

The Andrew W. Mellon Foundation

Report
from January 1, 2012
through December 31, 2012

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As of December 31, 2012

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

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

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

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

PRESIDENT'S REPORT

The year 2012 brought substantial change to the leadership of the Foundation and marked the end of one period in its history while preparing for the beginning of another. After 17 years of devoted service as a Trustee and nine years as chair of the Board of Trustees, Anne Tatlock retired from the Board and was succeeded as chair by W. Taylor Reveley III. Her commitment to the Foundation and its work was unswerving, and all who had the good fortune to work with her will remain deeply grateful. In addition, two new Trustees joined the Board in the course of 2012, Katherine G. Farley and Kathryn A. Hall. Finally, the Board carried out a search for a new president, since my own term of office concludes with the meeting of the Board in March of 2013. My successor is Earl Lewis, a scholar and teacher of African American history and a Trustee since 2011. Before joining the Foundation he was provost of Emory University and before that dean of the graduate school at the University of Michigan. The Foundation is fortunate to have attracted someone who is both a talented scholar and a talented administrator and whose interests are so closely aligned with the work that the Foundation does.

I leave an extraordinarily talented group of colleagues, and I shall forever be grateful to them for the stimulation of working with them in support of the values that we share and the institutions that embody those values. It has always been my view that our officers and program officers should be people with genuine accomplishments and standing in the fields that the Foundation serves. In that sense, one could not imagine a stronger group. I have learned from all of them and take pride in what they have enabled the Foundation to accomplish in what must be described as a rather difficult environment precisely for the fields that we serve.

We serve principally the humanities and the arts through grants to colleges and universities and to cultural institutions such as performing arts organizations, museums, and libraries. Their environment has been made difficult above all by declining resources in the face of rising costs. Other leading foundations have largely withdrawn from major support for these fields, and state and federal support—which was never very large in relation to the need—has declined precipitously, especially since the financial crisis. The financial crisis has also had a lingering adverse effect on private support.

We ourselves suffered a sharp decline in resources in 2008, which prevented us from doing as much as we would have liked to help make good the losses suffered from other sources. In some cases, notably public higher education, the losses have been far in excess of what we could possibly imagine making good. We nevertheless increased our grantmaking to flagship public institutions. But whether and to what degree we continue this kind of support must remain an open question, the answer to which will depend on the public's own commitment to public institutions.

The future health of the nation—economic, civic, and intellectual—depends to a very great degree on the health of public higher education. Yet by and large, the public has been steadily disinvesting in it. When—and if—this is lamented, it is usually in terms of the nation's need for scientific and technological talent of a kind that can fuel economic prosperity. No one should doubt the importance of this. But public institutions of higher education have a great deal more to contribute to the national life than prowess in science and technology. Prowess in the humanities and the arts will be crucial to the quality of the nation's civic and intellectual life—to the nation's ability to remain the leader in imagination and creativity and to its ability to engage effectively the great diversity of humankind around the globe. Unfortunately, reductions in state support for public higher education often fall disproportionately on the humanities and the arts.

At the University of Michigan in the fiscal year 2011, state appropriations accounted for only 6 percent of total revenue, or \$362 million of \$5.656 billion. At Berkeley, state appropriations in 2012 accounted for 10.5 percent of total revenue, down over 50 percent since 2003. State appropriations at Berkeley in this period went from being the largest of the four largest sources of funding (along with federal research funding, philanthropy, and tuition) to being the smallest of the four, while tuition in consequence grew to very nearly the equal of the other two. Once state support reaches as low as 10 percent or lower, one might be tempted to say that further cuts cannot possibly matter very much. The trouble with this view is that there are many different colors of money flowing through large universities, and they are not all fungible. One must first strip away from total revenue the revenues associated with federally funded research (including, it must be said, the overhead recovery), the medical center if any, and all of the revenues, including philanthropy, that are restricted to purposes such as the business school, the law school, the athletics programs, and a good deal else. This

makes state support a much larger share of the pie that is available to support the humanities and the arts, which in general have negligible external support. This is especially true if one thinks of the teaching of the humanities and the arts to undergraduates. Tuition, of course, becomes hugely more important in this sector of the pie as a result. Thus, what might seem to be a modest decline in state support in the great scheme of things can compel very serious reductions in support for the humanities and the arts.

Similar phenomena are at work in private institutions even though state support is in general not at issue. Much of the total revenue of private research universities is simply not legally available to support research and teaching, especially undergraduate teaching, in the humanities and the arts. This puts enormous pressure on undergraduate tuition, especially since externally funded activities such as federally sponsored research in the sciences and engineering themselves put pressure on tuition because their sponsors do not cover the full cost of these activities.

Unfortunately, the general public does not understand these relationships, and perhaps it cannot be expected to. This leaves it prey to ideologues of one kind and another. What is worse, however, is that university trustees do not always understand these matters either and can fail to understand the nature of and the need for cross subsidies within an institution's different kinds of activities. At this juncture it may not be surprising if I note that the rating agencies do not always seem to understand higher education either.

Just a couple of illustrations will suffice. In rating the debt of universities, a familiar calculation is the ratio of debt to total revenues. This is essentially meaningless and certainly does not enable any sensible comparison among institutions. An institution with a large volume of federally sponsored research, for example, might have a more favorable ratio than one with little or no such research, never mind that the revenues from federally sponsored research are simply not available to support debt service that is unrelated to that research. The same could be said of revenues from a medical center or from those parts of an endowment that are restricted to specific purposes within the institution. A similar calculation is described as net tuition revenue, whether in the aggregate or per student. This is described as gross tuition and fees less scholarship expense. But if the entire source of the expense is restricted endowment, it will appear to have very low net tuition whereas in fact 100 percent of the gross tuition is available as unrestricted income.

That is a very different situation from the one in which every dollar of scholarship expense comes from the dollars that are collected as gross tuition, with the result that unrestricted revenue may be a great deal less than gross tuition (i.e., than the “sticker price” of tuition times the total number of students). There are institutions at both ends of this distribution, though most are of course somewhere in between.

Is higher education a business? Of course it is. But it is important to know what kind of business it is and how it works. GAAP accounting statements do not suffice for the purpose. Simultaneously, it is a business in which the United States has over a long period (at least since World War II) made significant and wise investments; the nation must continue to make such investments steadily into the future. The country has now entered a period of needing to catch up with other countries that have in recent decades invested more.

In writing about support for higher education I have referred to “the humanities and the arts” as if they were all one thing. At a minimum it is important that they be thought of as closely related. A convenient division of labor within the Foundation has separated programs in higher education, the performing arts, and scholarly communications. But we have strived steadily in recent years to ensure that our grantmaking in these fields is carried out in concert. The challenge in higher education and in society at large is to ensure that the arts are not seen simply as ornaments on life itself—the activities that serious people may (or may not) turn to after the real work of the day is done. Mario Vargas Llosa, a winner of the Nobel Prize in literature, writes about this in his recent *La civilización del espectáculo* (The Civilization of Spectacle) and comments on it in an interview in *El País*. It would be a tragedy, he writes, if culture turned out to be pure entertainment. Spectacle, he observes, is the sacrifice of a view of the long term for the short term, the immediate. In our time, serious criticism of the arts has disappeared, the resulting vacuum being filled by advertising, which now plays “the dominant role in the formation of taste, sensibility, imagination, and custom.” This is not to say that everyone can or should be cultured in the same way or that culture should be “fossilized.”

The Foundation has thus invested significantly in helping colleges and universities to ensure that the arts are part of the intellectual fabric of the institution and not consigned to the extracurricular. This has entailed bringing into a much closer relationship the study of the arts and the actual making of art of all kinds. It has meant drawing

campus museums and performing arts presenting organizations into the mainstream of academic life alongside the traditional academic departments. Similarly, it has meant supporting the development of technologies for scholarly communication that facilitate access to artistic production itself as well as to scholarship about that production. All of this in some degree swims against the tide of mass culture and a disinvestment in the arts and cultural organizations that parallels the disinvestment in higher education. The disinvestment may be greatest in primary and secondary schooling, where arts programs have been eviscerated nationwide, and this in itself will constrain the future growth of audiences for the arts and thus the kinds of cultural organizations that bring the arts to the public at large. This Foundation cannot alone reverse this tide any more than it can alone reverse the tide on which higher education is being borne. But we can at least through our support attempt to strengthen the resolve of institutions that, like us, believe that the humanities and the arts are central to any life that one should want to live.

With the meeting in March of 2013, the Foundation's Board will have approved over \$5 billion in grants since the first grants were made in 1969. Emphases have changed over time, and whole programs have come and gone. The arts and the humanities have been constants, however. As support for these activities from other sources has declined, we have further concentrated our own support of them in recent years. Fortunately, we have remained a small and very efficient organization and thus able to respond to changing circumstances. That and the talent of our program officers will enable the Foundation to continue to support and promote a rich and rewarding intellectual and cultural life for the nation.

Don M. Randel
February 2013

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Research Universities and Scholarship in the Humanities

Vice-Presidents Philip E. Lewis and Mariët Westermann continued to exercise joint responsibility for the program in 2012. Ms. Westermann was responsible for grants to US universities and to institutes for advanced study, as well as for collaborations between Research Universities and Scholarship in the Humanities (RUSH) and other Foundation programs. Mr. Lewis managed Mellon-based

competitions such as the Sawyer seminars and New Directions program, grants to humanities centers, and arrangements with regrating organizations. RUSH also served as a conduit for grants that reached beyond the sphere of higher education and reflected the Foundation's interest in the role of the humanities in the world at large. In particular, it provided to the American Academy of Arts and Sciences three grants, two in support of the Humanities Indicators project and a third that funds the second phase of the academy's National Commission on the Humanities and Social Sciences.

Among the organizations that administer Foundation-funded fellowship programs for graduate students, recent PhD recipients, and scholars who teach in US and Canadian universities, the most prominent over the past two decades have been the American Council of Learned Societies (ACLS) and the Social Science Research Council (SSRC). Both received additional support in 2012 for postdoctoral fellowships. The ACLS was able to expand support for a postdoctoral program that places recent PhDs in the humanities in positions in public agencies and nonprofit organizations, while a grant to the SSRC supported a pilot transregional studies program focused on Asia. Significant support was also provided to the National Humanities Center for a residential program that awards more than 30 fellowships annually to scholars who spend a semester or year at the center. A number of institutions—the American Philosophical Society, Massachusetts Institute of Technology (MIT), the Universities of North Carolina and Toronto, University College London, and Yale University—received grants for postdoctoral fellowships in the humanities and the arts. Within the program, there were continuing discussions about the implications of postdoctoral fellowships in the humanities for the academic profession. After the 2008 financial downturn, the Foundation began sponsoring a national competition for humanities postdoctoral positions in universities, designed and administered by the ACLS. This program, while continued at a reduced level in 2012, will expire in 2013.

RUSH maintained its annual investment of approximately \$5 million in the Sawyer and New Directions programs for which groups of distinguished scholars select the winning applicants. The Sawyer program, named after former Foundation president John Sawyer, enables interdisciplinary groups of faculty to come together in year-long seminars devoted to the comparative study of culture. This year awards of \$175,000 each were made to: Brandeis, Emory, Harvard, Johns Hopkins, New York, and Ohio State Universities, and

the Universities of California at Santa Barbara, Pennsylvania, and Southern California. The New Directions program provides funding over a period of three years to scholars who, at a point six to ten years beyond completion of the PhD, seek to pursue formal study in fields other than those in which they hold their degrees. A total of \$3.5 million was allocated to the 15 scholars whose projects were selected. In addition, in the spring of 2012, the Foundation responded to the federal government's sharp reduction of funding for area studies programs in National Resource Centers (NRCs) on university campuses by making two relatively large grants. First, one-time transitional awards of \$750,000, designed to help the eight universities with the largest concentrations of NRCs adjust to decreased funding over the next three years, were awarded to Duke and Indiana Universities and to the Universities of California at Berkeley, California at Los Angeles, Chicago, Michigan, Wisconsin at Madison, and Washington. Second, a renewable grant of \$1.2 million was awarded to a consortium of Columbia, Cornell, and Yale Universities that will enable them to collaborate in the teaching of less commonly taught languages by using a common electronic platform.

RUSH support for interdisciplinary centers, reinforced during the past two years, continued in 2012. It was marked by a major grant to the Consortium of Humanities Centers and Institutes, an international organization of more than 180 members, that will support collaborative research by groups of scholars working on historically important interdisciplinary problems at multiple sites in North America and around the world. Other grants in support of humanities centers went to the Mahindra Center at Harvard University, the Society for the Humanities at Cornell University, the Townsend Center at the University of California at Berkeley, and the University of Pennsylvania Humanities Forum. Alongside RUSH grants to these campus-based centers, it is appropriate to place grants to independent research institutes. The most substantial of these was a \$3 million endowment award, which matched a challenge of that amount, to support the School of Historical Studies at the Institute for Advanced Study at Princeton, New Jersey. Other grant recipients in this category included the Newberry Library, the New-York Historical Society, and the Pontifical Institute of Mediaeval Studies. The University of Southern California and the Huntington Library jointly benefited from a grant in support of early modern studies.

Two important new initiatives, conceived and developed by Ms. Westermann and to be pursued in future years, were introduced

in RUSH in 2012. The first of these, launched in May under the rubric “Arts on Campus,” distributed a total of nearly \$6.5 million to three universities—Michigan, Notre Dame, and Princeton—for the integration of the design, making, and performance of art into their academic programs. The objectives of the initiative include the enhancement of the formal study of the visual and performing arts and the development of opportunities for students to learn from professional artists who are brought to campus for residencies of flexible scope and duration. The arts-on-campus initiative also embraces grants to presenting organizations that go beyond the traditional function of bringing artists, companies, or productions to campus, tying their presentations to the curriculum and to pedagogical experiments in the arts. The beneficiaries of the first set of such grants, ranging from \$700,000 to \$800,000, were Cal Performances at the University of California at Berkeley, the Krannert Center for the Performing Arts at the University of Illinois at Urbana-Champaign, and Carolina Performing Arts at the University of North Carolina at Chapel Hill. An innovative grant in close proximity to the arts-on-campus initiative provided \$1.5 million to MIT for the establishment of a Center for Art, Science, and Technology.

The second major initiative, “Architecture, Urbanism, and the Humanities,” began in December with four awards totaling more than \$6 million to Cornell University, the London School of Economics and Political Science, and the Universities of California at Berkeley and California at Los Angeles. The initiative focuses on the city as it is being transformed during the current era of global urban expansion and aims to explore the forms of collaborative and interdisciplinary knowledge of the urban environment that the urbanized planet will require by midcentury, when 70 percent of the earth’s population will inhabit cities. These grants aim to forge relations between schools of architecture and programs in the humanities, to experiment with the architecture studio as a pedagogic model for the humanities, to support thought about the large, humanistic questions that arise in dense urban environments, and to promote broadly based research projects in major global cities.

The constellation of RUSH grants for the year included several grants in support of humanities academic programs and research projects in particular universities. Exemplary among these was a grant to Yale that underwrites a four-year project aiming to construct a comprehensive plan for broadening humanities education, as well as a grant to the University of North Carolina for the development of a digital humanities curriculum.

Liberal Arts Colleges

The Foundation's Liberal Arts Colleges (LAC) program, led by Vice President Lewis and Program Officer Eugene M. Tobin, provides multiyear grants to liberal arts colleges. In 2012, the challenges facing the liberal arts college sector—shifting student demographics, shrinking market demand, unsustainable increases in financial aid, demands for career-oriented programs, and the potentially disruptive innovation of online education—received more attention than the sector's traditional identity as the ideal provider of undergraduate education. In order to steer the conversation toward new opportunities and well-reasoned scenarios for change, LAC supported a national conference—"The Future of the Liberal Arts College in America and its Leadership Role in Education around the World"—hosted by Lafayette College, in cooperation with Swarthmore College. The 200 liberal arts college presidents, faculty, staff, and trustees that attended the conference did not ignore these demographic, financial, technological, or societal challenges but placed them in the context of demonstrated accomplishments in the areas of student learning, pedagogical innovation, student-faculty collaborative research, civic engagement, degree completion, and the creation of diverse, inclusive, and sustainable communities. The strong case for the liberal arts articulated at the conference echoed LAC's commitments to four broad grantmaking programs: faculty career enhancement, curricular development and educational effectiveness, libraries and information technology, and presidential support.

As in past years, LAC responded to the curricular, pedagogical, and financial needs facing liberal arts colleges with a variety of grants in support of student- and faculty-centered activities at the institutional level, and through support of international, national, and regional consortia. One of the perennial challenges facing liberal arts colleges is finding a way for a limited number of faculty to teach the breadth and depth of a 21st-century curriculum and simultaneously help students develop their critical, creative, and intellectual capacities. Helping institutions achieve these goals requires flexible, coherent curricular structures, ample support for faculty development, and a willingness to explore collaboration and partnerships with other institutions. In 2012, LAC supported an array of interconnected institutional priorities designed to internationalize the curriculum, encourage interdisciplinary teaching and scholarship, create opportunities for undergraduate research in the arts and

humanities, encourage the adoption of digital technology and pedagogies, and strengthen the integration of artistic practice, study abroad, and civic engagement into the curriculum. Each of these pedagogical objectives and practices responds to the liberal arts college sector's growing interest in connecting what students learn in the classroom, laboratory, studio, library, and through fieldwork to what is going on in the world around them.

Throughout 2012, LAC worked with institutions to expand opportunities for undergraduate research in the arts and humanities, particularly in the digital humanities. During its conversations with academic leaders, LAC posed a handful of baseline questions: Is the institution considering an incremental approach that expands a limited number of summer research experiences into a more inclusive and integrated model? What plans does the institution have for integrating research pedagogies into the curriculum? Beyond a commitment to digital literacy, what digital tools and methodologies is the institution prepared to support? These questions inevitably led LAC to consider anew the vital role of faculty development.

Faced with the need to ensure the long-term renewal of their faculties, liberal arts colleges are closely attuned to the evolving stages of the professorial life cycle, as colleagues move through the tenure probationary stage, enter the long midcareer, and prepare for retirement. In 2012, LAC made multipurpose grants that enabled colleges to facilitate faculty retirements, introduce curricular change, accelerate the external review of academic departments and programs, and implement plans for financial equilibrium. As in previous years, these grants supported the strategic use of postdoctoral fellowships, bridging appointments of junior faculty, and a strong commitment to the maintenance of tenure-track as opposed to contingent faculty positions.

One positive outcome of the lingering economic downturn is that collaboration has emerged as an attractive proposition among a range of institutions that recognize the benefits, indeed, the necessity, of academic and administrative cooperation. LAC's commitment to collaboration continued apace during 2012. Support for consortial grants totaled more than \$9 million and included two major initiatives. A grant to the Great Lakes Colleges Association of \$2.75 million supported internationalization of the curriculum, undergraduate research in the arts and humanities, introduction of the digital humanities, and hybrid learning. A second grant of \$4.7 million to Middlebury College, in a partnership with Connecticut

and Williams Colleges with which 23 other liberal arts colleges are affiliated, supported the recruitment and training of diverse faculty. A distinguishing feature of the latter grant was collaboration between the students and faculty of the liberal arts colleges and the faculty and graduate students at the University of California at Berkeley and Columbia University.

Other grants to consortia supported collaboration between the Associated Colleges of the Midwest (ACM) and the Committee on Institutional Cooperation, a consortium of 13 major Midwestern research universities, with a focus on the digital humanities, undergraduate research, the creative and performing arts, civic engagement, and the less commonly taught languages. A second grant to ACM supported faculty institutes that connect the economic stresses incurred by liberal arts colleges to concerns that directly affect faculty such as compensation, admissions and financial aid decisions, allocation of instructional resources, and access to instructional technology. Planning grants to the Claremont University Consortium and to a collaboration of Carleton, Macalester, and St. Olaf Colleges supported future opportunities in the digital humanities. The Five Colleges of Ohio received a grant supporting language pedagogy workshops for faculty in cooperation with The Ohio State University. As in prior years, the National Institute for Technology in Liberal Education, based at Southwestern University, continued to assist the liberal arts college sector's integration of digital methods, pedagogies, and information resources into the humanities curriculum.

Diversity Initiatives

In July 2012, Armando I. Bengochea assumed responsibility for the Diversity Initiatives program, as well as the director's role for the Mellon Mays Undergraduate Fellowship (MMUF) program, following Carlotta M. Arthur's departure. In addition, Lee Bynum, who had been working in the Scholarly Communications and Information Technology program at the Foundation, succeeded Lina Buffington in August 2012 as program associate and associate director of MMUF.

Shortly after arriving at the Foundation, Mr. Bengochea announced plans to conduct a formal review of MMUF in advance of its 25th anniversary in the spring of 2014. A review committee, comprised of officers and program officers of the Foundation, along with MMUF coordinators and two institutional researchers, is ana-

lyzing the substantial data collected by the program since its inception. Staff anticipate completing the review by the fall of 2013.

After more than two decades of expansion and refinement, MMUF is now an enterprise of considerable size and complexity. As of March 2013, 4,063 MMUF Fellows had been selected, 484 PhD's had been earned by Fellows, 690 PhDs were in progress, and 58 Fellows are now tenured faculty members. The program has entered a multifaceted and multi-generational phase. Much of its work with graduate students is administered by the SSRC, which arranges for participants already in the professoriate to assist current Fellows attending graduate school with various aspects of their preparation and progress. These current graduate students, in turn, reach out to undergraduate Fellows in order to facilitate their transition to doctoral work and access to the networked activity of the larger MMUF community. Development of this community was at the center of 2012 grants to the Woodrow Wilson National Fellowship Foundation for two programs. One of these assists Fellows complete dissertations while the other enables junior faculty members to take leave from their academic positions to prepare to stand for tenure.

Diversity Initiatives (DI) grants to historically black colleges and universities (HBCUs) continued to promote institutional capacity-building, initiatives in such areas of operation as curriculum and faculty development, enrollment management and planning, and library staffing and collections. Other DI grants in 2012 renewed support for the American Indian College Fund for faculty development at tribal colleges and universities. These awards aim to strengthen the teaching corps in these institutions by funding leaves that enable faculty members to complete terminal degrees in their disciplines. Finally, DI support for institutions that offer summer research programs for students of color and others committed to student and faculty diversity was reaffirmed by the renewal of a grant to the long-standing, highly successful program at the University of North Carolina at Chapel Hill.

Scholarly Communications and Information Technology

The Foundation's Scholarly Communications and Information Technology (SCIT) program was led in 2012 by Donald J. Waters and Helen Cullyer. The mission of the SCIT program is to help ensure that academic and related cultural institutions disseminate widely the products of humanistic research and that they make

easily accessible and preserve for future use the original sources, interpretive scholarship, reference materials, and other resources that humanistic scholars need for further research and teaching. A critical factor that informs SCIT's grantmaking is the complexity of today's information environment, in which older analog media, such as print and film, coexist with rapidly changing digital technologies. SCIT's objectives are to: (1) support libraries and archives in their efforts to preserve and provide access to materials, in any medium and format, of broad cultural and scholarly significance; (2) strengthen the publication of humanistic scholarship and its dissemination to the widest possible audience; (3) assist scholars in developing specialized scholarly resources that promise to open or advance fields of study in the humanities and humanistic social sciences; and (4) support the design, development, and implementation of information technologies that directly enhance scholarly research at the university and college level, or support the core operations of libraries, archives, museums, and performing arts organizations.

During 2012, SCIT continued to fund projects that help libraries reorganize their services so that they become more efficient and better serve the changing needs of scholars. The New York Public Library began a Foundation-funded project in collaboration with Princeton and Columbia Universities to plan the development of a shared print collection at an off-site storage facility, while the British Library and the Folger Shakespeare Library received grants to collaborate with humanities researchers on digital projects using library collections. Preservation grants emphasized both the development of new methods for the archiving of Web pages, personal digital "papers," and electronic journal content, and the ongoing need for skilled professionals to conserve legacy book and paper collections at major research libraries. In the last of a series, SCIT made three grants to endow new senior conservator positions at the libraries of The Pennsylvania State University and the Universities of Michigan and Washington.

SCIT also continued to assist libraries and archives with critically important cataloging activities. The Council on Library and Information Resources (CLIR) administered, for the fifth consecutive year, the Foundation-funded Hidden Collections program, a national, peer-reviewed, competitive grantmaking program for the cataloging of undescribed special collections and archives in US institutions. The Foundation's Trustees have approved continuation of the program for a further five years.

In the area of publishing, SCIT funded projects that will advance the development of broadly accessible digital publications. The University of California at Berkeley received funds to create a new series of open access born-digital classical monographs. Queen's University at Kingston in Canada was awarded a grant to make the transcriptions of Benjamin Disraeli's correspondence openly accessible online, and Yale University Press received a grant to plan for the production of electronic books in art history.

SCIT supported projects designed to help scholars build specialized digital content and tools that advance their fields and also contribute to the general development of software infrastructure for humanistic research. In the area of medieval studies, Yale University received funds for three research projects that will demonstrate the potential uses and current limitations of online manuscripts, develop analytical tools necessary for scholarly use of these manuscripts, and set priorities for further technical development of interoperability standards and protocols created by Stanford University. SCIT also made software development grants to Saint Louis University for a software tool to edit medieval manuscripts, and to the University of Cambridge in the UK for tagging and organizing its digitized collection of manuscript fragments originally recovered from the storeroom, or genizah, of a synagogue in Old Cairo, Egypt.

In the area of information technology, SCIT provided support for a project led by the University of California at Los Angeles to build a platform for virtual worlds research that will enable scholars to develop virtual reconstructions of historical environments and events. The University of California at San Diego is enhancing the Software Environment for the Advancement of Scholarly Research, previously used for the analysis of text and music, so that it can be employed in the computational analysis of large corpora of images. Two grants were made to fund experimental projects that will test hypotheses about the efficiencies and other benefits of "crowdsourcing," in which members of public online communities participate in scholarly projects: one to University College London to support the ongoing Transcribe Bentham project; and the second to Stanford University to fund a number of heterogeneous crowdsourcing projects in collaboration with HistoryPin, a not-for-profit public history program. SCIT also continued to support development of open source systems for the management of library and archival collections, and with a further grant to LYRASIS, a library service organization, enabled it to offer consultation and hosting ser-

vices to libraries that are selecting, implementing, and using open source products.

In addition to providing support for projects that develop scholarly resources and software infrastructure, SCIT made several grants to facilitate the training and professional development of scholars in digital resources and methods. George Mason University received funds to support its digital humanities training program named THATCamp. CLIR is administering a regranting program that will place five recent PhDs in medieval studies in postdoctoral fellowship positions in US and Canadian research libraries with responsibility for the curation of digital resources. It is likely that SCIT will continue to fund the postdoctoral fellowship program and encourage it to include other fields of study. Finally, Book Arts Press, Inc., also known as the Rare Book School, received support for a summer program in critical bibliography for faculty and graduate students in the humanities. This program will provide humanists with the skills to analyze and describe the production and transmission of texts in manuscript, print, and digital form.

Performing Arts

The Foundation's Performing Arts (PA) program was led in 2012 by Susan Feder. A central objective is to assist organizations that encourage the creation, dissemination, and preservation of new and ambitious work. Across the disciplines of music, theater, and dance, it often underwrites activities of direct benefit to composers, playwrights, and choreographers. Acknowledging that their work can be analogous in interest and value to that of research undertaken by scholars, PA recognizes as well that experimentation and risk-taking may not always succeed. However, over time, some of the resulting works may themselves become the subjects of scholarly research. Just as important, the program also believes that organizations that foster and preserve inspiring artistic work need strong leadership and healthy balance sheets. Accordingly, some PA grants provide contributions to organizational development and capitalization.

Among the most significant awards made in 2012 were grants to 14 theaters to support three-year, full-time salaried playwright residencies. This initiative, which grew out of a multiyear investigation into new play development and production, built upon prior grants to the Public Theater (for its Master Writer's Chair) and to Arena Stage (for five multiyear salaried residencies). The purpose of

embedding playwrights—diverse in their aesthetics, career stage, and ethnicity—into theaters of varying sizes and locales is to provide opportunities for the artists to research and write without distraction as well as to have regular access to the theaters’ extensive resources and to their artistic leaders (who selected the playwrights and committed to producing their work). The expectation is that these arrangements will foster the creation of theatrically ambitious plays that lend themselves to more effective engagement with audiences and communities. A separate grant to Emerson College will enable its principal investigators to document the residencies, hire locally-based producing fellows and oversee their work, distribute supplemental discretionary funds for the playwrights, and offer them short-term developmental workshops at the school.

Building on the success of a pilot program designed to facilitate more fully realized dance productions, the Foundation renewed seven PA grants—to a university-based development center, five leading dance presenters, and a dance collective. Each incorporated multifaceted residency support for choreographers that included commissions, rehearsal and performance space, access to staff, and (most unusually but critically) dramaturgical resources. Expanding the initiative, two additional grants went to a consortium of four established dance residency centers, whose combined and complementary efforts could yield more comprehensive programming than any of them could mount independently, and to the Lower Manhattan Cultural Council, which provided choreographers with resources to develop their work in multiple versions, both for traditional theatrical venues and unconventional locations. In keeping with the Foundation’s recent efforts to strengthen collaborations and to respond to touring needs of ensembles, performance artists, and artist collectives, PA recommended grants to the New England Foundation for the Arts to support its administration of the National Theater Project, and to the Network of Ensemble Theaters for its Touring and Exchange Network. The program continued to assist international touring by funding regranteeing programs at the Mid Atlantic Arts Foundation, the French-American Cultural Exchange, and Theatre Communications Group.

PA grants provided production support to six opera companies and an independent production company that have exemplary commitments to commissioning and reviving new work. Similarly, grants supported residencies, workshops, and productions at five leading theaters, including the Oregon Shakespeare Festival’s *American*

Revolutions: United States History Cycle. The Los Angeles Philharmonic, Albany Symphony, and American Composers Orchestra were among orchestra grantees recognized for their commitment to living composers, while New Music USA (partnering with the American Symphony Orchestra League) received renewed support to coordinate long- and short-term composer residencies at American orchestras.

In the areas of documentation and dissemination, grants to the Martha Graham and Trisha Brown dance companies sought to help them preserve rapidly deteriorating films and videos. The grant to Brown's company also funded the creation of a searchable online version of her archive. The program continued to assist the Dance Heritage Coalition's Dance Preservation and Digitization Project, a secure, aggregated online resource for teaching and research. A grant to New York Public Radio (NYPR) enabled its classical music station, WQXR, to partner with New York City cultural institutions to broadcast concerts live, record them for digital distribution, and preserve them in the NYPR archives. The Boston Modern Orchestra Project received funding for the completion of ten premiere recordings by American composers.

Several PA grants furthered recent efforts to improve and strengthen organizational infrastructure. An earlier commitment to National Arts Strategies' education programs, including its series of seminars for chief executives, was reaffirmed. Planning grants to the American Symphony Orchestra League and the Chicago Sinfonietta helped advance their respective commitments to diversity and inclusion, while the San Francisco Symphony received funds for an audience membership program that will provide a flexible model for concert attendance. The Nonprofit Finance Fund (NFF) received additional support to administer the Foundation's zero-interest loan program for eligible small- and mid-sized performing arts grantees. Additionally, cash reserve grants were awarded to two organizations.

In Mr. Randel's final year as the Foundation's president, he elected to use discretionary funds to advance a number of initiatives. These included grants to:

- three orchestras—the Chicago Symphony, the Cleveland Orchestra, and the New York Philharmonic—for research, experimentation, and the programming of ambitious offerings reflective of their music directors' visions;

- the Festival of North American Orchestras, supporting the final two years of the Spring for Music Festival, an annual showcase at Carnegie Hall featuring the distinctive artistic achievements of six orchestras;
- two presenters—Carnegie Hall and the Lincoln Center Festival—acknowledged for the capacious curatorial visions of their leaders and their stellar artistic offerings; the grant to Carnegie Hall also supported archival preservation and the recording of training workshops for young professional musicians; and
- NFF, to continue to administer the public-private ArtPlace collaboration, which distributes grants to advance “creative placemaking” efforts in US communities.

Finally, following Hurricane Sandy, the Foundation provided a number of performing arts and cultural institutions with emergency grants to help repair or replace damaged equipment.

Art History, Conservation, and Museums

In 2012 the Foundation’s program in Art History, Conservation, and Museums (AHCM) continued to be led by Vice President Westermann and Associate Program Officer Alison Gilcrest. AHCM supports the fields of art history and conservation through grants to museums, research centers, and universities. Grants often support collaborative efforts among institutions. The program maintained the Foundation’s long-standing commitments to curatorial and conservation initiatives at the intellectual core of museums, to graduate training in conservation, and to the role of science in conservation, while expanding recently launched initiatives aimed at strengthening graduate art history education, scholarly resources for modern and contemporary art, and the development of digital research environments for art history and conservation.

The program continued its support for graduate programs in art history that wish to integrate exposure to object-based study and curatorial practice more fully into their curricula, usually in collaboration with museums on or off campus. Under this initiative, grants were made to the Bard Graduate Center, the University of California at Berkeley, and Stanford and Yale Universities; dual grants were made to Case Western Reserve University and the Cleveland Museum of Art as well as the University of Pennsylvania and the Philadelphia Museum of Art. Two grants supported con-

sortial collaborations between museums and multiple graduate programs in specific fields: a grant to the Smithsonian Institution will enable the Freer and Sackler Galleries and other collections of Chinese art to host intensive collection-based workshops for faculty and students from North American PhD programs, and the Museum of Modern Art received support for a new graduate research consortium with five PhD programs in the New York area. Six universities and colleges (Duke, Florida International, and Indiana Universities, and Amherst, Mount Holyoke, and Wellesley Colleges) received final rounds of support under the Foundation's long-running College and University Art Museums initiative. These grants are intended to generate academic collaborations among curators, faculty, and students around museum collections and exhibitions, including the development of new curricula across the disciplines, especially at the undergraduate level.

Core curatorial functions of museums were supported with grants for curatorial positions and postdoctoral fellowships (at the Museum of Contemporary Art—Chicago, the Pierpont Morgan Library, the University of British Columbia's Museum of Anthropology, and the Worcester Art Museum) and installation planning (the Brooklyn Museum). AHCM also supported efforts to address structural problems in the curatorial cohorts of US art museums: a relative shortage of curators who are well prepared to take up leadership positions in a period of rapid generational turnover at the helm of the nation's museums, and a pervasive and increasingly anachronistic lack of demographic diversity among curators. A grant to the AAMC Foundation supports fellowships in the Center for Curatorial Leadership, which trains midcareer curators for leadership positions; a grant to the Los Angeles County Museum of Art enabled it to work with other metropolitan museums in planning a curatorial fellowship program aimed at introducing students of a wide range of backgrounds, experiences, and perspectives to the curatorial profession.

Recognizing the vital role of art museums as institutions of scholarship, the program supported a range of curatorial research activities at the Art Institute of Chicago, International Center of Photography, Museum of Fine Arts, Houston, and Walker Art Center. Grants in support of large research initiatives that are focused on specific regions and periods were made to the Los Angeles County Museum of Art (for a new program on the art of the ancient Americas) and the Tate Gallery (for the establishment of a Tate Research Centre on modern

and contemporary art of the Asia-Pacific region). The Research Forum at the Courtauld Institute of Art received renewed support for programs that bring together faculty, graduate students, and curators from the Courtauld and many other institutions around the world. AHCM also continued its support of the British Museum's development of ResearchSpace, a collaborative, online research environment for the aggregation, finding, and study of cultural heritage data by art historians, conservators, and scientists.

The program supported essential conservation functions at the Baltimore Museum of Art, Dallas Museum of Art, and Henry E. Huntington Library and Art Gallery, each of which received a grant in support of a chief conservator position; a grant to the George Eastman House lent core support to its conservation department. To strengthen the preparation of conservators for working with contemporary art and artists, support was renewed for the artist interview methodology project of the International Network for the Conservation of Contemporary Art—North America.

AHCM began to make new grants in support of science in conservation, having completed a review of the Foundation's decade-long investment of more than \$50 million in strengthening the role of science in museum laboratories and conservation graduate programs. The review found that analytic and broader scientific inquiry in museum settings has become an ingrained, valued, and even expected component of conservation practice in most of the museums that received support under the Foundation's science initiative. Through the establishment of postdoctoral positions in conservation science laboratories, a new cohort of chemists and materials scientists dedicated to cultural heritage materials has emerged. The most successful and sustainable approach to science in conservation appears to require consolidation of groups of scientists in conservation laboratories that have access to collections and to constant dialogue with conservators and curators. Several of the most successful initiatives involved collaborative relationships between museums and universities, which offer access to a wide range of faculty specialties, student talent, and shared equipment. In response to the review, the program made an unusually large grant to Northwestern University to extend its extant science collaborations with the Art Institute of Chicago by establishing a Center for Scientific Studies in the Arts that will facilitate research inquiries by conservation scientists from other institutions as well as generate its own research projects. Harvard University received support for an endowment that will

enable the Straus Center to maintain its postdoctoral fellowships in conservation science in perpetuity.

Although the work of the program is focused on US institutions, AHCM's support for innovative and exemplary initiatives has also involved collaborations between American institutions and counterparts abroad. In an era of rapid globalization of art history, conservation, and the museum sector, the program's funding of international projects beyond Europe has increased. Many of the grant-funded initiatives already mentioned entail sustained and reciprocal engagement with the arts and art institutions of Asia and Latin America. International grants also supported a pilot fellowship program for emerging conservators from India, to be conducted by the Metropolitan Museum of Art and the Stichting Restauratie Atelier Limburg in collaboration with the Indian Ministry of Culture, and the establishment of a new honors degree program in curatorship at the University of Cape Town in collaboration with the Iziko Museums.

Conservation and the Environment

The Foundation's Conservation and the Environment program, led by William Robertson IV, continued efforts begun in 2003 to help a consortium of over 275 herbaria from more than 70 countries develop a coordinated database of high-quality digital images (600dpi) of plant Type specimens (the original specimens used to identify species). These Type images are augmented by reference works, photographs, and botanical art. The participating herbaria are contributing images for all of the Types they hold and their estimates indicate that the total will be in excess of 2 million. The Plants Initiative database now holds about 2,230,000 images and associated data: 1,590,000 Types and historical specimens; 190,000 images of artwork, photographs, and reference materials; and nearly 450,000 articles linked from JSTOR. Objects are arriving at the rate of about 7,500 per week. Searches within JSTOR Plants also display returns from the Biodiversity Heritage Library and other online resources. The database is available online at JSTOR (<http://plants.jstor.org>). The Foundation welcomes communications from any institutions holding Type specimens that have yet to be included in the database.

The Conservation and the Environment program will close in 2013 in accordance with the Foundation's long-term plans to focus

on the humanities and the arts. Proposals continue to be accepted for the Plants Initiative and from extant grantees in order to bring the program's Research Bridges to South Africa programs to an orderly conclusion.

Special International Emphasis: South Africa

Under the guidance of its senior advisor in South Africa, Stuart J. Saunders, the Foundation continued to support programs at key South African universities in 2012. The programs are designed to produce the next generation of scholars and advance humanities research and teaching in innovative and purposeful ways.

A grant to support doctoral candidates was awarded to the University of the Witwatersrand, and a Humanities Unit was established at Rhodes University. The latter grant included support for doctoral and postdoctoral students. Funds were also used to establish doctoral and postdoctoral fellowships in rhetoric at the University of Cape Town (UCT). At the University of the Western Cape, grants were made to support research in the Center for the Humanities and also for critical agrarian studies. The Universities of Pretoria, Stellenbosch, and Cape Town received funds for the development of junior and midcareer faculty. Funds for two lectureships over three years allowed UCT to support two research professors in the humanities.

An award was made to the Data First Unit at UCT to help ensure accurate statistical data in South Africa and improve access to data in countries throughout Africa. Also at UCT, funds supported the use of technology in teaching in the humanities.

Support was also given to the Cape Philharmonic Orchestra for its outreach and educational programs, which include the youth orchestras and Music Academy. The W.E.B. Du Bois Institute at Harvard University received funds for the Mandela fellowship program, which allows scholars from UCT to attend the institute.

The Andrew W. Mellon Foundation

Summary of Grants and Contributions, 2012

	<i>Payable and Committed at Dec. 31, 2011</i>	<i>2012 Grants and Commitments</i>		<i>Payable and Committed at Dec. 31, 2012</i>
		<i>Appropriated</i>	<i>Paid</i>	
Higher Education and Scholarship	\$22,144,600	\$132,561,082	\$135,565,286	\$19,140,396
Scholarly Communications and Information Technology . .	3,073,600	29,168,800	28,803,900	3,438,500
Performing Arts	9,471,800	50,268,000	49,237,544	10,502,256
Art History, Conservation, and Museums	15,734,241	27,716,811	30,868,280	12,582,772
Conservation and the Environment	1,392,001	13,843,000	11,925,000	3,310,001
Other	—	470,000	470,000	—
Program grants and commitments - totals	51,816,242	254,027,693	256,870,010	48,973,925
Contributions and matching gifts	—	1,235,344	1,235,344	—
	<u>\$51,816,242</u>	<u>\$255,263,037</u>	<u>\$258,105,354</u>	<u>\$48,973,925</u>

The Andrew W. Mellon Foundation

Classification of Grants

HIGHER EDUCATION AND SCHOLARSHIP

Appropriated

Allegheny College,
Meadville, Pennsylvania:

To support a tenure-track position in Arabic and the
continuing internationalization of the curriculum . . . \$ 675,000

American Academy of Arts and Sciences,
Cambridge, Massachusetts:

To establish an endowment to support the ongoing
maintenance and development of the Humanities
Indicators 3,000,000

To continue support for the National Commission
on the Humanities and Social Sciences 800,000

To support the Humanities Indicators 350,000

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

To continue support for a program that funds the
appointment of PhDs in the humanities to yearlong
fellowships in non-academic organizations, including
nonprofit and government agencies 4,280,000

To support an endowment to generate income
reserved for core operating expenses 3,000,000

To support postdoctoral fellowships for recent
PhD recipients in the humanities 2,000,000

American Historical Association,
Washington, DC:

To support an exploration of non-academic
employment opportunities for humanities PhDs . . . 85,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

American Indian College Fund,
Denver, Colorado:

To support the continuation of the Mellon Faculty
Career Enhancement Fellowship Program for tribal
college faculty 500,000

American Philosophical Society,
Philadelphia, Pennsylvania:

To support four postdoctoral fellowships with an
emphasis on curatorship of historical collections . . . 666,000

American University in Cairo,
New York, New York:

To support pressing institutional adjustments that
promote educational effectiveness 500,000

To support presidential initiatives 100,000

American University of Beirut,
New York, New York:

To support curricular development and faculty
fellowships in the arts and humanities 735,000

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

To support the collaborative work of the American
International Consortium of Academic Libraries . . . 710,000

To support a program for faculty development 300,000

Amherst College,
Amherst, Massachusetts:

To support a program for faculty-student
collaborative research in the humanities and
social sciences 724,000

To support presidential initiatives 100,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Antioch College Continuation Corporation,
Yellow Springs, Ohio:

To support presidential initiatives 50,000

Appalachian College Association,
Berea, Kentucky:

To support the participation of an additional college
in the Bowen Central Library of Appalachia 66,500

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

To support programs that educate faculty on the
economic challenges facing liberal arts colleges and
their effects on institutional decision-making 250,000

To support collaborative initiatives in the humanities 109,000

Association of American Colleges and Universities,
Washington, DC:

To support multi-institutional curricular and
pedagogical collaboration 50,000

Austin College,
Sherman, Texas:

To explore opportunities for teaching and learning
through the use of digital resources 50,000

Barnard College,
New York, New York:

To support a New Directions Fellowship 257,300

Bates College,
Lewiston, Maine:

To support a faculty and curricular renewal program
in the humanities 1,000,000

Bennington College,
Bennington, Vermont:

To support a faculty enrichment program 500,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Bowdoin College,
Brunswick, Maine:

To support a program of cross-disciplinary
instruction across the humanities 675,000

To support the facilitation of an ongoing exchange
program between MMUF programs at Bowdoin
College and the University of the Witwatersrand in
South Africa 55,320

Brandeis University,
Waltham, Massachusetts:

To support doctoral students in the humanities 1,800,000

To support a Sawyer Seminar on the Comparative
Study of Cultures entitled “Rethinking the Age of
Revolution: Rights, Representation, and the Global
Imaginary” 175,000

Cape Philharmonic Orchestra,
Cape Town, South Africa:

To support the orchestra’s outreach and education
programs 440,000

Claremont McKenna College,
Claremont, California:

To support internationalization of the curriculum
and undergraduate research in the humanities 250,000

Claremont University Consortium,
Claremont, California:

To support planning for a center for the digital
humanities 100,000

Clark Atlanta University,
Atlanta, Georgia:

To support the implementation of a student
recruitment and enrollment management program . . 325,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Clark University,
Worcester, Massachusetts:

To support a curricular initiative that connects
liberal education and effective practice 600,000

Colby College,
Waterville, Maine:

To support the development of a center for the arts
and humanities 750,000

To support writing across the curriculum 250,000

Colgate University,
Hamilton, New York:

To support residential seminars that connect
academic and co-curricular programs 700,000

To support integration of technology into the
humanities curriculum 50,600

College of the Holy Cross,
Worcester, Massachusetts:

To support presidential initiatives 100,000

College of William and Mary,
Williamsburg, Virginia:

To support curricular and faculty renewal 770,000

Colorado College,
Colorado Springs, Colorado:

To support presidential initiatives 100,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Columbia University,
New York, New York:

To support internationalization of the undergraduate core curriculum through faculty renewal and coordinated use of the university's global resources . . .	2,100,000
To support instruction in the less commonly taught languages through videoconferencing	1,200,000
To support a New Directions Fellowship	297,300
To support participation in the Mellon Mays Undergraduate Fellowship program	247,500
To support the planning of the participation of New York-based institutions in the international Theatrum Mundi initiative, which seeks to strengthen the cultural life of cities	63,450

Connecticut College,
New London, Connecticut:

To support renewed participation in the Mellon Mays Undergraduate Fellowship program	435,000
To support curricular development in global Islamic studies	100,000

Convergence,
Washington, DC:

To support a postdoctoral fellow who serves the U.S.-Pakistan Leaders Forum project	95,000
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Cornell College,
Mount Vernon, Iowa:

To support curricular development	250,000
To support presidential initiatives	100,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Cornell University,
Ithaca, New York:

To support an initiative at the intellectual and institutional intersection of architecture, urbanism, and the humanities	1,462,000
To support the Society for the Humanities	1,330,000
To support research in higher education	640,000
To support ongoing scholarly activities by a former New Directions Fellowship recipient	50,000

Council for European Studies,
New York, New York:

To establish dissertation completion fellowships for graduate students in the humanities whose work focuses on topics in European studies	650,000
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Council of Independent Colleges,
Washington, DC:

To support substantial curricular revision and enhancement	575,000
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Dartmouth College,
Hanover, New Hampshire:

To support participation in the Mellon Mays Undergraduate Fellowship program	247,500
To support ongoing scholarly activities by a former New Directions Fellowship recipient	50,000

Davidson College,
Davidson, North Carolina:

To support presidential initiatives	100,000
To support planning for curricular and faculty development in digital studies and the humanities . . .	45,500

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Denison University,
Granville, Ohio:

To support the creation of a writing program and the
establishment of a tenure-track position in Arabic . . . 550,000

Dickinson College,
Carlisle, Pennsylvania:

To support faculty and curricular development in
the digital humanities 700,000

Dillard University,
New Orleans, Louisiana:

To support comprehensive revisions to its general
education, honors, and international study programs 325,000

Duke University,
Durham, North Carolina:

To support the development of collective projects by
the Consortium of Humanities Centers and Institutes 1,200,000

To support transitional efforts in area studies
programs that are adapting to reduced federal
funding 750,000

Earlham College,
Richmond, Indiana:

To support a Middle Eastern studies program 525,000

To support presidential initiatives 100,000

Emory University,
Atlanta, Georgia:

To support teaching fellowships for advanced
graduate students in the humanities 1,000,000

To support a New Directions Fellowship 291,200

To support a Sawyer Seminar on the Comparative
Study of Cultures entitled "Visual Exegesis: Images
as Instruments of Scriptural Interpretation and
Hermeneutics" 175,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

The Five Colleges of Ohio,
Gambier, Ohio:

To support language pedagogy collaborations between
liberal arts colleges and a research university 50,000

Franklin & Marshall College,
Lancaster, Pennsylvania:

To support planning for a faculty center for teaching
and scholarship 120,000

To support presidential initiatives 100,000

French American Cultural Exchange,
New York, New York:

To support a book and translation grant program
for French Voices 100,000

Gettysburg College,
Gettysburg, Pennsylvania:

To support a program to strengthen and expand
student-faculty collaborative research 600,000

Glimmerglass Opera, Inc.,
Cooperstown, New York:

To support the participation of six singers from the
Cape Town Opera School in the Glimmerglass
Young Artists Program 22,400

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

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

Great Lakes Colleges Association, Inc.,
Ann Arbor, Michigan:

To support curricular enhancement, undergraduate
research, and student-faculty scholarship 2,750,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Greater Washington Educational Telecommunications Association, Inc., Arlington, Virginia:	
To support the completion of an educational film on the Vietnam War	1,000,000
Grinnell College, Grinnell, Iowa:	
To support interdisciplinary teaching, scholarship, and the expansion of Arabic language instruction . . .	540,000
To support renewed participation in the Mellon Mays Undergraduate Fellowship program	411,530
Hampshire College, Amherst, Massachusetts:	
To support language instruction in the humanities and sciences	250,000
To support presidential initiatives	100,000
Harvard University, Cambridge, Massachusetts:	
To support a university-wide humanities seminar under the auspices of the Mahindra Humanities Center	775,000
To support the participation of ten scholars from the University of Cape Town in the Mandela Fellowship Program at the W. E. B. Du Bois Institute	500,000
To support a program that offers a secondary PhD field for doctoral candidates who wish to integrate multimedia production into their dissertation research	315,000
To support a Sawyer Seminar on the Comparative Study of Cultures entitled "Hearing Modernity" . . .	175,000
Heritage University, Toppenish, Washington:	
To support participation in the Mellon Mays Undergraduate Fellowship program	247,500

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Hobart and William Smith Colleges,
Geneva, New York:

To support academic programming and educational effectiveness 250,000

Howard University,
Washington, DC:

To support the institutional renewal and reimagining of the university's Moorland-Spingarn Research Center 300,000

Illinois Wesleyan University,
Bloomington, Illinois:

To support curricular development in the humanities 300,000

Indiana University,
Bloomington, Indiana:

To support transitional efforts in area studies programs that are adapting to reduced federal funding 750,000

To support a New Directions Fellowship 299,900

Institute for Advanced Study,
Princeton, New Jersey:

To endow, by matching a one-to-one challenge grant from the Simons Foundation and the Charles and Lisa Simonyi Fund, the institute's visiting memberships for assistant professors in the School of Historical Studies 3,000,000

Johns Hopkins University,
Baltimore, Maryland:

To support a New Directions Fellowship 192,400

To support a Sawyer Seminar on the Comparative Study of Cultures entitled "Capitalism in Transition/Capitalism in Crisis" 175,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Kalamazoo College,
Kalamazoo, Michigan:

To support faculty development and curricular
enhancements 500,000

Knox College,
Galesburg, Illinois:

To support presidential initiatives 100,000

Lafayette College,
Easton, Pennsylvania:

To support a program to strengthen the
internationalization of the curriculum and study
abroad 150,000

Lake Forest College,
Lake Forest, Illinois:

To support a program in Chinese language and
literature 366,000

To support academic and institutional planning 50,000

Lehigh University,
Bethlehem, Pennsylvania:

To support faculty renewal and global education 680,000

Lewis and Clark College,
Portland, Oregon:

To support an interdisciplinary student-faculty
research program in the arts and humanities 700,000

The London School of Economics and Political Science,
London, United Kingdom:

To support an initiative at the intellectual and
institutional intersection of architecture, urbanism,
and the humanities 900,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Macalester College,
St. Paul, Minnesota:

To support renewed participation in the Mellon Mays Undergraduate Fellowship program	354,500
To support opportunities for teaching and scholarship through development of the digital humanities	100,000

Marlboro College,
Marlboro, Vermont:

To support curricular planning connecting the arts and humanities	50,000
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Massachusetts Institute of Technology,
Cambridge, Massachusetts:

To support collaborative research and education at the intersections of art, humanities, science, and technology	1,500,000
To support postdoctoral fellowships in the humanities	1,200,000

McGill University,
Montreal, Canada:

To support a New Directions Fellowship	110,000
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Middlebury College,
Middlebury, Vermont:

To support faculty development and diversity at liberal arts colleges and research universities	4,700,000
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Mills College,
Oakland, California:

To support the integration of the visual arts in teaching across the humanities and human sciences . .	50,000
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Modern Language Association of America,
New York, New York:

To explore non-academic employment opportunities for humanities PhDs	85,000
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HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

National Humanities Center,
Research Triangle Park, North Carolina:

To endow fellowships 2,000,000

To augment fellowship stipends 300,000

The New School,
New York, New York:

To support presidential initiatives 100,000

New York University,
New York, New York:

To support a Sawyer Seminar on the Comparative
Study of Cultures entitled "A Post-Genomic
Embrace of the Human: The Social Science and
Humanities of Non-Reductionist Life Sciences" . . . 175,000

To support planning for the intellectual shape and
programming of a new ballet institute 91,522

Newberry Library,
Chicago, Illinois:

To support summer training programs in manuscript
studies, paleography, and related disciplines 600,000

To support a review of the Newberry Library's four
research centers 49,000

New-York Historical Society,
New York, New York:

To support residential fellowships for early career
scholars 484,000

Northwestern University,
Evanston, Illinois:

To support renewed participation in the Mellon Mays
Undergraduate Fellowship program 388,000

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

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Occidental College,

Los Angeles, California:

To support interdisciplinary innovations in the
general education curriculum 750,000

Ohio State University,

Columbus, Ohio:

To support a Sawyer Seminar on the Comparative
Study of Cultures entitled "Language, Politics, and
Human Expression in South Asia and the Balkans:
Comparative Perspectives" 175,000

Ohio Wesleyan University,

Delaware, Ohio:

To support a program of curricular renewal 600,000

Pitzer College,

Claremont, California:

To support interdisciplinary programs in art and
the environment 600,000

Pomona College,

Claremont, California:

To support curricular and cultural collaboration
between the Pomona College Museum of Art and
the college's academic program 50,000

Pontifical Institute of Mediaeval Studies,

Toronto, Canada:

To support summer training programs in manuscript
studies, paleography, and related disciplines 400,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Princeton University,
Princeton, New Jersey:

To support the establishment of fellowships in the Society of Fellows in the Arts	3,300,000
To support participation in the Mellon Mays Undergraduate Fellowship program	247,500
To support a New Directions Fellowship	203,100

Rhodes University,
Grahamstown, South Africa:

To support a humanities unit	950,000
To support residency programs for visiting writers and scholars	65,000

Rice University,
Houston, Texas:

To support a permanent endowment for graduate research seminars	1,000,000
To support a New Directions Fellowship	173,700

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

To renew support for a center for technology and teaching serving the Atlanta University Center institutions	150,000
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Rollins College,
Winter Park, Florida:

To support curricular and faculty development	50,000
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Scripps College,
Claremont, California:

To support undergraduate research opportunities in the arts, humanities, and human sciences	700,000
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HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Skidmore College,
Saratoga Springs, New York:

To support interdisciplinary collaborations that integrate the arts, humanities, sciences, and technology	60,000
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Social Science Research Council,
Brooklyn, New York:

To support a program of postdoctoral fellowships for transregional studies	1,100,000
To support the administration of the Social Science Research Council Predoctoral Grants program for Mellon Mays graduate students	1,000,000
To support the planning of a research initiative on cities	100,000

Southwestern University,
Georgetown, Texas:

To support initiatives of the National Institute for Technology in Liberal Education (NITLE) that integrate digital methods and resources into humanities teaching and scholarship	800,000
To support initiatives of NITLE in information services and global cultural resources at liberal arts colleges	600,000
To support undergraduate research, civic engagement, and intercultural learning	500,000
To support the integration of business and the liberal arts and the establishment of a unified library and information services division	250,000

Spelman College,
Atlanta, Georgia:

To support the implementation of an undergraduate research program as part of comprehensive curricular reform	325,000
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HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

St. John's College,
Annapolis, Maryland:

To support programs for faculty enrichment and
curriculum development 600,000

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

To support integration of the classic works of Middle
Eastern culture into the curriculum 150,000

St. Lawrence University,
Canton, New York:

To support development of an interdisciplinary,
international curriculum and engaged student
learning 700,000

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

To support the integration of civic engagement and
service learning opportunities into the humanities
curriculum 200,000

St. Olaf College,
Northfield, Minnesota:

To support cross-institutional administrative and
academic collaboration with Carleton College 50,000

Stanford University,
Stanford, California:

To support a New Directions Fellowship 254,900

Stellenbosch University,
Matieland, South Africa:

To support the development of the next generation
of academics in the humanities and social sciences . . . 200,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Swarthmore College,
Swarthmore, Pennsylvania:

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

Tougaloo College,
Tougaloo, Mississippi:

To support the implementation phase of a Global
Leadership Curriculum 325,000

Trinity University,
San Antonio, Texas:

To support student-faculty collaborative research in
the arts and humanities 600,000

United Negro College Fund, Inc.,
Washington, DC:

To support the UNCF/MMUF 2012 Summer Institute 37,250

University College London,
London, United Kingdom:

To support postdoctoral fellowships in the humanities
and related social sciences 800,000

University of California at Berkeley,
Berkeley, California:

To support an initiative at the intellectual and
institutional intersection of architecture, urbanism,
and the humanities 1,750,000

To support an initiative aimed at strengthening the
integration of the arts into academic life 760,000

To support transitional efforts in area studies programs
that are adapting to reduced federal funding 750,000

To support renewed participation in the Mellon Mays
Undergraduate Fellowship program 481,500

To support research and training activities for
graduate students 400,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

University of California at Irvine,
Irvine, California:

To support ongoing scholarly activities by a former New Directions Fellowship recipient	50,000
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University of California at Los Angeles,
Los Angeles, California:

To support an initiative at the intellectual and institutional intersection of architecture, urbanism, and the humanities	2,000,000
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To support transitional efforts in area studies programs that are adapting to reduced federal funding	750,000
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To support a New Directions Fellowship	225,000
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To support renewed participation in the Mellon Mays Undergraduate Fellowship program	213,000
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University of California at Santa Barbara,
Santa Barbara, California:

To support a Sawyer Seminar on the Comparative Study of Cultures entitled "Sea Change: Integrating the Historical Study of Human Cultures and Marine Environments in Three Pacific Regions"	175,000
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HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

University of Cape Town,
Cape Town, South Africa:

To support research projects of emerging and midcareer scholars in the humanities and social sciences	950,000
To support the establishment of two research chairs in the faculty of humanities	950,000
To support the renewal of a regional leadership program for South African members of the Mellon Mays Undergraduate Fellowship program	370,200
To support master's, doctoral, and postdoctoral students in the Centre for Rhetoric Studies	320,000
To support the securing of accurate statistical data in South Africa and improved access to data in countries throughout Africa	300,000
To support renewed participation in the Mellon Mays Undergraduate Fellowship program	285,280
To support teaching with technology grants in the humanities at the Centre for Educational Technology . .	285,000
To support a creative writing program	65,000
To support an additional year of PhD student retreats and associated activities	20,000

University of Chicago,
Chicago, Illinois:

To support transitional efforts in area studies programs that are adapting to reduced federal funding	750,000
To support participation in the Mellon Mays Undergraduate Fellowship program	247,500
To support ongoing scholarly activities by a former New Directions Fellowship recipient	50,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

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

To support an initiative aimed at strengthening the integration of the arts into academic life	700,000
To support a New Directions Fellowship	227,800
To support planning and pilot programs that will lead to the establishment of a consortium of humanities centers at 15 Midwestern research universities	100,000

University of Michigan,
Ann Arbor, Michigan:

To support transitional efforts in area studies programs that are adapting to reduced federal funding	750,000
To support an initiative aimed at strengthening the integration of the arts into the academic life of the university	500,000

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

To support an initiative to expand and strengthen the work of faculty and students in the digital humanities	1,388,000
To support initiatives aimed at strengthening the integration of the arts into academic life	800,000
To renew support for the Moore Undergraduate Research Apprentice program	700,000
To support a New Directions Fellowship	229,900
To support ongoing scholarly activities by a former New Directions Fellowship recipient	50,000

University of Notre Dame,
Notre Dame, Indiana:

To support a new initiative for the interdisciplinary study and production of sacred music drama	400,000
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HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

University of Pennsylvania,
Philadelphia, Pennsylvania:

To support the interdisciplinary work of the Penn
Humanities Forum 455,000

To support a Sawyer Seminar on the Comparative
Study of Cultures entitled "Race, across Time and
Space" 175,000

University of Pretoria,
Pretoria, South Africa:

To support merit awards for the development of the
next generation of academics in the humanities and
social sciences 200,000

University of Puget Sound,
Tacoma, Washington:

To support faculty sabbaticals 700,000

University of Richmond,
Richmond, Virginia:

To support the development of a digital atlas of
United States history 750,000

University of Southern California,
Los Angeles, California:

To support the Early Modern Studies Institute 1,750,000

To support a Sawyer Seminar on the Comparative
Study of Cultures entitled "Critical Mixed-Race
Studies: A Transpacific Approach" 175,000

University of the South,
Sewanee, Tennessee:

To support study abroad, language study, and
development of an International and Global
Studies program 800,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

University of the Western Cape,
Bellville, South Africa:

To support research in the humanities	380,000
To support a program in critical agrarian studies . . .	325,000
To support renewed participation in the Mellon Mays Undergraduate Fellowship program	187,320

University of the Witwatersrand,
Johannesburg, South Africa:

To support PhD students in the humanities	500,000
To support PhD students in their final year of study . .	500,000
To support renewed participation in the Mellon Mays Undergraduate Fellowship program	361,130

University of Toronto,
Toronto, Canada:

To support postdoctoral fellowships in the humanities and related social sciences	1,500,000
To support a New Directions Fellowship	250,000

University of Washington,
Seattle, Washington:

To support transitional efforts in area studies programs that are adapting to reduced federal funding	750,000
To support a New Directions Fellowship	221,300

University of Wisconsin at Madison,
Madison, Wisconsin:

To support transitional efforts in area studies programs that are adapting to reduced federal funding	750,000
To support ongoing scholarly activities by a former New Directions Fellowship recipient	50,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Ursinus College,
Collegetown, Pennsylvania:

To support a program of collaboration with Columbia University to strengthen the core curriculum	300,000
To support presidential initiatives	100,000

Vanderbilt University,
Nashville, Tennessee:

To support a New Directions Fellowship	266,200
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Vassar College,
Poughkeepsie, New York:

To permanently endow the Anne McNiff Tatlock Chair in Multidisciplinary Studies, and the Anne McNiff Tatlock Endowment for Strategic Faculty Support	4,000,000
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Wellesley College,
Wellesley, Massachusetts:

To support a visiting artist residency program and a collaboration with the Massachusetts Institute of Technology for Portuguese language instruction . . .	700,000
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Whitman College,
Walla Walla, Washington:

To support a longitudinal study of students' academic experiences	150,000
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Whittier College,
Whittier, California:

To support renewed participation in the Mellon Mays Undergraduate Fellowship program	275,580
To support a program for internationalizing the curriculum through an expansion of study abroad and the use of online pedagogies	150,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Willamette University,
Salem, Oregon:

To support interdisciplinary and collaborative initiatives in the arts and humanities	700,000
To support presidential initiatives	100,000

WNET,
New York, New York:

To support production of a documentary about the University of Cape Town Opera School	90,000
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Woodrow Wilson National Fellowship Foundation,
Princeton, New Jersey:

To renew support for the Junior Faculty Career Enhancement Fellowship program	2,700,000
To renew support for the Mellon Mays Undergraduate Fellowship Dissertation, Travel, and Research programs	800,000

Xavier University of Louisiana,
New Orleans, Louisiana:

To support the implementation of a comprehensive engaged reading initiative	330,000
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Yale University,
New Haven, Connecticut:

To support a plan designed to broaden humanities education at the university and build a community of postdoctoral fellows in the humanities	1,950,000
To provide support for a fellowship stipend and research for a student in each of the first five years of the university's PhD in Law program	200,000

Total—Higher Education and Scholarship \$132,561,082

SCHOLARLY COMMUNICATIONS AND
INFORMATION TECHNOLOGY

Appropriated

Alabama Folklife Association, Inc.,
Birmingham, Alabama:

To support the cataloging of hidden collections \$ 165,900

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

To support the cataloging of hidden collections 320,400

American Philological Association,
Philadelphia, Pennsylvania:

To support the development and maintenance of
electronic publications in classical studies 300,000

To support planning for a digital library of Latin
texts 159,000

Amherst College,
Amherst, Massachusetts:

To support the implementation of digital access
initiatives at the Folger Shakespeare Library 586,000

To support planning at the Folger Shakespeare Library
for the development of electronic editions, created
by undergraduates, of 500 early modern plays 41,000

Bay Area Video Coalition, Inc.,
San Francisco, California:

To support business planning for the preservation
program 51,500

The Book Arts Press, Inc.,
Charlottesville, Virginia:

To support the development of a summer fellowship
program in critical bibliography 896,000

To support planning of a program to train
humanistic scholars in the bibliographic arts 52,000

SCHOLARLY COMMUNICATIONS AND
INFORMATION TECHNOLOGY

(continued)

Appropriated

The British Library,
London, United Kingdom:

To support the development of digital scholarship
at a national library 389,000

The Brooklyn Historical Society,
Brooklyn, New York:

To support the cataloging of hidden collections 170,400

Caffè Lena, Inc.,
Saratoga Springs, New York:

To support the cataloging of hidden collections 86,900

College Art Association of America, Inc.,
New York, New York:

To support the development and dissemination of a
code of best practices for the application of the
copyright principle of fair use in art and art history . . 630,000

College of Charleston,
Charleston, South Carolina:

To support the cataloging of hidden collections 192,300

Columbia University,
New York, New York:

To support the preservation of materials published
and disseminated via the World Wide Web 550,000

To support the further development of an online
database of jazz discography 445,000

To support the cataloging of hidden collections 242,500

To support development of a scholarly research
database detailing the social and economic
characteristics of subscribers to a major orchestra
from 1842 to the present 175,000

To support the cataloging of hidden collections 75,500

SCHOLARLY COMMUNICATIONS AND
INFORMATION TECHNOLOGY

(continued)

Appropriated

Cornell University,
Ithaca, New York:

To support the further integration of services at the
Cornell and Columbia research libraries 350,000

Council on Library and Information Resources,
Washington, DC:

To support postdoctoral fellowships in medieval
studies 896,000

To support administration of the Hidden Collections
grantmaking competition 300,000

Detroit Public Library Friends Foundation, Inc.,
Detroit, Michigan:

To support the cataloging of hidden collections 87,400

Duke University,
Durham, North Carolina:

To support the enhancement and integration of
existing open source software tools that facilitate the
discovery, editing, curation, and interpretation of
pre-modern Greek texts in digital formats 48,000

To support a study of and an invitational forum on
the problem of decreasing acquisitions of foreign
language materials in US research libraries 47,000

Frick Collection,
New York, New York:

To support planning for a Web archiving initiative . . 50,000

Furman University,
Greenville, South Carolina:

To support the enhancement and integration of
existing open source software tools that facilitate the
discovery, editing, curation, and interpretation of
pre-modern Greek texts in digital formats 55,000

SCHOLARLY COMMUNICATIONS AND
INFORMATION TECHNOLOGY

(continued)

Appropriated

George Mason University,
Fairfax, Virginia:

To support further development of the Omeka
software application for scholarly blogging and
digital exhibits 628,000

To maintain and enhance a program of regional
training camps in digital methods for humanistic
scholarship 268,000

Harvard University,
Cambridge, Massachusetts:

To support the writing, research, and editing phase
of the *Dictionary of Caribbean and Afro-Latin
American Biography* 200,000

To support the cataloging of hidden collections 202,900

Hispanic Society of America,
New York, New York:

To support assessment of uncataloged documents
from the Archive of the House of Altamira 50,000

Historical Society of Pennsylvania,
Philadelphia, Pennsylvania:

To support a survey and assessment of small
repositories of archives and manuscripts in the
Philadelphia area 330,000

Indiana University,
Bloomington, Indiana:

To support further development of an open source
integrated library system 750,000

Internet Archive,
San Francisco, California:

To support enhancements to software that enables
the creation and online dissemination of digital
audio books 50,000

SCHOLARLY COMMUNICATIONS AND
INFORMATION TECHNOLOGY

(continued)

Appropriated

Jewish Theological Seminary of America, New York, New York:	
To support the cataloging of hidden collections	175,300
Johns Hopkins University, Baltimore, Maryland:	
To support the cataloging of hidden collections	71,900
Kentucky Historical Society, Frankfort, Kentucky:	
To support the cataloging of hidden collections	142,700
LYRASIS, Atlanta, Georgia:	
To support further development of services to assist libraries in the choice, implementation, and use of open source software applications	670,000
Martha's Vineyard Museum, Inc., Edgartown, Massachusetts:	
To support the cataloging of hidden collections	293,900
Modern Language Association of America, New York, New York:	
To support development of a Web-based publication and communications platform for use by scholarly society members	83,000
Montana Historical Society, Helena, Montana:	
To support the cataloging of hidden collections	91,400
Museum of the City of New York, New York, New York:	
To support the cataloging of hidden collections	129,700

SCHOLARLY COMMUNICATIONS AND
INFORMATION TECHNOLOGY

(continued)

Appropriated

National Film Preservation Foundation,
San Francisco, California:

To support the assessment of early American nitrate
film in The Netherlands 54,000

National Information Standards Organization,
Baltimore, Maryland:

To support a study of the requirements for a new
bibliographic standard 49,000

New York Public Library,
New York, New York:

To support planning by three research libraries to
transform a shared shelving facility into a shared
collection 335,000

New York University,
New York, New York:

To support the development of a new software tool
for the management and description of archives . . . 218,000

To support planning for a video archive of modern
performances of classical dramas 50,000

North Carolina State University,
Raleigh, North Carolina:

To support the development of a shared database of
bibliographical and administrative information
needed for the purchase and management of
electronic resources 499,000

To support development of digital scholarly
resources in medieval studies 150,000

Northwestern University,
Evanston, Illinois:

To support enhancement of an open source tool for
natural language processing 40,000

SCHOLARLY COMMUNICATIONS AND
INFORMATION TECHNOLOGY

(continued)

Appropriated

Oxford Centre for Islamic Studies,
Oxford, United Kingdom:

To support a study of the feasibility of publishing
digitally a multi-volume atlas that presents the social
and intellectual history of the Islamic world 50,000

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

To support planning for the preservation and
digitization of archival materials 44,500

The Pennsylvania State University,
University Park, Pennsylvania:

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

To support a study of faculty practices in creating
and managing personal digital archives 143,000

Princeton University,
Princeton, New Jersey:

To support development of a full-text database of
works related to historical prosody 50,000

Queen's University at Kingston,
Kingston, Canada:

To support the development of an online database of
Benjamin Disraeli's correspondence 95,000

Rhode Island Historical Society,
Providence, Rhode Island:

To support the development of a Web-based directory
of cultural heritage organizations in Rhode Island . . 160,000

SCHOLARLY COMMUNICATIONS AND
INFORMATION TECHNOLOGY

(continued)

Appropriated

Rice University,
Houston, Texas:

To support a collaborative research and planning project to assess the feasibility of establishing specialized centers of expertise at a variety of university research libraries	55,000
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Saint Louis University,
St. Louis, Missouri:

To support development of a software tool for creating electronic editions of pre-modern texts . . .	933,000
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San Diego Air & Space Museum,
San Diego, California:

To support the cataloging of hidden collections	119,700
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Smithsonian Institution,
Washington, DC:

To support the digitization, organization, and dissemination of information from archaeological excavations in Panama using a prototype open source software system	50,000
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Stanford University,
Stanford, California:

To support the further development of standards and services that would enhance the use of digitized manuscripts	992,000
To support the development of crowdsourcing technologies and scholarly projects that employ crowdsourcing	778,000
To support infrastructure development for a digital preservation service	572,000
To support the cataloging of hidden collections	114,400

SCHOLARLY COMMUNICATIONS AND
INFORMATION TECHNOLOGY

(continued)

Appropriated

Texas A&M University,
College Station, Texas:

To support the further development of tools to
improve the accuracy of the optical character
recognition of early modern printed material 734,000

United States Holocaust Memorial Museum,
Washington, DC:

To support the cataloging of hidden collections 103,300

University College London,
London, United Kingdom:

To support the development of a scholarly project to
engage the public in transcribing the works of
philosopher Jeremy Bentham 538,000

University of California at Berkeley,
Berkeley, California:

To support the development and maintenance of
electronic publications in classical studies 99,000

To support further development of software
infrastructure for humanities research 62,500

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

To support development of virtual worlds
technologies for use in humanities research 600,000

University of California at San Diego,
La Jolla, California:

To support development of tools for the analysis of
static and moving images using the Software
Environment for the Advancement of Scholarly
Research 477,000

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

To support the cataloging of hidden collections 239,600

SCHOLARLY COMMUNICATIONS AND
INFORMATION TECHNOLOGY

(continued)

Appropriated

University of Cambridge,
Cambridge, United Kingdom:

To support the development of digital scholarly
resources in medieval studies 459,000

University of Cincinnati,
Cincinnati, Ohio:

To support a study assessing ten existing digital
scholarship centers and outlining the skills needed
to support digital scholarship 58,000

University of Edinburgh,
Edinburgh, United Kingdom:

To support the preservation of materials published
and disseminated via the World Wide Web 496,000

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

To support further development of standards for the
annotation of digital materials 170,000

To support further development of standards for the
annotation of digital materials 29,500

University of Maryland College Park,
College Park, Maryland:

To support the cataloging of hidden collections 251,700

University of Massachusetts at Amherst,
Amherst, Massachusetts:

To support development of software and techniques
for scholars in the humanities to use in processing
large corpora of digitized books 205,000

University of Miami,
Coral Gables, Florida:

To support further development of a software platform
for the Cuban Theater Digital Archive 260,000

SCHOLARLY COMMUNICATIONS AND
INFORMATION TECHNOLOGY

(continued)

Appropriated

University of Michigan,
Ann Arbor, Michigan:

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

University of Oxford,
Oxford, United Kingdom:

To support the further development of scholarly
resources and tools for the study of correspondence
networks in the early modern period 758,000

University of Pennsylvania,
Philadelphia, Pennsylvania:

To support the cataloging of hidden collections 249,800

University of Southern California,
Los Angeles, California:

To support the cataloging of hidden collections 203,200

To support the development of a training program
in Reflectance Transformation Imaging and an
equipment “lending library” for scholars 30,000

University of Virginia,
Charlottesville, Virginia:

To support further development of methods and
software for identifying automatically individuals
and organizations named in a wide range of online
resources 575,000

University of Washington,
Seattle, Washington:

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

SCHOLARLY COMMUNICATIONS AND
INFORMATION TECHNOLOGY

(continued)

Appropriated

University of Wisconsin at Madison,
Madison, Wisconsin:

To support further development of software and techniques for analysis of the relationship between linguistic variation in a large corpus of early modern English texts and the development of genres of printed discourse	925,000
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Yale University,
New Haven, Connecticut:

To support the further development of standards and services that would enhance the use of digitized manuscripts	650,000
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To support planning for the publication of electronic books in art and architectural history	195,000
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Total—Scholarly Communications and
Information Technology

\$29,168,800

PERFORMING ARTS

Appropriated

Albany Symphony Orchestra, Inc.,
Albany, New York:

To support the Composer to Center Stage initiative . . . \$ 300,000

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

To support digital projects and a rehearsal space
grant program 500,000

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

To support artistic initiatives and services to the field 450,000

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

To support the recording of *The Golden Ticket* 27,500

American Repertory Theatre Company, Inc.,
Cambridge, Massachusetts:

To support planning for the Civil War/civil wars
project 40,000

American Symphony Orchestra League,
New York, New York:

To support the national conference and the
Knowledge Center 500,000

To support planning for diversity and inclusion
initiatives 41,000

Baltimore Symphony Orchestra, Inc.,
Baltimore, Maryland:

To support the Baltimore Symphony Orchestra
Academy 950,000

Beth Morrison Projects, Inc.,
New York, New York:

To support artistic initiatives and organizational
development 150,000

PERFORMING ARTS

(continued)

*Appropriated*Black Women Playwrights' Group, Inc.,
Washington, DC:

To support four playwright commissions and related costs associated with the Cyber Narrative Project . . .	50,000
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Boston Modern Orchestra Project, Inc.,
Malden, Massachusetts:

To support the Recording New Music for Tomorrow initiative	150,000
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Carnegie Hall Society, Inc.,
New York, New York:

To support artistic initiatives, archival documentation, and dissemination activities	4,000,000
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Chicago Opera Theater,
Chicago, Illinois:

To support artistic initiatives and a cash reserve fund	500,000
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Chicago Sinfonietta, Inc,
Chicago, Illinois:

To support planning for the Project Inclusion diversity initiatives	35,000
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Chicago Symphony Orchestra,
Chicago, Illinois:

To support a research and development fund	2,500,000
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Creative Capital Foundation,
New York, New York:

To support the Multi-Arts Production Fund	1,000,000
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Cutting Ball Theater,
San Francisco, California:

To support a multiyear playwright residency with Andrew Saito	166,000
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PERFORMING ARTS

(continued)

Appropriated

Dallas Theater Center,
Dallas, Texas:

To support a multiyear playwright residency with
Will Power 190,000

Dance Heritage Coalition, Inc.,
Washington, DC:

To support the Dance Preservation Digitization
Project 505,000

Dance Theatre of Harlem, Inc.,
New York, New York:

To support artistic initiatives and capacity building 200,000

Dance/USA,
Washington, DC:

To support transition costs and professional
development for Dance/NYC 35,000

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

To support developmental and production
residences for choreographers 375,000

Emerson College,
Boston, Massachusetts:

To support documentation activities and the
administration of a microgrant fund for a
Foundation-funded playwright residency initiative 760,000

To support transitional expenses associated with the
transfer of the Center for the Theater Commons from
Washington Drama Society, Inc. (Arena Stage) 50,000

Festival of North American Orchestras, Inc.,
New York, New York:

To support the Spring for Music festival 830,000

PERFORMING ARTS

(continued)

Appropriated

Fiji Theater Company, Inc.,
New York, New York:

To support the 20th-anniversary performances of the
Undesirable Elements series 35,000

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

To support developmental and production residencies
for choreographers at the Maggie Allesee National
Center for Choreography 300,000

Fractured Atlas Productions, Inc.,
New York, New York:

To support the further development of the Artful.ly
technology platform 200,000

French American Cultural Exchange,
New York, New York:

To support grants to French presenters for residencies
and performances by US music, theater, and dance
companies and ensembles 750,000

Gina Gibney Dance, Inc.,
New York, New York:

To support a nonprofit business analysis to be
undertaken by the Nonprofit Finance Fund 41,000

Henry Street Settlement,
New York, New York:

To support the American Realness dance festival . . . 100,000

Huntington Theatre Company, Inc.,
Boston, Massachusetts:

To support a multiyear playwright residency with
Melinda Lopez 245,000

PERFORMING ARTS

(continued)

Appropriated

Joyce Theater Foundation, Inc.,

New York, New York:

To support subsidized rehearsal space at the Dance Art New York (DANY) Studios	1,000,000
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To support developmental and production residences for choreographers	750,000
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Kansas City Repertory Theatre Inc.,

Kansas City, Missouri:

To support a multiyear playwright residency with Nathan Louis Jackson	174,000
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Kronos Performing Arts Association,

San Francisco, California:

To support a legacy planning process	50,000
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Lincoln Center for the Performing Arts, Inc.,

New York, New York:

To support the Lincoln Center Festival	1,000,000
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Long Beach Opera,

Long Beach, California:

To support a new managing director position	35,000
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Los Angeles Philharmonic Association,

Los Angeles, California:

To support composer-centered artistic initiatives . . .	1,000,000
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Lower Manhattan Cultural Council, Inc.,

New York, New York:

To support a developmental and production initiative for dance artists	380,000
--	---------

Lyric Opera of Chicago,

Chicago, Illinois:

To support artistic initiatives and community engagement	2,000,000
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PERFORMING ARTS

(continued)

*Appropriated*Martha Graham Center of Contemporary Dance, Inc.,
New York, New York:

To support dance archives and organizational development	675,000
To support assessment and preservation of at-risk archival films	68,100
To support a preservation needs assessment to be carried out by a film archives expert	7,400

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

To support USArtists International	700,000
--	---------

Mixed Blood Theatre Company,
Minneapolis, Minnesota:

To support a multiyear playwright residency with Qui Nguyen	175,000
---	---------

Musical Arts Association,
Cleveland, Ohio:

To support the Artistic Excellence and Initiatives Fund	2,500,000
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National Arts Strategies, Inc.,
Alexandria, Virginia:

To support the Chief Executive Program	1,000,000
--	-----------

Network of Ensemble Theaters, Inc.,
Los Angeles, California:

To support the pilot phase of an artist-to-artist touring and exchange network	165,000
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New Dramatists, Inc.,
New York, New York:

To support the Full Stage USA program and the Creativity Fund	615,000
---	---------

PERFORMING ARTS

(continued)

Appropriated

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

To support the National Theater Project 2,200,000

New Music USA Inc.,
New York, New York:

To support Music Alive, online media programs, and
capacity building 1,500,000

New York Public Radio,
New York, New York:

To support live broadcasts and recordings of
concerts in partnership with New York City cultural
institutions 750,000

New York Shakespeare Festival,
New York, New York:

To support the 2012-13 season of the Public Lab
and a subsequent pilot program 500,000

Nonprofit Finance Fund,
New York, New York:

To support the ArtPlace initiative 2,000,000

To support the continued administration of a loan
program for small-to-midsized performing arts
organizations 195,000

Oberlin Dance Collective,
San Francisco, California:

To support developmental and production residences
for choreographers 240,000

To support the SCUBA National Touring Network
for Dance 45,000

PERFORMING ARTS

(continued)

Appropriated

Ojai Festivals, Ltd.,

Ojai, California:

To support the production of a new opera based on Charles Rosen's <i>The Classical Style</i>	100,000
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On the Boards,

Seattle, Washington:

To support developmental and production residences for choreographers	300,000
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Opera Theatre of Saint Louis,

St. Louis, Missouri:

To support three American operas	1,000,000
--	-----------

Oregon Shakespeare Festival Association, Inc.,

Ashland, Oregon:

To support <i>American Revolutions: The United States History Cycle</i>	600,000
---	---------

To support a multiyear playwright residency with Luis Alfaro	303,000
--	---------

Pacific Symphony,

Santa Ana, California:

To support the Music Unwound initiative	500,000
---	---------

Philadelphia Orchestra Association,

Philadelphia, Pennsylvania:

To support a multimedia production of Stravinsky's <i>The Rite of Spring</i>	50,000
--	--------

Philharmonic-Symphony Society of New York, Inc.,

New York, New York:

To support artistic initiatives and organizational development	2,500,000
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PERFORMING ARTS

(continued)

Appropriated

Pick Up Performance Company, Inc.,
New York, New York:

To support rehearsals of David Gordon's
The Matter/2012 30,000

Playwrights' Center, Inc.,
Minneapolis, Minnesota:

To support a cash reserve fund 50,000

Playwrights Horizons, Inc.,
New York, New York:

To support a multiyear playwright residency with
Dan LeFranc 215,000

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

To support a multiyear playwright residency with
Pearl Cleage at the Alliance Theatre 268,000

San Francisco Opera Association,
San Francisco, California:

To support artistic initiatives 1,660,000

San Francisco Symphony,
San Francisco, California:

To support an audience membership program 390,000

The Santa Fe Opera,
Santa Fe, New Mexico:

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

Seattle Symphony Orchestra, Inc.,
Seattle, Washington:

To support artistic initiatives and related engagement
activities 50,000

PERFORMING ARTS

(continued)

*Appropriated*Soho Repertory Theatre, Inc.,
New York, New York:

To support a multiyear playwright residency with David Adjmi	161,000
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South Coast Repertory, Inc.,
Costa Mesa, California:

To support a multiyear playwright residency with Julie Marie Myatt	195,000
To support orchestration expenses associated with the world premiere of the musical <i>Cloudlands</i>	20,000

Steppenwolf Theatre Company,
Chicago, Illinois:

To support commissioning, development, and audience engagement programs	600,000
--	---------

Ten Thousand Things,
Minneapolis, Minnesota:

To support a multiyear playwright residency with Kira Obolensky	186,000
--	---------

theater et al, Inc.,
Long Island City, New York:

To support developmental and production residences for choreographers	450,000
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Theatre Communications Group, Inc.,
New York, New York:

To support the Global Connections program	350,000
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Trisha Brown Company, Inc.,
New York, New York:

To support dance archives	1,160,000
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PERFORMING ARTS

(continued)

*Appropriated*University of Chicago,
Chicago, Illinois:

To support further site-based research on recently built US arts facilities through the Cultural Policy Center	15,000
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University of Illinois at Urbana-Champaign,
Champaign, Illinois:

To support developmental and production residences for choreographers	300,000
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Victory Gardens Theater,
Chicago, Illinois:

To support a multiyear playwright residency with Marcus Gardley	260,000
---	---------

Walker Art Center, Inc.,
Minneapolis, Minnesota:

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

To support developmental and production residences for choreographers	300,000
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Washington National Opera,
Washington, DC:

To support a pilot program to train American composers and librettists	40,000
--	--------

Woolly Mammoth Theatre Company,
Washington, DC:

To support artistic initiatives and organizational development	450,000
--	---------

To support a multiyear playwright residency with Robert O'Hara	185,000
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PERFORMING ARTS

(continued)

Appropriated

Z Space Studio,

San Francisco, California:

To support technical development residences	300,000
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To support a multiyear playwright residency with Peter Sinn Nachtrieb	180,000
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Total—Performing Arts	<u>\$50,268,000</u>
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ART HISTORY, CONSERVATION,
AND MUSEUMS

Appropriated

AAMC Foundation,
New York, New York:

To support fellows at the Center for Curatorial
Leadership \$ 1,000,000

Amherst College,
Amherst, Massachusetts:

To strengthen student and faculty engagement with
the collections at the Mead Art Museum 1,000,000

The Art Institute of Chicago,
Chicago, Illinois:

To support art historical and conservation research
and online publication of key collections within the
museum's permanent collection 480,000

Baltimore Museum of Art,
Baltimore, Maryland:

To support an endowment for the director of
conservation position 500,000

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

To support the incorporation of objects conservation
into the curriculum of Bard Graduate Center 490,000

The British Museum,
London, United Kingdom:

To support further development of ResearchSpace,
a collaborative online research environment for art
historians, curators, conservators, and scientists . . . 1,070,000

Brooklyn Institute of Arts and Sciences,
Brooklyn, New York:

To support planning for the reinstallation of the
Asian and Islamic collections 750,000

**ART HISTORY, CONSERVATION,
AND MUSEUMS**

(continued)

Appropriated

Case Western Reserve University,
Cleveland, Ohio:

To support a doctoral program in art history with an
object-based curriculum taught in collaboration with
the Cleveland Museum of Art 300,000

Cleveland Museum of Art,
Cleveland, Ohio:

To support a collaborative program with Case
Western Reserve University designed to provide an
object-based curriculum to students pursuing a PhD
in art history 200,000

College Art Association of America, Inc.,
New York, New York:

To provide emerging scholars with subventions for
publication expenses for image rights and
reproductions 69,698

Courtauld Institute of Art,
London, United Kingdom:

To support the Courtauld Research Forum 1,500,000

Dallas Museum of Art,
Dallas, Texas:

To support a new position of chief conservator 500,000

Duke University,
Durham, North Carolina:

To strengthen student and faculty engagement with
the collections at the Nasher Museum of Art 260,000

Florida International University,
Miami, Florida:

To strengthen student and faculty engagement with
the collections at The Wolfsonian 500,000

**ART HISTORY, CONSERVATION,
AND MUSEUMS**

(continued)

Appropriated

George Eastman House,
Rochester, New York:

To support the conservation department 415,300

Harvard University,
Cambridge, Massachusetts:

To endow the program of postdoctoral conservation
science fellowships at the Straus Center for
Conservation 900,000

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

To support the new position of chief conservator for
the art collection 500,000

Heritage Preservation, Inc.,
Washington, DC:

To support core activities 100,000

Indiana University,
Bloomington, Indiana:

To strengthen student and faculty engagement with the
collections at the Indiana University Art Museum . . . 500,000

International Center of Photography,
New York, New York:

To support an intellectual and curatorial planning
process 125,000

International Network for the Conservation
of Contemporary Art-North America,
New York, New York:

To support the second phase of the Artist Interview
Methodology Project 90,000

**ART HISTORY, CONSERVATION,
AND MUSEUMS**

(continued)

Appropriated

Metropolitan Museum of Art,
New York, New York:

To support a pilot fellowship program for conservators
from India, in collaboration with the Stichting
Restauratie Atelier Limburg 474,456

To support a comprehensive study and assessment
of the museum's conservation and conservation
science departments 100,000

Mount Holyoke College,
South Hadley, Massachusetts:

To strengthen student and faculty engagement with
the collections at the Mount Holyoke College Art
Museum 500,000

Museum Associates,
Los Angeles, California:

To establish a new program centered on the art of
the ancient Americas 1,400,000

To support planning for an undergraduate curatorial
fellowship initiative 42,000

Museum of Contemporary Art-Chicago,
Chicago, Illinois:

To support three postdoctoral curatorial fellows . . . 500,000

The Museum of Fine Arts, Houston,
Houston, Texas:

To support academic collaborations with Rice
University and the University of Texas at Austin,
and expanded digital access to the permanent
collection 500,000

**ART HISTORY, CONSERVATION,
AND MUSEUMS**

(continued)

Appropriated

Museum of Modern Art,
New York, New York:

To support a series of object-based seminars and fellowships focused on the museum's collections, in partnership with five regional graduate programs in art history 1,088,000

Northwestern University,
Evanston, Illinois:

To support a collaboration with the Art Institute of Chicago to establish a Center for Scientific Studies in the Arts 2,500,000

October Magazine Ltd.,
New York, New York:

To support the translation of critical and theoretical sources in modern and contemporary art 68,400

Philadelphia Museum of Art,
Philadelphia, Pennsylvania:

To support collaborative programs with the University of Pennsylvania to provide object-based research and curatorial training to art history graduate students 269,000

The Pierpont Morgan Library,
New York, New York:

To endow the position of associate curator of drawings and prints 1,000,000

Rochester Institute of Technology,
Rochester, New York:

To support the collection, refinement, and dissemination of knowledge about the material nature of chemical photography 500,000

**ART HISTORY, CONSERVATION,
AND MUSEUMS**

(continued)

Appropriated

Smithsonian Institution,
Washington, DC:

To support an initiative to strengthen curatorial and
conservation capacities of the National Museum of
African American History and Culture 2,000,000

To support a pilot series of curatorial workshops for
graduate students specializing in Chinese art history
and archaeology organized by the Freer and Sackler
Galleries 360,000

To support four workshops in the safe care and
handling of East Asian paintings organized by the
Freer and Sackler Galleries 10,550

Society of Architectural Historians,
Chicago, Illinois:

To provide emerging scholars with subventions for
publication expenses for image rights and
reproductions 51,330

Stanford University,
Stanford, California:

To provide an object-based curriculum and curatorial
training to art history graduate students, in
collaboration with the Cantor Arts Center 500,000

Stichting Restauratie Atelier Limburg,
Maastricht, The Netherlands:

To support a pilot fellowship program for conservators
from India, in collaboration with the Metropolitan
Museum of Art 275,544

The Tate Gallery,
London, United Kingdom:

To support the establishment of a Tate Research
Centre focused on modern and contemporary art of
the Asia-Pacific region 750,000

**ART HISTORY, CONSERVATION,
AND MUSEUMS**

(continued)

Appropriated

University of British Columbia,
Vancouver, British Columbia:

To support a curator of the Asian collections and a
curatorial fellowship program in the Museum of
Anthropology 495,000

University of California at Berkeley,
Berkeley, California:

To support programs designed to provide an object-
based curriculum and curatorial training to graduate
students in art history 500,000

University of Cape Town,
Cape Town, South Africa:

To support an honors degree program in curatorial
studies developed by the Michaelis School of Fine
Art in collaboration with the Iziko Museums 792,533

University of Pennsylvania,
Philadelphia, Pennsylvania:

To support collaborative programs with the Philadelphia
Museum of Art to provide object-based and
curatorial training to art history graduate students . . 156,000

Walker Art Center, Inc.,
Minneapolis, Minnesota:

To support research on the Merce Cunningham
Dance Company archive 384,000

Wellesley College,
Wellesley, Massachusetts:

To support the joint position of new media art curator
in the Davis Museum and lecturer in the department
of art 500,000

ART HISTORY, CONSERVATION
AND MUSEUMS

(continued)

Appropriated

Worcester Art Museum,
Worcester, Massachusetts:

To support curatorial capacity in the American collection	500,000
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Yale University,
New Haven, Connecticut:

To support a series of museum-oriented graduate seminars focused on curatorial practice and technical art history	250,000
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Total—Art History, Conservation, and Museums	<u><u>\$27,716,811</u></u>
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CONSERVATION AND
THE ENVIRONMENT

Appropriated

Academy of Natural Sciences of Philadelphia,
Philadelphia, Pennsylvania:

To continue support for the development of a
coordinated digital database of images and
information on plants of the world \$ 96,000

Arizona State University,
Tempe, Arizona:

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

Association Tela Botanica,
Montpellier, France:

To continue support for the development of a
coordinated digital database of images and
information on plants of the world 336,000

Bergius Foundation at the
Royal Swedish Academy of Sciences,
Stockholm, Sweden:

To continue support for the development of a
coordinated digital database of images and
information on plants of the world 82,000

Botanische Staatssammlung München,
Munich, Germany:

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

To continue support for the development of a
coordinated digital database of images and
information on plants of the world 254,000

Carnegie Institution of Washington,
Washington, DC:

To continue support for a program of ecological
research and training in South Africa 491,000

CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

Conservatoire et Jardin Botaniques,
Geneva, Switzerland:

To continue support for the development of a
coordinated digital database of images and
information on plants of the world 998,000

Council of Heads of Australasian Herbaria,
Canberra, ACT, Australia:

To continue support for the development of a
coordinated digital database of images and
information on plants of the world 360,000

Field Museum of Natural History,
Chicago, Illinois:

To support digital reference materials and
conservation tools programs 1,200,000

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

Friedrich-Schiller-Universität Jena,
Jena, Germany:

To continue support for the development of a
coordinated digital database of images and
information on plants of the world 194,000

Georg-August-Universität Göttingen,
Göttingen, Germany:

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

Harvard University,
Cambridge, Massachusetts:

To continue support for the development of a
coordinated digital database of images and
information on plants of the world 258,000

CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

Innovation-Technical Center of Saint Petersburg
S. M. Kirov Forestry University "Geliantus,"
Saint Petersburg, Russia:

To support the development of a coordinated digital
database of images and information on plants of the
world 33,000

Institute for the Study of Earth and Man,
Dallas, Texas:

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

Institute of Botany of the Slovak Academy of Sciences,
Bratislava, Slovakia:

To support the development of a coordinated digital
database of images and information on plants of the
world 34,000

Instituto de Botánica Darwinion,
Buenos Aires, Argentina:

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

Instituto Nacional de Tecnología Agropecuaria,
Buenos Aires, Argentina:

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

Ithaka Harbors, Inc.,
New York, New York:

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

CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

Ivan Franko National University of L'viv,
L'viv, Ukraine:

To support the development of a coordinated digital database of images and information on plants of the world	32,000
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Jardín Botánico Nacional Dr. Rafael Ma. Moscoso,
Santo Domingo, Dominican Republic:

To support the development of a coordinated digital database of images and information on plants of the world	14,000
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Legal Personality of the National Botanic Garden
of Belgium,
Meise, Belgium:

To continue support for the development of a coordinated digital database of images and information on plants of the world	182,000
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The Linnean Society of London,
London, United Kingdom:

To continue support for the development of a coordinated digital database of images and information on plants of the world	133,000
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The M.G. Kholodny Institute of Botany
of the National Academy of Sciences of Ukraine,
Kiev, Ukraine:

To continue support for the development of a coordinated digital database of images and information on plants of the world	74,000
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Martin Luther University Halle-Wittenberg,
Halle, Germany:

To continue support for the development of a coordinated digital database of images and information on plants of the world	150,000
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CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

Missouri Botanical Garden,
St. Louis, Missouri:

To continue support for the development of a
coordinated digital database of images and
information on plants of the world 66,000

Museu Paraense Emílio Goeldi,
Belém-Pará, Brazil:

To support the development of a coordinated digital
database of images and information on plants of the
world 96,000

Muséum national d'Histoire naturelle,
Paris, France:

To continue support for the development of a
coordinated digital database of images and
information on plants of the world 504,000

Natural History Museum of Denmark,
Copenhagen, Denmark:

To continue support for the development of a
coordinated digital database of images and
information on plants of the world 100,000

The Natural History Museum,
London, United Kingdom:

To continue support for the development of a
coordinated digital database of images and
information on plants of the world 175,000

To continue support for the development of a
coordinated digital database of images and
information on plants of the world 96,000

Naturhistorisches Museum Wien,
Vienna, Austria:

To continue support for the development of a
coordinated digital database of images and
information on plants of the world 615,000

CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

New York Botanical Garden,
Bronx, New York:

To support the core activities of the garden's
library in conservation, collections management,
and exhibitions 1,200,000

To continue support for the development of a
coordinated digital database of images and
information on plants of the world 370,000

Princeton University,
Princeton, New Jersey:

To support a program of ecological research and
training in South Africa 250,000

Rancho Santa Ana Botanic Garden,
Claremont, California:

To continue support for the development of a
coordinated digital database of images and
information on plants of the world 150,000

Real Jardín Botánico de Madrid,
Madrid, Spain:

To continue support for the development of a
coordinated digital database of images and
information on plants of the world 207,000

The Royal Botanic Garden Edinburgh,
Edinburgh, United Kingdom:

To continue support for the development of a
coordinated digital database of images and
information on plants of the world 227,000

CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

Royal Botanic Gardens, Kew,
Richmond, United Kingdom:

To continue support for the development of a coordinated digital database of images and information on plants of the world	47,000
To continue support for the development of a coordinated digital database of images and information on plants of the world	717,000
To continue support for the development of a coordinated digital database of images and information on plants of the world	250,000

Smithsonian Institution,
Washington, DC:

To continue support for the development of a coordinated digital database of images and information on plants of the world	487,000
To continue support for the development of a coordinated digital database of images and information on plants of the world	222,000

South African National Parks,
Pretoria, South Africa:

To support a program of ecological research and training in South Africa	227,000
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Swedish Museum of Natural History,
Stockholm, Sweden:

To continue support for the development of a coordinated digital database of images and information on plants of the world	500,000
To continue support for the development of a coordinated digital database of images and information on plants of the world	229,000

CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

Universidad de Buenos Aires,
Buenos Aires, Argentina:

To continue support for the development of a
coordinated digital database of images and
information on plants of the world 5,000

Universidad Nacional de Córdoba,
Córdoba, Argentina:

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

Universidad Nacional de La Plata,
Buenos Aires, Argentina:

To continue support for the development of a
coordinated digital database of images and
information on plants of the world 12,000

University of California at Irvine,
Irvine, California:

To support a program of ecological research and
training in South Africa 93,000

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

To support a program of ecological research and
training in South Africa 111,000

University of Florida at Gainesville,
Gainesville, Florida:

To support a program of ecological research and
training in South Africa 115,000

University of Graz,
Graz, Austria:

To continue support for the development of a
coordinated digital database of images and
information on plants of the world 38,000

CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

University of Hamburg,
Hamburg, Germany:

To continue support for the development of a
coordinated digital database of images and
information on plants of the world 130,000

University of Helsinki,
Helsinki, Finland:

To continue support for the development of a
coordinated digital database of images and
information on plants of the world 210,000

University of Puerto Rico at Mayagüez,
Mayagüez, Puerto Rico:

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

University of Santiago de Compostela,
Galicia, Spain:

To support the development of a coordinated digital
database of images and information on plants of the
world 67,000

University of South Africa,
Pretoria, South Africa:

To support research on the history of science in
South African national parks 97,000

University of Vermont,
Burlington, Vermont:

To support the development of a coordinated digital
database of images and information on plants of the
world 49,000

CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

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

To continue support for the development of a coordinated digital database of images and information on plants of the world	584,000
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Total—Conservation and the Environment	<u><u>\$13,843,000</u></u>
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OTHER	<i>Appropriated</i>
3-Legged Dog, Inc., New York, New York:	
To support the continuation of postproduction work on two 3D films in the wake of Hurricane Sandy	\$ 73,000
Haleakala, Inc., New York, New York:	
To support the replacement or repair of building contents damaged during Hurricane Sandy	75,000
Martha Graham Center of Contemporary Dance, Inc., New York, New York:	
To support the restoration of sets, costumes, and posters damaged in the aftermath of Hurricane Sandy	100,000
New York Council for the Humanities, New York, New York:	
To support immediate relief efforts to assist humanities organizations in the aftermath of Hurricane Sandy	72,000
Printed Matter, Inc., New York, New York:	
To support immediate relief efforts in the aftermath of Hurricane Sandy	50,000
South Street Seaport Museum, New York, New York:	
To support immediate relief efforts to restore museum operations in the aftermath of Hurricane Sandy	100,000
Total—Other	\$ 470,000

CONTRIBUTIONS

Appropriated

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

To provide general support \$ 50,000

Foundation Center,
New York, New York:

To provide general support 35,000

GrowNYC,
New York, New York:

To provide general support for conservation and
preserving the environment in New York City 30,000

GuideStar USA, Inc.,
Williamsburg, Virginia:

To support GuideStar's membership program 25,000

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

To provide general operating support 75,000

Total—Contributions \$ 215,000

Matching Gifts \$ 1,020,344

Grand Total \$ 255,263,037

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, 2012 and 2011, and the changes in its net assets and its cash flows for the years then ended in conformity with accounting principles generally accepted in the United States of America. These financial statements are the responsibility of the Foundation's management. Our responsibility is to express an opinion on these financial statements based on our audits. We conducted our audits of these statements in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements, assessing the accounting principles used and significant estimates made by management, and evaluating the overall financial statement presentation. We believe that our audits provide a reasonable basis for our opinion.

PricewaterhouseCoopers LLP

May 28, 2013

The Andrew W. Mellon Foundation

Balance Sheets

December 31, 2012 and 2011

	<u>2012</u>	<u>2011</u>
	<i>(in thousands of dollars)</i>	
ASSETS		
Investments		
Marketable securities	\$ 1,641,132	\$ 1,671,867
Alternative investments	3,862,388	3,536,748
	<u>5,503,520</u>	<u>5,208,615</u>
Receivable (payable) from unsettled securities transactions, net	415	(43,120)
	<u>5,503,935</u>	<u>5,165,495</u>
Cash	192	3,351
Investment and other income receivable	2,641	3,709
Other assets	3,316	3,270
Taxes receivable	6,504	1,585
Property, at cost, less accumulated depreciation of \$25,353 and \$22,816 at December 31, 2012 and 2011, respectively	39,565	42,102
Total assets	<u>\$ 5,556,153</u>	<u>\$ 5,219,512</u>
LIABILITIES AND NET ASSETS		
Liabilities		
Grants payable	\$ 39,546	\$ 36,547
Accrued expenses, including interest payable . . .	9,297	10,320
Deferred federal excise tax	14,700	9,200
Borrowings under credit facility	40,000	—
Long term debt	<u>274,350</u>	<u>274,350</u>
Total liabilities	377,893	330,417
Net assets (unrestricted)	<u>5,178,260</u>	<u>4,889,095</u>
Total liabilities and net assets	<u>\$ 5,556,153</u>	<u>\$ 5,219,512</u>

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

The Andrew W. Mellon Foundation

Statements of Activities

Years Ended December 31, 2012 and 2011

	<u>2012</u>	<u>2011</u>
	<i>(in thousands of dollars)</i>	
INVESTMENT RETURN		
Gain (loss) on investments		
Realized, net	\$ 307,373	\$ 308,218
Unrealized, net	267,875	(287,292)
Interest	12,572	19,271
Dividends	12,021	16,000
	<u>599,841</u>	<u>56,197</u>
Less: Investment management expenses	(11,424)	(12,869)
Net investment return	<u>588,417</u>	<u>43,328</u>
EXPENSES		
Program grants and contributions, net	258,943	242,772
Grantmaking operations	13,971	13,268
Direct charitable activities	2,194	2,288
Investment operations	6,795	6,208
Interest	9,577	9,533
Current provision for taxes	7,324	7,190
Other expenses	448	373
	<u>299,252</u>	<u>281,632</u>
Change in net assets	289,165	(238,304)
NET ASSETS (UNRESTRICTED)		
Beginning of year	<u>4,889,095</u>	<u>5,127,399</u>
End of year	<u>\$5,178,260</u>	<u>\$4,889,095</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, 2012 and 2011

	<u>2012</u>	<u>2011</u>
	<i>(in thousands of dollars)</i>	
Cash flow from investment income and operations		
Change in net assets	\$ 289,165	\$ (238,304)
Adjustments to reconcile change in unrestricted net assets to net cash used by investment income and operations		
Realized gain on investments, net	(307,373)	(308,218)
Unrealized (gain) loss on investments, net	(273,375)	293,192
Decrease in investment and other income receivable	1,068	17
(Increase) decrease in other assets	(46)	191
(Increase) decrease in taxes receivable	(4,919)	1,772
Increase (decrease) in grants payable	2,999	(3,170)
Decrease in accrued expenses	(1,023)	(1,657)
Depreciation and amortization expense	2,536	2,643
Increase (decrease) in deferred federal excise tax payable	5,500	(5,900)
Net effect of bond amortization	1,188	707
Total adjustments	<u>(573,445)</u>	<u>(20,423)</u>
Net cash used by investment income and operations	<u>(284,280)</u>	<u>(258,727)</u>
Cash flow from investing activities		
Proceeds from sales of marketable securities		
Short-term	2,523,160	1,767,428
Other	2,965,526	3,511,077
Receipts from alternative investments	526,990	684,043
Purchases of marketable securities		
Short-term	(2,411,591)	(1,831,711)
Other	(2,860,707)	(3,275,023)
Purchases of alternative investments	<u>(502,257)</u>	<u>(596,447)</u>
Net cash provided by investing activities	<u>241,121</u>	<u>259,367</u>
Cash flow from financing activities		
Borrowings under credit facility	50,000	—
Repayment of credit facility borrowings	<u>(10,000)</u>	<u>—</u>
Net cash provided by financing activities	<u>40,000</u>	<u>—</u>
Net (decrease) increase in cash	(3,159)	640
Cash		
Beginning of year	3,351	2,711
End of year	<u>\$ 192</u>	<u>\$ 3,351</u>
<i>Supplemental disclosure of noncash investing activities</i>		
Distributions of securities received from alternative investments	<u>\$ 55,252</u>	<u>\$ 11,204</u>

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

The Andrew W. Mellon Foundation

NOTES TO FINANCIAL STATEMENTS

December 31, 2012 and 2011

1. ORGANIZATION AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

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

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

Investments

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

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

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

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

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

Level 3 Inputs that are unobservable.

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

Investments whose values are based on quoted market prices in active markets are classified as Level 1 and include active listed equities, options and certain short-term fixed

income investments. The Foundation does not adjust the quoted price for such instruments, even in situations where the Foundation holds a large position and a sale of all its holdings could reasonably impact the quoted price.

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

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

Realized gains and losses on investments in securities are calculated based on the first-in, first-out identification method. Included in receivable (payable) from unsettled securities transactions in the accompanying Balance Sheets are receivables of \$20.8 million and \$28.0 million from unsettled security sales at December 31, 2012 and 2011, respectively, net of payables from unsettled securities purchases of \$20.4 million and \$71.1 million at December 31, 2012 and 2011, respectively.

Grants

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

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

Taxes

The Foundation qualifies as a tax-exempt organization under Section 501(c) (3) of the Internal Revenue Code and, accordingly, is not subject to federal income taxes. However, the Foundation is subject to a federal excise tax. The Foundation follows the policy of providing for federal excise tax on the net appreciation (both realized and unrealized) of investments. The deferred federal excise tax in the accompanying financial statements represents tax provided on the net unrealized appreciation of investments. Under federal tax law the Foundation cannot carry forward realized losses resulting from the sale of investments. The Foundation is subject to income tax at corporate rates on certain income that is considered unrelated business income under the Internal Revenue Code. The Foundation's tax returns are subject to examination by federal and various state tax authorities. With few exceptions the Foundation is no longer subject to tax examinations for years prior to 2009.

Notes to Financial Statements, (continued)

Property

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

Investment Return

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

Expenses

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

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

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

The administrative expenses of distribution, including direct charitable activities, were \$16.2 million (6.3% of appropriated grants) in 2012, compared to \$15.6 million (6.7% of appropriated grants) in 2011.

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 2012 and 2011:

	<u>2012</u>	<u>2011</u>
	<i>(in thousands of dollars)</i>	
Program grants and contributions, net . .	\$258,943	\$242,772
Salaries, pensions and benefits	15,568	14,595
Interest	9,577	9,533
Current provision for taxes	7,324	7,190
Other operating expenses	7,840	7,542
	<u>\$299,252</u>	<u>\$281,632</u>

Use of Estimates

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

Reclassifications

Certain 2011 amounts have been reclassified to conform to the 2012 presentation.

2. INVESTMENTS

Investments held at December 31, 2012 and 2011 are summarized as follows:

	2012		2011	
	<i>Fair Value</i>	<i>Cost</i>	<i>Fair Value</i>	<i>Cost</i>
	<i>(in thousands of dollars)</i>			
Equities	\$1,067,874	\$ 924,253	\$ 997,629	\$ 976,922
Fixed income	441,168	426,838	431,778	435,646
Short-term	132,011	132,009	243,485	243,486
Derivative financial instruments	79	641	(1,025)	(581)
	<u>1,641,132</u>	<u>1,483,741</u>	<u>1,671,867</u>	<u>1,655,473</u>
Alternative investments . . .	<u>3,862,388</u>	<u>3,281,728</u>	<u>3,536,748</u>	<u>3,089,046</u>
	<u>\$5,503,520</u>	<u>\$4,765,469</u>	<u>\$5,208,615</u>	<u>\$4,744,519</u>

The classification of investments by level within the valuation hierarchy as of December 31, 2012 is as follows:

	<i>Quoted Prices (Level 1)</i>	<i>Significant Observable Inputs (Level 2)</i>	<i>Significant Unobservable Inputs (Level 3)</i>	<i>Total</i>
	<i>(in thousands of dollars)</i>			
Marketable securities	\$ 614,497	\$1,026,635	\$ —	\$1,641,132
Alternative investments . . .		273,793	3,588,595	3,862,388
Receivable from unsettled securities sales, net	415	—	—	415
	<u>\$ 614,912</u>	<u>\$1,300,428</u>	<u>\$3,588,595</u>	<u>\$5,503,935</u>

The classification of investments by level within the valuation hierarchy as of December 31, 2011 is as follows:

	<i>Quoted Prices (Level 1)</i>	<i>Significant Observable Inputs (Level 2)</i>	<i>Significant Unobservable Inputs (Level 3)</i>	<i>Total</i>
	<i>(in thousands of dollars)</i>			
Marketable securities	\$ 761,060	\$ 910,807	\$ —	\$1,671,867
Alternative investments . . .	—	288,816	3,247,932	3,536,748
Payable from unsettled securities purchases, net	(43,120)	—	—	(43,120)
	<u>\$ 717,940</u>	<u>\$1,199,623</u>	<u>\$3,247,932</u>	<u>\$5,165,495</u>

Notes to Financial Statements, (continued)

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

	2012		2011	
	<i>Alternative Investments</i>	<i>Marketable Securities</i>	<i>Alternative Securities</i>	<i>Alternative Investments</i>
	<i>(in thousands of dollars)</i>			
Balance at January 1	\$3,247,932	\$ 715	\$3,242,177	
Transfer	41,731	—	(46,606)	
Net realized gains	203,246	120	189,010	
Income	51,717	—	10,489	
Purchases	502,257	570	596,447	
Distributions/redemptions	(582,242)	(1,301)	(695,247)	
Net unrealized gains (losses)	123,954	(104)	(48,338)	
Balance at December 31	<u>\$3,588,595</u>	<u>\$ —</u>	<u>\$3,247,932</u>	

Net unrealized gains included in the Statements of Activities for investments designated as Level 3 and held at December 31, 2012 and 2011 were \$123.9 million and \$10.8 million, respectively.

Set forth below is additional information pertaining to alternative investments as of December 31, 2012 and 2011:

	<i>Fair Value 2012</i>	<i>Fair Value 2011</i>	<i>Redemption Frequency</i>	<i>Redemption Notice Period</i>
		<i>(in thousands of dollars)</i>		
Equity long only (1)	\$ 264,275	\$ 185,382	Quarterly	30-90 Days
Equity long/short (2)	373,246	313,290	Quarterly/ Annually	30-60 Days
Diversified (3)	924,377	822,160	Quarterly/ Annually	45-180 Days
Private partnerships (4)	<u>2,300,490</u>	<u>2,215,916</u>		
	<u>\$3,862,388</u>	<u>\$3,536,748</u>		

- (1) This category includes investments in funds that invest in equity securities and derivatives in domestic and international markets, including emerging markets. The Foundation estimates that approximately 77% of the value of these funds can be redeemed within 18 months. There are no unfunded commitments in this category.
- (2) This category includes investments in funds that invest long and short in domestic and international securities, primarily equity securities. The Foundation estimates that approximately 87% of the value of these funds can be redeemed within 18 months. There are no unfunded commitments in this category.
- (3) This category includes investments in funds that invest in a variety of privately held and publicly available securities, including equities, corporate and government bonds, convertibles, asset backed and derivatives, and includes investments in domestic and international markets. The Foundation estimates that approximately 85% of the value of these funds can be redeemed within 18 months. There are no unfunded commitments in this category.

- (4) This category includes investments in private equity, venture capital, buyout, credit opportunity, real estate and energy-related funds. These funds invest both domestically and internationally across a broad spectrum of industries. Generally these funds cannot be redeemed; instead, the nature of the investments is that distributions will be received as the underlying investments of the fund are liquidated. Unfunded commitments at December 31, 2012 were \$907 million, compared to \$956 million at December 31, 2011.

Through certain investment managers, the Foundation is a party to a variety of interest rate swaps and options. The extent of the Foundation's involvement in these instruments is determined by the composition of the investment portfolio and the investment managers' expectations as to the direction and volatility of equity and fixed income markets as well as other economic factors. At December 31, 2012, approximately \$3.7 million in assets and \$3.2 million in liabilities related to these financial instruments are included in derivative financial instruments. At December 31, 2011, approximately \$477 thousand in assets and \$1.6 million in liabilities related to these financial instruments were included in derivative financial instruments.

Through certain investment managers, the Foundation purchases and sells forward currency contracts whereby the Foundation agrees to exchange one currency for another on an agreed-upon date at an agreed-upon exchange rate to minimize the exposure of certain of its marketable securities to adverse fluctuations in financial and currency markets. At December 31, 2012, the Foundation had open foreign currency contracts with notional amounts of approximately \$37.3 million in assets and \$37.8 million in liabilities included in derivative financial instruments. At December 31, 2011, the Foundation had open foreign currency contracts with notional amounts of approximately \$94.4 million in assets and \$94.2 million in liabilities included in derivative financial instruments. All of these derivative financial instruments are carried at fair value, and changes in fair value are recognized currently in the Statements of Activities.

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

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

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

3. DEBT

At December 31, 2012, long term debt consists of \$230 million of bonds with a maturity date of August 1, 2014 (the "Fixed Rate Bonds") and \$44.4 million of bonds with a maturity date of December 1, 2032 (the "Variable Rate Bonds").

The Fixed Rate Bonds bear a 3.95% fixed rate of interest, payable semi-annually. The bonds may be redeemed at any time by the Foundation at a price equal to the greater of (i) 100% of the principal amount, and (ii) the sum of the present value of the remaining scheduled payments of principal and interest. The Foundation estimates that the fair value of the Fixed Rate Bonds at December 31, 2012 and 2011 was \$242.6 million and \$247.9 million, respectively. Interest incurred, exclusive of amortization of deferred bond issuance costs, for the Fixed Rate Bonds was \$9.1 million for both 2012 and 2011.

Notes to Financial Statements, (continued)

Interest for the Variable Rate Bonds is reset weekly by the Foundation's bond agent. Bond holders have the right to tender their bonds to the bond agent weekly, and the agent has an obligation to remarket such bonds. Bonds that cannot be remarketed must be redeemed by the Foundation. The Foundation believes that the fair value of the Variable Rate Bonds approximates their book value. The average interest rate applicable in 2012 for the Variable Rate Bonds was 0.17% and in 2011 was 0.22%. Interest incurred, exclusive of amortization of deferred bond issuance costs and fees, was \$75 thousand and \$98 thousand in 2012 and 2011, respectively.

In connection with the Variable Rate Bond offering, the Foundation entered into a \$30 million dedicated line of credit agreement. Borrowings, if any, under this line of credit are at the discretion of the Foundation and are to be used solely to fund redemption requirements of the Variable Rate Bonds. The line of credit agreement expires on September 8, 2014. The annual commitment fee is 0.25%. As of December 31, 2012 and 2011, there were no borrowings outstanding under the line of credit.

On April 30, 2012, the Foundation entered into a two year secured revolving line of credit agreement ("Credit Agreement") which permits the Foundation to borrow up to \$60 million with an option to borrow up to \$75 million. At December 31, 2012, borrowings of \$40 million were outstanding under the Credit Agreement. Borrowings under the Credit Agreement are to be used to pay grants or other qualifying distributions. The interest rate on borrowings is LIBOR plus 35 basis points and the annual commitment fee is 0.10%. One of the Foundation's managed accounts valued at \$158.9 million, as of December 31, 2012, has been pledged to secure borrowings under the Credit Agreement. The pledged account is included in Marketable Securities in the accompanying Balance Sheet. The \$40 million of borrowings were fully repaid on February 15, 2013. On March 26, 2013, the Foundation borrowed \$65 million under the Credit Agreement, which was fully repaid on May 28, 2013.

4. TAXES

The Internal Revenue Code imposes an excise tax on private foundations equal to two percent of net investment income (principally interest, dividends, and net realized capital gains, less expenses incurred in the production of investment income). This tax is reduced to one percent when a foundation meets certain distribution requirements under Section 4940(e) of the Internal Revenue Code. The Foundation was subject to the two percent rate in 2012 and 2011. 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 state and federal taxes on unrelated business income and a deferred provision on the change in unrealized appreciation of investments. The current tax provision for 2012 comprises \$5.7 million for federal excise tax on net investment income and \$1.6 million in federal and state taxes on unrelated business income. The current tax provision for 2011 comprises \$6.5 million for federal excise tax on net investment income and \$698 thousand in state and federal taxes on unrelated business income. The change in unrealized appreciation in 2012 and 2011 reflected on the Statement of Activities includes a deferred tax provision of \$5.5 million in 2012 and a deferred tax benefit of \$5.9 million in 2011 based on change in net unrealized appreciation of investments at two percent. Taxes paid; net of refunds, in 2012 and 2011 were \$12.2 million and \$5.4 million, respectively.

5. GRANTS, CONTRIBUTIONS, AND COMMITMENTS

The following table of grant activity by major program area includes all grant appropriations approved during 2012.

	<i>Payable and Committed December 31, 2011</i>	<i>2012 Grants and Commitments</i>		<i>Payable and Committed December 31, 2012</i>
		<i>Appropriated</i>	<i>Paid</i>	
		<i>(in thousands of dollars)</i>		
Higher Education and Scholarship	\$22,145	\$132,561	\$135,566	\$19,140
Scholarly Communications and Information Technology	3,074	29,169	28,804	3,439
Performing Arts	9,472	50,268	49,238	10,502
Art History, Conservation and Museums	15,734	27,717	30,868	12,583
Conservation and the Environment	1,392	13,843	11,925	3,310
Other (1)	—	470	470	—
Program grants and commitments — totals	51,817	254,028	256,871	48,974
Contributions and matching gifts	—	1,235	1,235	—
	<u>\$51,817</u>	<u>\$255,263</u>	<u>\$258,106</u>	<u>\$48,974</u>

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

Grant and grant commitment activity is summarized below.

	<i>2012</i>	<i>2011</i>
	<i>(in thousands of dollars)</i>	
Grants payable		
Grants payable at January 1	\$ 36,547	\$ 39,717
Grant expense	261,105	243,679
Less: Grants paid	(258,106)	(246,849)
Grants payable at December 31	<u>\$ 39,546</u>	<u>\$ 36,547</u>
Net grant expense		
Unconditional grants	\$ 226,221	\$ 202,330
Conditional grants meeting conditions for expense	34,884	41,349
	261,105	243,679
Less: Grant refunds	(2,162)	(907)
Net grant expense at December 31 . . .	<u>\$ 258,943</u>	<u>\$ 242,772</u>
Grant commitments		
Grant commitments at January 1	\$ 15,270	\$ 27,171
Conditional grants appropriated	29,042	29,448
Less: Grants meeting conditions for expense	(34,884)	(41,349)
Grant commitments at December 31 . .	<u>\$ 9,428</u>	<u>\$ 15,270</u>

Notes to Financial Statements, (continued)

6. OTHER SERVICES

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

- Ithaka provides information technology services to the Foundation. In 2012 and 2011, Ithaka charged \$768 thousand and \$760 thousand, respectively, to the Foundation for these services.
- The Foundation provides office space, free of charge, to Ithaka and ARTstor in a building owned by the Foundation in New York City. Under the terms of the building lease, which expires December 31, 2014, office space is provided rent free; however, Ithaka and ARTstor assume certain building operating costs.

7. SUBSEQUENT EVENTS

The Foundation has evaluated subsequent events through May 28, 2013 and believes no additional disclosures are required in its financial statements.