

The Andrew W. Mellon Foundation

Report
from January 1, 2008
through December 31, 2008

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As of December 31, 2008

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

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

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

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

PRESIDENT'S REPORT

Readers of the Foundation's Annual Report for 2007 will note that as of December 31, 2007, the Foundation's net assets stood at \$6.0 billion. Readers of the present Annual Report for 2008 will note that as of December 31, 2008, the Foundation's net assets stood at \$4.1 billion. In the course of 2008, the Foundation incurred \$342 million in expenses, primarily grants. The result is that, net of grants, contributions, and other expenses, the Foundation's net assets declined by \$1.9 billion or approximately 32 percent. These are the stark facts. Unfortunately, they will sound familiar to those who follow the affairs of foundations, colleges, and universities with large endowments.

The Foundation is required to grant annually 5 percent of the average of its monthly balance of assets. Since the decline in the markets was precipitous and confined largely to the last quarter of the year, the average monthly balance was substantially higher than the ending balance for the year. Furthermore, most commitments for the year were already in place by the beginning of the fourth quarter. Since the Foundation was unwilling to withdraw from any of those commitments, the total grants and allowable expenses actually rose well above the 5 percent requirement.

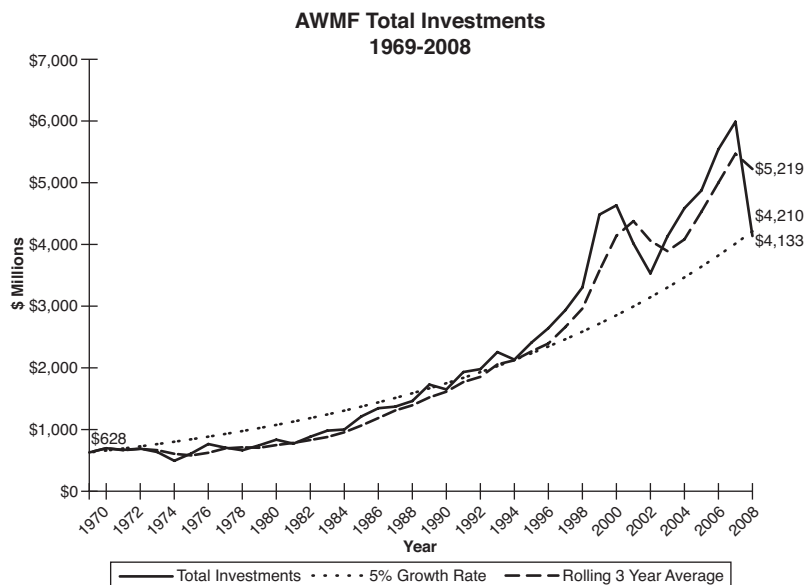
The budget for 2009 was first planned in the last quarter of 2008, and markets have continued to fall into the first quarter of 2009. The result is that we have felt it necessary to reduce our grantmaking budget for 2009 by approximately 10 percent, but this will allow the spending rate to remain well above the required 5 percent, depending on how markets perform for the remainder of the year. The grantmaking budget for 2009 is now set approximately equal to that for 2006, which means that despite the recent declines, the Foundation has not been forced back to some much earlier era and that instead, the years immediately preceding the recent decline should be seen as aberrationally good.

A less well understood requirement for foundations stipulates that a target spending rate for any given year be an average of the actual spending rates of the preceding five years. A failure to reach that target rate subjects a foundation to an additional 1 percent excise tax on its investment gains. This has a slightly perverse effect, for it in the end encourages a foundation always to stay close to the 5 percent amount rather than let it rise in declining markets when, as at present, the needs of grantees are greatest. A much better scheme would be one that allowed foundations to fall below the 5 percent

when investment returns are exceptionally high, as in recent years, so as to let the spending rate substantially exceed the 5 percent in periods of market declines like the present. Such a smoothing mechanism would certainly be best for grantees. But in periods of strong investment returns, the outcry from some quarters is only about how foundations should be obliged to spend more. The result of such a policy can only be that in periods of weak or indeed negative returns, they will spend less, to the detriment of those they wish to help.

One should not forget the immortal remark of John Maynard Keynes that in the long term we are all dead. But the kinds of institutions that the Mellon Foundation supports—colleges, universities, and cultural institutions—all exist to serve society in the long term and will thus need the support of this foundation and other donors over long periods of time. It is thus in society's interest to make this support as stable as possible. As we all know, very different stories can be told on the basis of figures for the economy and the markets covering periods of different lengths. And then there is the question of whether the future can in any sense be counted on to conform to the past. David Hume and Keynes, among others, had a good deal to say about this that might make a person cautious.

Nevertheless, it is at least interesting to consider the history of the Mellon Foundation's assets from its founding in 1969 until the end of 2008. The accompanying graph shows assets at year end for the period, net of all grants and expenses. The ups and downs of recent decades are all more or less where one would expect them. On a separate line, the graph also takes the initial corpus and inflates it at the rate of 5 percent per annum. Throughout this period, inflation averaged 4.5 percent. This line, then, shows what the Foundation's assets would need to be in order to remain essentially constant in real terms. Several conclusions could be drawn.



The enormous losses of recent months have only now begun to wipe away the enormous gains of the last few years to the point of returning the Foundation's assets, in real terms, to what they were at the outset. Clearly, in the recent period of striking gains, the Foundation was able to make grants at levels that were historically very high in terms of dollars. And one might conclude that in such periods one could, or perhaps should, raise the level of grantmaking to still higher levels so as to keep asset levels closer to their original value in real terms rather than appear to be accumulating great wealth. But that then poses the question of how one ought to prepare for the inevitable periods of declining investment performance and what one ought to do when such periods arrive. Everything is in the timing. But timing has proved notoriously difficult.

Public policy ought to look to the long term, and this suggests that the first priority might better be to begin by enabling the spending of foundations to grow annually at some rate at or above inflation, independent, to the extent possible, of the fluctuations of the financial markets. This would require allowing foundations to apply spending rates within some band rather than require a fixed rate in good times and bad. The current 5 percent requirement in fact assumes rather good times, to which many people became habituated in the face of historical evidence to the contrary. In order for a foundation to maintain the real value of its assets and thus

be able to provide constant levels of support, it would need to achieve investment gains equal to the 5 percent plus the rate of inflation. This would require investment gains of as much as 8 to 10 percent year in and year out. There are many who believe that in the current circumstances, returns for a number of years may more likely be in the range of 5 or 6 percent. At that rate, the assets of foundations will decline in real terms and with that their ability to maintain real levels of support to grantees.

One might even wish to enable foundations to increase their levels of support precisely in periods in which investment gains are low and in which the needs of grantees are likely to be greater. This would require allowing foundations to lower the percentage rate in times of exceptionally high returns so as to have in place the necessary resources with which to maintain grant levels in the inevitable periods of declining returns. In terms of the graph above, the goal would be to enable the line representing total assets to remain at or above the line representing real value over time. But how much above should that line be allowed to go?

The problem will again be one of timing and of framing a reasonable estimate of the likely band within which investment returns will fluctuate. That too will be difficult, and it is probable that no estimate put in place before the last quarter of 2008 would have been likely to be able neatly to accommodate the declines in the financial markets experienced since then. This is a subject to which I shall return. Setting aside for the moment such extremes, however, a better approach to the spending requirement might be to base it on rates of investment return rather than on total assets. Presumably the public has no interest in forcing foundations in the direction of liquidation, as with a requirement to spend a fixed percentage of total assets in periods of investment returns lower than the spending requirement. Simultaneously, the public might reasonably expect that, granted the ability of foundations to be prepared for downturns, foundations could be expected to increase their giving in relation to increases in their returns when these are especially strong.

All of this raises deeper questions about public policy and the environment in which foundations operate. To begin with, we must assume that foundations will be regulated in ways that can assure the public that the tax benefit that they enjoy in fact serves the public and that abuses such as self-dealing will be strictly prohibited. But this should not be confused with attempts to legislate the particular activities and institutions that foundations are allowed to support.

In the recent period of extraordinary investment returns, there were cries in some quarters to require foundations (and university endowments, which have some similar characteristics but operate under somewhat different requirements) to spend more than the 5 percent and to spend more to benefit certain segments of society and regions of the country. There is now a movement in place to require foundations to spend 50 percent of their giving on the needs of racial and ethnic minorities. Imagine that such a requirement were to be imposed on the Mellon Foundation. That 50 percent would need to be taken from somewhere. Who would suffer in consequence? Since the Foundation's single largest program is in support of graduate education and research in the humanities, often through fellowships for graduate students and postdoctoral fellowships for recent PhDs, the Foundation would be forced to withdraw at least some of its support for these young scholars, whose sources of support are quite scarce. What sort of public policy would it be to say that the amelioration of certain social ills ought to be carried out by further impoverishing graduate students and recent PhDs in the humanities?

The Mellon Foundation does, of course, understand very well some of the social ills in question, and it has a long record of supporting educational institutions in poor, rural areas, historically black institutions, and programs aimed at increasing the diversity of the nation's graduate schools and its professoriate. But no one foundation can attend to every social ill, and it ought to be a feature of our democracy that private philanthropies are free to concentrate their efforts in domains where they have expertise and can hope to make a difference in the absence of robust governmental support.

Here the public policy question comes down to defining the responsibility of government in the first instance and the methods by which the government ought to fulfill those responsibilities. This in turn comes down to the degree to which and the means by which income is to be redistributed. No one should be deceived that the government does not now and has not always engaged in income redistribution. The only questions are how much and for what purposes.

If the public and its elected representatives determine that more money should be devoted to alleviating the ills of certain segments of society or regions of the country, whether those ills are the lack of adequate food, shelter, health care, or education, that money

will need to be taken from those people who are believed to have it to give. Is it reasonable, then, to decline to raise taxes on those thought to have the money to give while imposing requirements for how to give on those generous enough to do so on their own initiative through the creation of foundations? It might be claimed that this generosity is enabled by the public through tax deductions, thus giving the public and its elected representatives a stake in the goals of that generosity. In this context, however, it should be remembered that, at present federal rates of taxation, only about 35 cents of the dollar given in order to create a foundation belong in any sense to the public, while the remaining 65 cents really do count as private generosity. To force the spending of some part of that 65 cents directly or indirectly on something taken to be a particular public purpose obliges the generous to assume a burden in the name of the public while liberating the less generous to spend their 65 cents on whatever they choose, including conspicuous consumption. This might reasonably be thought to be simply unfair. It is at a minimum an awkward and inefficient method for meeting the public's responsibilities, whatever they may be thought to be.

To repeat, foundations should be carefully regulated. A broad framework, like the present one, should be in place to ensure that the public good is served by philanthropy that is encouraged and in part supported by the tax-paying public. Fraud and abuse should be prosecuted. But this is different from pressing that regulation to the point of forcing on private philanthropy responsibilities that ought to be borne more broadly.

Any discussion of the ways in which foundations should be regulated necessarily raises still broader questions about how the government goes about redistributing wealth and how it regulates the creation of that wealth in the first place. The current financial turmoil, with its unfortunate effects on foundations and other charitable organizations and on the people and groups that these organizations serve, could reasonably be thought to derive from insufficient regulation of the means by which wealth is allowed to be accumulated. This is not the place to take up such a topic. But it does bear on the character of the nation's intellectual life, and that is something that the Mellon Foundation cares a great deal about and works to enhance.

A good deal of the present difficulty is easily attributable to an insufficient appreciation of the study of history. We are a nation with a short attention span and limited memory. And we are now repeat-

ing—and in danger of continuing to repeat—certain mistakes of the past, except that, because of the interconnectedness of the world today, the consequences of these mistakes are amplified and propagated faster than anything we have imagined heretofore. For all that our present circumstances are in many ways unprecedented, history has not been repealed—not the history of our own economy and not the history of our relations to the rest of the world’s peoples or the history of their relations with one another.

In the midst of a great deal of talk about the value of investing in physical infrastructure for its own sake and as a means to stimulating the economy, we must bear steadily in mind the continuing need for an investment in the nation’s deep intellectual infrastructure. There are many hard, practical reasons for doing this. A nation of people with a deeper sense of history’s excesses and miseries might be a good deal better at avoiding them in the future. Such a nation might be more willing to place limits on its short-term gains (not to say greed) for the sake of a more sustainable prosperity for a much greater fraction of the population.

Of course, we are not speaking here about an old-fashioned study of history, the absence of which from school curricula is often lamented. We are speaking about a study of history that questions received mythologies rather than merely repeating and reinforcing them. Compelling youth to memorize more of the names and dates that their elders know (or rather, perhaps knew at one time) is not the issue. What is at issue is developing a quality of mind—a way of going about the world—that is driven by an unquenchable desire to know more, a deep appreciation of the limits of what one knows at any given moment, and a steady insistence on questioning received opinion for the sake of forming a better one. Not even every historian has this quality of mind. What we are speaking about, then, requires broad attention to the ways in which people are educated from their earliest days through whatever formal education they will receive and even beyond. Making more undergraduates take more courses even from the best historians will not be sufficient, however desirable that might be. We know too many people who had those very courses as undergraduates without seeming to have developed the desired quality of mind.

The field on which this challenge must be engaged stretches from early childhood through to graduate school and beyond. And it is not only about studying history in appropriate ways. It is about studying—experiencing—all of the arts and humanities. It is also about

studying science. When we lament the state of the humanities in society, even when we are not simply whining about it, we lament, underneath it all, the very same thing that thoughtful scientists lament about the state of their disciplines and the degree to which they are and are not appreciated by the general public. This lament concerns the scarcity of that quality of mind that drives individuals to want to become scientists or humanists or artists or at least to be in some way engaged with those pursuits no matter how they earn their living.

In times of economic stress like the present, of course, the public is likely to focus on practical matters, and the humanities and the arts will thus be asked to justify themselves in practical terms. There are powerful justifications of this type. The arts are especially easy to justify in these terms, and there are many serious studies that demonstrate the contribution to local economies of strong arts institutions. The City of New York is perhaps the most powerful case in point, but the same story could be told in other cities as well. Cultural institutions not only create their own jobs, they contribute to the creation of all of the jobs that result from the flow of visitors to those institutions. Their contribution to the gross domestic product is thus clear, and when foreign visitors are taken into account, they contribute to an improvement in the balance of trade and the strength of the dollar. Who could ask for more than that, even—or especially—in times of economic stress?

The case for the humanities in these terms has been somewhat harder to make, and this has sometimes been lamented by humanists. There are, nevertheless, powerful practical reasons for supporting many of the things that humanists do. A deep knowledge of other times and places and peoples is crucial to the nation's fortunes, even if less easily quantifiable and if observable only over longer spans of time than the public can be patient with. No one who has had a sustained engagement with the humanities can imagine life without it, nor could such a person deny the powerful effect of that engagement on the ways in which they have gone about daily life and earning a living. One could even speak of job creation and contributions to the national defense, as indeed we did decades ago in the period when graduate study in the humanities received some support under the National Defense Education Act.

The essential point, however, is that everyone in society deserves to live a life that entails more than physical well being and the consumption of worldly goods. Sustainable peace and prosperity, and

even more important, the profound happiness (as opposed to mere pleasure) that Aristotle describes as deriving from the contemplative life, require the vigorous presence of the humanities and the arts in society. To bring this about, humanists, artists, scientists, and thoughtful people in every walk of life will need to set aside all temptation to be envious and instead work tirelessly together for the common good. And we will all need to understand the importance of collaboration across not only our individual disciplines but across all of the ages of our citizens. In the end, university professors and even great artists have limited power over lives that have not been appropriately stimulated and prepared from an early age. Not every educational institution or foundation can attend effectively to every segment of this spectrum. But every one will need to appreciate, and support in whatever degree is appropriate, the efforts of the others.

The Mellon Foundation has concentrated its efforts on one part of the spectrum of human life. We support higher education in the humanities and the arts and the cultural institutions that bring the humanities and the arts into public life. We know that without effective K-12 education, and without effective preschool education, and without supportive and effective parenting, we cannot alone enrich broadly the nation's intellectual life and give more people the experience of some of what makes life most worth living. But this does not diminish the importance of the kinds of activities and institutions that we support. And given the relative frailty of society's support for these activities and institutions, especially in times of economic difficulties, we believe that we are called upon for more steadfast and disciplined support of these activities and institutions than ever.

Don M. Randel
April 2009

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In the pages that follow, the Foundation's program staff offer summary accounts of their activities in 2008. The section on Mellon Mays Undergraduate Fellowships and Diversity Initiatives reflects the exemplary leadership of Lydia L. English, who retires from her position in June of 2009. She has brought extraordinary ability and dedication to these programs since joining the Foundation in 1999, and her work is deeply admired by the hundreds of students and pro-

professionals who have participated in the program. She will be succeeded in this important work, to which the Foundation maintains a steadfast commitment, by Carlotta M. Arthur, who will also oversee the Foundation's support of Historically Black Colleges and Universities. The remainder of this report consists of an essay on The Foundation's Scholarly Communications program, a compilation of the Foundation's grants for 2008, and its annual financial statements.

Research Universities and Humanistic Scholarship

Grants in this area, which are overseen by Harriet Zuckerman and Joseph S. Meisel, have three principal objectives: to support scholars' training and research, mainly through fellowship programs for graduate students and faculty members; to assist institutions that sustain scholarship in the humanities, including universities, centers for advanced study, and a number of specialized institutes; and to encourage innovative research that may advance humanistic scholarship in promising directions. In practice, many individual grants combine at least two, and some all three, of these goals.

In 2008, consistent with the Foundation's increased emphasis on graduate education (described in the previous two *Annual Reports*), two highly competitive national fellowship programs for dissertation research in the humanities and related social sciences were renewed: the International Dissertation Research Fellowships awarded by the Social Science Research Council (SSRC) and the Fellowships for Dissertation Research in Original Sources awarded by the Council on Library and Information Resources. SSRC also received funds to continue its new Dissertation Proposal Development Fellowships, combining summer pre-dissertation research funding with intensive workshops, in selected fields, designed to assist fellows in sharpening the questions they intend to address. Awards to Brown University, Northwestern University, the University of Michigan, and the University of Pennsylvania continued the Foundation's series of endowment grants for notable centers of doctoral education in the humanities. Substantial spendable awards were also made to strengthen graduate programs at Brandeis and Rutgers universities.

Programs that support scholars are intended to recognize and encourage leading humanists at various stages of their careers. Three recent recipients of Distinguished Achievement Awards—the literature scholar Peter Brooks, and the historians William V. Harris and Thomas Laqueur—are now extending their scholarly contributions even more broadly than before at their institutions and in their fields.¹ An additional crop of more junior New Directions fellows were chosen to pursue rigorous training in the new fields required by their current research.² Emeritus Fellowships continue to demonstrate the productive role that the academy’s most senior members can play in the advancement of scholarship.³ Postdoctoral fellowships are ever more important in an era of limited job opportunities. The fellows advance their research and acquire teaching experience while helping to expand curricular offerings and invigorate universities’ intellectual life. With the addition of the Massachusetts Institute of Technology, McGill University, and Tulane University in 2008, the Foundation has now sponsored postdoctoral programs at 29 research universities since 1995.

Notwithstanding the “lone-scholar” stereotype often applied to humanists and the frequent calls for them to emulate scientists by undertaking multi-disciplinary and group research, scholars in the humanities regularly work with colleagues both in their own and in other fields in a variety of ways. Even so, existing institutional arrangements for judging scholarly contributions, allocating teaching credit, and apportioning research funding provide limited incentives for collaboration in the humanities. In response, the American Council of Learned Societies, with the Foundation’s support, now offers joint fellowships and additional resources for two or more scholars to work together intensively on a shared project.⁴

¹ The press release announcing these awards can be viewed at: http://www.mellon.org/news_publications/announcements-1/2007-distinguished-achievement-award-recipients-named/.

² A full list of recipients is available at: http://www.mellon.org/grant_programs/programs/higher-education-and-scholarship/new-direction-fellowships/#Recipients.

³ A full list of fellows is available at: http://www.mellon.org/grant_programs/programs/higher-education-and-scholarship/emeritus-fellowships/#Recipients.

⁴ A description of the program is available on the ACLS website, at: <http://www.acls.org/grants/Default.aspx?id=3154>.

The John E. Sawyer Seminars on the Comparative Study of Cultures provide another example of the Foundation's long history of supporting groups of scholars engaged in innovative work. Eleven proposals were selected in 2008, all involving collective multi-disciplinary inquiry.⁵ Other highly promising collaborations funded in 2008 include the ambitious project organized by a group of intellectual historians and historians of science at the University of Oxford on "Cultures of Knowledge: An Intellectual Geography of the 17th-Century Republic of Letters." It will investigate and document the heretofore relatively inaccessible correspondence networks that connected the widely dispersed and sometimes highly mobile figures in this period who were at the forefront of studying the natural world. Through these efforts, this contemporary network of scholars, librarians, and technology specialists promises to produce a vastly richer understanding of the world of early modern thought, including the "scientific revolution" and extending well beyond it.

In a different way, collaboration and the development of fields of inquiry are at the core of the Monographs Initiative, organized jointly with the Foundation's Scholarly Communications program. It seeks to facilitate collective efforts by university presses to increase the number of first monographs that are published in humanistic fields for which publishing opportunities are limited (see last year's *Annual Report*). Three projects received funding in 2008. Fordham University Press and the presses of the universities of California, Pennsylvania, Virginia, and Washington will publish more books on literature in modern foreign languages than would otherwise have been possible. The University of Arizona Press together with the Oregon State University, University of Minnesota, and University of North Carolina presses will increase the number of monographs by new authors that each press publishes in indigenous studies. And the University of Illinois Press will work with the University of Mississippi and University of Wisconsin presses in folklore studies. Despite the high promise of these projects, the planned third round of this program has been postponed in order to assess the full impact of the economic downturn on the university press community. The ability of university presses to fulfill, and to strengthen their

⁵ A list of funded Sawyer Seminars and their principal organizers is available at: http://www.mellon.org/grant_programs/programs/higher-education-and-scholarship/john-e-sawyer-seminars-on-the-comparative-study-of-cultures/#FundedSeminars.

critical role as cultivators and disseminators of humanistic scholarship is an ever greater concern. While it is unclear whether it will make sense under foreseeable circumstances to resume the Monograph Initiative as originally conceived, as described in the accompanying essay on the Scholarly Communications program, the Foundation remains open to inquiries from groups of presses that are interested in and able to pursue collaborative projects in scholarly publication.

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

The Foundation's Liberal Arts Colleges program, led by, Philip Lewis, Eugene Tobin, and Carlotta Arthur, provides multi-year grants to liberal arts colleges. For the most part, the program's grants support academic work in the humanities and humanistic social sciences in a select group of approximately 70 colleges. The program also embraces ongoing efforts, directed by Ms. Arthur, to strengthen the private Historically Black Colleges and Universities (HBCUs) affiliated with UNCF (the United Negro College Fund, Inc.) and the group of colleges belonging to the Appalachian Colleges Association (ACA). In 2008, the program stepped up its efforts to work with groups of colleges that form regionally based consortia, encouraging them to collaborate in a variety of projects and programs that serve their mutual interests and in some cases inviting proposals for endowment grants.

In addition to assisting colleges with their efforts to promote faculty development and to build academic programs, in recent years the Liberal Arts Colleges program has emphasized three important grantmaking categories—postdoctoral fellowships, environmental studies, and curricular mapping—that are expected to remain hallmarks for the next several years.

- The curricular mapping initiative, which builds on the work of faculty at the University of California at Berkeley's Townsend Center for the Humanities, seeks to sustain broad and coherent liberal education for juniors and seniors outside their majors. It calls on a college faculty to construct conceptual pathways or networks within the existing curriculum that will guide students' choices or inspire them to look for such threads on their own.
- The numerous grants providing for postdoctoral fellowships offer vitally important opportunities for pedagogical training and

gainful employment to new PhD-recipients in the humanities while enabling colleges to enrich their curricula and diversify their faculties. They also serve to promote the pursuit of scholarly research in the liberal arts college setting.

- Over the past few years environmental studies has emerged as one of the Foundation's strongest areas of grantmaking to liberal arts colleges, and this was especially true in 2008. This swiftly accelerating trajectory of Foundation support reflected students' and faculties' growing interest in interdisciplinary, project-focused learning, field- and community-based research, civic engagement, and the use of common first-year and capstone experiences to create intellectual community.

Toward the end of 2008, the program initiated discussions with its grantees about the effects of the recession and began alerting them to the likelihood of a reduced program budget in the years ahead. The program plans to reassert its longstanding commitment to flexibility as it responds to the needs of the colleges from which it invites proposals. Two grantees established by the Foundation, partly with the needs of the liberal arts colleges sector in mind, the National Institute for Technology and Liberal Education (NITLE) and Emeriti Retirement Health Solutions, encountered predictable challenges in the second half of 2008, owing to the economic downturn, and started revisiting their plans for the future. Meanwhile, the workshops for faculty and librarians conducted by Susan Perry, the program's senior advisor, in collaboration with NITLE and the Council of Independent Colleges continued apace, as did Perry's work with college libraries and with the American International Consortium of Academic Libraries.

The HBCU program continued to award grants in support of institution-building, faculty development, and libraries. The program also continued its support for curriculum development, where there was an increased focus on globalization, interdisciplinary coursework, and undergraduate research programs. The HBCU program continued its work with UNCF on its review of private HBCUs. The Foundation also saw the successful completion of the emergency \$2 million challenge made to Fisk University in 2007 in an attempt to alleviate a financial crisis. Fisk raised the requisite \$4 million match by June 30, 2008. Fisk's experience was a harbinger of the financial difficulty facing the entire HBCU sector as a result of the current financial crisis.

In July 2008, the ACA welcomed its second president, Paul Chewning, former president of West Virginia Independent Colleges & Universities, Inc. Mr. Chewning succeeds Alice Brown, who retired after more than 25 years of effective leadership. The ACA, a consortium of 37 colleges, continues to provide faculty development programs and educational support to its members through the Bowen Central Library of Appalachia, a digital library named in honor of the Foundation's former president, William G. Bowen. In 2008, ACA also launched an undergraduate research program in collaboration with the University of North Carolina at Asheville.

Mellon Mays Undergraduate Fellowships and Diversity Initiatives

In 2008, senior staff recommended that the Mellon Mays Undergraduate Fellowships (MMUF) program be expanded. Eight new schools were selected and invited into MMUF. They were Connecticut College; Grinnell College; Northwestern University; the University of California at Berkeley; the University of California at Los Angeles; the University of the Western Cape, South Africa; the University of the Witwatersrand, South Africa (added December 2007); and Whittier College, bringing the total of MMUF affiliates to 42, including three South African institutions and the consortium of 39 UNCF institutions. These new institutions will broaden the program's geographical representation in the Midwest, on the West Coast and in South Africa. The University of Cape Town was appointed as the regional administrative center for the South African institutions. This expansion was consistent with the results of a program review in 2007 of MMUF that covered the years 1999 to 2007. The last such evaluation was completed in 1998.

In June 2008 MMUF celebrated its 20th anniversary with an event held at the New York Public Library, attended by over 500 graduate and postgraduate fellows, along with senior staff and Trustees of the Foundation, the president and senior staff from the Social Science Research Council (which administers the MMUF Graduate Initiatives Program), and representatives from the Woodrow Wilson National Fellowship Foundation (which administers the Mellon Junior Faculty Career Enhancement Program and the Dissertation and Travel and Research Grants). These programs and grants have increased graduate student retention, shortened doctoral completion times, and helped to build a wide and enduring network of

Mellon fellows nationally and internationally. At the end of 2008, 250 MMUF fellows had earned PhDs (including 25 tenured faculty members), 540 PhDs were in progress, and over 400 undergraduates were still in train. A total of approximately 3,000 students have been selected for MMUF over its 20-year history.

The MMUF is supplemented by other important initiatives that aim to diversify faculties of the future. These include two programs overseen by the American Indian College Fund, a dissertation completion initiative and a research sabbatical program in the Tribal College system. Both are designed to increase the number of Native American and Tribal Colleges faculty members who hold PhDs. In line with these efforts, a program developed at the University of Alaska at Fairbanks was instituted to support Native Alaskan faculty members seeking to finish their PhDs. Other programs also aim at increasing the number of PhDs from historically underrepresented groups on American and South African faculties and at supporting their research, such as the Institute for Recruitment of Teachers at Phillips Academy-Andover, the Future of Minority Studies at Cornell University, the Moore Undergraduate Research Apprentice Program at the University of North Carolina at Chapel Hill, a field environmental study program with the Organization of Tropical Studies in Costa Rica and the Kruger National Park in South Africa, and summer humanities programs at the Schomberg Center for Research in Black Culture and Wheaton College in Massachusetts, to name a few. The majority of programs within Diversity Initiatives are designed to encourage underrepresented students and faculty to pursue the PhD and to advance their scholarship, and thus far they have all been successful.

Scholarly Communications

The Foundation's Scholarly Communications program was led in 2008 by Donald J. Waters and Helen Cullyer, who succeeded Suzanne M. Lodato. Prior to joining the Foundation, Ms. Cullyer was assistant professor of classics at the University of Pittsburgh.

The objectives of the Scholarly Communications program and its priorities for 2009-2010 are described more fully in Appendix A. Its 2008 grantmaking activities are briefly summarized here. Among the year's most significant highlights was a major restructuring of the Foundation's support for ongoing efforts in libraries and archives

to make their unique special collections more accessible for research and teaching.

Studies by the Association of Research Libraries and others suggest that a significant percentage of the primary source materials that cultural institutions have painstakingly collected to fuel humanistic scholarship remains uncataloged and effectively “hidden” from scholars. Since 2000, the Mellon Foundation has helped address the hidden collections problem by making 65 cataloging grants totaling \$21.9 million through the Scholarly Communications program. In 2008, the University of Pennsylvania, the Huntington Library, and the University of California at Los Angeles each received grants to catalog their collections. However, after extensive consultation with librarians, archivists, and other experts, staff concluded that the Foundation could make a more effective ongoing contribution by shifting from an internally administered program of grants to a national, competitive, peer-reviewed granting program for the cataloging of hidden special collections in US cultural institutions. The Council on Library and Information Resources (CLIR) thus received funds to set up and administer the first year of such a national program, which will run for approximately five years and disburse a total of at least \$20 million.

In addition to being hidden from scholars’ view, a growing number of special collections now include material in a variety of media. This is especially true in the records of prominent writers, scholars, or politicians, which now tend to include paper documents, as well as a variety of born-digital materials, such as computer files, e-mail, and digital images. Research libraries are only just beginning to develop the necessary tools and procedures for processing, managing, preserving, and providing secure access to born-digital materials in their archival collections. In order to help build the necessary capacity for libraries to collect these materials, staff have awarded support to the University of Oxford to enhance the workflows and preservation mechanisms needed to process its born-digital archives, particularly the documents of the conservative party.

The Scholarly Communications program also supported projects that are designed to advance scholarship in a number of fields by making primary source documents electronically available. With Foundation support in the field of medieval studies, the Parker on the Web project moved into its fourth and final production phase. This multi-year effort aims to produce a complete, high-resolution digi-

tal representation of the famed Parker Library of rare and unique medieval manuscripts at Corpus Christi College, Cambridge, and to build an interactive Web application in which the manuscript pages can be studied in the context of editions, translations, and secondary materials. A separate award was made to St. Louis University, for a new electronic edition of the Norman Anonymous, an Anglo-Norman manuscript in the Parker library. The edition will be accessible online along with previous partial editions of the manuscript, and the images from the Parker on the Web collection. In addition, the Foundation awarded grants for a small group of scholarly projects that make use of digitized manuscripts from Parker on the Web and other initiatives, such as the Foundation-funded effort at Johns Hopkins University to develop a Web-based resource containing multiple manuscript versions of the 13th-century romance, *Le Roman de la Rose*. This group of projects includes a comparative study of race and ethnicity and the development of editions of medieval maps of the world. At a workshop in 2010, these and other scholars will present the results of their research, and will develop a list of requirements and an implementation plan for improving the usability and interoperability of electronic resources in the field of medieval studies.

In Classical and Near Eastern Studies, the Foundation provided support for two collaborative projects that are making available online primary source documents that are scattered among the world's museums and libraries, and for developing tools for the online editing of these documents. With the British Museum, the University of Pennsylvania Museum, and the Max Planck Institute, the University of California at Los Angeles is digitizing cuneiform tablets of important literary and documentary texts, and making them available through the California Digital Library. Similarly, scholars at Duke University, New York University's Institute for Studies in the Ancient World, and other institutions around the world received assistance for building an online large corpus of digitized ancient papyri and related information. In 2008, Duke received a second round of funding for the project to use in the development of an online collaborative editing tool.

In the field of archaeology, most data are now collected in digital formats, but in the US there are no commonly agreed upon standards and little capacity for preserving and providing access to the databases, electronic field notes, digital images, and other materials that document archaeological findings. To help remedy this

situation, Arizona State University received Foundation funding to launch Digital Antiquity, a repository for archaeological data from US field projects.

Finally, in the Scholarly Communications program, several institutions received support for scholarly publishing initiatives: Northwestern University, as part of the Universities and their Presses initiative, for enriching its leading programs in African Studies and performance studies with an expanded range of publications; the Society of Architectural Historians for the electronic publication of its *Journal of the Society of Architectural Historians*; the American Philological Association for increasing the usability of the electronic version of *L'Année Philologique*; and the University of York for the online journal, *Internet Archaeology*, to commission articles based on four US archaeological projects.

Museums and Art Conservation

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

The program's grantmaking in 2008 was especially focused on the reinvigoration of the College and University Art Museum program that was established in 1992 and brought to a conclusion in 2004. During those years, a diverse group of 18 museums, including public and private institutions with a broad range of collections, received spendable grants for a variety of academic purposes: to encourage scholarly research on permanent collections; to foster relationships and stimulate scholarship and teaching by faculty from a wider range of departments than had been possible in the past; to offer internship training opportunities at both the graduate and undergraduate levels; and above all to strengthen the intensive study of original works of art in the curricula and other aspects of college and university programs. Of the museums that originally received spendable grants, 13 eventually received endowment challenges to sustain the initiatives that had been established.

In 2006, an outside evaluation of the program's history was undertaken. It examined the extent to which the overarching goals had been accomplished, and found that "campus museums are uniquely positioned to contribute to the core goals of a liberal arts education by demonstrating that original works of art demand and foster the most rigorous critical thinking." The report concluded that the program had been "profoundly successful in guiding these museums toward closer integration with the academic enterprise" and had given "rise to widespread reexamination of mission and priorities resulting in a consensus that the core academic agenda [of each institution] should be the museums' primary focus." Because many museums in the first cohort had succeeded beyond their expectation in developing relationships with faculty across a broad range of disciplines, the museums found themselves short of staff and other resources to meet growing faculty demand for access to collections. Compelling arguments were therefore made in favor of instituting another cycle of endowment challenge grants for a number of these institutions, as well as for the addition of a second cohort to receive initial spendable funding. During 2008, over \$9.5 million was awarded in endowment challenge grants to eight institutions, and \$3 million in spendable grants to six new museums.

A second important area of focus during the past year was the continuing effort to strengthen the role of science within art conservation. Additional senior positions as well as postdoctoral fellowships for scientists were created at the Indianapolis Museum of Art, the Los Angeles County Museum of Art, and The Art Institute of Chicago. In the latter case, spendable funding was also awarded to support the strong collaborative relationships that have been established with faculty in materials science and related disciplines at Northwestern University and Argonne National Laboratory. Some of these new positions in science have been endowed, and it is now possible to assess the considerable extent to which a broad national program in conservation science has begun to emerge.

The Foundation's efforts in developing the field of photograph conservation over the past decade reached a major turning point in 2007. Ten years of full funding for the Advanced Residency Program in photograph conservation (ARP) at George Eastman House (GEH) was scheduled to come to an end in July 2009. During its decade of operation, it had trained a total of 40 individuals repre-

senting 20 countries, and had also borne full responsibility for the conservation laboratory at GEH, including the care of its 400,000 prints and negatives.

In order to sustain the advances achieved, the Foundation approved three grants intended to place important programmatic elements on a permanent basis: a \$3 million challenge grant to establish a newly endowed conservation department at GEH was awarded in late 2007; a five-year grant of \$2 million to create a Center for the Legacy of Photography (CLP) under the leadership of Grant Romer (GEH) and James Reilly (Image Permanence Institute at the Rochester Institute of Technology) was awarded in early 2008. Recognizing the pressing need to draw a sharp distinction between recently developed digital imaging and silver halide photography, the CLP intends to focus on preserving the technical, aesthetic, and historical legacy of chemically-based photography through broad ranging scientific and scholarly research, workshops, and forums, as well as through Web-based publications, to further understanding of the chemistry, materials, and processes of the medium. During the decade of the ARP, a series of 18 workshops for young and mid-level professionals covering a wide range of topics in photograph conservation has fostered close collaboration among conservators, curators, scientists, and photographers. These workshops (under the auspices of the University of Delaware) have proved to be invaluable, nationally and internationally, for midcareer practitioners and scholars. A third grant, for a \$1 million endowment, was awarded in 2008 to the Foundation of the American Institute for Conservation to sustain the collaborative workshop model.

A fourth area of focus during the past year has been the continuing effort to address problems in the curatorial profession, especially in its scholarly dimension, through the creation and establishment of three-year Andrew W. Mellon Postdoctoral Curatorial Fellowships. These fellowships offer compensation levels competitive with analogous junior positions at colleges and universities, adding impetus to the museum profession's own efforts to raise its salaries across the board. Two such fellowship programs have been endowed in 2008, one at the Walters Art Museum and the other at the Metropolitan Museum of Art.

Performing Arts

The Foundation's performing arts program is overseen by Susan Feder and Diane Ragsdale. It seeks to strengthen leading theaters and playwriting centers, orchestras, opera and modern dance companies, dance-specific presenters, and service organizations that support these institutions, by enhancing their artistic quality and organizational efficacy.

In supporting theaters, the Foundation has recently shifted its grantmaking in response to a number of prevailing concerns surrounding the development and production of new works in the American theater, including: the trend for new plays to be overdeveloped or workshopped in lieu of being produced; the decline in the rigor, diversity, scale, and scope of works being produced by regional theaters; the failure of many new plays to be produced after their premieres; and the inability of even the most talented playwrights to find an "artistic home" or make a living in the theater. The Foundation now seeks to support leading theaters that demonstrate a sustained commitment to artists and flexible artistic production; a distinctive artistic vision; a history of producing new works, particularly those that are large-scale or otherwise artistically ambitious; the capacity to engage audiences fully with the works they are producing; and effective collaborations with other theaters, playwriting centers, or university training programs aimed at supporting the development, production, and continued life of new works. In addition to an initial round of grants to several exemplary theaters, the Foundation awarded significant multiyear grants to four leading playwriting centers in recognition of the important role they play in the development of playwrights and their works.

Staff presented the Trustees a summary assessment of the Foundation's decade-long Orchestra Program, noting both its positive results and weaknesses. Looking forward, grantmaking will respond to conclusions program participants reached about their financial health, namely that it depends on interrelating artistic activities, internal organizational culture, and community relationships; none of these alone is sufficient to create successful and sustainable institutions. In addition to supporting artistic ambition and risk-taking in this context, staff have identified several areas in which support would help strengthen orchestras as they confront a swiftly changing cultural and economic landscape; these would include integrating new technologies into the concert experience and

into marketing, development, and audience engagement efforts; experiments with new business models; leadership training for executives, trustees, and musicians; and research projects that would help orchestras obtain a better understanding of their audiences and communities. Grants awarded to orchestras in 2008 reflected these strategies. Opera grants included a major award to the Metropolitan Opera in further support of its live film transmissions and television broadcasts; other grants will continue the Foundation's support to companies with a demonstrated long-term commitment to the commissioning and production of new and recent operas. A grant to Jazz at Lincoln Center will support the expansion of its artistic programming to include festivals and cross-disciplinary collaborations among its orchestra, guest artists, and ensembles.

In dance, significant grants were awarded to three service organizations in support of programs that are consistent with current priorities of the Foundation's dance program: the American Music Center, to endow its Live Music for Dance program; the Dance Heritage Coalition, to develop and pilot the Secure Media Network, a searchable, digital repository of historic dance media designed for access by scholars, artists, and educators; and the New England Foundation for the Arts (NEFA) to expand the National Dance Project, a program that supports the creation and touring of new dance works.

Several grants provided general support to the performing arts sector: the Fund for the City of New York received a substantial grant to establish a revolving loan fund that will provide bridge financing for performing arts institutions while they are awaiting reimbursement on capital grants from New York City; the Mid Atlantic Arts Foundation received funding to expand a travel grant program for US performance ensembles; and the Pew Charitable Trusts was awarded a grant to help with the implementation in New York State of the Cultural Data Project, a Web-based data collection and funding application system, which holds the potential to become an important national research database and financial reporting tool for the cultural field.

Conservation and the Environment

The Foundation's Conservation and the Environment program, directed by William Robertson IV with Doreen N. Tinajero,

continued efforts begun in 2003 to help a consortium of over 120 herbaria from more than 40 countries to develop a coordinated digital database of information and images on the plants of Africa and Latin America. Central to this initiative are high-quality digital images (600dpi) of Type specimens (the original specimens used to identify species). The 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, with approximately 500,000 already submitted. The database will be available as a collection within JSTOR (www.jstor.org). The program welcomes communications from any institutions holding African or Latin American Type specimens that have yet to be included.

Research in Information Technology

The Research in Information Technology (RIT) program presented the third round of Mellon Awards for Technology Collaboration to 11 institutions in the US, UK, and New Zealand. This year's awards included several in the areas of archives and special collections, as well as the first award in conservation biology.

The program's administrative systems projects had a very successful year. The Kualo Financial System (www.kualo.org/communities/kfs) secured the funding needed for its implementation, released another new version, and added more than a dozen new institutions to the list of those using it so far. Kualo Coeus met its second delivery milestones and delivered its first version. The new Kualo Student system added several new partners and moved toward an initial release. The Fluid project (www.fluidproject.org), which supports the creation of user-friendly, accessibility-compliant user interfaces, has become the centerpiece of development activities in several projects, including an upcoming major upgrade to Sakai and ongoing improvements to uPortal.

Work on scholarly tools for the arts and humanities continued. The Visual Understanding Environment and Sophie projects both issued new releases in 2008 and anticipate new version releases in 2009. The Zotero personal citation management and Web research tool continued its very high rate of adoption: by the end of the year more than 9 million copies of Zotero were in active use worldwide.

Scholarly infrastructure projects also thrived. Sakai continued to grow in terms of the number of institutions that have adopted it,

and it has mounted a major redesign effort intended to lead to Sakai v.3 in 2009, using only community resources. The SEASR project released its first version and attracted significant institutional interest via adoptions by digital humanities centers and academic technology organizations worldwide. Funded in March, Project Bamboo began a community design exercise that attracted several hundred humanists from more than 130 higher education institutions, learned societies, scholarly presses, and museums worldwide.

Library and collections projects achieved significant milestones. CollectionSpace completed its community design exercises, and scheduled its first code release for March 2009. Project OLE (“Open Library Environment”), a planning project led by Duke University and other institutional partners seeking to design a next-generation suite of library automation services, held design workshops in the US and Australia. Participants included several hundred institutions ranging from small liberal arts colleges to national libraries.

Inter-program collaborative efforts also flourished. In December, RIT and Museums and Art Conservation collaborated on the funding of ConservationSpace (www.conservationsspace.org), an international project to integrate conservation documentation capabilities into collections management tools. 2008 also saw the funding of a project that brings together the Southern Arts Federation and the University of California at Berkeley to modify the Kualu Business Continuity Planning Tool to serve the emergency planning needs of arts organizations. This is the first formal collaboration between arts organizations and higher education institutions on RIT-supported software. Program staff also coordinated carefully with colleagues in Scholarly Communications on the SEASR and Bamboo projects.

Finally, two projects changed names in 2008. Kualu Research Administration, funded in 2006, became Kualu Coeus. OpenCollection, funded in 2007, became CollectionSpace.

Special International Emphases: South Africa

Each year the South Africa program of the Foundation supports a mix of programs that have proven effective in educating the next generation of academics, some that offer promise for innovation in the academy, and some that expand knowledge and share it beyond academic and national borders. The programs the Foundation supports build intellectual capacity, broaden research opportunities

and outcomes, diversify intellectual perspectives, increase the numbers of South African academics in the world community of scholars, and strengthen South Africa's democracy.

Grantmaking by the South Africa program seeks to develop scholars as well as support research on contemporary issues. In 2008, the Foundation provided funding for fellowships in the humanities at the University of the Western Cape that will allow recent PhDs to carry their research forward to publication and for capacity-building programs at six institutions that make it possible for junior academic staff to complete higher degrees, conduct and publish research, purchase books and equipment, attend conferences, and/or work with colleagues in other institutions. Because South Africa requires scholars to retire at 62 years of age to make positions available for younger academics, the Foundation continued to fund the return of senior research scholars to the academy so that they can mentor younger faculty in their research and teaching and guide them in professional publishing and interactions. Grants to two institutions for visiting fellows will bring distinguished visitors to campuses for varying periods of time to introduce new thinking and stimulate innovation in humanities teaching and research. A program at the University of Cape Town will review and conduct research on the role archives play in a democracy and the effects inherited archives have on national identity and political participation.

To expand educational opportunities in South Africa, the Foundation supported the establishment of a center for teaching and learning to explore innovative approaches to the educational process that can be used to accommodate differences in student preparation, enable educationally disadvantaged students to succeed in high-quality degree programs, and boost the graduation rate. Grants were also made to strengthen social science research and to expand the use of technology in teaching.

The program's third objective is to fund projects that introduce the world to South African history and culture and the achievements of the people of earlier times. Further grants went to two projects that the Foundation has supported from exploration to budding to fruition: the digitization of southern African rock art and the African cultural heritage sites and landscapes database. Through these two projects over 250,000 rock art images and 15 sites with 26 complex structures, respectively, have been digitized. They are accessible via the Internet and are preserved for future generations.

Priorities for the Scholarly Communications Program

Helen Cullyer
Donald J. Waters

Introduction

Scholarly communications covers a broad range of activities, including the discovery, collection, organization, evaluation, interpretation, and preservation of primary and other sources of information, and the publication and dissemination of scholarly research. Within this wide area, the Scholarly Communications program of The Andrew W. Mellon Foundation focuses on three primary objectives: (1) to support libraries and archives in their efforts to preserve and provide access to materials of broad cultural and scholarly significance; (2) to assist scholars in the development of specialized resources that promise to open or advance fields of study in the humanities and humanistic social sciences; and (3) to strengthen the publication of humanistic scholarship and its dissemination to the widest possible audience.

Mellon Foundation staff recognize that even before the current economic crisis, both federal funding agencies and many private foundations began to shift their funding of the humanities from teaching and research in higher education to lectures, exhibitions and other programs aimed at the general public.¹ There are important public policy reasons for ensuring the broad reach of the humanities, and many of the library and scholarly resources and publications that the Mellon Foundation has supported are accessible and useful to a wide range of people from advanced scholars to students and teachers in kindergarten through 12th grade and the general public. However, the touchstone for evaluating Mellon's Scholarly Communications objectives is that their pursuit succeeds in advancing high quality scholarship in the humanities.

Even though these program objectives have remained constant over time, the particular ways in which the Foundation has advanced them have shifted with changes in the academic landscape, the technical environment, and the economic climate. This document outlines the current priorities of the Scholarly Communications program and provides a roadmap for grant-making in 2009-2010 and

¹ See Harriet Zuckerman and Ronald G. Ehrenberg, "Recent Trends in Funding the Academic Humanities and their Implications," *Daedalus* (Winter 2009): 124-46.

beyond that takes account of a variety of ongoing technical, organizational, and other opportunities, as well as the challenges presently facing libraries, universities, scholars, and publishers as they struggle with the widening gap between needs and available resources. Given the current recession, it is extremely difficult to make any predictions now about the future budgets of Foundation programs. However, the current 2009 budget for the Scholarly Communications program is approximately \$20 million. To provide a sense of scale and proportion for the analysis that follows, staff expect to allocate Scholarly Communications grant funds roughly as follows: 50 percent, or approximately \$10 million in 2009, to priorities in the library and archives category; 25 percent, or \$5 million in 2009, to priorities under the scholarly resources objective; and 25 percent, or \$5 million in 2009, for scholarly dissemination and publication priorities.

1. Libraries and Archives: Preservation and Access

(a) Cataloging hidden collections

Libraries and archives are key laboratories for humanists.² Many interesting and important discoveries have sprung from research on the special collections—the rare and unique books, manuscripts and archival materials—held by these cultural institutions as potential objects of humanistic inquiry. However, a 1998 study by the Association of Research Libraries (ARL) determined that up to one-third of the special collections in libraries were unprocessed and uncataloged with no records available online to alert scholars to their existence.³ These collections were thus invisible and

² Museums, of course, are also essential laboratories for humanistic research. The Scholarly Communications program has sponsored work to help improve the integration of museum, library, and archival cataloging systems with recent grants to Yale University (2004, \$409,000) and the Online Computer Library Center, Inc. (2007, \$145,000). In addition, Mellon's Museum and Art Conservation program focuses its primary support on research and scholarship at major museums through endowment of senior and midlevel curatorial and conservation positions; postdoctoral fellowships for art historians; and scholarly publication in various forms, including digital.

³ Judith M. Panitch, *Special Collections in ARL Libraries: A Report of the 1998 Survey* (Washington, DC: Association of Research Libraries, 2001). See also ARL Working Group on Special Collections, *Special Collections in ARL Libraries: A Discussion Report* (Washington, D.C. Association of Research Libraries, 2009), pp. 17-23, <http://www.arl.org/bm~doc/scwg-report.pdf>.

unexplored in the research process. Indeed, because they are so time-consuming, difficult, and expensive to process and catalog, librarians and archivists have sometimes seen these collections not as treasures for scholars to discover and exploit, but as an “unwelcome white elephant.”⁴ In recent years, partly with Foundation support, there has been a concerted, multi-pronged effort to reverse this perception and make the processing of special collections much more manageable, and to make it easier for humanistic scholars to subject them to “laboratory” examination.

Librarians and archivists have begun streamlining the cataloging process to generate “more product, less process.”⁵ At the same time, partly with Foundation support, cultural institutions have: generated new methods for surveying special collections, assessing their scholarly value, and setting cataloging priorities;⁶ developed and deployed new software tools to make the processing of collections more efficient;⁷ and adopted new procedures that divide the labor and allow scholars, including graduate students, to contribute their specialized subject knowledge to the cataloging process.⁸ In addition, from 2000 to 2007, the Foundation provided \$21.9 million in 65 grants for the cataloging of specific special collections.

⁴ Carol Mandel, “Hidden Collections: the Elephant in the Closet,” *RBM: a Journal of Rare Books, Manuscripts, and Cultural Heritage* 5 (Fall 2004): 106.

⁵ Mark A. Greene and Dennis Meissner, “More Product, Less Process: Revamping Traditional Archival Processing,” *American Archivist* 68 (2005): 208–263.

⁶ The Foundation has supported the development, testing, and application of collection appraisal methods at the Historical Society of Pennsylvania (2000), the University of Virginia (2002), Columbia University (2005), New York University (2005); the WGBH Educational Foundation Inc. (2006), and the University of Chicago (2008), with support totaling \$2.248 million.

⁷ The Foundation has supported the development of the open source Archivists’ Toolkit software application at the University of California at San Diego (\$1.804 million in 2004 and 2006). The Archon Web-based tool for archival description received a Mellon Award for Technology Collaboration from the Foundation’s Research in Information Technology (RIT) program (\$100,000 to University of Illinois at Urbana-Champaign in 2008).

⁸ Cataloging projects involving graduate students were funded at the University of Chicago (\$666,000 in 2006), and in 2007 at Columbia University (\$563,000), Johns Hopkins University (\$476,000), and the University of California at Los Angeles (\$143,000). A collaborative initiative between the Huntington Library and the University of Southern California was funded in 2008 (\$700,000).

Even as substantial progress has been made through these and other efforts,⁹ libraries and archives continue to acquire important additional collections of primary source materials. There is still a great, continuing need to support basic cataloging activities that help advance scholarship. Last year, after extensive consultation with librarians, archivists, and other experts, staff concluded that the Foundation could make a more effective ongoing contribution by shifting from an internally administered program of grants to a national, competitive, peer-reviewed granting program for the cataloging of hidden special collections in US cultural institutions. The Council on Library and Information Resources (CLIR) received funds to launch this program.¹⁰ Scholarly Communications program staff now expect, with approval of the Mellon Trustees, to continue the CLIR program at least through 2012 with awards that would provide grant funds of approximately \$4 million per annum for the processing and description of archives, manuscripts and rare books.

With 15 institutions, ranging from large research libraries to small historical societies, receiving awards out of a pool of 118 applicants in its first year of operation, the CLIR program has demonstrated the intense national need for cataloging support.¹¹ An additional consequence of the pooling of the national demand has been an expression of a related need for better systems to aggregate special collection catalogs, once they are created, so that scholars and other users can see the interconnections among related collections.

⁹ Many innovative appraisal and cataloging projects, including those funded by the Foundation, were presented and discussed at the Foundation-funded conference, "Something New for Something Old: Innovative Approaches to Managing Archives and Special Collections," December 4-5 2008, organized by the Philadelphia Area Consortium for Special Collections Libraries: <http://www.pacsclsurvey.org/snso.htm>.

¹⁰ Details of the CLIR program can be found at http://www.clir.org/hidden_collections/index.html.

¹¹ Staff are no longer inviting proposals for cataloging projects from institutions within the US and are referring to CLIR all inquiries from US institutions regarding possible cataloging support. Staff recognize, however, the continued need for direct Foundation support of the description of hidden collections of international significance in libraries and archives abroad. Staff do expect to recommend to the Foundation's Trustees the funding of carefully selected cataloging projects at foreign institutions. The criteria for the recommendation of such projects are the following: the hidden collection to be cataloged must have international scholarly significance; the institution must commit to making catalog records available online via their own catalogs and Web sites, and through relevant union and subject catalogs; and must use cost-effective methods of processing or cataloging, similar to those required by CLIR.

Shared repositories need to be enhanced and developed to store the special collections catalogs in standard data structures with well-defined interfaces for entering and exchanging the cataloging data. In the next two years, program staff expect to offer support for selected initiatives that promise to develop these much needed functions and services.

(b) Performing arts archives

Increased scholarly interest in audio-visual materials and in the historical and critical study of the performing arts makes the archives of performing arts organizations, which are often inaccessible to scholars, fertile ground for humanistic research. In 2008, Scholarly Communications program staff began to consider with colleagues in the Performing Arts program how the Foundation could best help performing arts organizations assess and preserve archival materials (such as scores, programs, photographs, audio and video recordings, costumes, and business records) that are highly valuable both to artists and to scholars in musicology, performance studies, sociology, dance and social history, and related fields.

In 2008, staff commissioned a survey for internal use of the archival holdings of major US orchestras and opera companies. The survey results indicate that a set of large US orchestras have archival holdings of significant scholarly value, but may require assistance in developing ongoing, sustainable programs to preserve and catalog their archives so that they become more accessible to the scholarly community. Staff have invited from these selected orchestras preliminary statements of interest in a possible grant program and are evaluating ways to structure a program that would begin in late 2009 or early 2010.

(c) Collections of digital “papers” and Web archives

After extensive consultation with members of the library community in 2008, staff identified a gaping hole in library and archives policy and practice. Libraries have long collected the papers of political, literary, and other prominent cultural figures and organizations, but these archives now increasingly include born-digital as well as analog audio-visual and paper materials. US libraries and archives presently have little capacity for the systematic acquisition, management, processing and preservation of born-digital archives. In order to ensure that the largely digital records of current and future generations are available for future scholarly study, there is thus an

urgent and massive need for the development of appropriate technical and intellectual approaches to the collection of “digital papers,” and the education of archivists, special collections librarians, humanists, social scientists and others in their use.

Over the last decade, there has been considerable development and implementation of repository technologies.¹² Moreover, digital preservation solutions have emerged for some essential elements in the published scholarly record, such as electronic journals.¹³ Although the skills, practices, and technologies that have been developed in these areas are certainly applicable and could serve as essential parts of the necessary infrastructure,¹⁴ the challenges of developing collections of “digital papers” remain largely unexplored.

Among the questions that need to be addressed are: How should the archives of a prominent author, which contain paper manuscripts, digital text files, e-mails, online postings on blogs, Flickr,

¹² For a recent overview of key issues in institutional repository use and development, see Sarah L. Shreeves and Melissa H. Cragin, eds., “Institutional Repositories: Current State and Future,” *Library Trends* 57 (Fall 2008). The Foundation has supported the development of repository infrastructure in the form of Dspace (\$515,000 to the Massachusetts Institute of Technology in 2000 and 2002) and Fedora (\$2.914 million to University of Virginia and Cornell University from 2001 to 2007).

¹³ In 2000, the Foundation awarded seven planning grants totaling \$1.33 million to launch the Mellon Electronic Journal Archiving Initiative. This initiative resulted in the development of Portico (\$4.385 million to Ithaka Harbors, Inc. from 2002–2005) and LOCKSS (\$2 million to Stanford University in 2002 and 2003). There are also many other initiatives that have been crucial in developing capacity for digital preservation, including the SUN-PASIG group (<http://sun-pasig.org>), which provides a forum for not-for-profit and commercial organizations to discuss and share digital preservation strategies, and the European PLANETS (<http://www.planets-project.eu>) and DRAMBORA (<http://www.repositoryaudit.eu>) projects.

¹⁴ The infrastructure needed for the preservation and management of personal digital collections is likely to require detailed collaborations between non-profit organizations and corporations. Sun Microsystems for example has been collaborating with Fedora Commons to provide the hardware and software needed for long-term preservation and management of digital content (http://www.fedoracommons.org/pdfs/FedoraCommons_Sun_Solution_Brief.pdf). Fedora Commons and the Dspace Foundation are now embarking collaboratively on a new project, with a planning phase funded by the Foundation’s Research in Information Technology (RIT) program, to provide services to academic and cultural institutions that would allow them to take advantage of ‘cloud’ storage capacity provided by large corporations such as Amazon.

MySpace, and Facebook, and a variety of analog and digital audio-visual material be processed, secured according to the donor's wishes, and made accessible in ways that facilitate scholarly research? In which cases may it be important to preserve computer hardware as well as digital files? How would these collections and their records be integrated most effectively with more traditional archival materials?¹⁵

The University of Oxford library is one of the few institutions that has begun to invest systematically in acquiring, processing, securing, preserving, and providing access to digital papers, and building the necessary systems and procedures to support this collection activity. The Foundation provided support for an Oxford initiative in 2008,¹⁶ and staff have begun to invite a series of additional proposals for funding in 2009 and beyond. The goal is to provide scholars with a much more robust capacity in US research libraries and archives to collect and provide access to the digital papers of literary, political, and other influential figures. Support is planned for projects that focus on: digital forensics, which consists in the preservation, identification, extraction and interpretation of computer data;¹⁷ the connection of repository infrastructure to library catalogs and integrated library systems; methods of storing

¹⁵ Margaret Hedstrom was among the pioneers investigating these questions. See, for example, her article on "Understanding electronic incunabula: a framework for research on electronic records." *American Archivist* 54 (Summer 1991): 334-354.

¹⁶ For more on the grant to Oxford, see p. 23 of the Annual Report. For other important work on the problem of building research collections of personal "digital papers," see, for example, Neil Beagrie, "Plenty of Room at the Bottom? Personal Digital Libraries and Collections," *D-Lib Magazine* 11 (June 2005), <http://www.dlib.org/dlib/june05/beagrie/06beagrie.html>; and the Digital Lives project at the British Library: <http://www.bl.uk/digital-lives>.

¹⁷ Warren G. Kruse and Jay G. Heiser, *Computer Forensics: Incident Response Essentials* (Boston, Addison-Wesley, 2002), p. 2. For pioneering work on the application of digital forensics procedures to the management of research collections of personal digital "papers," see: Jeremy Leighton John, "Adapting existing technologies for digitally archiving personal lives: Digital Forensics, Ancestral Computing, and Evolutionary Perspectives and Tools," in *iPres 2008*, http://www.bl.uk/ipres2008/presentations_day1/09_John.pdf; Matthew Kirschenbaum, *Mechanisms: New Media and the Forensic Imagination* (Cambridge, MIT Press, 2008); and Simson Garfinkel and David Cox, "Finding and Archiving the Internet Footprint," presented at the *First Digital Lives Research Conference: Personal Digital Archives for the 21st Century*, London, England, February 9-11, 2009, <http://www.simson.net/clips/academic/2009.BL.InternetFootprint.pdf>.

and organizing large corpora of e-mails, and text and image files, and of handling personal materials in semi-public commercial and social spaces on the Web; and provision of secure access to born-digital archives.

The collection of Web content is also an area in which staff intend to focus the program's grantmaking in 2009 and beyond. Much work has already been accomplished in developing the technical mechanisms for collecting Web content, including especially the development of the Internet Archive, the Web collecting tools it has made available, and its integration with scholarly citation tools such as Zotero.¹⁸ The grantmaking of the Scholarly Communications program focuses instead on assisting libraries in designing procedures and organizational models by which Web collection is not a technical outpost of the library but is fully integrated with the institution's larger collection development and preservation strategies. Scholarly Communications staff also expect to identify and support initiatives that simplify searching and discovery of preserved Web content so that it is easier for scholars to incorporate relevant materials in their work.

(d) Science in conservation and audio-visual preservation

While libraries are expanding their digital collections, they also continue to be custodians of historic printed and manuscript works, photographs, and audio and visual recordings. All of these materials require specialized conservation knowledge and techniques. Sophisticated scientific research has become especially critical to all conservation fields over the past two to three decades because of its capacity to advance the understanding of the properties, behaviors, and mechanisms of all relevant materials. The Scholarly Communications program has recently funded scientific projects at the Rochester Institute of Technology and the British Library, and a new postdoctoral program in materials science at Johns Hopkins University in association with a variety of libraries and other cultural

¹⁸ The Internet Archive, founded in 1996, is a nonprofit organization that was founded to build an Internet library, to preserve and give access to researchers, historians, and scholars to historical collections that exist in digital format. The organization received from the RIT program a Mellon Award for Technology Collaboration (\$50,000 in 2006) and a grant for a collaborative project with the developers of the Web-based research tool Zotero (\$667,000 in 2007).

institutions in the Baltimore-Washington area.¹⁹ Scholarly Communications staff expect to continue to identify and recommend to the Mellon Trustees funding for selected initiatives that both help advance scientific research in materials science and address the specific conservation needs of libraries and archives.

Audio and moving image preservation also continues to be a high priority. Of particular interest to Scholarly Communications staff are pilot initiatives that help establish standard and efficient procedures for audio preservation based on the principles outlined in the NEH-funded *Sound Directions* report.²⁰ For analog film and video materials, including footage of television programming, many libraries and cultural institutions are seeking to use digitization as a method of preservation, especially as the technology for playback of film and magnetic tape becomes obsolete.²¹ However, digitization standards for film and video are much less mature than for audio, and program staff are interested in identifying selected projects

¹⁹ The grant to the Rochester Institute of Technology Image Permanence Institute (\$750,000 in 2005) supports work on the stability of various media, including paper. The British Library received funds (\$716,000 in 2004 and 2005) to support planning and implementation of several research projects, including a controlled, comparative study of the current condition of identical books in six national deposit libraries. The grant to Johns Hopkins University (\$792,000) was made in 2008. The Scholarly Communications program's support of conservation is separate from the work of the Foundation's Museum and Art Conservation program, which has, over the past decade, provided significant funding to support the establishment of new scientific research positions and departments at several museums; postdoctoral fellowships for outstanding scientists interested in museum careers; senior faculty scientists; curriculum enhancement in graduate level training programs; and inter-institutional collaborative research and teaching projects.

²⁰ Mike Casey and Bruce Gordon, *Sound Directions: Best Practices for Audio Preservation* (Bloomington: Indiana University and Cambridge: Harvard University, 2007), http://www.dlib.indiana.edu/projects/sounddirections/papersPresent/sd_bp_07.pdf.

²¹ Recent moving image projects funded by the Scholarly Communications program include: the Hemispheric Institute Digital Video Library at New York University (\$744,000 in 2005), which preserves and makes accessible video of theatrical and cultural performances from throughout the Americas; the EVI-ADA project at Indiana University (\$2.564 million from 2001-2006), a digital archive of ethnomusicological videos from around the world for use by instructors and scholars; and an initiative of the WGBH Educational Foundation (\$620,000 in 2007) to develop a system for the delivery of public broadcasting moving image and audio content from its archives to scholars and educators.

that help establish and advance standards and best practices for the preservation and long-term storage of these kinds of moving images.²²

(e) Structural and organizational change in research libraries

Leaders in a number of university and independent research libraries are using the occasion of the current severe economic downturn as an opportunity to advance imaginative and innovative plans for making library operations more cost efficient in a time of sharply shrinking budgets, while also maintaining and even enhancing access to scholarly materials and other services that they provide to scholars and students. Many of these plans involve new and extensive collaborations among institutions and potentially far-reaching structural and procedural changes that may require an initial investment of capital. Viewing the identification of these opportunities as a high priority, Scholarly Communications staff have set aside a pool of funds for support of the most promising projects. Staff are just beginning to identify possible initiatives, which are likely to include inter-institutional efforts to reshape cataloging, collection building, the licensing of electronic products, storage of print and digital collections, and data curation and management strategies.

Scholarly Communications staff are also alert to other needs and opportunities occasioned by the recession. For example, some projects in their last stage of Mellon funding may need additional support to take them through the current economic downturn. The needs of national and regional service organizations and the independent research libraries (IRLs) may also require attention. Service organizations, such as the Council on Library and Information Resources (CLIR), the Center for Research Libraries (CRL), and Lyasis (the new organization formed as the result of the merger of the Southeastern Library Network—SOLINET—and the Philadelphia Area Library Network—PALINET), will almost certainly be crucial in identifying opportunities and providing leadership for innovative and collaborative activities within the research library

²² Previous grants for this purpose include: New York University (\$1.371 million in 2001 and 2005) for the development of a moving image preservation program; National Film Preservation Foundation (\$165,000 in 2002) for the development, testing, and publication of reference tools for film preservation; Dance Heritage Coalition, Inc. (\$141,000 in 2003) for a pilot study of methods to preserve videotapes of dance performances; Digital Library Federation (\$33,025 in 2007) for a survey of moving image collections in the US; Association of Moving Image Archivists (\$48,500 in 2008) for the planning of a digital moving image archive.

community.²³ Similarly, IRLs fill an important niche in the ecology of scholarly research and may require special support, such as technical training and staff development, to help them cope with downsizing and other consequences of financial stress, as well as to help ensure that they are able to serve the needs of scholars who are increasingly reliant on digital resources.

2. Specialized Scholarly Resources

In addition to its support for libraries and archives, a second set of priorities for the Scholarly Communications program is the development of online scholarly resources, particularly primary sources, and related tools that promise to open or advance fields of study in the humanities and humanistic social sciences. In recent years, program staff have focused on faculty-led projects in a small number of selected fields: classics, Near Eastern studies, medieval studies, musicology, archaeology, art and architectural history, and visual studies. These projects have typically developed online collections of primary sources, often reproduced from libraries and archives, and have involved collaboration with information and technology specialists. In the coming years, staff expect to respond to modest requests to add content to these online resources. However, given the depth and coherence of most of these collections, funding priority in the Scholarly Communications program will shift from building the resources to activities that demonstrate and enhance their scholarly value and that foster aggregation of collections and the development of shared technology platforms in order to enhance sustainability.

The scholarly value of these resources is partly methodological in that they demonstrate new and improved ways of organizing and producing scholarly editions, which are reliable, authoritative presentations of primary source evidence.²⁴ Through use of windows,

²³ The Foundation has provided operating support for CLIR (\$3.69 million from 2004–2007), and support for CRL to plan for and begin to undertake a reorganization of its services (\$1.4875 million in 2008).

²⁴ For an in-depth discussion, see Donald J. Waters, “Archives, Edition-Making, and the Future of Scholarly Communication” (unpublished), <http://msc.mellon.org/staff-papers/EditionMakingPaper>. Versions of this essay were presented at the Forum on Academic Publishing in the Humanities, Cornell University, November 7–8, 2008; the Annual Conference of the Professional & Scholarly Publishing Division, Association of American Publishers, Washington, D.C., February 4, 2009; and the Symposium on the Changing Landscape of Scholarly Communication in the Digital Age, Texas A&M University, February 12, 2009.

searching, hyperlinks and other affordances, digital technology allows clear and elegant presentation of: variorum editions, which are relatively cumbersome to represent in print; multimedia editions of audio and visual as well as textual evidence; “editions as archives,” which include facsimiles of original materials along with edited versions; and “editions of editions,” which aggregate previously published editions of primary source materials to produce new and unique views of the evidence.²⁵ Moreover, as program staff have learned by supporting examples of each of these edition types, the best and most sophisticated online editing projects also provide value by generating materials that scholars can use as the basis of further analytical and interpretive research. In addition, with detailed textual commentary in the apparatus and interpretive accompanying material, these editions also constitute significant research products in their own right.

To help advance these various developments, program staff are planning to support a series of workshops on edition-making and the uses of online editions both within and across fields of study. These discussions will both provide an opportunity for scholars to share and develop best practices and assist the Foundation in the identification of next steps for supporting the development of scholarly resources. Staff expect three areas to emerge as priorities for further funding.

First is the need for tools and facilities to streamline the edition-making process.²⁶ Perhaps most important is the continued development of collaborative editing software for representing, tran-

²⁵ *The Online Chopin Variorum Edition* (\$413,000 to Royal Holloway College, University of London in 2002 and 2005), *The Ethnomusicological Video for Instruction and Analysis Digital Archive* (\$2.564 million to Indiana University from 2001-2006); *The Stalin Archives* (\$1.3 million to Yale University in 2007), and *The Electronic Enlightenment* (\$2.741 million to the University of Oxford from 2001-2008) are Mellon-funded examples respectively of an online variorum edition, a multimedia “edition as archive,” and an “edition of editions.”

²⁶ For an advanced vision of online edition-making, see Greg Crane et al., “Classics in the Million Book Library,” *Digital Humanities Quarterly* (Winter 2009), <http://www.digitalhumanities.org/dhq/vol/003/1/000034.html>.

scribing, marking up, and annotating source materials.²⁷ Of growing importance are ways to integrate usefully various kinds of digital reference works, such as dictionaries, thesauri, gazetteers (for place names), and prosopographies (for personal names).²⁸

A second priority expected to emerge from the workshops on edition-making is interoperability: how could the scholarly resources and associated tools that are being developed largely in separate projects be better linked into an interconnected network? Digital projects and tools in a particular academic discipline, or related disciplines, run the risk of being of very limited use if they are not interoperable. For example, if scholars cannot search across different digital collections of medieval manuscript images and transcriptions, or use the same tools for paleographical analysis of different collections, the digital environment runs the risk of hindering humanities research rather than facilitating it.²⁹

Finally, program staff expect to address the need for more effective models of financing the development and maintenance of scholarly resource projects. Staff will continue to require sustainability plans as an integral part of funding these projects. However, it is increasingly evident that few scholarly resource projects can sustain themselves on a stand-alone basis beyond a second or third round of Foundation funding. Shrewder planning is therefore necessary. Projects should develop and exploit a variety of sustainability options, including mechanisms that leverage, build on, and change existing structures and organizations rather than simply build new ones. Moreover, as experience with digital resources grows and the

²⁷ The Mellon Foundation has funded components of edition-making software in a variety of projects including the *Online Chopin Variorum Edition* at Royal Holloway College, University of London: <http://www.ocve.org.uk/index.html>; The Edition Production and Presentation Technology project (\$50,000 to the University of Kentucky in 2006): <http://beowulf.engl.uky.edu/~eft/eppt/>; and the Integrating Digital Papyri Project (\$1,363,500 to Duke University from 2004-2008): (<http://idp.atlantides.org/trac/idp/wiki/DDBDP>).

²⁸ An award was made to the Virginia Foundation for the Humanities and Public Policy (\$327,000 in 2008) to develop a prototype biographical database of figures from the US Founding Era, using evidence from the Founding Fathers editions.

²⁹ In 2007, the Foundation funded an initiative to demonstrate interoperability between the Parker on the Web and Roman de la Rose manuscript projects (\$93,400 to Stanford and Johns Hopkins Universities). In 2008, the Foundation made another series of small grants to support the interoperability of resources in medieval studies. See p. 24 of the Annual Report.

requirements of creating and using them become better understood, technology costs should be reduced, in part, by creating and using common software platforms, which would have the added benefit of increased interoperability and ease of use for scholars.³⁰ Finally, the feasibility of merging similar projects in closely related academic fields must be explored more fully so that scholarly resources achieve a scale of operation and integration that is more efficient to maintain over time than separately managed projects would be.³¹

3. Dissemination of Research and Publication

A third set of priorities for the Scholarly Communications program is to strengthen the means by which humanistic scholarship is published and disseminated to the widest possible audience. The Foundation has supported scholarly publication in a number of ways.³² Since 2007, the Foundation's Universities and their Presses initiative, which is administered by Scholarly Communications in collaboration with the Research Universities and Humanistic Scholarship program, has enabled presses and their sponsoring universities to work more effectively together to advance the aca-

³⁰ The RIT Program of the Foundation supports the development of a variety of shared software applications and platforms for the humanities (see <http://rit.mellon.org>). The Scholarly Communications program has supported projects that use the software platforms developed with RIT funding. For example, the Networked Environment for Music Analysis project (<http://nema.lis.uiuc.edu/>), funded by Scholarly Communications (\$1,200,000 to the University of Illinois at Urbana-Champaign in 2007) is now using the SEASR platform (<http://seasr.org/blog/blog/tag/monk>), which was funded by RIT (\$1,125,000 to the University of Illinois at Urbana-Champaign in 2007).

³¹ See Kevin Guthrie, Rebecca Griffiths, and Nancy Maron, *Sustainability and Revenue Models for Online Academic Resources: An Ithaka Report*, May 2008, http://www.ithaka.org/strategic-services/sca_ithaka_sustainability_report-final.pdf. Also see Blue Ribbon Task Force on Sustainable Digital Preservation and Access, *Sustaining the Digital Investment: Issues and Challenges of Economically Sustainable Digital Investment*, Interim Report, December 2008, http://brtf.sdsc.edu/biblio/BRTF_Interim_Report.pdf.

³² For a discussion of the Foundation's recent support of university presses, see Donald J. Waters and Joseph S. Meisel, "Scholarly Publishing Initiatives," in the 2007 Annual Report, pp. 31-45, http://www.mellon.org/news_publications/annual-reports-essays/annual-reports/content2007.pdf. In addition to the Universities and their Presses initiative, Scholarly Communications has also worked with the Research Universities and Humanistic Scholarship program on the Monographs Initiative, which is designed to help presses collaboratively build capacity for monograph publication in under-represented academic fields.

demographic agenda of the university and enhance the capacities of the press to disseminate high quality scholarship.³³ Staff will continue to solicit proposals for this initiative through 2009.

Meanwhile, in the context of a broader discussion about the roles of universities in bringing high quality scholarship to the broadest possible audience, program staff are also seeking other ways to provide assistance.³⁴ As Joseph Meisel has written, university presses fill a small but important niche in the ecology of scholarly communications and, with help, have shown themselves to be remarkably adaptable to economic pressures.³⁵ Two areas in which staff have identified particular needs for Foundation support are the development of a shared online marketing mechanism for university presses, and a more effective means for them to distribute and deliver electronic books using shared technology platforms.

Another area of growing importance in the sciences, social sciences, and humanities is the dissemination of original data that

³³ Awards made as part of this initiative in 2007 were: to develop a new set of interdisciplinary centers (\$672,000 to the University of Minnesota); to bolster a strategic plan in the arts and sciences to link certain critical social, scientific, and intellectual issues under the rubric of “cross-cultural contacts” (\$750,000 to the University of Pennsylvania); to facilitate the more effective integration of archives, departments, institutes, and centers that contribute to the study of the “long civil rights movement” (\$937,000 to the University of North Carolina at Chapel Hill). In 2008 an award was made to enrich programs in African Studies and performance studies with an expanded publication output in these fields (\$818,000 to Northwestern University).

³⁴ See Association of American Universities, Association of Research Libraries, Coalition for Networked Information, and National Association of State Universities and Land-Grant Colleges, *The University’s Role in the Dissemination of Research and Scholarship—A Call to Action*, February 2009, <http://www.arl.org/bm~doc/disseminating-research-feb09.pdf>; and Laura Brown, Rebecca Griffiths, and Matthew Rascoff, *University Publishing in a Digital Age*, 2007, <http://www.ithaka.org/strategic-services/Ithaka%20University%20Publishing%20Report.pdf>. See also the results of the ongoing Mellon funded research at the Center for the Study of Higher Education at the University of California, Berkeley on the issues posed for universities by the emergence of new forms of publication and scholarly communications (<http://cshe.berkeley.edu/research/scholarlycommunication/index.htm>).

³⁵ See Joseph S. Meisel, “American University Presses Observed, 1929-1979” (unpublished). An abbreviated version of this paper was presented at the Forum on Academic Publishing in the Humanities, Cornell University, November 7-8, 2008.

scholars have collected in the course of their research.³⁶ These data are increasingly required to support and validate published results and to allow other scholars to build on them. In other words, research data are not only evidence of research projects but also scholarly resources for other research. However, encouraging scholars to contribute their data to common repositories for broader dissemination has been notoriously difficult and the subject of intense experimentation.³⁷

In one important experiment in the humanities, the Society of Architectural Historians (SAH) is attempting with Foundation support and in partnership with ARTstor to build an Architectural Resource Archive (ARA). SAH is inviting members to contribute to ARA digital images of a wide range of buildings and architectural features from around the globe. SAH envisions that the images from this collective resource—SAHARA—would be linked to publications, such as the society’s journal and to new publications, such as scholarly editions and monographs focused on various architectural styles and features. However, the problem is how to encourage sufficient contributions from scholars to make SAHARA a useful and viable resource.³⁸

Among the incentives being offered, ARTstor is making the uploading technology as easy for contributing scholars to use as possible, and visual resource librarians have been recruited to catalog contributed images. These factors are no doubt important, but a special if not unique incentive that SAH is developing for this project

³⁶ There is much work underway on the policies and mechanisms of preserving and disseminating data especially in the sciences. For two recent publications, see The US Interagency Working Group on Digital Data, *Harnessing the Power of Digital Data for Science and Society*, Report to the Committee on Science of the National Science and Technology Council, January 2009, http://www.nitrd.gov/about/Harnessing_Power_Web.pdf; and The UK Digital Curation Center and the Joint Information Systems Committee, *Infrastructure Planning and Data Curation: A Comparative Study of International Approaches to Enabling the Sharing of Research Data*, November 2008, http://www.dcc.ac.uk/docs/publications/reports/Data_Sharing_Report.pdf.

³⁷ See, for example, Carole Palmer, et al., *Identifying Factors of Success in CIC Institutional Repository Development-Final Report* (Urbana-Champaign: University of Illinois at Urbana-Champaign, 2008), <https://www.ideals.uiuc.edu/handle/2142/8981>. See also Ronald C. Jantz and Myoung C. Wilson, “Institutional Repositories: Faculty Deposits, Marketing, and the Reform of Scholarly Communication,” *The Journal of Academic Librarianship* 34 (May 2008): 186-195.

³⁸ SAH has received \$3.254 million from 2006-2008 for the development of SAHARA, and the electronic version of the *Journal of the Society of Architectural Historians*.

is a peer review process for evaluating data contributions so that scholars are formally allocated credit for their data contributions. Program staff expect to recommend continuing support for the development of SAHARA and similar projects that explore the importance of peer review as an incentive for scholars in the humanities and humanistic social sciences to contribute their research data to common repositories for wider dissemination.³⁹

Conclusion

This document is intended to offer a roadmap for grantmaking by the Scholarly Communications program. To extend the metaphor, if the program's three primary objectives are destinations, then this roadmap has tried to anticipate which paths are likely to be open and which obstacles are likely to be encountered. However, it is important to note that the Foundation cannot support all roads taken.

Program staff must be highly selective in the proposals that they invite and recommend to the Mellon Trustees. They will not be able to fund all projects and initiatives that fall under the rubric of the priorities discussed above, especially in the current economic circumstances, which will generate increased competition for the program's grant funds. Moreover, staff will not consider funding for activities that fall outside the strict scope of the program's primary objectives. Thus, for example, the development of tools or resources that serve primarily pedagogical purposes in higher education or projects aimed at outreach to the general public or to the kindergarten through high school education sector will not be considered. Because of budgetary constraints, staff also do not expect in the next two years to consider new proposals for endowment grants, or new initiatives that require the establishment of nonprofit organizations.

Finally, even as this roadmap is fixed in print, and the Foundation commits to continuing to support the core aspects of scholarly communications that fundamentally engage universities, libraries, scholars and publishers, program staff recognize the urgent need to remain flexible and ready to explore new avenues as the length and depth of the current recession becomes known, as institutions identify ways in which they can collaborate more effectively, as new models for financing scholarly publication and the dissemination of resources become apparent, and as new and unexpected challenges and opportunities present themselves.

³⁹ Archaeologists are also developing a data repository with Foundation support and is planning to explore the effect of peer review as an incentive for scholars to contribute (\$152,000 to the University of Arkansas in 2007, and \$1.294 million to Arizona State University in 2008).

The Andrew W. Mellon Foundation

Summary of Grants and Contributions, 2008

	<i>Payable and Committed at Dec. 31, 2007</i>	<i>2008 Grants and Commitments</i>		<i>Payable and Committed at Dec. 31, 2008</i>
		<i>Appropriated</i>	<i>Paid</i>	
Conservation and the Environment	\$ 4,171,620	\$ 13,336,600	\$ 12,671,087	\$ 4,837,133
Museums and Art Conservation	15,469,992	29,920,300	25,562,674	19,827,618
Performing Arts	6,481,474	41,671,215	37,298,939	10,853,750
Higher Education and Scholarship	61,239,024	159,563,100	159,274,243	61,527,881
Libraries and Scholarly Communication	7,955,028	33,264,000	31,355,550	9,863,478
Public Affairs	—	50,000	50,000	—
Other	484,330	480,000	480,000	484,330
Program grants and commitments — totals	95,801,468	278,285,215	266,692,493	107,394,190
Contributions and matching gifts	—	787,083	787,083	—
	<u>\$95,801,468</u>	<u>\$279,072,298</u>	<u>\$267,479,576</u>	<u>\$107,394,190</u>

The Andrew W. Mellon Foundation

Classification of Grants

CONSERVATION AND THE ENVIRONMENT

Appropriated

Academy of Natural Sciences of Philadelphia,
Philadelphia, Pennsylvania:

To support the development of a coordinated
digital database of images and information on
plants of Africa, Latin America, and other areas . . \$ 99,000

Association Tela Botanica,
Montpellier, France:

To continue the development of a coordinated
digital database of images and information on
plants of Africa, Latin America, and other areas . . . 232,000

Botanische Staatssammlung München,
Munich, Germany:

To continue the development of a coordinated
digital database of images and information on
plants of Africa, Latin America, and other areas . . . 253,000

California Academy of Sciences,
San Francisco, California:

To continue the development of a coordinated
digital database of images and information on
plants of Africa, Latin America, and other areas . . . 145,000

California State University at Bakersfield,
Bakersfield, California:

To support a program of ecological research and
training in collaboration with the University of
Cape Town and South African National Parks 300,000

CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

Carnegie Institution of Washington,
Washington, DC:

To support a program of ecological research
and training 517,000

Conservatoire et Jardin Botaniques,
Geneva, Switzerland:

To support the development of a coordinated
digital database of images and information on
plants of Africa, Latin America, and other areas . . . 462,000

Escuela Agricola Panamericana,
Fairfax, Virginia:

To support the development of a coordinated
digital database of images and information on
plants of Africa, Latin America, and other areas . . . 20,000

Fairchild Tropical Botanic Garden,
Coral Gables, Florida:

To continue to organize smaller herbaria in the
Caribbean for participation in the Latin American
Plants Initiative 54,000

Field Museum of Natural History,
Chicago, Illinois:

To support the development of a coordinated
digital database of images and information on
plants of Africa, Latin America, and other areas . . . 168,000

Flora of North America Association,
Point Arena, California:

To support the development of a coordinated
digital database of images and information on
plants of Africa, Latin America, and other areas . . . 200,000

CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

Free University of Berlin,
Berlin, Germany:

To support the development of a coordinated
digital database of images and information on
plants of Africa, Latin America, and other areas . . . 294,000

Friedrich-Schiller-Universität Jena,
Jena, Germany:

To support the development of a coordinated
digital database of images and information on
plants of Africa, Latin America, and other areas . . . 280,000

Fundación Instituto Botánico de Venezuela,
Caracas, Venezuela:

To support the development of a coordinated
digital database of images and information on
plants of Africa, Latin America, and other areas . . . 78,000

Fundación para el Desarrollo de la Ecología
FUND-ECO,
La Paz, Bolivia:

To support the development of a coordinated
digital database of images and information on
plants of Africa, Latin America, and other areas . . . 30,000

Georg-August-Universität Göttingen,
Göttingen, Germany:

To support the development of a coordinated
digital database of images and information on
plants of Africa, Latin America, and other areas . . . 97,000

Herbario Universitario, UNELLEZ,
Estado Portuguesa, Venezuela:

To support the development of a coordinated
digital database of images and information on
plants of Africa, Latin America, and other areas . . . 20,000

**CONSERVATION AND
THE ENVIRONMENT**

(continued)

Appropriated

Ithaca Harbors, Inc.,
New York, New York:

To support the development of a coordinated
digital database of images and information on
plants of Africa, Latin America, and other areas . . . 260,000

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

To continue the development of a coordinated
digital database of images and information on
plants of Africa, Latin America, and other areas . . . 229,000

Martin Luther University Halle-Wittenberg,
Halle, Germany:

To support the development of a coordinated
digital database of images and information on
plants of Africa, Latin America, and other areas . . . 134,000

Missouri Botanical Garden,
St. Louis, Missouri:

To support a visiting fellows program for
Latin American scholars 150,000

To support the development of a coordinated
digital database of images and information on
plants of Africa, Latin America, and other areas . . . 130,000

To continue the development of a coordinated
digital database of images and information on
plants of Africa, Latin America, and other areas . . . 50,000

Museo Nacional de Historia Natural,
Santiago, Chile:

To support the development of a coordinated
digital database of images and information on
plants of Africa, Latin America, and other areas . . . 63,000

CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

Museo Nacional de Historia Natural y Antropología,
Montevideo, Uruguay:

To support the development of a coordinated
digital database of images and information on
plants of Africa, Latin America, and other areas . . . 18,000

Museum national d'Histoire naturelle,
Paris, France:

To support the development of a coordinated
digital database of images and information on
plants of Africa, Latin America, and other areas . . . 596,000

To support the development of a coordinated
digital database of images and information on
plants of Africa, Latin America, and other areas . . . 65,000

The Natural History Museum,
London, United Kingdom:

To support the development of a coordinated
digital database of images and information on
plants of Africa, Latin America, and other areas . . . 375,000

To support the development of a coordinated
digital database of images and information on
plants of Africa, Latin America, and other areas . . . 68,000

Naturhistorisches Museum Wien,
Vienna, Austria:

To support the development of a coordinated
digital database of images and information on
plants of Africa, Latin America, and other areas . . . 428,000

New York Botanical Garden,
Bronx, New York:

To continue the development of a coordinated
digital database of images and information on
plants of Africa, Latin America, and other areas . . . 363,000

To support the purchase and distribution of
color standards for the Plants Initiative 11,600

CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

Princeton University,
Princeton, New Jersey:

To support a program of ecological research and training in collaboration with the University of Cape Town and South African National Parks 295,000

To support a program of ecological research and training in collaboration with the University of Cape Town and South African National Parks 285,000

Rancho Santa Ana Botanic Garden,
Claremont, California:

To support the development of a coordinated digital database of images and information on plants of Africa, Latin America, and other areas . . . 89,000

The Royal Botanic Garden Edinburgh,
Edinburgh, United Kingdom:

To support the development of a coordinated digital database of images and information on plants of Africa, Latin America, and other areas . . . 259,000

Royal Botanic Gardens, Kew,
Richmond, United Kingdom:

To support the development of a coordinated digital database of images and information on plants of Africa, Latin America, and other areas . . . 926,000

To support the development of a coordinated digital database of images and information on plants of Africa, Latin America, and other areas . . . 343,000

Smithsonian Institution,
Washington, DC:

To support the development of a coordinated digital database of images and information on plants of Africa, Latin America, and other areas . . . 429,000

To continue the development of a coordinated digital database of images and information on plants of Africa, Latin America, and other areas . . . 321,000

CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

To support the development of a coordinated digital database of images and information on plants of Africa, Latin America, and other areas . . .	91,000
To support four small Central American herbaria in joining the Latin American Plants Initiative	35,000
To support the development of a coordinated digital database of images and information on plants of Africa, Latin America, and other areas . . .	33,000
South African National Biodiversity Institute, Pretoria, South Africa:	
To support meetings of African Plants Initiative partners in South Africa and Madagascar	237,000
To support the coordination of meetings related to the African Plants Initiative	31,000
South African National Parks, Pretoria, South Africa:	
To support a program of ecological research and training	286,000
Swedish Museum of Natural History, Stockholm, Sweden:	
To continue support of the development of a coordinated digital database of images and information on plants of Africa, Latin America, and other areas	340,000
UNAM Foundation, San Antonio, Texas:	
To support the development of a coordinated digital database of images and information on plants of Africa, Latin America, and other areas . . .	72,000

**CONSERVATION AND
THE ENVIRONMENT**

(continued)

Appropriated

Universidad Nacional de Colombia,
Bogotá, Colombia:

To support the development of a coordinated
digital database of images and information on
plants of Africa, Latin America, and other areas . . . 50,000

Université Montpellier II,
Montpellier, France:

To continue support of the development of a
coordinated digital database of images and
information on plants of Africa, Latin America,
and other areas 123,000

University of Alaska at Anchorage,
Anchorage, Alaska:

To support an ecological research and training
program led by a junior faculty scientist 239,000

University of California at Berkeley,
Berkeley, California:

To support the development of a coordinated
digital database of images and information on
plants of Africa, Latin America, and other areas . . . 110,000

University of California at Davis,
Davis, California:

To support an ecological research and training
program led by a junior faculty scientist 290,000

University of Cape Town,
Cape Town, South Africa:

To support a program of ecological research
and training 165,000

To support visiting scientists at the University of
Cape Town to strengthen research bridges between
South Africa and foreign universities 12,000

CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

University of Colorado at Boulder,
Boulder, Colorado:

To support a program of ecological research
and training 294,000

University of Dublin, Trinity College,
Dublin, Ireland:

To support the development of a coordinated
digital database of images and information on
plants of Africa, Latin America, and other areas . . . 244,000

University of Graz,
Graz, Austria:

To support the development of a coordinated
digital database of images and information on
plants of Africa, Latin America, and other areas . . . 54,000

University of Hamburg,
Hamburg, Germany:

To continue support of the development of a
coordinated digital database of images and
information on plants of Africa, Latin America,
and other areas 134,000

University of Michigan,
Ann Arbor, Michigan:

To support the development of a coordinated
digital database of images and information on
plants of Africa, Latin America, and other areas . . . 152,000

University of Minnesota at Twin Cities,
Minneapolis, Minnesota:

To support an ecological research and training
program led by a junior faculty scientist 278,000

CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

University of Montana,
Missoula, Montana:

To support ecological research and training
program led by a junior faculty scientist 296,000

University of Texas at Austin,
Austin, Texas:

To support the development of a coordinated
digital database of images and information on
plants of Africa, Latin America, and other areas . . . 49,000

University of Wisconsin at Madison,
Madison, Wisconsin:

To support the development of a coordinated
digital database of images and information on
plants of Africa, Latin America, and other areas . . . 67,000

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

To continue support of the development of a
coordinated digital database of images and
information on plants of Africa, Latin America,
and other areas 518,000

Total—Conservation and the Environment \$13,336,600

MUSEUMS AND
ART CONSERVATION

Appropriated

Amherst College,
Amherst, Massachusetts:

To strengthen the academic role of the Mead Art
Museum's collections and programs \$ 500,000

The Art Institute of Chicago,
Chicago, Illinois:

To establish an endowment for the position of
associate scientist in the Department of
Conservation; and to sustain essential elements of
the collaboration with Northwestern University . . . 2,000,000

Barnes Foundation,
Merion, Pennsylvania:

To continue support of assessment, research, and
preservation of the permanent collection 525,000

Courtauld Institute of Art,
London, United Kingdom:

To continue support for a pilot project for
conservation and art historical documentation
in digital form 48,000

The Denver Art Museum,
Denver, Colorado:

To establish an endowment for the position of
paintings conservator and to support essential
equipment purchases 1,750,000

Duke University,
Durham, North Carolina:

To strengthen the academic role of the Nasher
Museum of Art's collections and programs 500,000

Emory University,
Atlanta, Georgia:

To support a planning process for the development
of curricula to strengthen the academic role of the
Michael C. Carlos Museum 9,000

MUSEUMS AND
ART CONSERVATION

(continued)

Appropriated

Florida International University,
Miami, Florida:

To strengthen the academic role of The Wolfsonian's
collections and programs 500,000

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

To establish an endowment for mid-career
workshops in photograph conservation 1,000,000

George Eastman House,
Rochester, New York:

To establish a wasting endowment for the
Center for the Legacy of Photography 2,000,000

Indiana University,
Bloomington, Indiana:

To strengthen the academic role of the
Indiana University Museum of Art's collections
and programs 500,000

Indianapolis Museum of Art, Inc.,
Indianapolis, Indiana:

To establish an endowment for the position of
scientist in the Department of Conservation 1,750,000

Kansas University Endowment Association,
Lawrence, Kansas:

To increase the endowment established in 2000
for strengthening the academic role of the Spencer
Museum of Art's collections and programs 1,200,000

Metropolitan Museum of Art,
New York, New York:

To endow the program of postdoctoral Andrew W.
Mellon Curatorial Fellowships; and to increase
the Museum's permanent endowment for
existing curatorial and conservation fellowships 5,000,000

**MUSEUMS AND
ART CONSERVATION**

(continued)

Appropriated

Mount Holyoke College,
South Hadley, Massachusetts:

To strengthen the academic role of the
Mount Holyoke College Art Museum's
collections and programs 500,000

Museum Associates,
Los Angeles, California:

To support two three-year postdoctoral research
fellowships in science at the Los Angeles County
Museum of Art 500,000

Oberlin College,
Oberlin, Ohio:

To establish an endowment to strengthen the
academic role of the Allen Memorial Art
Museum's collections and programs 1,250,000

Philadelphia Museum of Art,
Philadelphia, Pennsylvania:

To support the processing of the
Anne d'Harnoncourt Archives 150,000

To support structural improvements to the
Museum's conservation database software,
Conservation Tracker 50,000

To complete construction and documentation of
the Museum's conservation database software,
Conservation Tracker 22,500

Rhode Island School of Design,
Providence, Rhode Island:

To increase the endowment established in 2002
for strengthening the academic role of the
Museum of Art's collections and programs 1,000,000

MUSEUMS AND
ART CONSERVATION

(continued)

Appropriated

Smith College,
Northampton, Massachusetts:

To increase the endowment established in 1997 for strengthening the academic role of the Smith College Museum of Art's collections and programs	1,215,000
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Stichting tot Exploitatie van het Rijksbureau voor
Kunsthistorische Documentatie,
Den Haag, Netherlands:

To continue support for a pilot project for conservation and art historical documentation in digital form	297,000
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University of California at Los Angeles,
Los Angeles, California:

To support professional development for fellows in the UCLA/Getty Archaeological and Ethnographic Conservation Program	6,000
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University of Chicago,
Chicago, Illinois:

To increase the endowment established in 2000 for strengthening the academic role of the Smart Museum of Art's collections and programs . .	1,250,000
To support a meeting of academic coordinators of the Mellon College and University Art Museum program	10,000

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

To establish an endowment to strengthen the academic role of the Ackland Art Museum's collections and programs	1,250,000
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MUSEUMS AND
ART CONSERVATION

(continued)

Appropriated

University of Pennsylvania,
Philadelphia, Pennsylvania:

To create and support the position of associate
deputy director at the University of Pennsylvania
Museum of Archaeology and Anthropology 545,000

University of Warwick,
Coventry, United Kingdom:

To support a planning meeting for a study of
Venetian Renaissance Bronzes 6,800

Vassar College,
Poughkeepsie, New York:

To establish an endowment to strengthen the
academic role of the Francis Lehman Loeb
Art Center's collections and programs 1,200,000

Walters Art Gallery Endowment Foundation, Inc.,
Baltimore, Maryland:

To endow the program of postdoctoral
Andrew W. Mellon Curatorial Fellowships 2,060,000

Williams College,
Williamstown, Massachusetts:

To increase the endowment established in 1997
for strengthening the academic role of the
Museum's collections and programs 1,270,000

Yale University,
New Haven, Connecticut:

To develop an experimental program in which
works of art from Yale's collections would be
loaned to six college art museums 56,000

Total—Museums and Art Conservation \$29,920,300

PERFORMING ARTS

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

To support a commissioning and composer partnership program	\$ 300,000
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American Conservatory Theatre Foundation,
San Francisco, California:

To support meetings of the artistic and executive leaders of a consortium of theaters collaborating on the creation and touring of new large-scale theater works	8,800
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American Dance Festival, Inc.,
Durham, North Carolina:

To support dance reconstructions and organizational development	250,000
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American Music Center, Inc.,
New York, New York:

To support the establishment of an endowment for the <i>Live Music for Dance</i> program	1,000,000
To support planning for an annual festival of concerts by North American orchestras, <i>Spring for Music</i> , at Carnegie Hall	50,000

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

To support the world premiere production of <i>Cardenio</i>	50,000
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American Symphony Orchestra League,
New York, New York:

To support the upgrading and modernization of statistical data collection systems, and research into orchestra pension plans and audience development	500,000
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PERFORMING ARTS

(continued)

Appropriated

Appalshop, Inc.,

Whitesburg, Kentucky:

To support artistic initiatives and organizational development	1,000,000
To support archive development	800,000

Association of Performing Arts Presenters Inc.,

Washington, DC:

To support the <i>Under the Radar Festival and Symposium</i>	240,000
To support an international travel subsidy program for the presenting field	50,000

Ballet Memphis Corporation,

Memphis, Tennessee:

To support research and planning	26,000
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Bang on a Can, Inc.,

Brooklyn, New York:

To support the Summer Institute of Music at the Massachusetts Museum of Contemporary Art	90,000
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The Vivian Beaumont Theater, Inc.,

New York, New York:

To support the LCT3 play series, new plays being produced in a third, off-site venue	1,000,000
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Black Women Playwrights' Group, Inc.,

Washington, DC:

To support a national meeting of African-American women playwrights	15,000
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Boston Modern Orchestra Project, Inc.,

Roslindale, Massachusetts:

To support organizational development for the record label BMOP/sound	300,000
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PERFORMING ARTS

(continued)

Appropriated

Boston Symphony Orchestra, Inc.,

Boston, Massachusetts:

To support new media strategies	1,000,000
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Brooklyn Philharmonic Symphony Orchestra, Inc.,

Brooklyn, New York:

To support organizational development	50,000
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Chamber Music America, Inc.,

New York, New York:

To support a commissioning program	600,000
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Dance Heritage Coalition, Inc.,

Washington, DC:

To support services to the field and the Secure Media Network	700,000
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Dance New Amsterdam, Inc.,

New York, New York:

To support organizational development	75,000
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Dance Theater Workshop, Inc.,

New York, New York:

To support organizational development	300,000
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Dance/USA,

Washington, DC:

To support a research associate, membership capacity-building, and Dance/NYC	150,000
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Danspace Project, Inc.,

New York, New York:

To support commissioning, organizational planning, and new artistic programs	150,000
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PERFORMING ARTS

(continued)

Appropriated

Detroit Symphony Orchestra, Inc.,
 Detroit, Michigan:

To support artistic initiatives and organizational
 development 900,000

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

To support a book documenting and celebrating
 the 25-year history of the Bill T. Jones/Arnie Zane
 Dance Company 25,000

Fund for the City of New York, Inc.,
 New York, New York:

To support a revolving loan fund for performing
 arts institutions 3,000,000

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

To support a commissioning program 800,000

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

To support artistic initiatives and organizational
 development 200,000

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

To support artistic initiatives 1,000,000

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

To support Joyce Soho 100,000

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

To support a consortia of theaters that would
 collaborate with the Lark on the planning and
 realization of new plays 500,000

PERFORMING ARTS

(continued)

Appropriated

Los Angeles Philharmonic Association,
Los Angeles, California:

To support a convening of orchestra executives
who are planning the implementation of
programs modeled on *El Sistema* 15,000

Manhattan Theatre Club, Inc.,
New York, New York:

To support a revolving working capital fund 1,000,000

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

To support planning related to the possible
expansion of the Choreographers in Mentorship
Exchange program 50,000

Meet the Composer, Inc.,
New York, New York:

To support the composer residency program,
Music Alive 1,250,000

To endow the commissioning program, *Fund
for Musical Creativity* 1,250,000

Metropolitan Opera Association, Inc.,
New York, New York:

To support transmissions of the *Live in
HD* series and PBS telecasts 4,750,000

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

To support the continuation and expansion of the
USArtists International travel grant program for
US performance ensembles 500,000

The Minnesota Opera,
Minneapolis, Minnesota:

To support *Minnesota OperaWorks*, a
contemporary opera initiative 500,000

PERFORMING ARTS

(continued)

*Appropriated*Musical Arts Association,
Cleveland, Ohio:

To support planning and implementation of a new revenue management structure and changes to a subscription based business model	50,000
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New Dramatists, Inc.,
New York, New York:

To support the Creativity Fund and the Full Stage production program	675,000
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New England Foundation for the Arts, Inc.,
Boston, Massachusetts:

To support the National Dance Project and related planning	1,500,000
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To support the Center for Creative Research	325,000
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New World Symphony Inc.,
Miami Beach, Florida:

To support planning for the commissioning of works combining music and projected images	50,000
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New York City Opera, Inc.,
New York, New York:

To support artistic initiatives	2,500,000
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New York Shakespeare Festival,
New York, New York:

To support a Master Writer's Chair in partnership with New York University	600,000
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On the Boards,
Seattle, Washington:

To support innovative choreographers and build audiences for contemporary dance	50,000
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PERFORMING ARTS

(continued)

Appropriated

Opera America, Inc.,
New York, New York:

To support planning for a national opera center . . . 50,000

Pacific Symphony,
Santa Ana, California:

To support artistic initiatives and organizational
development 500,000

The Pew Charitable Trusts,
Philadelphia, Pennsylvania:

To support the Cultural Data Project 250,000

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

To support new media strategies and
artistic initiatives 1,000,000

Playwrights' Center, Inc.,
Minneapolis, Minnesota:

To support the Core Writers' Lab and initiatives
to promote writers' work to producing theaters 1,000,000

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

To support the development and production of
new musical theater works in partnership with
regional theaters 2,000,000

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

To support a production fund 1,000,000

To support planning costs and business analysis
to be conducted by the Nonprofit Finance Fund . . . 20,000

PERFORMING ARTS

(continued)

Appropriated

San Francisco Opera Association,
San Francisco, California:

To support artistic initiatives 1,000,000

7 Stages, Inc.,
Atlanta, Georgia:

To support a new translation and development/
residency program for a Bernard-Marie Koltès
play in collaboration with Emory University 31,615

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

To support the Signature Ticket Initiative,
the historic Negro Ensemble Company Season,
and other ambitious productions 1,250,000

Steppenwolf Theatre Company,
Chicago, Illinois:

To support the expansion of the
First Look program 600,000

Sundance Institute,
Park City, Utah:

To support the expansion of
Theater Institute programs 600,000

Theatre Communications Group, Inc.,
New York, New York:

To support round nine of the
New Generations Program 750,000

To support services to the field 250,000

Thin Man Dance, Inc.,
New York, New York:

To support artistic activities, organizational
development, and the move to a new facility 65,000

PERFORMING ARTS

(continued)

Appropriated

3-Legged Dog, Inc.,
New York, New York:

To support artistic initiatives and organizational development	400,000
To support the world premiere production of <i>Fire Island</i>	50,000

Twin Lions, Inc,
New York, New York:

To support capacity-building for <i>Free for All at Town Hall</i>	45,000
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University of California at Berkeley,
Berkeley, California:

To support the experimental use of a prototypical “tele-immersion system” as part of a performance by the Merce Cunningham Dance Company	75,000
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Vanderbilt University,
Nashville, Tennessee:

To support a convening of researchers and practitioners to inform and coordinate a set of diverse national Creative Campus initiatives	44,200
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Virginia Polytechnic Institute and State University,
Blacksburg, Virginia:

To support the administration of the Orchestra Forum by the Institute for Cultural Policy and Practice	385,600
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Washington Drama Society, Inc.,
Washington, DC:

To support a convening of arts practitioners to discuss the development and production of new musicals.	<u>10,000</u>
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Total—Performing Arts	<u><u>\$41,671,215</u></u>
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HIGHER EDUCATION
AND SCHOLARSHIP

Appropriated

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

To support fellowships for collaborative
scholarship in the humanities \$ 3,875,000

American School of Classical Studies at Athens,
Princeton, New Jersey:

To support predoctoral fellowships and the core
academic program 1,000,000

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

To support the operations of the American
International Consortium of Libraries (AMICAL)
and to fund JSTOR and ARTstor subscriptions
for AMICAL member institutions 420,000

To support faculty career enhancement programs 250,000

Amherst College,
Amherst, Massachusetts:

To support additional research and related costs
for an Emeritus Fellow 3,000

Antioch University,
Yellow Springs, Ohio:

To support the development of a plan to reopen
Antioch College 50,000

Appalachian College Association,
Berea, Kentucky:

To support a partnership for undergraduate
research with the University of North Carolina
at Asheville 500,000

To support faculty career enhancement programs
and expansion of the Central Library shared
online catalog 500,000

**HIGHER EDUCATION
AND SCHOLARSHIP**

(continued)

Appropriated

To support an evaluation of the Association's member colleges' archives and special collections . . .	50,000
To support the development of open source software associated with the Learning Asset Management project	50,000
Associated Colleges of the South, Inc., Atlanta, Georgia:	
To support the environmental studies program	3,500,000
Bard College, Annandale-on-Hudson, New York:	
To establish an endowment to support the academic core of the Conservatory of Music's five-year double degree program	2,500,000
To support the cataloguing and preservation of the Hannah Arendt Collection	18,600
Barnard College, New York, New York:	
To support translation studies	380,000
To support the "River Summer" program in collaboration with the Environmental Consortium of Hudson Valley Colleges and Universities	300,000
To support faculty development and assessment of the college's general education requirements	50,000
Bennett College, Greensboro, North Carolina:	
To support the initial phase of strategic planning . . .	60,000
Berea College, Berea, Kentucky:	
To support a study of the factors that influence low-income college students' decisions to leave school	183,000

**HIGHER EDUCATION
AND SCHOLARSHIP**

(continued)

Appropriated

Bowdoin College,
Brunswick, Maine:

To support a program of enhanced
sabbatical leaves 1,700,000

Brandeis University,
Waltham, Massachusetts:

To support doctoral students in the humanities 1,651,000

Brown University,
Providence, Rhode Island:

To support doctoral students in the humanities 3,000,000

To support workshops for graduate students
and faculty members in the humanities and
humanistic social sciences 571,000

To support research in the humanities and
social sciences for undergraduates through
the Leadership Alliance 500,000

Bryn Mawr College,
Bryn Mawr, Pennsylvania:

To support the environmental studies program 565,000

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

Carnegie Mellon University,
Pittsburgh, Pennsylvania:

To support the development of open source
software associated with the Panda-3D project 50,000

Clark Atlanta University,
Atlanta, Georgia:

To support student retention initiatives 400,000

**HIGHER EDUCATION
AND SCHOLARSHIP**

(continued)

Appropriated

College of Wooster,
Wooster, Ohio:

To support faculty renewal and the Independent Study Program	800,000
To support a presidential discretionary fund	100,000

Columbia University,
New York, New York:

To support a Distinguished Achievement Award . . .	1,500,000
To support ongoing scholarly activities by a former New Directions Fellowship recipient	50,000
To support an Emeritus Fellowship	32,000

Community MusicWorks,
Providence, Rhode Island:

To support strategic collaborations that will extend the educational model of Community MusicWorks in the fields of classical music and arts education . .	300,000
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Connecticut College,
New London, Connecticut:

To establish a Mellon Mays Undergraduate Fellowship Program	500,000
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Cornell University,
Ithaca, New York:

To support a New Directions Fellowship	278,000
To support a New Directions Fellowship	224,000

Council on Library and Information Resources,
Washington, DC:

To support a dissertation fellowship program for graduate students in the humanities to conduct research in original sources	1,378,000
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**HIGHER EDUCATION
AND SCHOLARSHIP**

(continued)

Appropriated

Courtauld Institute of Art,
London, United Kingdom:

To support activities to strengthen scholarship
in art history 720,000

Dance for All,
Cape Town, South Africa:

To support the position of outreach director 50,000

Dartmouth College,
Hanover, New Hampshire:

To support a New Directions Fellowship 272,000

Davidson College,
Davidson, North Carolina:

To support a program to improve students'
writing skills and strengthen faculty diversity 940,000

To support a presidential discretionary fund 100,000

Denison University,
Granville, Ohio:

To support faculty career enhancement programs . . 164,000

Dillard University,
New Orleans, Louisiana:

To support faculty career enhancement programs . . 500,000

Doane College,
Crete, Nebraska:

To support interdisciplinary study across the
general education curriculum 50,000

Duke University,
Durham, North Carolina:

To support the community-based planning,
specification, and pilot testing of the Open Library
Initiative, a shared technology services environment
for research and academic libraries 475,700

**HIGHER EDUCATION
AND SCHOLARSHIP**

(continued)

Appropriated

To support an Emeritus Fellowship	55,000
To support an Emeritus Fellowship	55,000
Earlham College, Richmond, Indiana:	
To support the development of an Islamic Studies Program	300,000
Ecotrust, Portland, Oregon:	
To support the development of open source software associated with the Open OceanMap project	50,000
The Emeriti Consortium for Retirement Health Solutions, New Windsor, New York:	
To support general operations	2,000,000
Fedora Commons, Inc., Ithaca, New York:	
To determine the feasibility of launching a new service, "DuraSpace," to serve academic libraries, universities, and other organizations in providing perpetual access to digital content in collaboration with DSpace Foundation, Inc.	50,000
Fisk University, Nashville, Tennessee:	
To support student retention	100,000
Five Colleges Incorporated, Amherst, Massachusetts:	
To support postdoctoral fellowships and faculty student research teams	1,750,000

**HIGHER EDUCATION
AND SCHOLARSHIP**

(continued)

Appropriated

Foothill College,
Los Altos Hills, California:

To support the development of open source
software in association with the Mneme Test
Center project 50,000

Fordham University,
Bronx, New York:

To support the publication of scholarly
monographs in the humanities 1,120,000

Franklin & Marshall College,
Lancaster, Pennsylvania:

To support an environmental studies program 440,000

Furman University,
Greenville, South Carolina:

To support the environmental studies program 850,000

George Mason University,
Fairfax, Virginia:

To endow an annual summer fellowship for
graduate students working on the development of
open source software associated with the
Omeka project 50,000

George Washington University,
Washington, DC:

To support summer archival training institutes
for graduate students in the humanities and
humanistic social sciences 330,000

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

To support the continued professional growth and
renewal of liberal arts college faculty members 3,980,000

**HIGHER EDUCATION
AND SCHOLARSHIP**

(continued)

Appropriated

Grinnell College,
Grinnell, Iowa:

To support interdisciplinary faculty development and curricular expansion	965,000
To support the establishment of a Mellon Mays Undergraduate Fellowship program	500,000

Hampshire College,
Amherst, Massachusetts:

To support substantial curricular revision and enhancement in the area of foreign language study	730,000
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Hartwick College,
Oneonta, New York:

To support curricular revision and enhancement in the First Year Seminar program	273,000
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Harvard University,
Cambridge, Massachusetts:

To support international scholarly collaboration on the history of the Sino-Japanese War of 1937-1945	50,000
To support planning for projects to increase access to the collected paleographical works and related scholarly resources produced by Albinia de la Mare	5,000

Haverford College,
Haverford, Pennsylvania:

To support the environmental studies program	1,500,000
To support a presidential discretionary fund	100,000

Hendrix College,
Conway, Arkansas:

To support curricular revision and enhancement . . .	600,000
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**HIGHER EDUCATION
AND SCHOLARSHIP**

(continued)

Appropriated

Heritage University, Toppenish, Washington:	
To support the inclusion of high-quality color photographs in the Sahaptin Language Dictionary	20,000
Hobart and William Smith Colleges, Geneva, New York:	
To support the environmental studies program	1,000,000
Howard University, Washington, DC:	
To support curricular enhancement activities	390,000
Humanity in Action, Inc., New York, New York:	
To support summer fellowships for undergraduate students and core program costs	200,000
Indiana University, Bloomington, Indiana:	
To support an Emeritus Fellowship	51,000
To support an Emeritus Fellowship	50,000
To support an Emeritus Fellowship	42,000
Institute for Advanced Study, Princeton, New Jersey:	
To support fellowships for assistant professors at the School of Historical Studies	1,100,000
Institute of International Education, Inc., New York, New York:	
To provide program and administrative support for the University Leaders' Forum at the University of Ghana	50,000

**HIGHER EDUCATION
AND SCHOLARSHIP**

(continued)

Appropriated

Johnson C. Smith University,
Charlotte, North Carolina:

To support information literacy programs 120,000

Kalamazoo College,
Kalamazoo, Michigan:

To support curricular revision and enhancement . . . 350,000

Kenyon College,
Gambier, Ohio:

To support postdoctoral fellowships 300,000

King's College London,
London, United Kingdom:

To support the development of open source
software associated with the Pliny project 50,000

Lafayette College,
Easton, Pennsylvania:

To support an environmental studies program 800,000

Lake Forest College,
Lake Forest, Illinois:

To support programs to strengthen the college's
educational and cultural ties with the city
of Chicago 500,000

Latin American Studies Association, Inc.,
Pittsburgh, Pennsylvania:

To support activities that promote more
transregional comparative, and cross-disciplinary
approaches to scholarship 500,000

Lawrence University,
Appleton, Wisconsin:

To support a senior experience program 350,000

**HIGHER EDUCATION
AND SCHOLARSHIP**

(continued)

Appropriated
**Macalester College,
St. Paul, Minnesota:**

To support curricular innovation through
interdepartmental concentrations 1,000,000

**Massachusetts Institute of Technology,
Cambridge, Massachusetts:**

To support postdoctoral fellowships in the
humanities and humanistic social sciences 1,156,000

To support the development of open source
software associated with the Kerberos project 100,000

**McGill University,
Montreal, Canada:**

To support postdoctoral fellowships in the
humanities and humanistic social sciences 1,495,000

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

**Middlebury College,
Middlebury, Vermont:**

To support interdisciplinary programs in
American and International Studies 1,200,000

**Morehouse College,
Atlanta, Georgia:**

To support a presidential discretionary fund 100,000

**Mount Holyoke College,
South Hadley, Massachusetts:**

To support curricular innovation through
interdisciplinary, thematically organized
course clusters 475,000

To support work of a senior advisor in the
Liberal Arts Colleges program area sponsored
projects 280,000

To support an Emeritus Fellowship 55,000

**HIGHER EDUCATION
AND SCHOLARSHIP**

(continued)

Appropriated

National Gallery of Art,
Washington, DC:

To support activities to strengthen scholarship
in art history at the Center for Advanced Study
in the Visual Arts 455,000

National Humanities Center,
Research Triangle Park, North Carolina:

To support fellowships 3,000,000
To support summer institutes in literary studies . . . 745,000

National University of Ireland at Galway,
Galway, Ireland:

To support scholarly projects that explore
regional and transregional phenomena at the
Moore Institute for Research in the Humanities
and Social Studies 459,000

The New School,
New York, New York:

To support the development by Eugene Lang
College of curricula in food and water systems
that will enhance its program in
Environmental Studies 400,000

New York University,
New York, New York:

To support the office of the Partnership for
Higher Education in Africa 300,000

Newberry Library,
Chicago, Illinois:

To support fellowship programs 342,000

Northwestern University,
Evanston, Illinois:

To support doctoral students in the humanities 4,500,000

HIGHER EDUCATION AND SCHOLARSHIP

(continued)

Appropriated

To establish a Mellon Mays Undergraduate Fellowship Program	500,000
To support a New Directions Fellowship	211,000
To support the development of standards-based interoperability between the Plone content management system and standards-compliant institutional repositories such as Fedora and the California Digital Library	163,000
To support a Sawyer Seminar on the Comparative Study of Cultures, entitled "Theatre After Athens: Reception and Revision of Ancient Greek Drama"	148,000
To support an Emeritus Fellowship	55,000
Oberlin College, Oberlin, Ohio:	
To support faculty career enhancement programs and student-faculty collaborative research	1,500,000
To support a collaborative program that would strengthen academic libraries in collaboration with Johnson C. Smith University, Robert W. Woodruff Library of the Atlanta University Center, Inc., and Occidental, Saint Augustine's, Swarthmore, and Wellesley Colleges	500,000
To support a presidential discretionary fund	100,000
Ohio State University, Columbus, Ohio:	
To support an Emeritus Fellowship	31,000
Omohundro Institute of Early American History and Culture, Williamsburg, Virginia:	
To support a reading and research seminar on African history for scholars from sub-Saharan Africa, the Americas, and Europe	50,000

**HIGHER EDUCATION
AND SCHOLARSHIP**

(continued)

Appropriated

Pennsylvania State University,
University Park, Pennsylvania:

To support a dissertation seminar in the
humanities 238,000

Phillips Academy,
Andover, Massachusetts:

To support the Institute of Recruitment
of Teachers 750,000

Pomona College,
Claremont, California:

To support an Emeritus Fellowship 40,000

Pontifical Institute of Mediaeval Studies,
Toronto, Canada:

To support postdoctoral fellowships 140,000

Princeton University,
Princeton, New Jersey:

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

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

Randolph-Macon College,
Ashland, Virginia:

To support the development of a new
strategic plan 50,000

Reed College,
Portland, Oregon:

To support faculty bridge appointments in
anticipation of retirements 700,000

Rhodes University,
Grahamstown, South Africa:

To support faculty development 600,000

**HIGHER EDUCATION
AND SCHOLARSHIP**

(continued)

Appropriated

To support cataloging and digitization in the International Library of African Music	250,000
To support academic staff development	100,000
Rutgers, The State University of New Jersey, New Brunswick, New Jersey:	
To support doctoral programs in the humanities . . .	2,793,000
To support a New Directions Fellowship	263,000
To support a dissertation seminar in the humanities	209,000
To support ongoing scholarly activities by a former New Directions Fellowship recipient	50,000
Saint Augustine's College, Raleigh, North Carolina:	
To enhance student learning and retention	400,000
Salzburg Global Seminar, Washington, DC:	
To support an international study program for faculty members and administrators from Appalachian and historically black colleges and universities	253,000
Sarah Lawrence College, Bronxville, New York:	
To support a program for faculty revitalization	700,000
To support a presidential discretionary fund	100,000
Scripps College, Claremont, California:	
To support strengthening the core curriculum in interdisciplinary humanities	100,000

**HIGHER EDUCATION
AND SCHOLARSHIP**

(continued)

Appropriated

Skidmore College,
Saratoga Springs, New York:

To support interdisciplinary teaching and learning
through the use of museum exhibitions 1,700,000

Smith College,
Northampton, Massachusetts:

To support the first-year program, advanced
interdisciplinary seminars, and faculty advising 1,395,000

To support a New Directions Fellowship 224,000

To support an Emeritus Fellowship 55,000

Social Science Research Council,
Brooklyn, New York:

To support the International Dissertation
Research Fellowship program for graduate
students in the humanities and social sciences 6,765,000

To support the Dissertation Proposal
Development Fellowship program and
related activities 3,465,000

To administer the Social Science Research
Council-Mellon Mays Graduate Initiatives
Programs for Mellon Mays graduate students
and PhDs 2,500,000

Southeastern Library Network, Inc.,
Atlanta, Georgia:

To support the strengthening of libraries of
historically black colleges and universities 600,000

Southern Africa Legal Services Foundation, Inc.,
Washington, DC:

To support the oral history project on the
Legal Resources Centre 60,000

**HIGHER EDUCATION
AND SCHOLARSHIP**

(continued)

Appropriated

Southern Arts Federation, Inc.,
Atlanta, Georgia:

To support the community-based design and enhancement of a tool for business-continuity (disaster recovery) planning for arts organizations, both stand-alone and within higher education	193,000
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Southern Education Foundation, Inc.,
Atlanta, Georgia:

To support reaccreditation preparation for historically black colleges and universities	915,000
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Spelman College,
Atlanta, Georgia:

To support curricular revision and enhancement . . .	295,000
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St. John's College,
Santa Fe, New Mexico:

To support faculty career enhancement programs . .	600,000
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St. Olaf College,
Northfield, Minnesota:

To support faculty bridge appointments in anticipation of retirements	800,000
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Stanford University,
Stanford, California:

To support the development of a program to evaluate interventions designed to increase the pool of well-qualified, low income students at leading colleges and universities	75,000
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To support ongoing scholarly activities by a former New Directions Fellowship recipient	50,000
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To support ongoing scholarly activities by a former New Directions Fellowship recipient	50,000
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**HIGHER EDUCATION
AND SCHOLARSHIP**

(continued)

Appropriated

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

To support a dissertation seminar in the humanities	200,000
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Stellenbosch University,
Matieland, South Africa:

To support academic staff development in the humanities and social sciences	100,000
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Swarthmore College,
Swarthmore, Pennsylvania:

To support a program in modern Middle Eastern history and Islamic studies	645,000
To support a New Directions Fellowship	224,000

Tougaloo College,
Tougaloo, Mississippi:

To support continuation of the honors program . . .	500,000
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Trinity College,
Hartford, Connecticut:

To support the establishment of a teaching and learning center at Trinity College	365,000
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Tufts University,
Medford, Massachusetts:

To support postdoctoral fellowships in the humanities and humanistic social sciences	1,231,000
To support the production of the Visual Understanding Environment concept mapping and visualization tool	689,000

**HIGHER EDUCATION
AND SCHOLARSHIP**

(continued)

Appropriated

Tulane University,
New Orleans, Louisiana:

To support postdoctoral fellowships in the humanities and humanistic social sciences	1,050,000
To support an academic bridge program	30,000

Union College,
Schenectady, New York:

To support four faculty bridge appointments in philosophy, anthropology, and English	800,000
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United Negro College Fund, Inc.,
Fairfax, Virginia:

To support a comprehensive, network-wide assessment of the United Negro College Fund's 39 member institutions	818,000
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University of Alaska at Fairbanks,
Fairbanks, Alaska:

To support dissertation completion fellowships for Native Alaskan scholars and others committed to the advancement of indigenous Alaskan history and culture	700,000
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University of Arizona,
Tucson, Arizona:

To support the publication of scholarly monographs in the humanities	1,036,000
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University of California at Berkeley,
Berkeley, California:

To support postdoctoral fellowships in the humanities and humanistic social sciences	2,330,000
To support a Distinguished Achievement Award . . .	1,500,000

**HIGHER EDUCATION
AND SCHOLARSHIP**

(continued)

Appropriated

To support the community-based planning, specification, and pilot testing of Project Bamboo, a shared technology services environment for the arts and humanities in collaboration with the University of Chicago	683,000
To support activities for strengthening scholarship and graduate training in British history, in collaboration with Yale University	665,000
To support initiatives aimed at strengthening the role that the Doreen B. Townsend Center for the Humanities plays in the instructional and scholarly activities of the University	545,000
To establish a Mellon Mays Undergraduate Fellowship Program	500,000
To support the planning phase of the Open Cast project	50,000
To support ongoing scholarly activities by a former New Directions Fellowship recipient	50,000
To support ongoing scholarly activities by a former New Directions Fellowship recipient	50,000
To support an Emeritus Fellowship	48,000
To support an Emeritus Fellowship	34,000
To support an Emeritus Fellowship	24,000
University of California at Irvine, Irvine, California:	
To support a New Directions Fellowship	167,000
University of California at Los Angeles, Los Angeles, California:	
To support postdoctoral fellowships in the humanities and humanistic social sciences	1,850,000
To establish a Mellon Mays Undergraduate Fellowship Program	500,000

**HIGHER EDUCATION
AND SCHOLARSHIP**

(continued)

Appropriated

To support a Sawyer Seminar on the Comparative Study of Cultures, entitled "Homosexualities, From Antiquity to the Present"	135,000
To support an Emeritus Fellowship	50,000
University of Cambridge, Cambridge, United Kingdom:	
To support postdoctoral fellowships in the humanities and humanistic social sciences	1,451,000
To support a Sawyer Seminar on the Comparative Study of Cultures, entitled "Modeling Futures: Understanding Risk and Uncertainty"	149,000
To support a Sawyer Seminar on the Comparative Study of Cultures, entitled "Crisis, What Crisis? Collapses and Dark Ages in Comparative Perspectives"	128,000
University of Cape Town, Cape Town, South Africa:	
To establish a diploma and master's program in information and communications technology in higher education	1,300,000
To support the Centre for Social Science Research	600,000
To support the second phase of the African cultural heritage sites and landscapes database project	500,000
To support a program of visiting fellows	500,000
To support senior research fellows in archives and public culture	348,000
To support the creation of a center to improve teaching and learning in higher education in South Africa	330,000

**HIGHER EDUCATION
AND SCHOLARSHIP**

(continued)

Appropriated

To support a Sawyer Seminar on the Comparative Study of Cultures, entitled "Knowledge, Diversity and Power: Science, the Indigenous Movement, and the Post-Colonial University"	150,000
To provide discretionary support for the Vice-Chancellor	150,000
To support academic staff development in the humanities and social sciences	100,000
To support the development of a residential retreat program for PhD students	50,000
 University of Chicago, Chicago, Illinois:	
To support the community-based planning, specification, and pilot testing of Project Bamboo . .	691,000
To support a New Directions Fellowship	256,000
To support short-term research fellowships for the Black Metropolis Research Consortium	184,000
 University of Illinois at Urbana-Champaign, Champaign, Illinois:	
To support the publication of scholarly monographs in the humanities	533,000
To support the development of open source software in association with the Archon project	100,000
 University of Iowa, Iowa City, Iowa:	
To support a dissertation seminar in the humanities	293,000
To support an Emeritus Fellowship	9,000
 University of KwaZulu-Natal, Durban, South Africa:	
To support academic staff development in the humanities and social sciences	100,000

**HIGHER EDUCATION
AND SCHOLARSHIP**

(continued)

Appropriated

University of Leeds,
Leeds, United Kingdom:

To support preparation of the music section of
*The Cambridge Edition of the Works of
Ben Jonson* 27,000

University of London,
London, United Kingdom:

To support a Sawyer Seminar on the
Comparative Study of Cultures, entitled
“Fratricide & Fraternité: Understanding
and Repairing Neighbourly Atrocity” 144,000

University of Michigan,
Ann Arbor, Michigan:

To support doctoral students in the humanities 4,500,000

University of Minnesota at Twin Cities,
Minneapolis, Minnesota:

To support the continuation of a Global Issues
Honors Consortium in collaboration with
University of Minnesota at Morris, Dillard
University and Tougaloo College 600,000

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

To support the Moore Undergraduate Research
Apprentice Program 725,000

To support a Sawyer Seminar on the
Comparative Study of Cultures, entitled
“Diversity and Conformity in Muslim Societies:
Historical Coexistence and Contemporary
Struggles” 148,000

To support an Emeritus Fellowship 55,000

**HIGHER EDUCATION
AND SCHOLARSHIP**

(continued)

Appropriated

University of Notre Dame,
Notre Dame, Indiana:

To support research and teaching in Byzantine studies	800,000
To support ongoing scholarly activities by a former New Directions recipient	50,000

University of Oxford,
Oxford, United Kingdom:

To support postdoctoral fellowships in the humanities and humanistic social sciences	1,866,000
To support collaborative programs of research and publication on the intellectual history of 17th-century Europe, and the collection of related scholarly resources	1,847,000
To support a Sawyer Seminar on the Comparative Study of Cultures, entitled “National Economic Policy-Making in the Face of Globalization”	150,000
To support a Sawyer Seminar on the Comparative Study of Cultures, entitled “About Turns: Conversion in Late Antique Christianity, Islam, and Beyond”	150,000

University of Pennsylvania,
Philadelphia, Pennsylvania:

To support doctoral students in the humanities	6,000,000
To support graduate fellowships and scholarly activities related to the study of early American literature and material texts at the McNeil Center for Early American Studies in collaboration with The Library Company of Philadelphia	450,000
To support initiatives aimed at strengthening the role that the Penn Humanities Forum plays in the instructional and scholarly activities of the University	421,000

**HIGHER EDUCATION
AND SCHOLARSHIP**

(continued)

Appropriated
**University of Richmond,
Richmond, Virginia:**

To support a presidential discretionary fund 100,000

**University of Southern California,
Los Angeles, California:**

To support development of the next version of
the Sophie rich media/e-book authoring system . . . 1,250,000

To support a New Directions Fellowship 165,000

To support planning for the next version of the
Sophie rich media/e-book authoring system, in
collaboration with the Institute for the Future
of the Book 125,500

**University of Sydney,
Sydney, Australia:**

To support a Sawyer Seminar on the
Comparative Study of Cultures, entitled
“The Antipodean Laboratory: Humanity,
Sovereignty, and Environment in Southern
Oceans and Lands, 1700-2009” 120,000

**University of the South,
Sewanee, Tennessee:**

To support the environmental studies program 1,500,000

**University of the Western Cape,
Bellville, South Africa:**

To support the senior research scholars program . . . 450,000

To establish a Mellon Mays Undergraduate
Fellowship Program 400,000

To support postdoctoral fellowships in the
humanities and social sciences 210,000

To support academic staff development in the
humanities and social sciences 100,000

**HIGHER EDUCATION
AND SCHOLARSHIP**

(continued)

Appropriated

University of the Witwatersrand,
Johannesburg, South Africa:

To support the Southern African Rock Art Digital Archive project	600,000
To support visiting fellows in the humanities and social sciences	500,000
To support academic staff development in the humanities and social sciences	100,000
To support the position of director in the Society, Work and Development Institute	60,000

University of Toronto,
Toronto, Canada:

To support the development and user testing of Project Decapod, a low cost, easy-to-use hardware and software rig for small-scale digitization projects	1,194,000
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University of Virginia,
Charlottesville, Virginia:

To support a study of postgraduate outcomes of black public university graduates in North Carolina	50,000
To support ongoing scholarly activities by a former New Directions Fellowship recipient	50,000

University of Waikato,
Hamilton, New Zealand:

To support the development of open source software associated with the Greenstone project . . .	50,000
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University of Washington,
Seattle, Washington:

To support an Emeritus Fellowship	55,000
To support an Emeritus Fellowship	53,000

**HIGHER EDUCATION
AND SCHOLARSHIP**

(continued)

Appropriated

To support the development of open source software associated with the WebAnywhere project	50,000
University of Wisconsin at Madison, Madison, Wisconsin:	
To support editorial costs for the <i>Dictionary of American Regional English</i>	550,000
To support a New Directions Fellowship	197,000
To support an Emeritus Fellowship	39,000
Vassar College, Poughkeepsie, New York:	
To support the environmental studies program	630,000
Villanova University, Villanova, Pennsylvania:	
To support the development of open source software associated with the VuFind project	50,000
Washington and Jefferson College, Washington, Pennsylvania:	
To support a study of faculty workload and curricular reorganization	95,300
Washington and Lee University, Lexington, Virginia:	
To support the environmental studies program	600,000
Washington College, Chestertown, Maryland:	
To support the environmental studies program	600,000

**HIGHER EDUCATION
AND SCHOLARSHIP**

(continued)

Appropriated

Washington University,
St. Louis, Missouri:

To support a Sawyer Seminar on the Comparative Study of Cultures, entitled "How Deep Is the Ocean: The Rise and Fall of Jazz as Popular Music"	150,000
To support ongoing scholarly activities by a former New Directions recipient	50,000

Wellesley College,
Wellesley, Massachusetts:

To support an environmental studies program	300,000
To support a presidential discretionary fund	100,000
To support a study of the relationship between students' study abroad experiences and residential liberal arts education	50,000

Wesleyan University,
Middletown, Connecticut:

To support the development of a Middle Eastern Studies program	100,000
To support a presidential discretionary fund	100,000

Wheaton College,
Norton, Massachusetts:

To support postdoctoral fellowships	700,000
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Whitman College,
Walla Walla, Washington:

To support the college's Global Studies Initiative	345,000
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Whittier College,
Whittier, California:

To support postdoctoral fellowships	600,000
To establish a Mellon Mays Undergraduate Fellowship Program	500,000

**HIGHER EDUCATION
AND SCHOLARSHIP**

(continued)

Appropriated

Williams College, Williamstown, Massachusetts:	
To support the environmental studies program	1,250,000
Xavier University of Louisiana, New Orleans, Louisiana:	
To support the Center for the Advancement of Teaching	237,000
Yale University, New Haven, Connecticut:	
To support a community-based design process leading to the potential development of conservation documentation software	296,000
To support a New Directions Fellowship	200,000
To support ongoing scholarly activities by a former New Directions Fellowship recipient	50,000
To support an Emeritus Fellowship	41,000
To support research for a <i>Supplementary Historical Dictionary of Modern English</i> by the Yale University Press	36,000
York University, Toronto, Canada:	
To support editorial and research costs for the John Tyndall Correspondence project	306,000
Total—Higher Education and Scholarship	<u><u>\$159,563,100</u></u>

LIBRARIES AND SCHOLARLY
COMMUNICATION

Appropriated

Academy of Natural Sciences of Philadelphia,
Philadelphia, Pennsylvania:

To support an investigation of how natural science
collections might be more effectively used and
could generate additional sources of revenue for
the collecting institutions \$ 22,500

American Anthropological Association,
Arlington, Virginia:

To support a survey and analysis of recent trends
in costs, revenues, and business models of journals
published by scholarly societies in the humanities
and social sciences 50,000

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

To support fellowships for scholars who effectively
use computer-based methods of research and
analysis in the humanities and humanistic
social sciences 1,777,000

American Philological Association, Inc.,
Philadelphia, Pennsylvania:

To support the American editorial office of
L'Année Philologique, the major annual
bibliography in the field of Classics 325,000

To support planning for improvements to the
user interface of the online version of
L'Annee Philologique 48,000

American Research Center in Egypt, Inc.,
San Antonio, Texas:

To support the purchase and implementation of
a computerized collections management system
for the Egyptian Museum in Cairo 478,000

**LIBRARIES AND SCHOLARLY
COMMUNICATION**

(continued)

Appropriated

Arizona State University,
Tempe, Arizona:

To support the creation of a digital repository for
US archaeological data and reports 1,294,000

Association of Moving Image Archivists,
Los Angeles, California:

To support the planning of a digital moving image
archive to preserve video material and make clips
available for educational use 48,500

Boston University,
Boston, Massachusetts:

To support a software programmer to enhance
the open source application used for cataloging
the Martin Luther King, Jr. collections 95,000

California State University, Chico,
Chico, California:

To support the creation of new electronic
scholarly resources in medieval studies and
their interoperability 5,000

Center for Research Libraries,
Chicago, Illinois:

To support a reorganization of the Center
for Research Libraries' (CRL's) operations
and services 1,458,000

To support the final planning and presentation to
key constituents of a five-year strategy to transform
CRL's organization and its services 29,500

Children's Defense Fund,
Washington, DC:

To support the inventory and assessment of
the papers of civil rights leader Marian Wright
Edelman 55,000

**LIBRARIES AND SCHOLARLY
COMMUNICATION**

(continued)

Appropriated

Columbia University,
New York, New York:

To support the preservation of audiotapes in
the Oral History Research Office of the
Columbia University Libraries 371,000

To support a survey and report of the need for
the deacidification of newly acquired print
volumes in major research libraries 27,500

Columbia University Press,
Irvington, New York:

To support the production of print editions of
21 titles originally published electronically as
part of the Gutenberg-e project 114,000

Council on Library and Information Resources,
Washington, DC:

To support the organization and implementation of
a grantmaking program to catalog special
collections in US libraries and archives 4,274,000

Drew University,
Madison, New Jersey:

To support the creation of new electronic
scholarly resources in medieval studies and their
interoperability 16,000

Duke University,
Durham, North Carolina:

To support the development of an online editing
environment for three integrated databases of
ancient papyri 814,000

Dunhuang Academy,
Dunhuang, China:

To support international professional and
scholarly exchanges that would contribute to the
development of an educational visitors' center 310,000

**LIBRARIES AND SCHOLARLY
COMMUNICATION**

(continued)

Appropriated

To support planning for international fundraising and further digitization of the Dunhuang caves	50,000
Frick Collection, New York, New York:	
To support further development of an integrated library system shared by three New York art museum libraries	464,000
Harvard University, Cambridge, Massachusetts:	
To continue support for a program of assistance to Latin American libraries and archives at the David Rockefeller Center for Latin American Studies	1,500,000
To support the completion of cataloging music manuscripts from Yale University and Juilliard for inclusion in the International Inventory of Musical Sources (RISM) Series A/II	157,000
Henry E. Huntington Library & Art Gallery, San Marino, California:	
To support the cataloging of unprocessed manuscript collections in the Huntington Library	700,000
Johns Hopkins University, Baltimore, Maryland:	
To support an initiative to increase scientific expertise in the conservation programs of libraries and archives	792,000
To support the creation of new electronic scholarly resources in medieval studies and their interoperability	11,000
JSTOR, New York, New York:	
To support a pilot project to digitize art auction catalogs and add them to the JSTOR database	349,000

**LIBRARIES AND SCHOLARLY
COMMUNICATION**

(continued)

Appropriated

The Medieval Academy of America,
Cambridge, Massachusetts:

To support the digitization of all volumes
published prior to 2001 in the Academy's series of
book publications 28,900

Monterey Institute of Technology and Education,
Monterey, California:

To support research on the marketing practices of
university presses 59,000

Museum of Fine Arts, Boston,
Boston, Massachusetts:

To support the further development of the online
Giza Archives database, Web interface, and digital
library, and to endow the Giza Archives 1,214,000

North Carolina State University,
Raleigh, North Carolina:

To support the creation of new electronic
scholarly resources in medieval studies and
their interoperability 10,000

Northeast Document Conservation Center, Inc.,
Andover, Massachusetts:

To support the development of digitization services
that would be offered to libraries, archives,
historical societies, and museums 557,000

Northwestern University,
Evanston, Illinois:

To support initiatives aimed at building the
capacity of the university press and strengthening
the role it plays in the African Studies and
Performance Studies and Theatre Programs 818,000

**LIBRARIES AND SCHOLARLY
COMMUNICATION**

(continued)

Appropriated

Old Dominion University,
Norfolk, Virginia:

To support the development of prototype computer applications that would test the coherence and utility of an emerging protocol for the reuse and exchange of digital objects	24,500
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RIPM Consortium Ltd.,
Annapolis, Maryland:

To support retrospective indexing of <i>The Monthly Musical Record</i>	154,000
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Robert W. Woodruff Library of the
Atlanta University Center, Inc.,
Atlanta, Georgia:

To support a software programmer to enhance the open source application used for cataloging the Martin Luther King, Jr. collections	65,000
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Rutgers, The State University of New Jersey,
New Brunswick, New Jersey:

To support the preservation of the Benny Carter and Benny Goodman collections of audio recordings at the Institute of Jazz Studies	296,000
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To support a planning workshop designed to develop a new research agenda in the field of 20th-century American industrial history	25,500
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Saint Louis University,
St. Louis, Missouri:

To support the development of an electronic edition of the Latin text known as the <i>Norman Anonymus</i>	199,000
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**LIBRARIES AND SCHOLARLY
COMMUNICATION**

(continued)

Appropriated

Society of Architectural Historians,
Chicago, Illinois:

To support the development of the Architecture
Visual Resource Network, an online visual
database of architecture from around the world 2,718,000

To support the development of an online
version of the *Journal of the Society of
Architectural Historians* 213,000

St. John's University,
Collegeville, Minnesota:

To support the planning of a multi-year,
international project to catalog digitized Eastern
Christian manuscripts from the Middle East,
Eastern Europe, and Southwest India 151,000

Stanford University,
Stanford, California:

To support the creation of new electronic
scholarly resources in medieval studies and
their interoperability 253,000

Stichting eIFL.net,
Rome, Italy:

To support the development of a strategic plan
for the Mongolian National Library 50,000

Syracuse University,
Syracuse, New York:

To support cataloging historical sound
recordings in the Belfer Audio Archive 250,000

Text Encoding Initiative Consortium,
Charlottesville, Virginia:

To support the development of a standard and
economical process for transcribing digitized texts
that would aid smaller institutions and be made
available as a service to Consortium members 35,800

**LIBRARIES AND SCHOLARLY
COMMUNICATION**

(continued)

Appropriated

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

To support the digitization of primary source documents from ancient near eastern civilizations for the purposes of preservation and scholarly access 925,000

To support the cataloging of unprocessed collections of rare and unique materials in the UCLA Library 750,000

University of Cambridge,
Cambridge, United Kingdom:

To support further development of a database of medieval manuscripts called *Parker on the Web* 1,243,000

University of Chicago,
Chicago, Illinois:

To support the digitization of primary source documents from ancient near eastern civilizations for the purposes of preservation and scholarly access 700,000

To support a survey by the Black Metropolis Research Consortium (BMRC) of primary source materials in the Chicago area related to the study of African-American culture 498,000

To support planning for a survey by the BMRC of primary source materials in the Chicago area related to African-American culture 50,000

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

To support the development of prototype computer applications that would test the coherence and utility of an emerging protocol for the reuse and exchange of digital objects 23,300

LIBRARIES AND SCHOLARLY
COMMUNICATION

(continued)

Appropriated

University of Missouri at Saint Louis,
St. Louis, Missouri:

To support further planning for a census of
18th-century British periodicals 50,000

University of Oxford,
Oxford, United Kingdom:

To support the development of systems for the
cataloging and preservation of and access to
archival material in digital form 1,162,000

To support the development of a prototype of
an online edition of *Medieval Libraries of
Great Britain* 231,000

To support the final developmental phase of the
Electronic Enlightenment project 101,000

University of Pennsylvania,
Philadelphia, Pennsylvania:

To support cataloging of the library's special
collections that document early modern
church history 450,000

University of Virginia,
Charlottesville, Virginia:

To support the establishment of a library
preservation system 1,500,000

To support an annual institute with the goal of
advancing scholarship in humanistic disciplines
through the application of digital technologies 1,203,000

To support further development and
implementation of the electronic imprint at the
University of Virginia Press 750,000

**LIBRARIES AND SCHOLARLY
COMMUNICATION**

(continued)

Appropriated

The University of York,
York, United Kingdom:

To support the investigation of ways in which electronic publications of scholarly articles can improve the dissemination of archaeological research	250,000
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Virginia Foundation for the Humanities
and Public Policy,
Charlottesville, Virginia:

To support the development of a prototype online biographical database and an encyclopedia of figures from the American Founding Era	327,000
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Yale University,
New Haven, Connecticut:

To support the incorporation of the Oral History American Music project into the Yale University Library	294,000
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Total—Libraries and Scholarly Communication	\$33,264,000
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PUBLIC AFFAIRS

*Appropriated*Independent Sector,
Washington, DC:

To support the dissemination of *Principles for
Good Governance and Ethical Practices: A Guide
for Charities and Foundations* \$ 50,000

Total—Public Affairs \$ 50,000

CONTRIBUTIONS

Appropriated

Council on the Environment, Inc.,
New York, New York:

To provide general support \$ 30,000

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

To provide general support 40,000

Eviction Intervention Services
Homeless Prevention, Inc.,
New York, New York:

To provide general support 40,000

Foundation Center,
New York, New York:

To provide general support 30,000

Grantmakers in the Arts,
Seattle, Washington:

To support information services 30,000

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

To provide general support 50,000

Philanthropic Research, Inc.,
Williamsburg, Virginia:

To support GuideStar's membership program 25,000

Total—Contributions

\$ 245,000

OTHER

Appropriated

The Louisiana Philharmonic Orchestra,
New Orleans, Louisiana:

To support the purchase of a removable acoustical
shell and removable sprung floor for the
Mahalia Jackson Theatre, and performances at
the reopening of the theater in collaboration with
New Orleans Ballet Association and the
New Orleans Opera Association \$ 400,000

National Museum of Mexican Art,
Chicago, Illinois:

To support the appointment of a
curatorial associate 80,000

Total—Other	\$ 480,000
Matching Gifts	\$ <u>542,083</u>
Grand Totals	<u><u>\$279,072,298</u></u>

Financial Statements

REPORT OF INDEPENDENT AUDITORS

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

In our opinion, the accompanying balance sheets and the related statements of activities and cash flows present fairly, in all material respects, the financial position of The Andrew W. Mellon Foundation (the "Foundation") at December 31, 2008 and 2007, 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 26, 2009

The Andrew W. Mellon Foundation

Balance Sheets

December 31, 2008 and 2007

	<u>2008</u>	<u>2007</u>
	<i>(in thousands)</i>	
ASSETS		
Investments		
Marketable securities	\$ 1,846,098	\$ 3,378,517
Limited liquidity investments	<u>2,393,535</u>	<u>2,692,836</u>
	4,239,633	6,071,353
Payable from unsettled securities purchases, net	<u>(106,354)</u>	<u>(87,089)</u>
	4,133,279	5,984,264
Cash	3,375	2,676
Collateral under securities loan agreement	167,205	486,749
Investment and other income receivable	5,330	7,470
Other assets	978	1,188
Taxes receivable	3,544	4,817
Property, at cost, less accumulated depreciation of \$14,916 and \$12,379 at December 31, 2008 and 2007, respectively	<u>49,852</u>	<u>52,701</u>
Total assets	<u>\$ 4,363,563</u>	<u>\$ 6,539,865</u>
LIABILITIES AND NET ASSETS		
Liabilities		
Grants payable	\$ 52,693	\$ 4,289
Accrued expenses	4,864	6,473
Payable under securities loan agreement	171,684	486,749
Deferred federal excise tax	—	23,100
Long term debt	<u>44,350</u>	<u>44,000</u>
Total liabilities	273,591	564,611
Net assets (unrestricted)	<u>4,089,972</u>	<u>5,975,254</u>
Total liabilities and net assets	<u>\$ 4,363,563</u>	<u>\$ 6,539,865</u>

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

The Andrew W. Mellon Foundation

Statements of Activities

Years Ended December 31, 2008 and 2007

	<u>2008</u>	<u>2007</u>
	<i>(in thousands)</i>	
INVESTMENT RETURN (LOSS)		
Gain (loss) on investments		
Realized, net	\$ 148,523	\$ 684,367
Unrealized, net	(1,729,036)	51,358
Interest	23,678	19,871
Dividends	29,604	44,390
Other income	131	559
	<u>(1,527,100)</u>	<u>800,545</u>
Less: Investment management expenses	(15,881)	(20,697)
Net investment return (loss)	<u>(1,542,981)</u>	<u>779,848</u>
EXPENSES		
Program grants and contributions, net	315,337	292,507
Grantmaking operations	15,277	14,590
Direct charitable activities	3,455	5,288
Investment operations	5,539	4,898
Current provision for taxes	2,533	5,649
Other expenses	160	205
	<u>342,301</u>	<u>323,137</u>
Change in net assets	(1,885,282)	456,711
Net assets (unrestricted) at beginning of year	<u>5,975,254</u>	<u>5,518,543</u>
Net assets (unrestricted) at end of year	<u>\$ 4,089,972</u>	<u>\$ 5,975,254</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, 2008 and 2007

	<u>2008</u>	<u>2007</u>
	<i>(in thousands)</i>	
Cash flow from investment income and operations		
Change in net assets	\$ (1,885,282)	\$ 456,711
Adjustments to reconcile change in unrestricted net assets to net cash used by investment income and operations		
Realized gain on investments, net	(148,523)	(684,367)
Unrealized loss (gain) on investments, net	1,752,136	(52,258)
Decrease in investment and other income receivable	2,140	2,935
Decrease (increase) in other assets	210	(128)
Increase (decrease) in grants payable	48,404	(7,071)
Decrease in accrued expenses	(1,609)	(136)
Depreciation and amortization expense	2,637	2,657
(Decrease) increase in deferred federal excise tax payable	(23,100)	900
Decrease (increase) in net taxes receivable	1,273	(8,571)
Net effect of bond amortization	1,032	6,784
Total adjustments	<u>1,634,600</u>	<u>(739,255)</u>
Net cash used by investment income and operations	<u>(250,682)</u>	<u>(282,544)</u>
Cash flow from investing activities		
Proceeds from sales of marketable securities		
Short-term	1,423,046	1,116,531
Other	4,172,816	4,319,850
Receipts from limited liquidity investments	635,378	476,246
Capital gain distributions received	26,634	53,591
Net returns on financial instruments	(7,771)	(1,161)
Purchases of marketable securities		
Short-term	(1,494,800)	(1,054,849)
Other	(3,426,740)	(3,989,391)
Purchases of limited liquidity investments	(1,078,009)	(637,000)
Disposals of property	477	631
Net cash provided by investing activities	<u>251,031</u>	<u>284,448</u>
Cash flow from financing activities		
Bond proceeds	44,350	—
Bond redemption	(44,000)	—
Net cash provided by financing activities	<u>350</u>	<u>—</u>
Net increase in cash	699	1,904
Cash		
Beginning of year	2,676	772
End of year	<u>\$ 3,375</u>	<u>\$ 2,676</u>
<i>Supplemental disclosure of noncash investing activities</i>		
Distributions of securities received from limited liquidity investments	<u>\$ 16,605</u>	<u>\$ 27,276</u>

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

The Andrew W. Mellon Foundation

NOTES TO FINANCIAL STATEMENTS

December 31, 2008 and 2007

NOTE 1—ORGANIZATION AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES:

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

The financial statements of the Foundation have been prepared in conformity with generally accepted accounting principles. The significant accounting policies followed are described below.

Investments

Effective January 1, 2008, the Foundation adopted Statement of Financial Accounting Standards No. 157, Fair Value Measurements (“FAS 157”). FAS 157 defines fair value 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. FAS 157 also established a fair value hierarchy that 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 under FAS 157 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 U.S. government and sovereign obligations, government agency obligations, investment grade corporate bonds and less liquid equity securities.

Investments classified as Level 3 have significant unobservable inputs, as they trade infrequently or not at all. The inputs into the determination of fair value are based upon the best information in the circumstance and may require significant management judgment. All of the Foundation's limited liquidity 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 value of such investments in a timely manner.

Realized gains and losses on investments in securities are calculated based on the first-in, first-out identification method. Included in payable from unsettled securities purchases in the accompanying balance sheets are receivables from unsettled securities sales of \$148.6 million and \$57.0 million at December 31, 2008 and 2007, 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.

Property

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

Notes to Financial Statements, (continued)

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 the limited liquidity investments, net of deferred federal excise tax provided on such unrealized appreciation. Realized gains or losses include gains or losses realized on the sale of marketable securities and the Foundation's share of the operating results of the partnership investments, whether distributed or undistributed.

Expenses

Grantmaking operations include all costs related to appropriating, paying and administering grants. Direct charitable activities are the active programs conducted by the Foundation or supported by it and include expenditures for 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. Current provision for taxes includes federal and state taxes. Other expenses include certain expenses that the Foundation is not permitted to report either as an expense of distribution or an expense of earning income.

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

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 \$18.7 million (6.7% of appropriated program grants) in 2008 compared to \$19.9 million (6.9% of appropriated program grants) in 2007. The decrease in administrative expenses in 2008 is primarily due to lower interest expense. The Foundation's grantmaking expenses in 2008 were \$15.3 million (5.5% of appropriated program grants), compared to \$14.6 million (5.1% of appropriated program grants) in 2007.

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 2008 and 2007:

	<u>2008</u>	<u>2007</u>
	<i>(in thousands)</i>	
Program grants and contributions, net . . .	\$315,337	\$292,507
Salaries, pensions and benefits	13,828	13,012
Other operating expenses	10,603	11,969
Current provision for taxes	2,533	5,649
	<u>\$342,301</u>	<u>\$323,137</u>

Use of Estimates

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

Reclassifications

Certain 2007 amounts have been reclassified to conform to the 2008 presentation.

NOTE 2—INVESTMENTS:

Marketable securities held at December 31, 2008 and 2007 are summarized as follows:

	<i>December 31, 2008</i>		<i>December 31, 2007</i>	
	<i>Market Value</i>	<i>Cost</i>	<i>Market Value</i>	<i>Cost</i>
	<i>(in thousands)</i>			
Equities	\$1,203,382	\$ 1,548,702	\$2,513,023	\$2,018,796
Fixed income	418,465	431,055	690,404	659,178
Short-term	243,626	243,582	171,712	171,658
Derivative financial instruments	(19,375)	(14,612)	3,378	(1,286)
	<u>\$1,846,098</u>	<u>\$2,208,727</u>	<u>\$3,378,517</u>	<u>\$2,848,346</u>

The classification of investments by level within the valuation hierarchy as of December 31, 2008 is as follows:

	<i>Total</i>	<i>Quoted</i>	<i>Significant</i>	<i>Significant</i>
		<i>Prices</i>	<i>Observable</i>	<i>Unobservable</i>
		<i>(Level 1)</i>	<i>Inputs</i>	<i>Inputs</i>
			<i>(Level 2)</i>	<i>(Level 3)</i>
	<i>(in thousands)</i>			
Marketable securities	\$1,846,098	\$1,080,755	\$582,466	\$ 182,877
Limited liquidity investments	2,393,535	—	—	2,393,535
Payable from unsettled securities purchases, net	(106,354)	(106,354)	—	—
	<u>\$4,133,279</u>	<u>\$974,401</u>	<u>\$582,466</u>	<u>\$2,576,412</u>

The reconciliation of activity for level 3 investments for the year ended December 31, 2008 is as follows:

	<i>Marketable Securities</i>	<i>Limited Liquidity Investments</i>
	<i>(in thousands)</i>	
Balance as of December 31, 2007	\$ 203,400	\$ 2,692,836
Net realized gains	16,850	196,472
Income (losses)	418	(62,434)
Purchases	83,601	1,078,008
Distributions	—	(655,560)
Net unrealized losses	(121,392)	(855,787)
Balance as of December 31, 2008	<u>\$ 182,877</u>	<u>\$ 2,393,535</u>

Net unrealized losses included in the statements of activities for investments held at December 31, 2008 are \$121.4 million for marketable securities and \$716.8 million for limited liquidity investments, respectively.

Notes to Financial Statements, (continued)

Through certain investment managers, the Foundation is a party to a variety of forward contracts, options, swaps and other derivative financial instruments, all of which are carried at fair value. The extent of the Foundation's involvement in these instruments is determined by the composition of the investment portfolio and the Foundation's expectations as to the direction and volatility of equity and fixed income markets as well as other economic factors. These transactions involve elements of market risk in excess of amounts reflected in the accompanying balance sheets. Changes in the market value of these financial instruments are recognized currently in the statements of activities.

Through certain investment managers, the Foundation purchases and sells forward currency contracts whereby the Foundation agrees to exchange one currency for another on an agreed-upon date at an agreed-upon exchange rate to minimize the exposure of certain of its marketable securities to adverse fluctuations in financial and currency markets. As of December 31, 2008 and 2007, the Foundation had forward currency contracts with notional amounts totaling \$26.1 million and \$16.6 million, respectively. At December 31, 2008, approximately \$26.1 million in assets and \$26.2 million in liabilities related to open foreign currency contracts, at market value, are included in derivative financial instruments. At December 31, 2007, approximately \$16.6 million in assets and \$16.5 million in liabilities related to open foreign currency contracts, at market value, are included in derivative financial instruments.

Through a securities lending program managed by its investment custodian, the Foundation loans certain stocks and bonds included in its investment portfolio to qualified investors. The custodian has indemnified the program against counterparty risk and also maintains collateral in excess of the value of the securities on loan. As of December 31, 2008, cash instruments received as collateral and reinvested in other fixed income investments declined by \$ 4.5 million as a result of unrealized losses due to market declines. The Foundation has reflected this decline in the accompanying financial statements. The Foundation's gross securities loaned to certain investors at December 31, 2008 and 2007 amounted to approximately \$169 million and \$474 million, respectively. The collateral held by the Foundation is measured as a Level 2 asset.

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

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

Pursuant to its limited partnership agreements, the Foundation is committed to contribute approximately \$1.49 billion as of December 31, 2008 in additional capital over the next ten years. Unpaid commitments at December 31, 2007 were \$1.45 billion.

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

NOTE 3—BONDS PAYABLE:

At December 31, 2008, the Foundation had outstanding \$44.4 million of taxable term bonds (“the Bonds”) with a maturity date of December 1, 2032. These Bonds were issued in June 2008. Bond interest is reset weekly by the Foundation’s Bond agent. Bond holders have the right to tender their Bonds to the Bond agent weekly, and the agent has an obligation to remarket such bonds. Bonds that cannot be remarketed must be redeemed by the Foundation. The Foundation believes that the market value of the Bonds approximates the book value.

In connection with the 2008 Bond offering, the Foundation entered into a \$30 million dedicated line of credit agreement. Borrowings, if any, under this line of credit are to be used solely to fund redemption requirements of the Bonds. The line of credit agreement expires on September 8, 2011. This facility has an annual commitment fee on unfunded commitments of 0.20%. As of December 31, 2008, there were no borrowings outstanding under the line of credit.

At December 31, 2007, the Foundation had outstanding \$44.0 million of auction rate taxable term bonds. In March 2008, in response to the turmoil in the credit markets, the Foundation redeemed all of these bonds at par. The redemption resulted in a 2008 loss of \$407 thousand resulting from the write-off of unamortized deferred debt costs.

The average interest rate applicable in 2008 was 3.2% and in 2007 was 5.4%. Interest incurred in 2008 and 2007 was \$1.1 million and \$2.4 million, respectively.

NOTE 4—TAXES:

The Internal Revenue Code imposes an excise tax on private foundations equal to 2 percent of net investment income (principally interest, dividends, and net realized capital gains, less expenses incurred in the production of investment income). This tax is reduced to 1 percent when a foundation meets certain distribution requirements under Section 4940(e) of the Internal Revenue Code. The Foundation was subject to the 1 percent rate in 2008 and in 2007. Certain income defined as unrelated business income by the Code may be subject to tax at ordinary corporate rates.

The provision for taxes consists of a current provision for the federal excise taxes on net investment income and federal and state taxes on unrelated business income and a deferred provision on the change in unrealized appreciation of investments. The current tax provision for 2008 comprises \$2.8 million of federal excise tax on net investment income. The current tax provision for 2007 comprises \$5.7 million of federal excise tax on net investment income. Federal and state taxes on unrelated business income were immaterial in 2008 and 2007. The change in unrealized depreciation reflected on the statements of activities includes a benefit for deferred taxes based on net unrealized depreciation of investments at 2 percent. In 2008, the Foundation incurred cumulative net unrealized losses which depleted the cumulative unrealized gains and resulted in a benefit for deferred taxes of \$23.1 million. Taxes paid in 2008 and 2007 were \$1.3 million and \$14.2 million, respectively.

On February 1, 2008, the Financial Accounting Standards Board (“FASB”) issued Interpretation No. 48-2, *Accounting for Uncertainty in Income Taxes, an Interpretation of FASB Statement No. 109 for Certain Nonpublic Enterprises (“FIN 48”)*, which allowed the Foundation to defer the adoption of FIN 48 until annual periods beginning after December 15, 2007. The Foundation elected to take advantage of this deferral. On December 30, 2008, the FASB issued FSP No. FIN 48-3, deferring the effective date of adoption of FIN 48 for non-public enterprises. Adoption of FIN 48 is required for annual periods beginning after December 15, 2008. Based on its continued analysis, the Foundation believes that the adoption of FIN 48 will not have a material impact on its financial statements.

Notes to Financial Statements, (continued)

NOTE 5—GRANTS, CONTRIBUTIONS, AND COMMITMENTS:

The following table of grant activity by major program area includes all grant appropriations approved during 2008. Grants payable and committed at December 31, 2007 have been restated to reflect cancellations of \$1.6 million.

	<i>Payable and Committed December 31, 2007</i>	<i>2008 Grants and Commitments</i>		<i>Payable and Committed December 31, 2008</i>
		<i>Appropriated</i>	<i>Paid</i>	
		<i>(in thousands)</i>		
Conservation and the Environment	\$ 4,171	\$ 13,337	\$ 12,671	\$ 4,837
Museums and Art Conservation	15,470	29,920	25,562	19,828
Performing Arts	6,482	41,671	37,299	10,854
Higher Education and Scholarship	61,239	159,563	159,274	61,528
Libraries and Scholarly Communication	7,955	33,264	31,356	9,863
Public Affairs	—	50	50	—
Other (1)	484	480	480	484
Program grants and commitments - totals .	95,801	278,285	266,692	107,394
Contributions and matching gifts	—	787	787	—
	<u>\$95,801</u>	<u>\$279,072</u>	<u>\$267,479</u>	<u>\$107,394</u>

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

Grant and grant commitment activity is summarized below.

	<u>2008</u>	<u>2007</u>
	<i>(in thousands)</i>	
Grants Payable		
Grants payable at January 1	\$ 4,289	\$ 11,360
Grant expense	315,883	293,128
Less grants paid	<u>(267,479)</u>	<u>(300,199)</u>
Grants payable at December 31	<u>\$ 52,693</u>	<u>\$ 4,289</u>
Net Grant Expense		
Unconditional grants	\$ 225,857	\$ 225,886
Conditional grants meeting conditions for expense	<u>90,026</u>	<u>67,242</u>
	315,883	293,128
Less grant refunds	<u>(546)</u>	<u>(621)</u>
Net grant expense at December 31 . . .	<u>\$ 315,337</u>	<u>\$ 292,507</u>
Grant Commitments		
Grant commitments at January 1	\$ 91,512	\$ 99,378
Less commitments cancelled	—	(1,620)
Conditional grants appropriated	53,215	60,996
Less grants meeting conditions for expense	<u>(90,026)</u>	<u>(67,242)</u>
Grant commitments at December 31 . .	<u>\$ 54,701</u>	<u>\$ 91,512</u>

NOTE 6—OTHER SERVICES:

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

- Ithaka provides information technology services to the Foundation. In 2008 and 2007, Ithaka charged \$918 thousand and \$943 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. Effective April 1, 2009, the building lease between the Foundation, Ithaka and ARTstor was extended through December 31, 2014. Under the terms of this lease office space will be provided rent free; however, Ithaka and ARTstor will assume certain building operation costs previously paid by the Foundation.