University and Humanistic Scholarship programs collaborated in launching two new initiatives in the area of scholarly publishing, one aimed at increasing the capacity of university presses to publish first books by junior scholars in fields where publication opportunities have become constrained, the other at strengthening the substantive relationship between university presses and their home institutions. These initiatives are described in greater detail in the President's Report (on pages 16 and 22). This essay is intended to provide some background by focusing on the factors that prompted staff to direct Foundation resources in these particular ways. It begins with an overview of the conditions under which scholarly publishing is currently carried out in university presses. This summary is followed by a brief outline of historical concerns about the role and functions of university presses and a discussion of previous Foundation efforts to support scholarly publishing. Finally, this essay turns to the two new initiatives and considers their objectives in the broader context outlined in the previous two sections.

The Current State of University Press Publishing

Apart from the large presses associated with the Universities of Cambridge and Oxford in the UK, university presses are most numerous and active in the US, and the books and journals that they produce occupy a highly specialized niche in the larger world of publishing. During 2005, the most recent year for which data are available, the Association of American University Presses (AAUP) reported that 69 of its full members in the US produced 8,738 new book titles. However, this total represented just 5 percent of the approximately 174,000 new books produced by all publishers in the US.¹ The percentage of total book sales is even smaller. According to statistics produced by the Book Industry Study Group, university

¹ AAUP, *Titles and Journals Published in 2005*, New York: AAUP, June 2006; available at: <http://aaupnet.org/programs/2005TitlesPublished.pdf>. Dave Bogart, ed., *Bowker Annual Library and Book Trade Almanac*, 52nd ed. Medford, NJ: Information Today, 2007).

presses in the US sold 31.4 million books, or 1.3 percent, of the approximately 2.4 billion books sold by all US publishers.² Similarly, in 2005, the AAUP reported that 25 of its full members in the US published 612 journals, or 7.9 percent of the total peer-reviewed periodicals published in the US.³

However, the significance of university press publishing is far greater than its niche position in the larger publishing industry would suggest. For example, following September 11, 2001, when the public searched for understanding and context in the wake of the terrorist attacks on the World Trade Center and the Pentagon, the three best-selling books in the US were all published by university presses.⁴ Because of the rigorous peer-review process associated with their selection and publication, university press publications play a key role in the promotion and tenure of university and college faculty, especially in the humanities and humanistic social sciences. In the classroom, too, university press books play a disproportionate role. The Mellon-sponsored BYTES (“Books You Teach Every Semester”) study in 2000-2001 found that books published by British and American university presses accounted for two-thirds of the assigned readings in nearly a thousand courses in history and literature at nine universities in the northeastern US.⁵

University presses thus are creatures that are both distinguished and limited by the particular niche they occupy. They are part of the broader publishing field yet also organizationally part of their sponsoring universities. In addition, they are responsible for disseminating scholarly work to a broader public, and by design they publish non-commercial works for markets that are small and not easily expanded.

² *Book Industry Trends*. Prepared for the Book Industry Study Group by the Statistical Service Center. New York (1995, 2007).

³ AAUP, *Titles and Journals Published in 2005*, <http://aaupnet.org/programs/2005TitlesPublished.pdf>. *Ulrich's Periodicals Directory*, <http://www.ulrichsweb.com>. The total number of peer-reviewed journals published in the US in 2005 was determined by calculating the total number of journals that started publishing in 2005 or before and then subtracting the number of journals that ceased publishing in 2005 or before. Scientific and scholarly societies are largely responsible for the other 89 percent of the peer-reviewed periodicals published in the US. Of course, many peer-reviewed periodicals are published abroad, and those published by for-profit companies such as Reed Elsevier are especially important in the sciences.

⁴ AAUP, *Some University Press Facts*, New York: AAUP; available at <http://aaupnet.org/aboutup/upfacts.html>.

⁵ Ann Okerson, “Wanted: A Model for E-Reserves,” *Library Journal* 126 (September 2001): 56-59.

Finally, they are deeply engaged in processes that certify the quality of their authors' work. The difficulties and opportunities they face arise from these distinguishing characteristics and have done so since 1878, when Johns Hopkins University President Daniel Coit Gilman founded what is now the oldest continuing university press in the US by declaring that "it is one of the noblest duties of the universities to advance knowledge, and to diffuse it not merely among those who can attend the daily lectures—but far and wide."⁶

In recent years, the contemporary challenges confronting university presses have been the focus of considerable study and debate.⁷ The issue that has received perhaps the most attention is the steady decline in average sales of scholarly titles. Publishing highly specialized academic monographs has always been a challenging business, but in the 1970s and early 1980s, presses could regularly anticipate sales of more than one thousand copies of such books. Now, in many humanistic fields, they typically budget for sales of no more than several hundred. A major cause of the decline has been the dwindling number of sales to academic libraries. Library acquisitions budgets have been severely squeezed by the rapid growth in the number and cost of serials, especially in the sciences, which are increasingly licensed in the form of electronic databases. As a result, fewer and fewer college and research libraries can afford to purchase,

⁶ Cornell University opened the first university press in 1869, but it was closed in 1884 and was not reestablished until 1930. The Gilman quote appears in many places, including Peter Givler, "University Press Publishing in the United States," in Richard E. Abel and Lyman W. Newlin, eds., *Scholarly Publishing: Books, Journals, Publishers, and Libraries in the Twentieth Century* (New York: John Wiley & Sons, 2002), p. 108.

⁷ See, for example, "The Specialized Scholarly Monograph in Crisis; or, How Can I Get Tenured if You Won't Publish My Book?" conference sponsored by the American Council of Learned Societies, the Association of American University Presses, and the Association of Research Libraries, Washington DC, 11-12 September 1997, <http://www.arl.org/scomm/epub/papers/index.html>. Judith Ryan, et al., "The Future of Scholarly Publishing," *Profession 2002* (New York: MLA, 2002), 172-86, available at http://www.mla.org/repview_future_pub. Stephen Greenblatt, "A Special Letter from Stephen Greenblatt," 28 May 2002 (available at http://www.mla.org/scholarly_pub). John B. Thompson, *Books in the Digital Age: The Transformation of Academic and Higher Education Publishing in Britain and the United States* (Cambridge: Polity, 2005). Hilary Ballon and Mariet Westermann, "Art History and Its Publications in the Electronic Age," *Connexions*, September 20, 2006, <http://cnx.org/content/col10376/1.1/>. Laura Brown, et al., "University Publishing in a Digital Age," 2007, <http://www.ithaka.org/strategic-services/Ithaka%20University%20Publishing%20Report.pdf>.

as many once did, all or nearly all of the scholarly monographs that university presses publish.

In response, university presses have intensified the scrutiny they give to manuscript submissions, judging not just the intellectual quality of manuscripts but also their prospects for either reaching markets beyond US academic libraries or otherwise attracting funds so that they can be affordably published. The increased scrutiny, combined with decisions of certain presses to abandon publication in entire scholarly fields or subfields, has raised deep concern that worthy manuscripts are going unpublished to the detriment of humanistic scholarship generally. Fields of study cannot advance unless ideas, arguments, and evidence are made available so that they can be debated and their implications tested over time. However, some types of work that deserve publication may not find their “audience” for a generation or two, and others may never find a large audience but nonetheless provide the useful service of clearing a path for subsequent scholars by establishing essential knowledge on limited, even arcane, topics.

Press decisions to restrict monographic publications also deeply affect the rise of a new generation of scholars in the humanities, many of whom need the credential of a university press book to advance their careers. There have been calls for uncoupling tenure decisions from monograph publishing, as well as for greater receptiveness within the academy to emerging new forms of disseminating humanistic scholarship and of peer review.⁸ There is some evidence that the criteria for promotion and tenure may be changing in some humanistic fields of study, and there are a variety of experiments underway with peer review systems.⁹ Nevertheless, the

⁸ For example, see Ryan, et al. “The Future of Scholarly Publishing;” Modern Language Association, *Report of the MLA Task Force on Evaluating Scholarship for Tenure and Promotion*, December 2006, available at http://www.mla.org/pdf/task_force_tenure_promo.pdf; and British Academy, *Peer Review: the challenges for the humanities and social sciences* (London: British Academy), September 2007, available at <http://www.britac.ac.uk/reports/peer-review/report.pdf>.

⁹ Diane Harley, et al., “The Influence of Academic Values on Scholarly Publication and Communication Practices,” Research and Occasional Papers Series, CSHE.13.06, September 2006 (Berkeley, Calif.: Center for Studies in Higher Education), available at <http://cshe.berkeley.edu/publications/publications.php?id=232>. For a brief discussion of experiments with forms of peer review, see Donald J. Waters, “Open Access Publishing and the Emerging Infrastructure for 21st-Century Scholarship,” *Journal of Electronic Publishing* 11(1), available at <http://hdl.handle.net/2027/spo.3336451.0011.106>.

primacy given to monographic print publication with a university press remains well entrenched and cannot be ignored.

Of course, in scholarly publishing, as in other businesses, scale and the availability of resources matter and so not all university presses have been equally affected by the decline in the library sales of the scholarly monograph. Larger presses, such as those at the Universities of Cambridge, Oxford, and Chicago, and at Harvard, Johns Hopkins, Princeton, and Yale Universities, have diverse lines of publications, including encyclopedias, dictionaries, and other reference works;¹⁰ journals; museum catalogs; scholarly editions; works of regional interest; and so-called trade publications that are aimed at broader, general audiences. These other kinds of publications often generate sufficient revenue internally to help subsidize the continued publication of monographs, and at Cambridge, Oxford, and Chicago, even to return regular and substantial surplus revenues to their sponsoring universities. In addition, some university presses have benefited from the acquisition of endowments, and a subset of these enjoy the benefits of a substantial revenue stream from such assets.¹¹

Other smaller presses do try to seek the benefits that accompany more diversified lines of publication, but such presses generally have fewer options and so have had to turn for assistance to their universities. Although institutional support, both direct and indirect, has been instrumental to the ongoing operations of most presses since their origins, there has always been tension about how much support would be appropriate. Faced with deep financial difficulties in the 1970s and 1980s, universities began cutting back and changing the terms of their support for both libraries and presses. By the late 1990s, small presses seeking help found that their institutions were generally no more able to cover chronic losses in publishing than to sustain unremitting increases in the serials budgets of their libraries.

¹⁰ The Foundation has supported the development of some of these tools on a highly selective basis, including the *Dictionary of American Regional English* published by the Harvard University Press and the *American National Biography* published by Oxford University Press. The Foundation has also provided assistance for the development of tools published by other organizations and presses, such as the *Dictionary of Old English* (Pontifical Institute of Mediaeval Studies) and *A Linguistic Atlas of Late Mediaeval English* (Aberdeen University Press).

¹¹ According to the current president of AAUP, an informal survey from 2000 found that “among the members surveyed, 58 percent of the respondents (30 of 52) reported that they either already had endowments or were actively raising funds to build them.” Givler, “University Press Publishing in the United States,” n. 12.

Just as university presses confront substantial challenges in the current period, so too do they encounter significant opportunities. The most significant have emerged over the period largely through advances in applications of digital technologies. Advanced software and techniques for composition, cheaper digitization and file storage mechanisms, sophisticated online content management systems, and short-run and print-on-demand services all can help presses lower costs for new publications and give renewed life to their backlist titles. Similarly, the growth of the Web, powerful discovery tools such as Google and the other search engines, and the opening of new distribution channels such as Amazon.com have made it possible for university presses to reach new markets beyond university libraries.

To exploit these opportunities, however, university presses need help. Some of it is already coming from various alliances between presses and Google, Amazon, and other service providers that are trying to establish and grow their own businesses. Judging from developments to date, such partnerships with large commercial entities will not be sufficient. The small, focused, noncommercial basis of scholarly publishing and its special demands for images, graphics, notes, and other investments in the editorial, design, and production processes are not always easily accommodated in commercial press models, and so other forms of help must come primarily from within the sector. Universities and their presses must together renew and redefine their commitment to scholarly publishing given changes in the wider world of publishing and higher education and then identify the strategic investments they must make in existing and emerging forms of publication. Presses need continuously to review their more specialized processes and make technical and other investments wherever possible to reduce these costs. In addition, presses need to form strategic alliances among themselves to strengthen and improve the publishing services they provide to the scholarly community. The Foundation has already provided substantial assistance in support of these processes, and continued help is much needed.

Recent Foundation Investments in Scholarly Publishing

The 1992 Mellon-funded study entitled *University Libraries and Scholarly Communication* firmly established the link between rising serials prices and the declining purchases of monographs by libraries, and it noted the beginnings of the rapid fall in the average number of copies sold for scholarly books that subsequently affected

university press publishing.¹² Although the study focused more on libraries than university presses, it was one in a long line of studies that has documented the changing circumstances, challenges, and opportunities facing scholarly publishing.¹³ These studies date from 1929, a time when higher education began placing increased emphasis on research and doctoral education, and university presses emerged as a significant presence in higher education and publishing. Subsequent studies highlighted scholarly publishing issues in the immediate post-World War II era as undergraduate and graduate enrollments surged with large numbers of returning veterans, and again in the late 1950s and mid-1960s, as US investment in research and higher education boomed in the wake of the reaction to the Soviet Union's launch of Sputnik. In retrospect, the 1960s appeared to have been a "Golden Era" for scholarly publishing. By 1975, the bubble had burst and stagnant economic growth, rampant inflation, and a devalued dollar prompted a National Enquiry into Scholarly Communication. Partly funded by the Foundation, the Enquiry was designed to address "widespread concern in the academic community that a crisis in finance threatened the performance of research libraries and the viability of scholarly publishing."¹⁴

Circumstances appeared so dire for university presses in the early 1970s that the Mellon Foundation not only supported the National Enquiry, but also launched a program to support monographic publication primarily in the humanities and, wherever

¹² Anthony M. Cummings, et al., *University Libraries and Scholarly Communication: A Study Prepared for The Andrew W. Mellon Foundation* (Washington, D.C.: Association of Research Libraries, 1992), p. 98.

¹³ Donald P. Bean, *American Scholarly Publishing*, mimeograph typescript (Chicago?, 1929); note that the available copy of this report excluded the concluding chapter and all but one of the appendices listed in the table of contents. Chester Kerr, *A Report on American University Presses* (Washington DC: Association of American University Presses, 1949); idem., *American University Publishing 1955: A Supplement to the "Report on American University Presses"* (New York: Association of American University Presses, 1956); idem., "The Kerr Report Revisited," *Scholarly Publishing* (October 1969). Rush Welter, *Problems of Scholarly Publication in the Humanities and Social Sciences: A Report Prepared for the Committee on Scholarly Publication of the American Council of Learned Societies* (New York: American Council of Learned Societies, 1959). Gene R. Hawes. *To Advance Knowledge: A Handbook on American University Press Publishing* (New York: American University Press Services, Inc., 1967). R. M. Lumiansky, et al., *Scholarly Communication: The Report of the National Enquiry* (Baltimore and London: Johns Hopkins University Press, 1979).

¹⁴ Lumiansky, et al., *Scholarly Communication*, p. 1.

possible, according to the grant recommendation, “to aid younger scholars publishing first or second books.” In three rounds of funding between 1972 and 1982, the Foundation awarded more than \$5.8 million to approximately two dozen university presses and the American Council of Learned Societies (ACLS) as a regrantee agent to small presses. Funds were mainly for title subsidies, although the grants also helped support technological improvements to reduce costs. Reports to the Foundation indicated that these grants were instrumental in helping presses maintain levels of monographic publication in a time of financial turmoil, but title subsidies did little to change the presses’ underlying financial and productive capacities.

Following the 1992 Mellon report on libraries and scholarly communications, the Foundation embarked on another sustained series of investments in scholarly publishing.¹⁵ Conceived initially as a set of “concrete, practical, and cost-saving projects,” the program supported a variety of experiments in digitizing library special collections as one way of exploring what was then imagined to be an emerging “electronic library.” These projects during the nineties served as early probes into the development of online scholarly resources and, after detailed consultation with experts in various fields of study in the early part of the new century, the Foundation subsequently identified several areas for deeper investment, principally art and architectural history, but also medieval studies, archaeology, musicology, literary studies, and British and American history. In addition, the Foundation launched a series of projects focused on use of digital technologies to facilitate and enhance the publication and distribution of scholarly journals and books, including monographs and documentary editions.

Scholarly Journals

The most successful initiative in the journals field that the Foundation has supported has, of course, been JSTOR, which digitizes back issues of journals primarily in the humanities and social sciences and makes the online versions available for use by faculty

¹⁵ In addition to the programs described below, the Foundation awarded 8 grants totaling approximately \$6.7 million between 1990 and 1995 in support of 15 small literary presses. In addition, between 1986 and 1998, the Center for Resource Economics received a total of approximately \$1.9 million for the support of Island Press, a publisher in the field of environmental science.

and students.¹⁶ It is instructive to recall that JSTOR was initially conceived of in response to the problem of library space pressures; no one then envisioned its emergence as a transformative global scholarly resource.¹⁷ A variety of other projects have focused on ways of making current journal issues accessible online, and even though they did not match the breadth and depth of JSTOR's impact, these all have had lasting effects in helping particular humanistic fields of study adapt to online publication as the current standard for journal publication. Project Muse at The Johns Hopkins University Press makes the widest selection of humanities journals available online and received Foundation support in its start-up phase.¹⁸ Other journal publication projects have included support for: online review journals in classics, art history, 18th-century studies, and Latin American studies;¹⁹ and programs of online journal publication in the fields of religious studies, anthropology, and mathematics.²⁰ Based on the software developed for Project Euclid, the mathematics journal publications program, Cornell University, where the project is based, subsequently developed an open source platform that is now being used more generally for the online publication of a variety of journals.²¹

Scholarly Monographs

In 1998 and 1999, anticipating that books would quickly follow journals into online distribution and access, the Foundation funded two electronic monograph initiatives: Gutenberg-e and History E-Books. The initiatives were designed to test the thesis that mono-

¹⁶ A total of 25 grants to JSTOR and other organizations between 1994 and 2006 totaling approximately \$11.3 million; see <http://www.jstor.org>.

¹⁷ On the origins and early development of JSTOR, see Roger C. Schonfeld, *JSTOR: A History* (Princeton: Princeton University Press, 2003).

¹⁸ \$400,000 to The Johns Hopkins University (1994); see <http://muse.jhu.edu/>.

¹⁹ \$130,000 to Bryn Mawr College (1994); see <http://ccat.sas.upenn.edu/bmcr/>. \$185,000 to the Latin American Studies Association (1998); see <http://lasa.international.pitt.edu/LARR/index.asp>. \$79,000 to the College Art Association (1998); see <http://www.caareviews.org/>. \$96,000 to the American Society for Eighteenth-Century Studies (1998); see <http://back.csulb.edu:8080/asecs/>.

²⁰ \$250,000 to Emory University (1995); see <http://xml.coverpages.org/sela199904.html>. \$806,000 to the American Anthropological Association (2002, 2003); see <http://www.anthrosource.net/>. \$677,000 to Cornell University (1999, 2000, 2002); see <http://projecteuclid.org/>.

²¹ \$669,000 to Cornell University (2004); see <http://dpubs.org/>.

graphs authored for electronic media would be cheaper to produce than those authored for printed media and so would help ease the difficulties that university presses had in producing monographs, especially in small, relatively underserved fields. Gutenberg-e was intended to give recent PhDs working on their first books an opportunity to produce an electronic book.²² Over a period of six years, the American Historical Association called for book proposals, and a distinguished panel selected six recipients each year. Great care was taken to prevent the publication process from appearing to be anything but first-rate. The winners each received a \$20,000 fellowship to be used toward the production of their books. The awards were celebrated with fanfare; the authors received production assistance from a team of scholars, editors, and technical specialists; and by 2009 all of the selected ebooks will have been published online by Columbia University Press.

The History E-Book project was managed by the ACLS and was aimed primarily at senior rather than junior scholars.²³ The goal was to produce a total of 85 electronic books whose authors would be selected in the normal acquisition process by participating university presses and then published online on the History E-Books Web site. In addition, approximately 500 titles would be digitized from the backlists of the presses and made available as part of the Web site.

Both projects have been extremely valuable in demonstrating the capabilities and requirements for publishing monographs authored specifically for electronic media, but neither of them succeeded in establishing the core hypothesis that such books would be cheaper to produce and distribute than those designed for printed media. Instead, the Gutenberg-e project proved far too expensive to sustain. Rather than being published separately, the e-books are being made available by the Columbia University Library on an open access basis, and by subscription as part of the History E-Book project. Moreover, although at least two of the Gutenberg-e authors have been awarded tenure to date, only 12 of the 22 authors whose prize-winning works have been electronically published are now in tenure-track positions. A major issue is that the Gutenberg-e books have been all but overlooked in the review pages of the relevant general and specialized journals.

The absence of reviews for distinguished, prize-winning books is a critical problem, not only for the scholars themselves, but also

²² \$1.879 million to the American Historical Association (1998, 2001) and Columbia University (2000, 2001); see <http://www.gutenberg-e.org/>.

²³ \$3 million to the ACLS (1999); see <http://www.humanitiesebook.org/>.

for scholarship generally. It is indicative of the transitional state of monographic publishing that review editors who responded to a survey by one of the Gutenberg-e authors were almost unanimous in their request for a printed version of the e-books to distribute for review.²⁴ Consequently, for all the Gutenberg-e authors that request it, Columbia University Press will now (with Mellon's assistance) publish short-run, text-only versions of these works which will include information pointing to the full articulation of the scholarship available online.

The History E-Book project has also fallen short of its original goal. After almost nine years, authors have produced only 55 of the promised 85 new e-books. The project is now self-sustaining with more than 500 institutional subscribers, but the primary attraction is not the new titles. Instead, subscribers are mostly interested in the digitized backlist, which has grown from 500 to nearly 2,000 titles, nearly all of them from university presses and in such a variety of fields that the online service now has a new name: Humanities E-Book.

During the period, two other projects that focused on scholarly monographs were the BiblioVault initiative²⁵ and the TORCH project.²⁶ BiblioVault is managed by the University of Chicago Press and provides a shared repository for participating university presses to store the digital files used to produce printed books and to make them available through various distribution channels, including online services such as the Humanities E-Book project and short-run printing and delivery. Used by more than fifty presses to store and manage approximately 14,000 books, BiblioVault helps presses save money by avoiding expensive duplication of these storage and distribution services. In the TORCH project, the New York division of Oxford University Press intended to develop an online collection of already published scholarly monographs and reference works that would be contributed by a variety of university presses and focused on specific subject areas in the humanities. A feasibility study was completed but shortly after it received Mellon funding for the development of a business plan, Oxford decided to focus on other priorities and the grant was rescinded. It is fortunate that the further development of BiblioVault Initiative

²⁴ James D. Jordan, director of the Columbia University Press, personal correspondence to Donald J. Waters, April 1, 2008.

²⁵ \$3,229,010 to University of Chicago (2001, 2003, 2005) and Ithaka Harbors, Inc. (2005); see <http://www.bibliovault.org/BV.index.epl>.

²⁶ \$1,039,000 to Oxford University Press, Inc. (2001, 2004).

and the expanded coverage of backlist titles in Humanities E-Book have each begun to address the need that TORCH had targeted.

Documentary Editions

On a highly selective basis, the Foundation has long provided assistance for scholarly work on specific, published documentary editions, such as *The Correspondence of Charles Darwin*, *The Correspondence of William James*, and more recently the *Benjamin Disraeli Letters*. There are three projects, however, that are exploring broader issues in how technology and other investments could change how documentary editions, in general, are produced and distributed. The Electronic Enlightenment project managed by the Voltaire Foundation at the University of Oxford has digitized the edited correspondences of leading participants in the transatlantic intellectual debates of the 18th century.²⁷ The resulting database—comprising hundreds of volumes published by a number of university and other presses—is fully searchable and allows scholars to study the “Republic of Letters” in ways that would not be possible given access simply to the printed editions or even the original manuscripts. In the Stalin Archives project, the Yale University Press is producing an online database of original documents from the archives of the Soviet leader, which will be made available online to colleges and universities for scholarly study and also used as the basis for both a published edition with full scholarly apparatus and a series of monographs.²⁸ Finally, Rotunda is the electronic imprint of the University of Virginia Press and is building of suite of digital services to help documentary editors, particularly those focused on materials from the US Founding Era and the 19th century, to produce and distribute their editions more efficiently and more widely.²⁹ Rotunda is looking for productive ways to link the correspondences in its Founding Era publications with the Electronic Enlightenment project and is consulting with Yale to determine if the Stalin Archives project could use the Rotunda technical platform and related services.

These recent initiatives of the Foundation have been designed not to ensure the survival of particular presses, but to help develop

²⁷ \$2,735,000 to University of Oxford (2001, 2002, 2003, 2005, 2006) and Princeton University (2001, 2002); see <http://www.oup.com/online/ee/>.

²⁸ \$1,300,000 to Yale University (2007).

²⁹ \$2,052,400 to University of Virginia (2000, 2004, 2006, 2007); see <http://rotunda.upress.virginia.edu/>.

and improve the basic technical and other capacities available to them and other scholarly publishers for backfile digitization, file storage, online distribution, and short-run and on-demand printing. These capacities increasingly comprise the core components needed for the production and distribution of scholarly journals and books. It is a measure of the Foundation's success that, with the exception of the Gutenberg-e and TORCH projects, most of the initiatives that received support continue to endure, many—including JSTOR, Muse, the review journals, Euclid, History E-Book, and BiblioVault—without ongoing Foundation funding for basic operations.

New Initiatives

Clearly, scholarly publishing is fraught with complex problems that require a delicate balancing act as university presses and other publishers must keep pace with rapid developments in the field of publishing and yet also meet their obligations to the academy, in which the processes of creating, organizing, and disseminating knowledge are also rapidly evolving. In this changing and highly competitive environment, it is not certain that all university presses will survive in their current configuration.³⁰ However, as a species, university presses are and will likely remain for the foreseeable future centrally important to the system of American scholarship and will need help in evolving their role in that system.

As university presses look to the future, and to the forms of publication that scholars will need, one area that is receiving increasingly close attention is how scholars relate their publications to documents, images, data, and other forms of primary source evidence. Some of the leading presses, including Oxford, Yale, and Virginia, are reexamining their role in the development and publication of documentary editions, as described above. The Society of Architectural Historians is also addressing this problem by exploring the role a scholarly society might assume in providing evidence in the form of online images and the publication of various kinds of architectural encyclopedias.³¹ In the future, the Foundation is plan-

³⁰ For a report of an economic shakeout currently underway among regional academic and scholarly presses in the northwest US, see Jeff Baker, "A Tough Sell at University Presses," *Sunday Oregonian*, January 27, 2008.

³¹ Support of the Society of Architectural Historians to develop the Architecture Visual Resource Network was approved by the Trustees at their meeting in March 2008.

ning to consider additional support for practical experiments like these that promise to define and establish new configurations between the scholarly inquiry of primary sources and scholarly publishing. In addition, staff will continue, for at least the next two years, the two initiatives launched tentatively in 2007, one designed to support the production of scholarly monographs and the other intended to strengthen university presses in the digital era.

As already noted, the university press monograph is, and will likely remain for the foreseeable future, a critically important form of documenting and disseminating scholarly research in the humanities, as well as an essential scholarly credential in many areas of humanistic study. Recognizing that limited markets present real obstacles to monograph publication and that university presses confront these barriers in common, the Foundation plans to issue annual invitations to US university presses to outline collaborative projects from which a small number would be selected to accomplish the following objectives:

- create new opportunities for publication in underserved and emerging areas of humanistic scholarship;
- increase the attention and value accorded to the publication of monographs by exceptionally promising junior scholars; and
- expand and encourage formal and informal cooperative relationships among university presses so that the risks (and rewards) of publishing monographs in designated fields and subfields can be shared.

Unlike the program of university press support in the 1970s and 1980s, the current Mellon initiative does not focus on underwriting the work of individual presses, but instead encourages groups of presses to expand publication in fields of overlapping interests and to develop collaborative activities for achieving economies of scale and expanding markets for their titles. While grant funds do support some of the costs of the additional volumes to be produced, they do not do so in the form of specified subsidies designed to plug the gap between costs and expected revenues of individual titles.

The Foundation will also continue to advance the second initiative involving universities and their presses because publishing and disseminating the results of research are essential functions of universities, and presses and their sponsoring institutions would benefit from making joint decisions about their publishing programs. Following extensive discussions with senior administrators, faculty, and the press director and staff at selected universities, Foundation staff plan to invite proposals designed to ensure that:

- the selected university would identify and pursue significant academic priorities to which its university press could substantially contribute;
- the press would contribute to the initiative the highest standards of editorial skill, peer review, and marketing ability; and
- the university and the press would together work to expand the publishing capacity of the press, perhaps by diversifying its publication activities or experimenting with new techniques or processes.

As in the monograph initiative, grant funds in this program would not provide operational subsidies. Rather, they would be offered as working capital for specific, institutionally important publishing activities.

The history of efforts by the Mellon Foundation (and others) suggests that there is no magic philanthropic bullet that will finally and fully relieve scholarly publishers from the problems inherent in the complex, niche position in which they find themselves. Instead, our experience indicates that there is a vital role for the Foundation to play out of proportion to the small fraction its grants represent in the total revenue that university presses earn each year. These two new initiatives, like those that have preceded them and those that are still in development, are intended to encourage experimentation in response to clearly identified needs of the system. In the coming years, as we compile a fuller range of funded projects involving a variety of subject matter and approaches for universities and their presses (and the Foundation), our expectation is that these efforts will each contribute to the Foundation's overall objective of strengthening both humanistic scholarship and the institutions on which it depends.

April 2008

The Andrew W. Mellon Foundation

Summary of Grants and Contributions, 2007

	<i>Payable and Committed at Dec. 31, 2006</i>	<i>2007 Grants and Commitments</i>		<i>Payable and Committed at Dec. 31, 2007</i>
		<i>Appropriated</i>	<i>Paid</i>	
Conservation and the Environment	\$ 4,230,920	\$ 12,880,200	\$ 12,819,500	\$ 4,291,620
Museums and Art Conservation	31,406,515	25,095,815	41,032,338	15,469,992
Performing Arts	13,737,810	42,335,500	49,591,836	6,481,474
Higher Education and Scholarship	48,310,317	176,242,190	161,813,483	62,739,024
Libraries and Scholarly Communication	13,050,000	28,422,125	33,517,097	7,955,028
Population	2,834	—	2,834	—
Other	—	1,560,000	1,075,670	484,330
Program Grants & Commitments — Totals . . .	110,738,396	286,535,830	299,852,758	97,421,468
Contributions & Matching Gifts	—	345,803	345,803	—
Totals	<u>\$110,738,396</u>	<u>\$286,881,633</u>	<u>\$300,198,561</u>	<u>\$97,421,468</u>

The Andrew W. Mellon Foundation

Classification of Grants

CONSERVATION AND THE ENVIRONMENT

Appropriated

Association Tela Botanica,
Montpellier, France:

To continue support of the development of a coordinated digital database of images and information on African plants	\$	141,000
To support the development of a coordinated digital database of images and information on African plants		75,500

Boston University,
Boston, Massachusetts:

To support an ecological research and training program led by a junior faculty scientist		300,000
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Botanische Staatssammlung München,
Munich, Germany:

To continue support of the development of a coordinated digital database of images and information on Latin American plants		210,000
To continue support of the development of a coordinated digital database of images and information on African plants		7,300

Brown University,
Providence, Rhode Island:

To support an ecological research and training program led by a junior faculty scientist		293,000
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CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

California Academy of Sciences,
San Francisco, California:

To support the development of a coordinated
digital database of images and information on
Latin American plants 62,000

Carnegie Institution of Washington,
Washington, DC:

To support a program of ecological research
and training 750,000

Centro Studi Erbario Tropicale,
Florence, Italy:

To continue support of the development of a
coordinated digital database of images and
information on African plants 45,000

Conservatoire et Jardin Botaniques,
Geneva, Switzerland:

To continue support of the development of a
coordinated digital database of images and
information on Latin American plants 269,000

To continue support of the development of a
coordinated digital database of images and
information on African plants 62,000

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

To support a program to diversify and strengthen
the Society and the field 750,000

Fairchild Tropical Botanic Garden,
Coral Gables, Florida:

To support a plan to organize smaller herbaria
in the Caribbean for participation in the Latin
American Plants Initiative 23,000

CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

Flora of North America Association,
Point Arena, California:

To provide general support 200,000

Free University of Berlin,
Berlin, Germany:

To support the development of a coordinated
digital database of images and information on
Latin American plants 109,000

Friedrich-Schiller-Universität Jena,
Jena, Germany:

To support the development of a coordinated
digital database of images and information on
Latin American plants 181,000

Harvard University,
Cambridge, Massachusetts:

To continue support of the development of a
coordinated digital database of images and
information on the plants of Latin America
and other areas 122,000

Institut Botànic de Barcelona - Institut de Cultura
de Barcelona,
Barcelona, Spain:

To support the development of a coordinated
digital database of images and information on
African plants 17,700

Institut Fondamental d'Afrique Noire Cheikh Anta Diop,
Dakar, Sénégal:

To support the development of a coordinated
digital database of images and information on
African plants 20,000

CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

Instituto de Botânica,
Sao Paulo, Brazil:

To support the development of a coordinated digital database of images and information on Latin American plants	32,000
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Instituto de Botánica Darwinion,
Buenos Aires, Argentina:

To continue support of the development of a coordinated digital database of images and information on the plants of Latin America and other areas	181,000
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To continue support of the development of a coordinated digital database of images and information on Latin American plants	38,000
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Instituto de Investigação Científica Tropical,
Lisbon, Portugal:

To continue support of the development of a coordinated digital database of images and information on African plants	50,000
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Instituto Nacional de Tecnología Agropecuaria,
Buenos Aires, Argentina:

To support the development of a coordinated digital database of images and information on the plants of Latin America and other areas	17,200
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Komarov Botanical Institute of Russian Academy
of Sciences,
St. Petersburg, Russian Federation:

To support the development of a coordinated digital database of images and information on Latin American plants	54,000
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CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

Legal Personality of the National Botanic Garden
of Belgium,

Meise, Belgium:

To continue support of the development of a
coordinated digital database of images and
information on Latin American plants 209,000

To continue support of the development of a
coordinated digital database of images and
information on African plants 178,000

Lunds Universitet,

Lund, Sweden:

To support the development of a coordinated
digital database of images and information on
Latin American plants 80,000

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

Kiev, Ukraine:

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

Missouri Botanical Garden,

St. Louis, Missouri:

To continue support of the development of a
coordinated digital database of images and
information on the plants of Latin America and
other areas 220,000

To support the development of a coordinated
digital database of images and information on
African plants 117,000

Museu Bôtanico Municipal,

Curitiba, Brazil:

To support the development of a coordinated
digital database of images and information on
the plants of Latin America and other areas 37,000

CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

Museu Nacional Universidade Federal do Rio de Janeiro,
Rio de Janeiro, Brazil:

To support the development of a coordinated digital database of images and information on Latin American plants 40,000

Muséum national d'Histoire naturelle,
Paris, France:

To support the development of a coordinated digital database of images and information on Latin American plants 380,000

Natural History Museum of Denmark,
Copenhagen, Denmark:

To support the development of a coordinated digital database of images and information on African plants 103,000

The Natural History Museum,
London, United Kingdom:

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

To continue support of the development of a coordinated digital database of images and information on the plants of Latin America and other areas 90,000

To continue support of the development of a coordinated digital database of images and information on Latin American plants 85,000

Naturhistorisches Museum Wien,
Vienna, Austria:

To continue support of the development of a coordinated digital database of images and information on Latin American plants 255,000

CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

To support the development of a coordinated digital database of images and information on African plants	130,000
New York Botanical Garden, Bronx, New York:	
To continue support of the development of a coordinated digital database of images and information on Latin American plants	366,000
To continue support of the development of a coordinated digital database of images and information on the plants of Latin America and other areas	220,000
Ohio State University, Columbus, Ohio:	
To support an ecological research and training program led by a junior faculty scientist	75,000
Oregon State University, Corvallis, Oregon:	
To support a program of ecosystems research and training collaborations	200,000
Organization for Tropical Studies, Inc., Durham, North Carolina:	
To endow a program of education and scholarship . . .	1,500,000
Pontificia Universidad Católica de Chile, Santiago, Chile:	
To support a program of ecosystems research and training collaboration	200,000

CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

The Royal Botanic Garden Edinburgh,
Edinburgh, United Kingdom:

To support the development of a coordinated
digital database of images and information on
Latin American plants 87,000

To continue support of the development of a
coordinated digital database of images and
information on Latin American plants 26,000

Royal Botanic Gardens, Kew,
Richmond, United Kingdom:

To support the development of a coordinated
digital database of images and information on
Latin American plants 660,000

To continue support of the development of a
coordinated digital database of images and
information on the plants of Latin America and
other areas 148,000

To support the acquisition and preservation of
two volumes of letters to and from Sir Joseph
Dalton Hooker 50,000

Smithsonian Institution,
Washington, DC:

To continue support of the development of a
coordinated digital database of images and
information on Latin American plants 260,000

To endow the Smithsonian Tropical Research
Institute to support a visiting fellows program
for Latin American scholars 250,000

CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

South African National Parks,
Pretoria, South Africa:

To support a program of ecological research
and training 327,000

Spanish Council for Scientific Research,
Madrid, Spain:

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

Stanford University,
Stanford, California:

To support ecosystems research and training
collaborations 300,000

Swedish Museum of Natural History,
Stockholm, Sweden:

To support the development of a coordinated
digital database of images and information on
African plants 65,000

Universidad Nacional de Córdoba,
Córdoba, Argentina:

To support the development of a coordinated
digital database of images and information on
the plants of Latin America and other areas 40,000

Université Mohammed V Agdal,
Rabat-Chellah, Morocco:

To support the development of a coordinated
digital database of images and information on
African plants 40,000

CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

Université Montpellier II,
Montpellier, France:

To support the development of a coordinated
digital database of images and information on
African plants 72,500

To continue support of the development of a
coordinated digital database of images and
information on African plants 69,000

To continue support of the development of a
coordinated digital database of images and
information on Latin American plants 40,000

University of California at Berkeley,
Berkeley, California:

To continue support of the development of a
coordinated digital database of images and
information on Latin American plants 65,000

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

To support a program of ecological research
and training 400,000

To support a program of ecological research
and training 273,000

To support a program of ecosystems research
and training collaborations 200,000

University of Cape Town,
Cape Town, South Africa:

To support a program of ecological research
and training 245,000

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

To continue support of the development of a
coordinated digital database of images and
information on Latin American plants 317,000

CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

Yale University,
New Haven, Connecticut:

To support a program of ecological research and training	216,000
Total—Conservation and the Environment	<u>\$12,880,200</u>

MUSEUMS AND
ART CONSERVATION

Appropriated

The Art Institute of Chicago,
Chicago, Illinois:

To endow the program of postdoctoral Andrew W. Mellon Curatorial Fellowships	\$1,750,000
To continue support for a program to introduce Chinese museum professionals to American museum practices	441,300
To continue support for a program of postdoctoral Andrew W. Mellon Curatorial Fellowships	355,000
To continue support for a program to introduce Chinese museum professionals to American museum practices	34,280

Barnes Foundation,
Merion, Pennsylvania:

To continue support for a program of collection assessment, research, and preservation of the permanent collection	625,000
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Brooklyn Institute of Arts and Sciences,
Brooklyn, New York:

To endow two postgraduate fellowships in conservation	1,500,000
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Carnegie Mellon University,
Pittsburgh, Pennsylvania:

To continue support for the Art Conservation Research Center	3,870,000
To continue support for the Art Conservation Research Center	30,000

Courtauld Institute of Art,
London, United Kingdom:

To support a pilot project for conservation documentation in digital form	300,000
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MUSEUMS AND
ART CONSERVATION

(continued)

Appropriated

Frick Collection,
New York, New York:

To endow a curatorship of decorative arts 750,000

George Eastman House,
Rochester, New York:

To endow a new Department of Conservation 3,000,000

Harvard University,
Cambridge, Massachusetts:

To support a technical study of the materials
and techniques of Mark Rothko 50,000

Metropolitan Museum of Art,
New York, New York:

To continue support for a program to introduce
Chinese museum professionals to American
museum practices 36,000

To continue support for a program to introduce
Chinese museum professionals to American
museum practices 7,750

Museum of Fine Arts, Boston,
Boston, Massachusetts:

To support a pilot project for conservation
documentation in digital form 250,000

National Gallery of Art,
Washington, DC:

To endow the program of postdoctoral
Andrew W. Mellon Curatorial Fellowships 1,750,000

To continue support for a program of postdoctoral
Andrew W. Mellon Curatorial Fellowships 545,000

To support a pilot project for conservation
documentation in digital form 50,000

MUSEUMS AND
ART CONSERVATION

(continued)

Appropriated

Philadelphia Museum of Art,
Philadelphia, Pennsylvania:

To endow the program of postdoctoral Andrew W. Mellon Curatorial Fellowships	1,750,000
To endow one or more midlevel curatorial positions	1,000,000
To continue support for a program of postdoctoral Andrew W. Mellon Curatorial Fellowships	340,000

Stichting tot Exploitatie van het Rijksbureau voor
Kunsthistorische Documentatie,
Den Haag, Netherlands:

To support a pilot project for conservation documentation in digital form	135,000
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Smithsonian Institution,
Washington, DC:

To endow the Museum Conservation Institute's directorship	1,750,000
To endow the Advanced Training Program in Ethnographic and Archeological Conservation at the National Museum of the American Indian	1,500,000
To continue support for a program to introduce Chinese museum professionals to American museum practices	22,200
To continue support for a program to introduce Chinese museum professionals to American museum practices	5,685

Southeastern Library Network, Inc.,
Atlanta, Georgia:

To support the preservation of significant collections held by historically black colleges and universities	953,900
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MUSEUMS AND
ART CONSERVATION

(continued)

Appropriated

St. Louis Art Museum Foundation,
St. Louis, Missouri:

To endow two new midlevel curatorial positions . . . 1,750,000

The Tate Gallery,
London, United Kingdom:

To continue support for a multidisciplinary
research program on material changes in
20th-century sculpture 38,600

University of Delaware,
Newark, Delaware:

To support the preservation of significant
collections held by historically black colleges
and universities 281,100

Worcester Art Museum,
Worcester, Massachusetts:

To continue support for a conservator-scientist
position 225,000

Total—Museums and Art Conservation \$25,095,815

PERFORMING ARTS

*Appropriated*Alliance of Resident Theatres,
New York, New York:

To support capacity building and technical assistance programs	\$ 150,000
To support the New York Theater Program	20,000

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

To support the National Orchestral Discovery Network, new music readings, and Orchestra Underground concerts	300,000
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American Music Center, Inc.,
New York, New York:

To support online services and a restructuring of member programs	300,000
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American Symphony Orchestra, Inc.,
New York, New York:

To support the scholarly reconstruction of three works to be performed during the 2007-2008 season	35,000
--	--------

American Symphony Orchestra League,
New York, New York:

To support transition issues related to the implementation of a new strategic plan	1,000,000
To support the Orchestra Leadership Academy	1,000,000
To support the American Conducting Fellows Program	1,000,000

Art Sweats, Inc.,
New York, New York:

To support artistic initiatives and company development	50,000
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PERFORMING ARTS

(continued)

Appropriated

Baltimore Symphony Orchestra, Inc.,

Baltimore, Maryland:

To support ticket pricing and artistic initiatives	550,000
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Bard College,

Annandale-on-Hudson, New York:

To support a production of <i>The Dream of Gerontius</i> at the 2007 Bard Music Festival	40,000
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Berkeley Repertory Theatre,

Berkeley, California:

To support the commissioning and development of projects that involve live music or nontheatrical art forms	250,000
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Brooklyn Academy of Music, Inc.,

Brooklyn, New York:

To support opera and music-theater programming	5,000,000
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To support planning for the <i>Illuminating Islam</i> festival	50,000
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Brooklyn Information & Culture, Inc.,

Brooklyn, New York:

To support the production of <i>ReWind: A Cantata for Voice, Tape and Testimony</i>	12,000
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Caramoor Center for Music and the Arts, Inc.,

Katonah, New York:

To support the tenth anniversary season of <i>Bel Canto at Caramoor</i>	50,000
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The Carnegie Hall Corporation,

New York, New York:

To support The Academy, a postgraduate educational initiative for orchestral musicians	1,500,000
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To support a new festivals initiative	1,000,000
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PERFORMING ARTS

(continued)

*Appropriated*Chicago Humanities Festival,
Chicago, Illinois:

To support the “Acts of Concern” program at the 2007 Festival, <i>The Climate of Concern</i>	25,000
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Chicago Opera Theater,
Chicago, Illinois:

To support productions of <i>A Flowering Tree</i> and <i>Death and the Power</i>	150,000
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Chicago Symphony Orchestra,
Chicago, Illinois:

To support artistic initiatives	1,000,000
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Clarion Music Society, Inc.,
New York, New York:

To support collaborative concerts, lectures, and master classes with the New York Collegium	25,000
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Cross Performance, Inc.,
New York, New York:

To support artistic initiatives and company development	60,000
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Cunningham Dance Foundation, Inc.,
New York, New York:

To support artistic initiatives and company development	250,000
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To support <i>Mondays with Merce</i>	150,000
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Dance Continuum, Inc.,
New York, New York:

To support artistic initiatives and company development	55,000
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PERFORMING ARTS

(continued)

Appropriated

Dance Exchange Inc.,

Takoma Park, Maryland:

To support artistic initiatives and company development	150,000
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Dance Heritage Coalition, Inc.,

Washington, DC:

To support planning related to the ongoing development of a secure dance media network	48,500
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Dance/USA,

Washington, DC:

To support the publication of a monograph documenting findings and best practices of the National Dance Presenters Leadership Forum	15,000
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Detroit Symphony Orchestra Inc.,

Detroit, Michigan:

To support leadership training for senior and midlevel staff	50,000
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Discalced, Inc.,

Brooklyn, New York:

To support artistic initiatives and company development	250,000
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DOVA, Inc.,

New York, New York:

To support artistic initiatives and company development	55,000
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Eugene O'Neill Memorial Theater Center, Inc.,

Waterford, Connecticut:

To support student recruitment, expansion of the National Playwrights Conference, and a convening of Master of Fine Arts playwriting programs	100,000
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PERFORMING ARTS

(continued)

Appropriated

Foundation for Dance Promotion, Inc.,

New York, New York:

To support artistic initiatives and company development	200,000
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Fractured Atlas Productions, Inc.,

New York, New York:

To support the development of an advanced prototype for an open source software system for managing online grant applications	10,000
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Garth Fagan Dance, Inc.,

Rochester, New York:

To support artistic initiatives and company development	100,000
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Gotham Dance, Inc.,

New York, New York:

To support artistic initiatives and company development	45,000
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Grantmakers in the Arts,

Seattle, Washington:

To support the commissioning of essays and ongoing information services to the field	30,000
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Guthrie Theatre Foundation,

Minneapolis, Minnesota:

To support the Company Development Program and the creation of new works, including the premiere production of <i>After A Hundred Years</i>	200,000
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Houston Grand Opera Association, Inc.,

Houston, Texas:

To support productions of <i>Songs of Houston</i> and <i>Last Acts</i> and a revival of <i>Billy Budd</i>	400,000
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PERFORMING ARTS

(continued)

Appropriated

Inta, Inc.,

New York, New York:

To support artistic initiatives and company development	45,000
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Joe Goode Performance Group,

San Francisco, California:

To support artistic initiatives and company development	50,000
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L.A. Theatre Works,

Venice, California:

To support a program to provide institutions of higher education with access to audio recordings of plays	250,000
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Lincoln Center for the Performing Arts, Inc.,

New York, New York:

To support an endowment for new commissions and artistic collaborations	5,000,000
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Lookingglass Theatre Company,

Chicago, Illinois:

To support the development and production of three artistic works	100,000
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Los Angeles Opera Company,

Los Angeles, California:

To support the <i>Ring Cycle</i> and the commissioning of <i>Il Postino</i>	600,000
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Los Angeles Philharmonic Association,

Los Angeles, California:

To support multimedia projects	1,000,000
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PERFORMING ARTS

(continued)

*Appropriated*Lyric Opera of Chicago,
Chicago, Illinois:

To support radio broadcasts and revivals of <i>Porgy and Bess</i> and <i>Lulu</i>	1,000,000
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Manhattan Theatre Club, Inc.,
New York, New York:

To support the Artistic Development Program and a production of <i>The Receptionist</i>	100,000
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Margaret Jenkins Dance Studio, Inc.,
San Francisco, California:

To support artistic initiatives and company development	60,000
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Mid Atlantic Arts Foundation, Inc.,
Baltimore, Maryland:

To support USArtists International	35,000
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Minnesota Orchestral Association,
Minneapolis, Minnesota:

To support the 2007 Minnesota Orchestra Composer Institute	25,000
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Minnesota Public Radio,
St. Paul, Minnesota:

To support the strengthening of music-media programming	50,000
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Music and Dance Theater Chicago, Inc.,
Chicago, Illinois:

To support Chicago-based performance companies . .	600,000
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National Arts Strategies, Inc.,
Washington, DC:

To support executive education programs for nonprofit arts organizations	150,000
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PERFORMING ARTS

(continued)

Appropriated

To support the development of an educational series for executives of large arts and cultural institutions	50,000
National New Play Network Ltd., Philadelphia, Pennsylvania:	
To support programs aimed at the development, production, and continued life of new plays for the American theater field	225,000
National Opinion Research Center, Chicago, Illinois:	
To support a study of cultural infrastructure in the US by The Cultural Policy Center at the University of Chicago	500,000
New Haven International Festival of Arts and Ideas, Inc., New Haven, Connecticut:	
To support expanded dance programming	25,000
New York City Opera, Inc., New York, New York:	
To support productions of <i>Margaret Garner</i> and <i>Vanessa</i> and the annual <i>VOX: Showcasing American Composers</i> festival	400,000
New York Foundation for the Arts, Inc., New York, New York:	
To support the New York Theater Program	2,450,000
To support planning for an analysis and needs assessment of the dance and theater fields, the implementation of dance and theater regranting programs, and an evaluation process	20,000
New York Shakespeare Festival, New York, New York:	
To support the Public LAB and the new position of Shakespeare outreach director	2,700,000

PERFORMING ARTS

(continued)

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

To support financial analyses of and consultation with selected dance companies and other performing arts organizations	450,000
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To support a comparative analysis of 18 single choreographer modern dance companies in the Foundation's dance program	50,000
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NPower NY, Inc.,
New York, New York:

To support the creation of a survey instrument to access the information technology needs of the performing arts sector	50,000
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Ojai Festivals, Ltd.,
Ojai, California:

To support ensemble appearances at the 2007 Ojai Music Festival	45,000
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Opera America, Inc.,
New York, New York:

To support electronic resources and other services to the field	400,000
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To support the 2008 National Performing Arts Convention	400,000
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Opera Theatre of Saint Louis,
St. Louis, Missouri:

To support productions of <i>Troilus and Cressida</i> and <i>Ghosts of Versailles</i>	400,000
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Other Minds,
San Francisco, California:

To support a concert presenting the North American premiere of <i>Solo for Voice 58: 18 Microtonal Ragas</i>	10,000
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PERFORMING ARTS

(continued)

*Appropriated*Pacific Symphony,
Santa Ana, California:

To support the 2007 American Composers Festival, <i>Los Sonidos de Mexico</i>	20,000
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Paul Taylor Dance Foundation, Inc.,
New York, New York:

To support a Legacy Fund	1,250,000
To support a business analysis	15,000

Philadelphia Orchestra Association,
Philadelphia, Pennsylvania:

To support electronic media activities and redesign of the subscription and regional concert series	800,000
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Pick Up Performance Company, Inc.,
New York, New York:

To support artistic initiatives and company development	100,000
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Pittsburgh Symphony, Inc.,
Pittsburgh, Pennsylvania:

To support new strategic initiatives	800,000
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Playwrights' Center, Inc.,
Minneapolis, Minnesota:

To support the Japanese-American translation project	65,000
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Portland Center Stage,
Portland, Oregon:

To support community-focused artistic programming	200,000
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PERFORMING ARTS

(continued)

Appropriated

Princeton University,
Princeton, New Jersey:

To support the Center for Arts and Cultural
Policy Studies 250,000

Red {an orchestra},
Cleveland, Ohio:

To support editing of the footage collected from
a broadcast in Second Life 5,000

Ridge Street Theater, Inc.,
New York, New York:

To support a performance of *Decasia Live* 25,000

Ringside, Inc.,
Brooklyn, New York:

To support artistic initiatives and company
development 115,000

Robert W. Woodruff Arts Center, Inc.,
Atlanta, Georgia:

To support the School of Composers, recordings,
and concert enhancements at the Atlanta
Symphony Orchestra 1,000,000

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

To support the American premiere of
The Overwhelming 100,000

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

To support artistic initiatives 800,000

To support the International Chamber
Orchestra Festival 500,000

PERFORMING ARTS

(continued)

*Appropriated*San Francisco Symphony,
San Francisco, California:

To support the multimedia series, *Keeping Score*,
and musician recruitment 1,000,000

South Coast Repertory, Inc.,
Costa Mesa, California:

To support a new initiative in music-theater 100,000

Sphinx Organization, Inc.,
Detroit, Michigan:

To support The Sphinx Chamber Orchestra Tour 500,000

Spoleto Festival USA.,
Charleston, South Carolina:

To support the production of a Spoleto-
commissioned revision of the opera *Amistad* 50,000

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

To support artistic initiatives and company
development 75,000

Symphony Space, Inc.,
New York, New York:

To support a symposium and multidisciplinary
arts festival, *Africa and the African Diaspora:
Traditions, Revolutions and Innovations* 50,000

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

To support artistic initiatives and company
development 200,000

University of Florida,
Gainesville, Florida:

To support a series of research papers on
performing arts attendance and donations 50,000

PERFORMING ARTS

(continued)

Appropriated

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

To support a pilot curriculum-based arts initiative
at the Krannert Center for the Performing Arts 600,000

Walker Art Center, Inc.,
Minneapolis, Minnesota:

To support the Commissioning and Production
Residency Program and the Global Contemporary
Performance Program 400,000

Washington Drama Society, Inc.,
Washington, DC:

To support artistic and audience development 300,000

WNYC Radio,
New York, New York:

To support the *Berlin Without Walls* festival 50,000

Total—Performing Arts

\$42,335,500

HIGHER EDUCATION
AND SCHOLARSHIP

Appropriated

Agnes Scott College,
Decatur, Georgia:

To support the establishment of the Center for
Women's Global Leadership \$ 50,000

Albion College,
Albion, Michigan:

To support institutional initiatives 50,000

Allegheny College,
Meadville, Pennsylvania:

To support the appointment of new faculty in
anticipation of senior faculty retirements 750,000

To support environmental studies 300,000

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

To support dissertation completion fellowships for
graduate students in the humanities and social
sciences, and portable early career fellowships for
recent PhD recipients in these fields 6,786,000

To support fellowships for assistant professors in
the humanities and humanistic social sciences 5,070,000

To support the Charles A. Ryskamp Research
Fellowship Program for advanced junior faculty
members in the humanities and humanistic
social sciences 3,380,000

To support the Frederick Burkhardt Residential
Fellowships for Recently Tenured Scholars 2,937,000

American Indian College Fund,
Denver, Colorado:

To support the Mellon Faculty Research Program 500,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

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

To support the production of the next generation
of the OpenCollection open-source museum
collection management system 2,500,000

To support further development of the
OpenCollection software project 100,000

American Philosophical Society,
Philadelphia, Pennsylvania:

To support the preservation of rare recordings of
endangered Native American languages 483,000

American Political Science Association,
Washington, DC:

To support an initiative to strengthen political
science scholarship in Africa 896,000

American Studies Association,
Washington, DC:

To support the Association's International
Initiative 40,000

American University - Central Asia,
Bishkek, Kyrgyz Republic:

To support programs for curriculum enhancement 100,000

American University in Cairo,
New York, New York:

To support postdoctoral teaching fellowships 682,500

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

To support a program in Middle Eastern and
Islamic Studies 100,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

To support a meeting of the Council of Deans of the American International Consortium of Academic Libraries	31,700
To support institutional collaboration within the American International Consortium of Academic Libraries	25,000
Amherst College, Amherst, Massachusetts:	
To support the appointment of new faculty in anticipation of senior faculty retirements	860,000
To support an Emeritus Fellowship	28,000
Appalachian College Association, Berea, Kentucky:	
To support the vice president for academic programs, faculty development initiatives, and transition planning	900,000
To support the management of collections purchases for the Association's Central Library	100,000
To support professional development opportunities for women administrators in member colleges	50,000
To support participation in JSTOR and ARTstor for a new member of the consortium	47,600
To support participation in JSTOR and ARTstor for a new member of the consortium	23,500
Associated Colleges of the Midwest, Inc., Chicago, Illinois:	
To support postdoctoral fellowships	4,000,000
To establish an endowment in support of administrative operations that serve academic programs	3,000,000
To support faculty career enhancement programs . .	600,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

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

To support faculty career enhancement programs . . . 648,000

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

To support a conference on library collaboration
for librarians from member institutions 7,040

Austin College,
Sherman, Texas:

To support student-faculty collaborative research
in the humanities and social sciences 150,000

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

To support the integration of science, mathematics,
and computing into the general educational core
curriculum 633,000

Barnard College,
New York, New York:

To support an integrated revitalization of the
science program through renovation of its facilities,
the strengthening of its faculty, and curricular
enhancement 3,000,000

Bates College,
Lewiston, Maine:

To support enhanced sabbatical leaves for
continuing faculty 1,000,000

To support programs for faculty development
and curricular innovation 450,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Beloit College,
Beloit, Wisconsin:

To support the integration of students' international study experiences into the curriculum	200,000
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Bennington College,
Bennington, Vermont:

To support the enhancement of library services and programs	275,000
To support the Democracy Project	250,000

Brown University,
Providence, Rhode Island:

To support a New Directions Fellowship	278,000
To support a New Directions Fellowship	270,000

Bryn Mawr College,
Bryn Mawr, Pennsylvania:

To support the Mary Patterson McPherson Endowed Fund for Innovation in the Humanities	625,000
To support teaching and learning initiatives	297,000

Bucknell University,
Lewisburg, Pennsylvania:

To support the development of a long-term academic plan that strengthens the relationship between liberal education and a student's major field	50,000
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California Institute of Technology,
Pasadena, California:

To support research and teaching activities in the humanities	750,000
To support postdoctoral fellowships in the humanities and humanistic social sciences	512,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Cape Higher Education Consortium,
Wynberg, South Africa:

To support the development and implementation
of collaborations and partnerships in the
Western Cape 50,000

Carleton College,
Northfield, Minnesota:

To support a postdoctoral fellowship program 1,660,000
To support the integration of library, information
technology, and other curricular support services 30,000

Carnegie Mellon University,
Pittsburgh, Pennsylvania:

To support a New Directions Fellowship 234,000
To support the evaluation of a software Enterprise
Service Bus for institutions of higher education 50,000

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

To support fellowships for humanists 2,000,000

Clafin University,
Orangeburg, South Carolina:

To support access to JSTOR for six historically
black colleges and universities in South Carolina 150,000

Claremont McKenna College,
Claremont, California:

To support the redesign of the first year liberal arts
requirement 150,000

Claremont University Consortium,
Claremont, California:

To support the appointment of new faculty in
anticipation of senior faculty retirements 1,500,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Colby College,
Waterville, Maine:

To support postdoctoral fellowships and bridge positions for planned faculty retirements	1,400,000
To support programs in public affairs and civic engagement	300,000

Colgate University,
Hamilton, New York:

To support postdoctoral fellowships	800,000
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College of the Holy Cross,
Worcester, Massachusetts:

To support postdoctoral fellowships	800,000
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College of William and Mary,
Williamsburg, Virginia:

To support environmental studies and the use of geographic information systems	1,500,000
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Colorado College,
Colorado Springs, Colorado:

To support a comparative benchmarking study of curricular and institutional changes at peer liberal arts colleges	50,000
To support planning for a language and region-centered program in Mediterranean languages and culture	50,000

Columbia University,
New York, New York:

To endow a program to support doctoral students in the humanities	6,000,000
To support inquiry into disciplinary innovation at the Heyman Center for the Humanities	350,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Columbia University Press,
Irvington, New York:

To support the publication of scholarly monographs
in the humanities, in collaboration with the University
of California and the University of Chicago 447,000

Community MusicWorks,
Providence, Rhode Island:

To support efforts to expand a model of classical
music and arts education within inner-city
communities 50,000

Connecticut College,
New London, Connecticut:

To support postdoctoral fellowships 800,000

To support improvements in library collection
development in collaboration with Trinity College
and Wesleyan University 350,000

To support faculty development programs that
strengthen the connections between students'
academic and co-curricular experiences 50,000

Cornell University,
Ithaca, New York:

To endow a program to support doctoral
students in the humanities 3,000,000

To endow professorships in the humanities 2,500,000

To support the Future of Minority Studies
Institute and Colloquium 630,000

To support digital imaging workshops for
librarians at historically black colleges and
universities 450,000

To support initiatives aimed at strengthening the
role the Society for the Humanities plays in the
instructional and scholarly activities of the
University 373,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Council of Independent Colleges,
Washington, DC:

To support planning for a series of workshops
to help faculty evaluate and use discipline-specific
digital information 33,150

Courtauld Institute of Art,
London, United Kingdom:

To support the Research Forum 1,614,000

Dartmouth College,
Hanover, New Hampshire:

To endow a postdoctoral fellowship program in
the humanities and humanistic social sciences 2,055,000
To support an Emeritus Fellowship 32,000

DePauw University,
Greencastle, Indiana:

To support faculty career enhancement programs . . . 1,500,000
To support a program of faculty and curricular
development at the Janet Prindle Institute
for Ethics 160,000

Dickinson College,
Carlisle, Pennsylvania:

To endow an environmental studies program 1,400,000
To support the planning and development of
shared administrative services 196,000
To create an endowment for faculty career
enhancement programs 135,000
To support the planning of a curriculum-based,
college-wide initiative in environmental studies 25,000

Drew University,
Madison, New Jersey:

To endow an environmental studies program 950,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Duke University,
Durham, North Carolina:

To support initiatives aimed at strengthening the role the John Hope Franklin Humanities Institute plays in the instructional and scholarly activities of the University 470,000

To support the advancement of the development and deployment of an enterprise-integrated and open source 3D virtual world browser application . . . 100,000

Emory University,
Atlanta, Georgia:

To support teaching fellowships for advanced graduate students in the humanities and humanistic social sciences 700,000

To support a visiting scholars program in the James Weldon Johnson Institute for Advanced Interdisciplinary Studies 400,000

To support a dissertation seminar in the humanities . . . 86,000

Federation of American Scientists,
Washington, DC:

To support a planning project leading to a test of the suitability and effectiveness of virtual worlds technologies for humanistic scholarly inquiry 302,000

Fisk University,
Nashville, Tennessee:

To support the University's operations 2,000,000

To support the University in meeting its immediate financial obligations 1,000,000

To support an external curricular review 50,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

The Foundation of Tertiary Institutions of
the Northern Metropolis,
Johannesburg, South Africa:

To support an assessment of the shared library
system GAELIC 50,000

Franklin & Marshall College,
Lancaster, Pennsylvania:

To endow faculty career enhancement programs . . . 135,000

George Mason University,
Fairfax, Virginia:

To support the development of a set of automatic
archiving relationships between the Zotero Web
research tool and the Internet Archive 514,000

George Washington University,
Washington, DC:

To support workshops for liberal arts college
faculty to enhance their knowledge of constitutional
studies 100,000

University System of Georgia,
Atlanta, Georgia:

To support the development of the Evergreen
software project 50,000

Gettysburg College,
Gettysburg, Pennsylvania:

To support a college-wide program of
undergraduate research that is embedded in
the curriculum 500,000

To support faculty career enhancement programs
in collaboration with Dickinson and Franklin &
Marshall Colleges 195,000

To endow faculty career enhancement programs . . . 135,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Hamilton College,
Clinton, New York:

To support postdoctoral fellowships 800,000

Harvard University,
Cambridge, Massachusetts:

To support activities aimed at strengthening
scholarship in art history at Villa I Tatti, the
Harvard University Center for Italian
Renaissance Studies 479,000

Harvey Mudd College,
Claremont, California:

To support strategic planning 50,000

Hendrix College,
Conway, Arkansas:

To support a humanities scholars program 100,000

Higher Education South Africa,
Pretoria, South Africa:

To support a program on the management of
institutions in higher education for potential
leaders of South African universities 230,000

The IHR Trust,
London, United Kingdom:

To endow the academic and research programs
of the Institute of Historical Research 1,000,000

Illinois College,
Jacksonville, Illinois:

To support faculty career enhancement programs . . . 50,000

Illinois Wesleyan University,
Bloomington, Illinois:

To support a restructuring of the writing program . . . 175,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Indiana University,
Bloomington, Indiana:

To support the publication of scholarly monographs in the humanities, in collaboration with Kent State University and Temple University	80,000
To support an Emeritus Fellowship	45,000
To support additional research and related activities for an Emeritus Fellowship	40,000
To support an Emeritus Fellowship	36,000

Institute of International Education, Inc.,
New York, New York:

To support an evaluation of the activities of the Partnership for Higher Education in Africa	35,000
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Internet Archive,
San Francisco, California:

To support the development of a set of automatic archiving relationships between the Zotero Web research tool and the Internet Archive	667,000
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Johns Hopkins University,
Baltimore, Maryland:

To endow a program for doctoral students in the humanities	3,000,000
To support postdoctoral fellowships in the humanities and humanistic social sciences	1,018,000

Johnson C. Smith University,
Charlotte, North Carolina:

To support enhancement of the information literacy program	150,000
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HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Kenyon College,
Gambier, Ohio:

To endow a program for innovation in
interdisciplinary teaching and learning, and
to support interdisciplinary faculty initiatives 600,000

Knox College,
Galesburg, Illinois:

To support independent student research and
scholarship 228,750

The Kohala Center,
Kamuela, Hawaii:

To support the establishment of dissertation and
postdoctoral fellowships for Native Hawaiian
scholars and others committed to the advancement
of Hawaiian history and culture 500,000

Lafayette College,
Easton, Pennsylvania:

To support faculty career enhancement programs . . 300,000

To support the planning and implementation of a
college-wide initiative aimed at diversifying the
student body 50,000

Lake Forest College,
Lake Forest, Illinois:

To support environmental studies 725,000

Lehigh University,
Bethlehem, Pennsylvania:

To support the development and implementation of
a student-faculty residential learning community at
South Mountain College 555,400

To support a leadership development program 50,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Lewis and Clark College,
Portland, Oregon:

To support postdoctoral fellowships 450,000

Macalester College,
St. Paul, Minnesota:

To support environmental studies 300,000

To support postdoctoral fellowships 225,000

Marlboro College,
Marlboro, Vermont:

To support curricular reform and pedagogical
innovation 29,600

Middlebury College,
Middlebury, Vermont:

To support further development of the Segue
Collaborative Knowledge System 50,000

Morehouse College,
Atlanta, Georgia:

To endow the Morehouse Opportunity Fund 2,000,000

To support the Martin Luther King, Jr. Collection 1,500,000

To support work to enhance the general education
curriculum 350,000

To support an intensive Spanish language program
for the Atlanta University Center 210,000

Mount Holyoke College,
South Hadley, Massachusetts:

To support curricular, admissions, and financial
initiatives that strengthen institutional
sustainability 2,500,000

To support projects that strengthen library services
and programs 50,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

National Academy of Sciences,
Washington, DC:

To support a study of “University Management of
Intellectual Property: Lessons from a Generation of
Bayh-Dole Experience” 300,000

To support a study of research doctorate programs
in the United States 200,000

National History Center, Inc.,
Washington, DC:

To support summer seminars for recent PhDs and
advanced graduate students in history working on
aspects of decolonization 585,000

The New School,
New York, New York:

To support a series of workshops and seminars at
Eugene Lang College to explore innovative
approaches and best practices in curricular reform
and faculty development at liberal arts colleges 43,000

New York Public Library,
New York, New York:

To endow the Scholars-in-Residence Program at
the Schomburg Center for Research in
Black Culture 1,000,000

To support the Schomburg-Mellon Summer
Humanities Undergraduate Institute 450,000

New York University,
New York, New York:

To support the publication of scholarly monographs
in the humanities, in collaboration with Fordham
University, the University of Virginia, Temple
University, and Rutgers, The State University of
New Jersey 1,376,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Newberry Library,
Chicago, Illinois:

To support summer training institutes in vernacular paleography in collaboration with the Folger Shakespeare Library, Getty Research Institute, Henry E. Huntington Library & Art Gallery, and Harry Ransom Humanities Research Center at the University of Texas at Austin	775,000
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Northwestern University,
Evanston, Illinois:

To support a New Directions Fellowship	209,000
To support an Emeritus Fellowship	54,000

Open Polytechnic of New Zealand,
Wellington, New Zealand:

To support the development of a set of e-learning tools, including the Mahara e-portfolio, that integrate with the Moodle learning management system	100,000
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Organization for Tropical Studies, Inc.,
Durham, North Carolina:

To support the Undergraduate Studies in Ecology Program	500,000
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Participatory Culture Foundation,
Worcester, Massachusetts:

To support further development of the Miro video player	50,000
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The Patriot League,
Center Valley, Pennsylvania:

To support research on admissions policies for student-athletes and the role of intercollegiate athletics	40,250
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HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Pennsylvania State University,
University Park, Pennsylvania:

To support a New Directions Fellowship 164,000

Phillips Academy,
Andover, Massachusetts:

To endow the Institute for Recruitment of
Teachers 2,000,000

Pomona College,
Claremont, California:

To support a New Directions Fellowship 195,000

Princeton University,
Princeton, New Jersey:

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

To support a New Directions Fellowship 253,000

To support linking College and Beyond data to
other data to study employment and earnings
patterns 230,000

To support additional research and related activities
for a New Directions Fellowship 15,000

Queen's University at Kingston,
Kingston, Canada:

To support editorial and related activities of the
Benjamin Disraeli Letters project 455,000

Queens College,
Flushing, New York:

To support planning for an expansion of offerings in
the Department of Classical, Middle Eastern, and
Asian Languages and Cultures 50,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Randolph College,
Lynchburg, Virginia:

To support ARTstor participation with Hampden-Sydney, Lynchburg, Mary Baldwin, and Randolph Macon Colleges, and the Averett, Eastern Mennonite, and Shenandoah Universities	92,000
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Reed College,
Portland, Oregon:

To endow the performing arts program	1,500,000
To support faculty career enhancement programs . .	225,000

Renaissance Society of America, Inc.,
New York, New York:

To support research fellowships for graduate students and scholars	50,000
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Rhodes College,
Memphis, Tennessee:

To support environmental studies	550,000
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Rhodes University,
Grahamstown, South Africa:

To support doctoral studies in the humanities and social sciences	640,000
To support discretionary initiatives of the vice-chancellor	100,000
To support the Women's Academic Solidarity Association	100,000

Rice University,
Houston, Texas:

To support research seminars and related activities for faculty members and graduate students in the School of Humanities	201,000
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HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Ripon College,
Ripon, Wisconsin:

To support academic planning and
interinstitutional collaboration 15,000

Robert W. Woodruff Library of the
Atlanta University Center, Inc.,
Atlanta, Georgia:

To support the implementation of a records
management program for the Atlanta
University Center 150,000

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

To support an Emeritus Fellowship 21,000

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

To support international study and fellowship
programs for faculty members at Appalachian
and historically black colleges and universities 900,000

Shimer College,
Chicago, Illinois:

To support efforts aimed at strengthening
admissions and enrollment management 50,000

Smith College,
Northampton, Massachusetts:

To support the Summer Institute in Art
Museum Studies 400,000

Social Science Research Council,
New York, New York:

To support research and consultation on scholarship
in the area of regional and transregional studies . . . 50,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Society for Historians of the Early American Republic,
Philadelphia, Pennsylvania:

To support an undergraduate American history
seminar for students of the early republic 178,500

Southeastern Library Network, Inc.,
Atlanta, Georgia:

To support a review of the Appalachian College
Association Central Library 33,000

Southwestern University,
Georgetown, Texas:

To support cross-disciplinary faculty collaborations . . . 150,000

Spelman College,
Atlanta, Georgia:

To support faculty positions in the Computer and
Information Science department and the Africans
in the Diaspora and the World program 3,000,000

To support a collaborative faculty development
program with Bennett College that would strengthen
the women's studies program at both campuses . . . 60,000

To support the development of a strategic plan for
the Women's Research and Resource Center 25,000

St. John's College,
Santa Fe, New Mexico:

To support faculty training programs 291,400

St. Lawrence University,
Canton, New York:

To support a program in rhetoric and
communication 250,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

St. Mary's College of Maryland,
St. Mary's City, Maryland:

To support expansion of an international
program and the strengthening of a democracy
studies minor 150,000

St. Olaf College,
Northfield, Minnesota:

To support strategic planning 50,000

Stanford University,
Stanford, California:

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

Stellenbosch University,
Matieland, South Africa:

To support senior academic posts in the humanities
and social sciences 755,000

To support discretionary activities of the
vice-chancellor 150,000

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

To support activities aimed at strengthening
scholarship in art history 414,000

Talboks- och Punktskriftsbiblioteket,
Enskede, Sweden:

To support the DAISY Consortium Pipeline
Project 50,000

Trust for African Rock Art,
Chicago, Illinois:

To support completion of the documentation of
digitized slides of African rock art 25,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Tulane University, New Orleans, Louisiana:	
To support the Summer Transition program	300,000
Union College, Schenectady, New York:	
To support curricular initiatives	50,000
United Negro College Fund, Inc., Fairfax, Virginia:	
To support fundraising by development staff for Fisk University	150,000
To support the development of a renewal plan for Fisk University	49,600
University Corporation for Advanced Internet Development, Ann Arbor, Michigan:	
To support a workshop to develop an interoperability plan for scholarly workflow	47,200
University of Alaska at Fairbanks, Fairbanks, Alaska:	
To support planning for doctoral studies in departments that deal with indigenous history and culture	40,000
University of British Columbia, Vancouver, Canada:	
To support the Kuali Student System project	2,500,000
University of California at Berkeley, Berkeley, California:	
To endow a program for doctoral students in the humanities	6,000,000
To support a quasi-endowment to provide enhanced research opportunities for recently tenured professors in the humanities and humanistic social sciences	2,500,000

HIGHER EDUCATION AND SCHOLARSHIP

(continued)

Appropriated

To support inquiry into disciplinary innovation at the Doreen B. Townsend Center for the Humanities	385,000
To support a study of the causes and implications of declining growth in the number of college degrees awarded since the 1970s	84,000
To support an Emeritus Fellowship	55,000
To support strategic working groups in the humanities	50,000
To support an Emeritus Fellowship	35,000
To support an Emeritus Fellowship	30,000

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

To endow a program for doctoral students in the humanities	6,000,000
To support a Distinguished Achievement Award . . .	1,500,000
To support a summer program for undergraduate students at historically black colleges and universities	300,000
To support an Emeritus Fellowship	36,000

University of Cambridge, Cambridge, United Kingdom:

To support inquiry into disciplinary innovation at the Centre for Research in the Arts, Social Sciences, and Humanities	382,000
To support editorial and related costs of <i>The Correspondence of Charles Darwin</i>	168,000

University of Cape Town, Cape Town, South Africa:

To support the opera school fellowship program . . .	800,000
To support master's and doctoral fellowships in the humanities	640,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

To support the work of the Centre for Popular Memory	500,000
To support postdoctoral fellowships in the humanities	275,000
To support the expansion of the Mellon Mays Undergraduate Fellowship program in South Africa	220,000
To support the preservation and publication of works relating to the Bleek and Lloyd collection . . .	210,000
 University of Chicago, Chicago, Illinois:	
To endow a program for doctoral students in the humanities	6,000,000
To support a residency program and curricular collaboration with the Saint Paul Chamber Orchestra Society	600,000
To support a program of visiting scholars from Europe	589,000
To support an Emeritus Fellowship	55,000
To support an Emeritus Fellowship	35,000
To support inquiry into disciplinary innovation at the Franke Institute for the Humanities	15,000
 The University of Fort Hare, Alice, South Africa:	
To support the strengthening of library resources in the humanities and social sciences	100,000
 University of Illinois at Urbana-Champaign, Champaign, Illinois:	
To support the Software Environment for the Advancement of Scholarly Research	1,125,000
To support graduate fellowships in the Integration Competency Center of the Administrative IT Services Department	50,000

**HIGHER EDUCATION
AND SCHOLARSHIP**

(continued)

Appropriated

To support the Firefox Web Accessibility Extension project	50,000
To support an Emeritus Fellowship	23,000
University of KwaZulu-Natal, Durban, South Africa:	
To support a faculty career enhancement component in the Leadership and Equity Advancement Program	600,000
University of Massachusetts at Amherst, Amherst, Massachusetts:	
To support the Mutual Mentoring program	400,000
University of Michigan, Ann Arbor, Michigan:	
To support a dissertation seminar in the humanities	193,000
To support an Emeritus Fellowship	48,000
To support an Emeritus Fellowship	30,000
University of New Mexico, Albuquerque, New Mexico:	
To support Native American and Latino PhDs and others who are committed to advancing scholarship on the history and culture of Native American and Latino peoples	700,000
University of North Carolina at Chapel Hill, Chapel Hill, North Carolina:	
To support the Medieval and Early Modern Studies Program	2,500,000
To support an Emeritus Fellowship	34,000
University of Puget Sound, Tacoma, Washington:	
To support junior faculty career enhancement programs	747,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

To support environmental studies	525,000
University of Southern California, Los Angeles, California:	
To support the Mellon Mays Undergraduate Fellowship Academic Support Project	600,000
University of the South, Sewanee, Tennessee:	
To support cross-disciplinary faculty collaborations	150,000
University of the Western Cape, Bellville, South Africa:	
To support the development of an institutional history of the University	17,400
University of the Witwatersrand, Johannesburg, South Africa:	
To support a chair in human evolution	1,300,000
To support the establishment of a Mellon Mays Undergraduate Fellowship program	400,000
To support the South African Rock Art Digital Archive	45,000
To support the Constitution of Public Intellectual Life research project	44,600
University of Toronto, Toronto, Canada:	
To support the Flexible User Interface Design project	2,500,000
To support postdoctoral fellowships in the humanities and related social sciences	1,302,000
To support editorial costs associated with the Greater London series of the <i>Records of Early English Drama</i>	300,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

To support the further development of the Gradebook, Calendar/Scheduler Module, and the Directory Service Module in the ATutor learning management software system by the Adaptive Technologies Research Center	50,000
University of Washington, Seattle, Washington:	
To support an Emeritus Fellowship	55,000
University of Wisconsin at Madison, Madison, Wisconsin:	
To support the publication of scholarly monographs in the humanities, in collaboration with Northwestern University and the University of Pittsburgh	390,000
To support an Emeritus Fellowship	46,000
Ursinus College, Collegeville, Pennsylvania:	
To support curricular enhancement	250,000
Vassar College, Poughkeepsie, New York:	
To support a postdoctoral fellowship program	1,800,000
To support strategic planning	50,000
To support an Emeritus Fellowship	30,000
Wabash College, Crawfordsville, Indiana:	
To support an expanded orientation program for new faculty members	50,000
Washington and Jefferson College, Washington, Pennsylvania:	
To support a library reclassification project	100,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Washington and Lee University,
Lexington, Virginia:

To support faculty development 50,000

Wheaton College,
Norton, Massachusetts:

To support the establishment of a Summer
English Institute in Literary and Cultural
Studies 430,000

To support the development of a Summer
English Institute and mentoring program 30,000

Whittier College,
Whittier, California:

To support environmental studies 225,000

Williams College,
Williamstown, Massachusetts:

To support environmental studies 150,000

Yale University,
New Haven, Connecticut:

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

To support research, training, and education in
the history of the physical and biological sciences
and of their interaction with society more
generally 500,000

To support activities aimed at strengthening
scholarship in art history at the Yale Center for
British Art 415,000

To support an Emeritus Fellowship 41,000

Total—Higher Education and Scholarship \$176,242,190

LIBRARIES AND SCHOLARLY
COMMUNICATION*Appropriated*American Academy of Arts and Sciences,
Cambridge, Massachusetts:

To support improving access to the Academy's earliest and most historically significant records . . .	\$ 250,000
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Amherst College,
Amherst, Massachusetts:

To support the retrospective conversion of library card catalogs to electronic format at the Folger Shakespeare Library	692,000
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Appalachian College Association,
Berea, Kentucky:

To support an inventory of special collections at 28 Appalachian colleges	37,300
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Boston University,
Boston, Massachusetts:

To support improving scholarly access to collections of the papers of Martin Luther King, Jr.	579,000
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To support planning for a collaborative cataloging project with Robert W. Woodruff Library to develop a cross-searchable catalog of the Martin Luther King, Jr. collections	58,500
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Brown University,
Providence, Rhode Island:

To support enhancing the functionality of Brown's Directory of Research and Researchers	73,000
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The Center for Jewish History, Inc.,
New York, New York:

To support the conversion of uncataloged materials into electronic format	250,000
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LIBRARIES AND SCHOLARLY
COMMUNICATION

(continued)

Appropriated

Columbia University,
New York, New York:

To support the development of a database of Gothic structures in early modern France	696,000
To support internships for graduate and professional students to improve access to the libraries' special collections	563,000
To support planning for the systematic collection and preservation of Web content	156,000
To support the completion of work on the <i>Romanesque Churches of the Bourbonnais</i> database . . .	35,600

Cornell University,
Ithaca, New York:

To support further development of Fedora, a large-scale digital object repository and retrieval system	514,000
To support a study that assesses the effects of open access publication on scholarship and research	203,000

Council on Library and Information Resources,
Washington, DC:

To support its general operations	2,190,000
To support an evaluation and analysis of projects that involve the large-scale digitization of books . . .	39,800

Creative Commons Corporation,
San Francisco, California:

To support an empirical study and analysis of the distinction between "commercial" and "noncommercial" in Creative Commons licenses . .	300,000
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Dartmouth College,
Hanover, New Hampshire:

To support the development of institutional strategies and policies for managing scholarly and administrative records in digital form	352,000
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LIBRARIES AND SCHOLARLY
COMMUNICATION

(continued)

*Appropriated*Digital Library Federation,
Washington, DC:

To support the development of a system to enable federated search and use of collections distributed among multiple scholarly repositories	816,000
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To support a survey of moving image collections in the United States	33,025
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Duke University,
Durham, North Carolina:

To support the integration of the Duke Databank of Documentary Papyri with other digital papyrological projects	500,000
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To support the development of institutional strategies and policies for managing scholarly and administrative records in digital form	325,000
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Fondation pour le Lexicon Iconographicum
Mythologiae Classicae,
Basel, Switzerland:

To support editorial work on the <i>Lexicon Iconographicum Mythologiae</i>	109,000
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Indiana University,
Bloomington, Indiana:

To support further development of the Digital Library of the Commons	389,000
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International Centre for the Study of the
Preservation and Restoration of Cultural Property,
Rome, Italy:

To support an international training workshop on the preservation and conservation of audiovisual materials	20,000
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LIBRARIES AND SCHOLARLY
COMMUNICATION

(continued)

Appropriated

Johns Hopkins University,
Baltimore, Maryland:

To support planning for the digitization and ingestion of the <i>Rose</i> manuscript collection at the Bibliothèque nationale de France into the <i>Roman de la Rose</i> site at Johns Hopkins University	731,000
To support improving access to <i>The Afro American Newspapers</i> archive	476,000
To support the development of a long-term research agenda addressing conservation issues for collections in US libraries and archives	61,200
To support the design and demonstration of interoperability across digital manuscript libraries . .	48,000

National Information Standards Organization,
Bethesda, Maryland:

To support the implementation of technological infrastructure and planning to define key areas for standards development	196,000
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New York Metropolitan Reference & Research
Library Agency,
New York, New York:

To support a strategic planning process	50,000
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Northwestern University,
Evanston, Illinois:

To support the development of a set of tools to improve access to digital books	118,000
To support a workshop to explore how various annotation systems could be made interoperable . . .	16,300

Online Computer Library Center, Inc.,
Dublin, Ohio:

To support the development of standards for museum data exchange	145,000
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LIBRARIES AND SCHOLARLY
COMMUNICATION

(continued)

Appropriated

To support a blue-ribbon panel study on sustainable models for long-term digital information preservation and access	23,200
Robert W. Woodruff Library of the Atlanta University Center, Inc., Atlanta, Georgia:	
To support improving scholarly access to collections of the papers of Martin Luther King, Jr.	401,000
To support improving scholarly access to the Morehouse College King Collection	114,500
Rochester Institute of Technology, Rochester, New York:	
To support research into the preservation of digitally printed materials	606,000
To support the development of standards for museum data exchange	307,000
Stanford University, Stanford, California:	
To support improving scholarly access to collections of the papers of Martin Luther King, Jr.	515,000
To support planning for the systematic collection and preservation of Web content	80,000
To support the design and demonstration of interoperability across digital manuscript libraries . .	45,400
To support access to records from a database of documents held by the Martin Luther King, Jr. Research and Education Institute	40,000
Syracuse University, Syracuse, New York:	
To support an ethnographic study of academic and library cultures to help improve library services for faculty and students	53,000

LIBRARIES AND SCHOLARLY
COMMUNICATION

(continued)

Appropriated

Tufts University,

Medford, Massachusetts:

To support the development of a workflow for
specialized processing of the contents of
digitized books 471,000

To support planning for a digital library of books
on the classics 50,000

Université de Fribourg,

Fribourg, Switzerland:

To support further development of scholarly
resources documenting the material and intellectual
culture of Carolingian monastic society 985,000

University of Arkansas,

Fayetteville, Arkansas:

To support planning for a digital information
infrastructure for archaeology 152,000

University of California at Berkeley,

Berkeley, California:

To support a survey of the manuscript collections
held at the Bancroft Library 397,000

University of California at Los Angeles,

Los Angeles, California:

To support further development of scholarly resources
documenting the material and intellectual culture of
Carolingian monastic society 493,000

To support a pilot project to train graduate students
to process special collections 143,000

To support a workshop that explores technological,
research, and cultural heritage issues affecting digital
cuneiform studies 23,400

LIBRARIES AND SCHOLARLY
COMMUNICATION

(continued)

*Appropriated*University of California Press Foundation,
Berkeley, California:

To support planning for a publishing program that
advances academic priorities in the humanities at
the University of California presses 50,000

University of Cambridge,
Cambridge, United Kingdom:

To support further development of a database of
medieval manuscripts called *Parker on the Web* 1,423,000

University of Edinburgh,
Edinburgh, United Kingdom:

To support a revised online edition of *A Linguistic
Atlas of Late Medieval English* 160,000

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

To support the development of a Web-based
resource for the integration of music data and
analytic tools that can be used by the global
music information retrieval and computational
musicology communities 1,200,000

University of Maryland at College Park,
College Park, Maryland:

To support the development of plans for
implementing automated auditing technologies
in two digital preservation archives 35,000

University of Miami,
Coral Gables, Florida:

To support planning for an International Cultural
Heritage Law Bibliography 50,000

LIBRARIES AND SCHOLARLY
COMMUNICATION

(continued)

Appropriated

University of Minnesota,
Minneapolis, Minnesota:

To support collaboration between the University of Minnesota and the University of Minnesota Press in the publication of research in various interdisciplinary fields of study	672,000
To support the development of a shared bibliographic resource for ethics scholars	517,000

University of Missouri at Kansas City,
Kansas City, Missouri:

To support improving access to the Goldin collection in the Marr Sound Archives	502,000
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University of Missouri at Saint Louis,
St. Louis, Missouri:

To support planning for a census of 18th-century British periodicals	50,000
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University of North Carolina at Chapel Hill,
Chapel Hill, North Carolina:

To support collaboration between the University of North Carolina and the University of North Carolina Press to publish the "Long Civil Rights Movement"	937,000
To support the cataloging of a special collection of materials relating to the post-1917 Russian diaspora	218,000
To support the empirical study and analysis of legal issues affecting scholarly communication	149,000

University of Oxford,
Oxford, United Kingdom:

To support improving access to music collections at the University of Oxford and the University of Cambridge	210,000
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LIBRARIES AND SCHOLARLY COMMUNICATION

(continued)

Appropriated

To support efforts to reengineer library acquisitions and cataloging operations in order to control costs and improve services to users	200,000
University of Pennsylvania, Philadelphia, Pennsylvania:	
To support collaboration between the University of Pennsylvania and the University of Pennsylvania Press in a publication program that advances humanistic scholarship in the area of cross-cultural contacts	750,000
University of Pittsburgh, Pittsburgh, Pennsylvania:	
To support the School of Information Sciences in the development of a graduate research program designed to understand and influence changing information management practices in academic disciplines	782,000
University of Rochester, Rochester, New York:	
To support further development of an open source public access catalog system for research and college libraries	749,000
To support planning for the systematic collection and preservation of Web content	69,500
University of Southern California, Los Angeles, California:	
To support development of the Internet Mission Photography Archive	305,000
To support planning for the development of a national Visual Culture Council	168,000
To support a meeting to plan a design competition focused on the usability features of a large-scale, interactive digital library	15,000

LIBRARIES AND SCHOLARLY
COMMUNICATION

(continued)

Appropriated

University of Texas at Austin,
Austin, Texas:

To support the conservation and preservation of
photographic prints held in the Harry Ransom
Humanities Research Center 312,000

University of Virginia,
Charlottesville, Virginia:

To support the University of Virginia Press in
studying the feasibility of offering electronic
publishing services to other university presses 24,400

The University of York,
York, United Kingdom:

To support an online catalog of the records of
Cause papers from the church courts in the
diocese of York 744,000

Virginia Historical Society,
Richmond, Virginia:

To support improving access to the Society's
unprocessed manuscript collections 288,000

WGBH Educational Foundation,
Boston, Massachusetts:

To support the development of a public television
content delivery system for academic institutions . . . 620,000

Yale University,
New Haven, Connecticut:

To support the development of an online
documentary edition of Stalin's personal archives . . . 1,300,000

Total—Libraries and Scholarly Communication \$28,422,125

CONTRIBUTIONS

Appropriated

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 provide general support 30,000

Doe Fund, Inc.,
New York, New York:

To provide general support 40,000

Eviction Intervention Services Homeless
Prevention, Inc.,
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 first phase of a study of enrollment,
retention, and planning for a revamping of financial
aid and enrollment management policies 25,000

Nonprofit Coordinating Committee of New York, Inc.,
New York, New York:

To provide general support 35,000

Total—Contributions

\$ 235,000

OTHER

*Appropriated*Alternate Roots, Inc.,
Atlanta, Georgia:

To support a New York showcase of artists who were affected by Hurricane Katrina	\$	10,000
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Dillard University,
New Orleans, Louisiana:

To support efforts to restore the University's library after Hurricane Katrina		500,000
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To support planning to restore library services and programs after Hurricane Katrina		50,000
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Xavier University of Louisiana,
New Orleans, Louisiana:

To support programs that seek to address the aftermath of Hurricane Katrina		1,000,000
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Total—Other	\$	1,560,000
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Matching Gifts	\$	110,803
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Grand Total		<u><u>\$286,881,633</u></u>
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Financial Statements

REPORT OF INDEPENDENT AUDITORS

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

In our opinion, the accompanying balance sheets and the related statements of activities and cash flows present fairly, in all material respects, the financial position of The Andrew W. Mellon Foundation (the "Foundation") at December 31, 2007 and 2006, and the changes in its net assets and its cash flows for the years then ended in conformity with accounting principles generally accepted in the United States of America. These financial statements appearing on pages 122 through 132 are the responsibility of the Foundation's management. Our responsibility is to express an opinion on these financial statements based on our audits. We conducted our audits of these statements in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements, assessing the accounting principles used and significant estimates made by management, and evaluating the overall financial statement presentation. We believe that our audits provide a reasonable basis for our opinion.

PricewaterhouseCoopers LLP

May 22, 2008
New York, New York

The Andrew W. Mellon Foundation

Balance Sheets

December 31, 2007 and 2006

	<u>2007</u>	<u>2006</u>
	<i>(in thousands)</i>	
ASSETS		
Investments		
Marketable securities	\$ 3,378,517	\$ 3,542,133
Limited liquidity investments	2,692,836	2,145,404
	<u>6,071,353</u>	<u>5,687,537</u>
Payable from unsettled securities purchases, net . .	(87,089)	(148,940)
	<u>5,984,264</u>	<u>5,538,597</u>
Cash	2,676	772
Collateral under securities loan agreement	486,749	524,382
Investment and other income receivable	7,470	10,405
Other assets	1,188	1,060
Taxes receivable	4,817	—
Property, at cost, less accumulated depreciation of \$12,379 and \$10,630 at December 31, 2007 and 2006, respectively	<u>52,701</u>	<u>55,632</u>
Total assets	<u>\$ 6,539,865</u>	<u>\$ 6,130,848</u>
LIABILITIES AND NET ASSETS		
Liabilities		
Grants payable	\$ 4,289	\$ 11,360
Accrued expenses	6,473	6,609
Payable under securities loan agreement	486,749	524,382
Deferred federal excise tax	23,100	22,200
Taxes payable	—	3,754
Long term debt	<u>44,000</u>	<u>44,000</u>
Total liabilities	564,611	612,305
Net assets (unrestricted)	<u>5,975,254</u>	<u>5,518,543</u>
Total liabilities and net assets	<u>\$ 6,539,865</u>	<u>\$ 6,130,848</u>

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

The Andrew W. Mellon Foundation

Statements of Activities

Years Ended December 31, 2007 and 2006

	<u>2007</u>	<u>2006</u>
	<i>(in thousands)</i>	
INVESTMENT RETURN		
Gain on investments		
Realized, net	\$ 684,367	\$ 644,582
Unrealized, net	51,358	172,290
Interest	19,871	18,231
Dividends	44,390	42,154
Other income	559	18,872
	<u>800,545</u>	<u>896,129</u>
Less: Investment management expenses	(20,697)	(19,152)
Net investment return	<u>779,848</u>	<u>876,977</u>
EXPENSES		
Program grants and contributions, net	292,507	180,803
Grantmaking operations	14,590	13,487
Direct charitable activities	5,288	6,803
Investment operations	4,898	5,134
Current provision for taxes	5,649	15,163
Other expenses	205	315
	<u>323,137</u>	<u>221,705</u>
Change in net assets	456,711	655,272
Net assets (unrestricted) at beginning of year	5,518,543	4,863,271
Net assets (unrestricted) at end of year	<u>\$ 5,975,254</u>	<u>\$ 5,518,543</u>

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

The Andrew W. Mellon Foundation

Statements of Cash Flows

Years Ended December 31, 2007 and 2006

	<u>2007</u>	<u>2006</u>
	<i>(in thousands)</i>	
Cash flow from investment income and operations		
Interest and dividends received	\$ 72,014	\$ 67,997
Other income received	2,525	18,766
Grant refunds received	621	1,321
Grants and contributions paid	(300,199)	(176,129)
Investment expenses paid	(20,807)	(19,475)
Salaries and other operating expenses paid	(22,478)	(22,153)
Taxes paid	(14,220)	(12,500)
	<hr/>	<hr/>
Net cash used by investment income and operations	(282,544)	(142,173)
Cash flow from investing activities		
Proceeds from sales of marketable securities		
Short-term	1,116,531	1,642,024
Other	4,319,850	4,164,170
Receipts from limited liquidity investments	476,246	332,153
Capital gain distributions received	53,591	30,820
Net returns on financial instruments	(1,161)	(773)
Purchases of marketable securities		
Short-term	(1,054,849)	(1,583,543)
Other	(3,989,391)	(3,707,158)
Purchases of limited liquidity investments	(637,000)	(734,845)
Disposals of (additions to) property	631	(2,228)
	<hr/>	<hr/>
Net cash provided by investing activities	284,448	140,620
Net increase (decrease) in cash	1,904	(1,553)
Cash		
Beginning of year	772	2,325
End of year	<u>\$ 2,676</u>	<u>\$ 772</u>
<i>Supplemental disclosure of noncash investing activities</i>		
Distributions of securities received from limited liquidity investments	<u>\$ 27,276</u>	<u>\$ 27,835</u>

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

The Andrew W. Mellon Foundation

Statements of Cash Flows (continued)

Years Ended December 31, 2007 and 2006

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

	<u>2007</u>	<u>2006</u>
	<i>(in thousands)</i>	
Change in net assets	\$ 456,711	\$ 655,272
Adjustments to reconcile change in unrestricted net assets to net cash used by investment income and operations		
Realized gain on investments, net	(684,367)	(643,641)
Unrealized gain of investments, net	(52,258)	(175,890)
Decrease (increase) in investment and other income receivable	2,935	(1,437)
(Increase) decrease in other assets	(128)	496
(Decrease) increase in grants payable	(7,071)	4,895
(Decrease) increase in accrued expenses	(136)	138
Depreciation and amortization expense	2,657	2,630
Increase in deferred federal excise tax payable	900	3,600
(Increase) decrease in net taxes receivable	(8,571)	2,658
Net effect of bond amortization/accretion	<u>6,784</u>	<u>9,106</u>
Total adjustments	<u>(739,255)</u>	<u>(797,445)</u>
Net cash used by investment income and operations	<u>\$(282,544)</u>	<u>\$(142,173)</u>

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

The Andrew W. Mellon Foundation

NOTES TO FINANCIAL STATEMENTS

December 31, 2007 and 2006

NOTE 1—ORGANIZATION AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES:

The Andrew W. Mellon Foundation (the “Foundation”) is a not-for-profit corporation under the laws of the State of New York. The Foundation makes grants in five core program areas: higher education; museums and art conservation; performing arts; libraries and scholarly communication; and conservation and the environment. In addition to grantmaking activities, Foundation staff engage in research in areas that support the Foundation’s mission, principally on issues that relate to higher education.

The financial statements of 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. Included in payable from unsettled securities purchases in the accompanying Balance Sheets are receivables from unsettled securities sales of \$57.0 million and \$24.0 million at December 31, 2007 and 2006, respectively.

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 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. The financial statements of the limited partnerships are audited annually by independent auditing firms. Investments in these partnerships may be illiquid, and thus there can be no assurance that the Foundation will be able to realize the value of such investments in a timely manner.

During 2006, the Foundation owned a 100% interest in a trust which owned property from which the Foundation received the net income. Other income in 2006 is principally the income from this trust, derived primarily from coal mining royalties. On December 1, 2006, the Foundation’s interest in the trust was sold to Natural Resource Partners, LP, for cash of

\$110.0 million. The sale resulted in a pre-tax gain of \$107.2 million in 2006 which is included in realized gain on investments in the accompanying Statement of Activities.

Grants

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

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

Taxes

The Foundation qualifies as a tax-exempt organization under Section 501(c)(3) of the Internal Revenue Code and, accordingly, is not subject to federal income taxes. However, the Foundation is subject to a federal excise tax. The Foundation follows the policy of providing for federal excise tax on the net appreciation (both realized and unrealized) of investments. The deferred federal excise tax in the accompanying financial statements represents tax provided on the net unrealized appreciation of investments. The Foundation is subject to income tax at corporate rates on certain income that is considered unrelated business income under the Internal Revenue Code.

Property

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

Investment Return

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

Expenses

Grantmaking operations include all costs related to appropriating, paying and administering grants. Direct charitable activities are the active programs conducted by the Foundation or supported by it and include expenditures for two digital initiatives, ARTstor Inc. ("ARTstor") and Ithaca Harbors, Inc. ("Ithaka"), which are independent not-for-profit entities, and expenditures for research. Investment operations include the costs of supervising the Foundation's investment portfolio. Current provision for taxes includes federal and state taxes. Other expenses include certain expenses that the Foundation is not permitted to report either as an expense of distribution or an expense of earning income.

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

Notes to Financial Statements, (continued)

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

The administrative expenses of distribution, including direct charitable activities, were \$19.9 million (6.9% of appropriated program grants) in 2007 compared to \$20.3 million (9.5% of appropriated program grants) in 2006. The decrease in administrative expenses in 2007 is primarily due to lower usage of outside consultants and reductions in technology and communication expenses. Excluding direct charitable activities and investment expenses, the Foundation's grantmaking expenses in 2007 were \$14.6 million (5.1% of appropriated program grants), compared to \$13.5 million (6.3% of appropriated program grants) in 2006.

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

The Foundation's expenses by natural classification are as follows for 2007 and 2006:

	<u>2007</u>	<u>2006</u>
	<i>(in thousands)</i>	
Program grants and contributions, net . . .	\$292,507	\$180,803
Salaries, pensions and benefits	13,012	12,836
Other operating expenses	11,969	12,903
Current provision for taxes	5,649	15,163
	<u>\$323,137</u>	<u>\$221,705</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 periods. Actual results could differ from those estimates.

Reclassifications

Certain 2006 amounts have been reclassified to conform to the 2007 presentation.

New Accounting Pronouncements

On February 1, 2008, the Financial Accounting Standards Board ("FASB") issued Interpretation No. 48-2, *Accounting for Uncertainty in Income Taxes, an Interpretation of FASB Statement No. 109 for Certain Nonpublic Enterprises ("FIN 48")*, which allows the Foundation to defer the adoption of FIN 48 until annual periods beginning after December 15, 2007. The Foundation has elected to take advantage of this deferral. Based on its continued analysis, the Foundation believes that the adoption of FIN 48 will not have a material impact on its financial statements.

In September 2006, the FASB issued Statement of Financial Accounting Standards No. 157, *Fair Value Measurements ("SFAS 157")*. SFAS 157 defines fair value, establishes a framework for measuring fair value, and expands disclosures about fair value measurements. SFAS 157 applies to reporting periods beginning after November 15, 2007. The

Foundation believes that the adoption of SFAS 157 will not have a material impact on its financial statements.

NOTE 2—INVESTMENTS:

Marketable securities held at December 31, 2007 and 2006 are summarized as follows:

	<i>December 31, 2007</i>		<i>December 31, 2006</i>	
	<i>Market Value</i>	<i>Cost</i>	<i>Market Value</i>	<i>Cost</i>
	<i>(in thousands)</i>			
Equities	\$2,513,023	\$2,018,796	\$2,519,470	\$1,868,287
Fixed income	690,404	659,178	790,301	780,387
Short-term	171,712	171,658	231,808	228,152
Derivative financial instruments	3,378	(1,286)	554	1,108
	<u>\$3,378,517</u>	<u>\$2,848,346</u>	<u>\$3,542,133</u>	<u>\$2,877,934</u>

As a result of its investing strategies, the Foundation is a party to a variety of forward contracts, options, swaps and other derivative financial instruments, all of which are carried at fair value. The extent of the Foundation's involvement in these instruments is determined by the composition of the investment portfolio and the Foundation's expectations as to the direction and volatility of equity and fixed income markets as well as other economic factors. These transactions involve elements of market risk in excess of amounts reflected in the accompanying Balance Sheets. Changes in the market value 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, 2007 and 2006, the Foundation had forward currency contracts with notional amounts totaling \$16.6 million and \$32.3 million, respectively. At December 31, 2007, approximately \$16.6 million in assets and \$16.5 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. The custodian maintains collateral in excess of the value of the securities on loan. The Foundation's investment custodian has indemnified the program against counterparty risk. The Foundation's gross securities loaned to certain investors at December 31, 2007 and 2006 amounted to approximately \$474 million and \$508 million, respectively.

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

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

Pursuant to its limited partnership agreements, the Foundation is committed to contribute approximately \$1.4 billion as of December 31, 2007 in additional capital over the next ten years. Unpaid commitments at December 31, 2006 were \$1.1 billion.

Notes to Financial Statements, (continued)

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

NOTE 3—BONDS PAYABLE:

At December 31, 2007 and 2006, the Foundation had outstanding \$44.0 million of taxable term bonds (“the Bonds”) with a final maturity date of December 1, 2032. Bond interest was payable monthly, based upon results of monthly auction procedures. The average interest rate applicable in 2007 was 5.4%. Interest incurred in 2007 and 2006 was \$2.4 million and \$2.2 million, respectively.

In March 2008, in response to the turmoil in the credit markets, the Foundation redeemed all of its outstanding taxable term bonds at par. The redemption will result in a 2008 loss of \$407 thousand resulting from the write-off of unamortized deferred debt costs. The Foundation currently anticipates that it will re-issue debt once the credit markets are more stable.

NOTE 4—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. The Foundation was subject to the 1% rate in 2007 and a 2% rate in 2006. Certain income defined as unrelated business income by the Code may be subject to tax at ordinary corporate rates.

The provision for taxes consists of a current provision for the federal excise taxes on net investment income and federal and state taxes on unrelated business income and a deferred provision on the change in unrealized appreciation of investments. The current tax provision for 2007 comprises \$5.7 million of federal excise tax on net investment income. Federal and state taxes on unrelated business income were immaterial in 2007. The current tax provision for 2006 comprises \$14.7 million of federal excise tax on net investment income and \$495 thousand in federal and state taxes on unrelated business income. 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 increase in unrealized appreciation resulted in an increase of the deferred federal excise tax liability of \$900 thousand and \$3.6 million in 2007 and 2006, respectively.

NOTE 5—GRANTS, CONTRIBUTIONS, AND COMMITMENTS:

The following table of grant activity by major program area includes all grant appropriations approved during 2007.

	<i>Payable and Committed December 31, 2006</i>	<i>2007 Grants and Commitments</i>		<i>Payable and Committed December 31, 2007</i>
		<i>Appropriated</i>	<i>Paid</i>	
		<i>(in thousands)</i>		
Conservation and the environment	\$ 4,230	\$ 12,880	\$ 12,819	\$ 4,291
Museums and art conservation	31,407	25,096	41,033	15,470
Performing arts	13,738	42,336	49,592	6,482
Higher education and scholarship	48,310	176,242	161,813	62,739
Libraries and scholarly communication	13,050	28,422	33,517	7,955
Population	3	—	3	—
Other (1)	—	1,560	1,076	484
Program grants and commitments - totals . .	110,738	286,536	299,853	97,421
Contributions and matching gifts	—	346	346	—
	<u>\$110,738</u>	<u>\$286,882</u>	<u>\$300,199</u>	<u>\$97,421</u>

(1) Other is comprised of grants made to certain grantees that were directly affected by Hurricane Katrina.

Grant and grant commitment activity is summarized below.

	<i>2007</i>	<i>2006</i>
	<i>(in thousands)</i>	
Grants Payable		
Grants payable at January 1	\$ 11,360	\$ 6,465
Grant expense	293,128	182,124
Less grants paid	<u>(300,199)</u>	<u>(177,229)</u>
Grants payable at December 31	<u>\$ 4,289</u>	<u>\$ 11,360</u>
Net Grant Expense		
Unconditional grants	\$ 225,886	\$ 150,381
Less grants cancelled	—	(300)
Conditional grants meeting conditions for payment	<u>67,242</u>	<u>32,043</u>
	293,128	182,124
Less grant refunds	<u>(621)</u>	<u>(1,321)</u>
Net grant expense at December 31 . . .	<u>\$ 292,507</u>	<u>\$ 180,803</u>
Grant Commitments		
Grant commitments at January 1	\$ 99,378	\$ 67,623
Conditional grants appropriated	60,996	63,798
Less grants meeting conditions for payment	<u>(67,242)</u>	<u>(32,043)</u>
Grant commitments at December 31 . .	<u>\$ 93,132</u>	<u>\$ 99,378</u>

Notes to Financial Statements, (continued)

NOTE 6—OTHER SERVICES:

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

- Ithaka provides information technology services to the Foundation. In 2007 and 2006, Ithaka charged \$943 thousand and \$815 thousand, respectively, to the Foundation for these services. Included in the 2007 and 2006 amounts are pass-through expenses of \$46 thousand and \$31 thousand, respectively.
- Ithaka provided human resource services to the Foundation for the first three months of 2007 and full year 2006, and charged \$61 thousand and \$263 thousand, respectively, to the Foundation for these services. Beginning March 2007, the Foundation engaged its own human resource staff and, accordingly, Ithaka no longer provides this service.
- Commencing January 1, 2005, the Foundation provides office space, free of charge, to Ithaka and ARTstor in a building owned by the Foundation in New York City. The office space will be provided for a period of five years, subject to certain ongoing termination provisions.