

REPORT OF  
THE ANDREW W. MELLON  
FOUNDATION  
2013



# The Andrew W. Mellon Foundation

*Report*  
*from January 1, 2013*  
*through December 31, 2013*

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

The Foundation makes grants in five core program areas: higher education and scholarship; scholarly communications and information technology; art history, conservation, and museums; performing arts; and, until December 2013, conservation and the environment. Collaborative planning by the Foundation and its grantee institutions generally precedes the giving of awards and is an integral part of grantmaking. Unsolicited proposals are rarely supported. Prospective applicants are therefore encouraged not to submit a full proposal at the outset but rather to follow the instructions of the Foundation's program areas for submitting an inquiry. The Foundation does not make grants directly to individuals or to primarily local organizations.

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

The Foundation makes its particular areas of emphasis within core programs known in a variety of ways. Annual Reports describe 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

### History Lesson

By Natasha Trethewey

I am four in this photograph, standing  
on a wide strip of Mississippi beach,  
my hands on the flowered hips

of a bright bikini. My toes dig in,  
curl around wet sand. The sun cuts  
the rippling Gulf in flashes with each

tidal rush. Minnows dart at my feet  
glinting like switchblades. I am alone  
except for my grandmother, other side

of the camera, telling me how to pose.  
It is 1970, two years after they opened  
the rest of this beach to us,

forty years since the photograph  
where she stood on a narrow plot  
of sand marked *colored*, smiling,

her hands on the flowered hips  
of a cotton meal-sack dress.

Natasha Trethewey. "History Lesson," from *Domestic Work*.  
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**H**istory teaches us to find both the threads of continuity that  
lace the past to the present and important moments of  
change as time moves inexorably toward the future. For a child with  
African ancestors, who comes to live just as signs of subjugation are  
fading in a changing America, the movements of the water, fish, and  
sand serve as powerful reminders of constancy in the human expe-  
rience. For a grandmother, whose days ahead are fewer than the ones  
behind, a sign-free beach invites a different understanding: she could  
now pose her granddaughter, just right, wherever she chose, just as  
her mother could have posed her, just as she liked, but only on sand  
specially preserved for those deemed "colored." To appreciate the  
change one needed to know the history—that was the lesson.

Institutions, including philanthropies, also have history. And in that history, certain points of inflection occur that suggest shifts. Often change follows the succession of one president by another. When this happens, many ponder how much will change and how much will remain the same. Negotiating the dynamic tension between continuity and change requires both a deep appreciation and understanding of the organization's core values and principles and a deft willingness to challenge received conventions and search for new opportunities.

An abiding commitment to advancing the humanities and the arts remains a hallmark of The Andrew W. Mellon Foundation; it is a part of the history. While there are more than 81,000 registered grantmaking philanthropies in the United States—81,777, as of 2013, according to the Foundation Center—too few support the humanities or arts. As my most immediate predecessor, Don Randel, noted several times in previous editions of this report, federal support for the humanities and arts, as measured by the budgets of the National Endowment for the Humanities and the National Endowment for the Arts, has also been wanting. By several accountings, the Mellon Foundation provides more support for research in the arts and humanities than both federal agencies combined. That sense of providing critical resources is an enduring dimension of the Foundation's history, a legacy we deeply value.

Why do we remain committed to the arts and humanities? Simply put: they really matter. In a nod toward this truth, the venerable American Academy of Arts and Sciences offered the following in a recent report, *The Heart of the Matter*:

We live in a world characterized by change—and therefore a world dependent on the humanities and social sciences. How do we understand and manage change if we have no notion of the past? How do we understand ourselves if we have no notion of a society, culture, or world different from the one in which we live? A fully balanced curriculum—including the humanities, social sciences, and natural sciences—provides opportunities for integrative thinking and imagination, for creativity and discovery, and for good citizenship. The humanities and social sciences are not merely elective, nor are they elite or elitist. They go beyond the immediate and instrumental to help us understand the past and the future. They are necessary and they require our support in challenging times as well as in times of prosperity.

They are critical to our pursuit of life, liberty, and happiness, as described by our nation's founders. They are *The Heart of the Matter*. (p. 13)

While the American Academy of Arts and Sciences made a case for the humanities and social sciences, the word *arts* could easily replace the phrase *social sciences*.

On the importance of the humanities I draw your attention to a recently published book by British literary scholar and critic Helen Small, *The Value of the Humanities* (Oxford University Press, 2013). Small reminds us that the argument for the humanities should resist obvious traps. She sees no utility in opposing the humanities to the sciences or social sciences. Knowledge creation and sharing, she concludes, requires a multiplicity of approaches. No one field is intrinsically more valuable than another; rather, alone or in combination they offer a complementary way of unraveling the mysteries of the human condition. She concludes the humanities have public value for four reasons.

1. "They do a distinctive kind of work, preserve and extend distinctive kinds of understanding . . . and possess a distinctive relation to the idea of knowledge being inextricable from human subjectivity."
2. "Their work is useful to society: it assists in the preservation and curation of the culture."
3. "The humanities make a vital contribution to individual happiness and to the happiness of large groups."
4. "The humanities can make a vital contribution to the maintenance of health of the democracy."

To these points Small offers one "supporting claim": that "the value of the objects and cultural practices the humanities study and the kinds of scholarship they cultivate have value 'for their own sake'—that they are good in themselves." (pp. 174-76)

Professor Small's claims and assertions will no doubt be debated in the UK and the US; but over an arc of time stretching from antiquity to the present, as Rens Bod has recently noted, principles and patterns suggest the critical place of the humanities in shaping our understanding of the world.

In rearticulating the case for the humanities and arts I take guidance from a friend in engineering who offered a version of the following one day: in the digital age, which compresses time and space,

the need to understand one another is greater than ever. For all of the calls for increases in STEM education, the study of science and engineering absent an appreciation of style and color, form and local sensibilities, language and culture means we could find ourselves building products no one wants, starting wars for all the wrong reasons, and asking partial questions and receiving incomplete answers and yet remaining puzzled by why things are not working. In the end 9/11 happened despite the West's technological sophistication, wrought by old ideological divides which most of us don't understand because at one level they have more to do with religion than science. So we need the humanities and arts because they enable a fuller understanding of the world we claim—past, present, and future. Through them we deepen our understanding.

While our commitment to the humanities and arts may be justified by their importance on several levels, there are reasons to reassess how we best carry out that commitment. Over the next five years, as the Foundation moves toward its 50th anniversary we recognize the need to blend change and continuity (see Table I) by planning carefully for both. To that end, we have spent the past eighteen months in a strategic process of reviewing and renewing our grantmaking programs. After delineating a general framework for the work of the Foundation as a whole, the plan begins by asserting that we will remain faithful to supporting higher education, but with a notable shift in approach. Rather than conduct eight distinct areas of program activity, we will consolidate our work into five integrated program areas. This will allow us to attend to natural synergies within our areas of interest and work more collaboratively both within and outside the organization. The separate programs in research universities and liberal arts colleges are being folded into an integrated program area called Higher Education and Scholarship in the Humanities. In addition to thinking anew about higher education's cross-sectored relationships, the consolidated program seeks to work with those prepared to reconsider doctoral education and pedagogical training, to probe how students learn, to advance the contributions of the digital humanities to teaching and scholarly research, and to foster relationships between research universities and neighboring liberal arts colleges. As we make these pledges we are also cognizant of the need to support resource-strapped liberal arts colleges, since all the schools in this sector are vital to the broader higher education ecosystem.

Changes are also anticipated in the arena of the visual and performing arts. Replacing two distinct programs—Art History, Conservation, and Museums and the Performing Arts—is the newly configured Arts and Cultural Heritage program. The new emphasis turns on supporting art museums, arts organizations, and institutions of higher education that advance the arts and art conservation, with the goal of spurring the development of a dynamic, diverse, and effective cultural and performing arts world in the United States and beyond. We remain ever mindful that the arts constitute fields of inquiry and production that are distinct from other forms of thought and expression. Developed and expressed over the millennia, our global artistic heritage is a resource for renewal, understanding, and creativity.

In other programs of the Foundation, we do not anticipate meaningful reorganization, but we do foresee significant modifications to our grantmaking priorities. Diversity initiatives have heretofore centered on enhancing the flow of diverse students, especially students of color, into and through graduate school and into permanent faculty positions. A signature component of that effort has been the Mellon Mays Undergraduate Fellowship program. That program remains a cornerstone of our plan, but we also will chart ways to expand the number of participants and participating institutions. Moving forward we also envision a Latino/a initiative that complements our work with Tribal Colleges and Historically Black Colleges and Universities. Perhaps the biggest change, especially for a foundation that has prided itself on being quiet, will be the production of an annual report that synthesizes the very best scholarship on the value of diversity to social and civil life in democratic societies.

We plan to remain as vigorous as ever in the area of scholarly communications. Our goal is to promote the common good by working with archives, research universities, academic presses, libraries, and museums in the development of tools, methods, and approaches that make possible the broad collection, curation, and dissemination of information to aid in knowledge production and transmission. We will drop the reference to “information technology” in the program area’s title because we consider such technology as only one of the tools covered by our initiatives.

Table I  
Strategic Directions: Programs  
The Andrew W. Mellon Foundation

<b>Current Programs</b>	<b>New Program Areas</b>
<ul style="list-style-type: none"> <li>• Conservation and the Environment</li> <li>• Research Universities and Scholarship in the Humanities</li> <li>• Liberal Arts Colleges</li> <li>• Performing Arts</li> <li>• Art History, Conservation, and Museums</li> <li>• Scholarly Communications and Information Technology</li> <li>• Diversity Initiatives</li> <li>• South Africa</li> </ul>	<ul style="list-style-type: none"> <li>• Higher Education and Scholarship in the Humanities</li> <li>• Arts and Cultural Heritage</li> <li>• Diversity</li> <li>• Scholarly Communications</li> <li>• International Higher Education and Strategic Projects</li> </ul>

Finally, the Foundation has long maintained a program and presence in South Africa. After more than two decades of work in South Africa, overseen in large part by the able Stuart Saunders, the time has come to build on those efforts by crafting a broader yet select international grantmaking program. With the term “strategic,” we refer to a focused set of activities in targeted regions of the world that will build on work in the other program areas. Whatever international initiatives we decide to develop, inside or outside of South Africa, will fall within the realm of higher education, culture and the arts, diversity, and scholarly communications. The specific regions and specific projects will emerge in the next year as we complete our assessments and welcome Saleem Badat, until recently Vice Chancellor of Rhodes University, into his new role at Mellon as Program Director for International Higher Education and Strategic Projects.

Important change envelops the entire grantmaking program as well as operations at the Foundation. Crosscutting all of our work will be commitments to promote the public humanities and arts, to pursue the achievement of diversity and inclusion in partnership with grantees and vendors, to facilitate the effective development and use of digital media, and to foster the extension of international collaborative partnerships. These crosscutting foci should enable us to plan for a more meaningful set of initiatives and to align priorities and practices throughout the Foundation’s programmatic and operational domains.

The smooth transition from planning to implementation requires that we carefully assess staffing levels and needs. As a foundation, we have long championed non-bureaucratic processes and lean operations, with the belief that monies saved on staff could be more profitably spent on grants and programs. We aspire to be faithful to this principle even as we seek to ascertain that we have appropriate practices and sufficient staff to execute all dimensions of the plan. As a first step toward implementation, we are pleased to announce the addition of Makeba Morgan Hill as Deputy to the President and Chief Planner. Makeba, a native New Yorker, has a wealth of experience in strategic planning in both health care and academic environments. Most recently she served as Assistant Vice Provost for Planning and Accreditation at Emory University.

There is considerable internal excitement as we march toward Mellon's golden anniversary in 2019. In all candor, some of what is to follow the plan's implementation will barely draw notice, since it will appear so in keeping with past practices. If, however, little seems new in the end we will have failed to calibrate appropriately the dynamic tension between continuity and change. We anticipate, therefore, that in the months ahead glimmers of the new will take their place among the signs of the old. And like the young girl in Natasha Trethewey's poem that opened this essay, we will learn lessons that illuminate past and present, historical and contemporary, continuity and change. Mostly we hope to continue to make a difference in support of higher education and scholarship, the humanities and the arts.

As you will read in the subsequent pages, planning for the future has not come at the expense of continuing the work at hand. Even as we wind down the Conservation and the Environment program and alter the other programs, we remain steadfast in our goal of partnering with able individuals from capable institutions to promote the work of the arts and humanities in advancing knowledge, discourse, and intercultural understanding that are critical to flourishing, inclusive, and creative societies.

Earl Lewis  
June 2014

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*Research Universities and Scholarship in the Humanities*

Vice-Presidents Philip Lewis and Mariët Westermann continued to exercise joint responsibility for the program in 2013. Ms. Westermann was responsible for grants to US universities and to institutes for advanced study, as well as for collaborations between Research Universities and Scholarship in the Humanities (RUSH) and Mellon programs other than Liberal Arts Colleges. Mr. Lewis managed the Mellon-based competitions for Sawyer seminars and New Directions fellowships, handled grants to humanities centers, and negotiated arrangements with regranteeing organizations. RUSH also continued to oversee grants representing the interests of the Foundation in the public humanities, understood as the broad horizon on which the arts and humanities engage with the policy concerns of other philanthropies and with social and political issues. In particular, it completed a series of endowment grants to the American Academy of Arts and Sciences that bring to a total of \$5 million the funding committed for sustaining indefinitely the core of the Humanities Indicators, a vital database that makes available to the world at large information about the role of the humanities in our society. Another RUSH grant of \$2 million in endowment completed the Foundation's commitment to the core faculty fellowship programs at the National Humanities Center. Each of these endowment grants fits within a central focus of the 2013 calendar year on the program's decisive participation both in planning for future Foundation activities under President Earl Lewis and for bringing to closure a significant number of long-term projects so as to create room for the launch of new initiatives. As a result of this strategic planning process, RUSH will merge with the Foundation's Liberal Arts Colleges program by 2015. The consolidation of the two programs into one named Higher Education and Scholarship in the Humanities is spurred by recognition that, despite pronounced differences of mission, scale, and practice between research universities and liberal arts colleges, these different types of institutions share many interests and problems that compel the Foundation to situate their respective sectors in the larger system of higher education. As President Lewis notes in his essay in this report, the consolidated program will continue to attend to the specific needs and opportunities of universities and colleges while focusing deliberately on opportunities for cross-sector collaboration in such areas of mutual concern as doctoral education and pedagogical training, digital humanities research and



teaching, the evolving curriculum of liberal education, the involvement of institutions of higher education in public humanities programs, and regional relationships between research universities, liberal arts colleges, and other kinds of institutions.

Among the organizations that administer Mellon-funded fellowship programs for graduate students, recent PhD recipients, and scholars who teach in US and Canadian universities, the most prominent over the past two decades have been the American Council of Learned Societies (ACLS) and the Social Science Research Council (SSRC). Both received additional support in 2013 for fellowships that fund graduate students in the arts, humanities, and related social sciences. The ACLS grant renewed support for its long-term competition for dissertation completion fellowships, while the renewal for the SSRC's dissertation proposal development program funded a pilot project, the key objective of which is to design the gradual transfer of this mentoring responsibility to the graduate schools whose students now seek outside guidance. The Foundation expects to make a final grant in 2015 to support the implementation of the SSRC plan. During 2013 RUSH also continued to make grants in support of a variety of postdoctoral fellowship programs, both for recent PhD recipients and for early- and midcareer faculty in the humanities. The ACLS received \$4.4 million for its "public fellows" program that places recent PhDs in the humanities in positions in public agencies and nonprofit organizations, as well as a smaller grant for renewal of a program that supports collaborative research by teams of two or three humanities scholars. Its two programs for early-career faculty, the Ryskamp fellowships for untenured faculty and the Burkhardt fellowships for recently tenured faculty, were also renewed. A number of institutions—Johns Hopkins University, McGill University, the University of Michigan, Brown University, and the National Humanities Center—also received assistance with postdoctoral programs in the humanities and the arts. At the same time, the Foundation's officers conducted discussions with the ACLS about the systemic implications of postdoctoral programs for new PhDs and continued the shift introduced in 2012 toward decreasing the fraction of RUSH's annual resources allocated to such programs.

RUSH maintained its annual investment of approximately \$5 million in two ongoing programs for which groups of distinguished scholars meet at the Foundation to select the winning applicants. The program named after former Mellon President John Sawyer, which

enables interdisciplinary groups of faculty to come together in year-long seminars devoted to the comparative study of culture, made awards of \$175,000 to nine institutions: Boston, Carnegie Mellon, Cornell, Georgetown, and Northwestern Universities and the Universities of Cambridge, California at Los Angeles, Minnesota at Twin Cities, and Texas at Austin. The New Directions program provides funding over a period of three years to scholars who, at a point six to ten years beyond completion of the PhD, seek to pursue formal study in fields other than those in which they hold their degrees. A total of \$3.24 million was allocated to the 14 scholars whose projects were selected. In the domain of international studies, RUSH made grants totaling \$2.64 million to three institutions: the International Institute for Asian Studies (Leiden, The Netherlands), the Council of American Overseas Research Centers (Washington, DC), and the American Academy in Rome. A series of grants in support of international partnerships between US and foreign institutions, inaugurated in 2011, was concluded with grants to the Fondation Maison des sciences de l'homme (Paris, France), which will organize multiple connections between American and European universities, and to the University of Michigan for a partnership with the Witwatersrand Institute for Social and Economic Research (Johannesburg, South Africa).

RUSH support for interdisciplinary humanities centers, reinforced in recent years, continued in 2013. It was marked by a second major grant to the Consortium of Humanities Centers and Institutes, an international organization of more than 180 members headquartered at Duke University, that will support collaborative research by groups of scholars working on historically important interdisciplinary problems at multiple sites in North America and around the world. Other grants in support of humanities centers went to the Cogut Center at Brown University, the Franke Institute at the University of Chicago, and the Center for the Humanities at the University of Wisconsin. Of special note was a \$3 million grant to the Illinois Program for Research in the Humanities at the University of Illinois (Urbana-Champaign), which will lead a consortium of 15 humanities centers in major midwestern universities. Alongside RUSH grants to these campus-based centers, an award to the New York Botanical Garden will assist in the development of a center for advanced scholarship in the humanities at the LuEsther T. Mertz Library.

Two initiatives conceived in 2011 and 2012 were pursued further in 2013. The first of these, launched under the rubric “Arts on Campus,” supports universities that seek to integrate the design, making, and performance of art more systematically into their undergraduate curricula and faculty research programs. The initiative distributed a total of \$1.8 million in awards to Johns Hopkins University and to the University of Michigan Musical Society. The second initiative, “Architecture, Urbanism, and the Humanities,” focuses on the city as it is being transformed in our age of accelerating urbanization. It is funding the concerted exploration by a dozen or more institutions of the interdisciplinary knowledge that the planet’s urban environments will require to ensure a livable future. Major thrusts of the initiative include the establishment of stronger relations within universities between schools of architecture and programs in the humanities, and stronger engagement of universities with their own urban communities. In 2013, the initiative disbursed more than \$11 million to groups at Harvard, Princeton, and New York Universities, the Massachusetts Institute of Technology, the Canadian Centre for Architecture, and the Universities of Michigan, Pennsylvania, and the Witwatersrand.

The constellation of RUSH grants for the year included approximately 20 awards that supported innovative academic programs and research projects in particular universities. Noteworthy among these were: grants to the University of Michigan and the University of Chicago for programs in Islamic studies; grants to the Universities of Rochester and Southern California for interdepartmental training programs in the digital humanities, with an emphasis on graduate students; an award to Dartmouth College for the establishment of a Society of Fellows; a grant enabling Vanderbilt University to develop exchanges of faculty members and postdoctoral fellows with Berea College, Tougaloo College, and Tennessee State University; a grant to New York University for the establishment of a Center for Ballet; and a grant enabling the University of New Mexico to expand a curriculum focused on the land arts of the Southwest.

### *Liberal Arts Colleges*

The Foundation’s Liberal Arts Colleges (LAC) program, led by Eugene M. Tobin, makes multiyear grants to liberal arts colleges and regional consortia in support of the arts, humanities, and related social sciences. In 2013, LAC continued its support of colleges

and universities that demonstrate a commitment to liberal education, uphold rigorous academic standards, and encourage close student-faculty relationships. Cognizant of the ongoing demographic, economic, technological, and competitive challenges faced by liberal arts colleges, LAC worked with grantees to balance competing priorities and to maintain a focus on institutional mission. As in recent years, iterative conversations and exchanges focused on curricular renewal, faculty development, pedagogical innovation, and initiatives that have the potential to exert a lasting influence on students and faculty.

Liberal arts colleges face a constant stream of institutional and student-driven expectations. The intimacy, rigor, and personal attention that characterize a liberal arts college education make for costly commitments to individualize student learning through first-year seminars, collaborative research, and capstone projects. The need to introduce interdisciplinary, comparative, and cross-cultural perspectives into the curriculum, educate global citizens, and integrate study abroad, internships, and civic engagement into students' overall educational experiences results in an equally compelling and taxing set of expectations. Recently, the emergence of sophisticated tools and pedagogies associated with the digital liberal arts, such as geographic information systems, text mining, visualization, and multimedia presentations, has raised important questions about the appropriate levels of students' digital literacy and the readiness of faculty to adopt new approaches in their teaching and collaborative research.

The common denominator linking student-faculty research, the internationalization of the curriculum, and the introduction of digital pedagogies is the continuing need for faculty development and renewal. This is especially important during a period of financial constraints and escalating costs when colleges are increasingly reliant on current faculty members' engagement with curricular development and mentored research. Throughout 2013, LAC invited participating institutions and consortia to consider how Foundation support might strengthen curricular and pedagogical innovation with a focus on faculty renewal. Some grants reflected a renewed commitment to general education, oral and written communication, global engagement, experiments with digital pedagogies, and the expansion of student-faculty collaborative research opportunities in the humanities. Other grants used combinations of postdoctoral fel-

lowships, retirement initiatives, internal sabbatical leave replacements, and the conversion of full-time and part-time adjunct positions to tenure-track to promote faculty renewal, curricular coherence, and the effective allocation of resources. LAC also responded to requests to create an arts-based campus culture in which art-making is an autonomous cognitive practice that illuminates other curricular areas. In other instances, LAC recommended grants that trained students, faculty, and librarians in geospatial and computational analysis for use in teaching and research.

For most liberal arts colleges the notion of “going it alone” is an unrealistic option. The pace of change and constraints on the ability of liberal arts colleges to respond to new curricular and pedagogical imperatives means that many institutions may not only fail to innovate, but may become increasingly isolated from national higher education conversations. The diseconomies of scale that wreak havoc with the small-college business model are equally frustrating when faculty find few colleagues on their home campuses capable of appreciating and critiquing their work as teachers and scholars. In addition, growing economic challenges make it imperative that as institutions seek to improve student learning, they also explore strategies to reduce or stabilize instructional costs. These are areas in which liberal arts college consortia can make substantial contributions.

Throughout 2013, LAC worked with consortia on a variety of curricular and faculty development initiatives. Building on the results of its successful Faculty Career Enhancement project (FaCE), the Associated Colleges of the Midwest received a grant of \$2 million to enable faculty members to enhance their teaching through the use of blended learning and the application of insights from cognitive science. The Foundation made a \$1.25 million grant to the New York Six Liberal Arts Consortium to support collaboration in study abroad, blended learning in less commonly taught languages, and exploration of a single learning management system. A \$1 million grant to Five Colleges Incorporated focused on a broad range of technology-centered projects, including the use of blended learning in commonly and less commonly taught languages and study of the comparative learning outcomes from hybrid and traditional classroom pedagogies. Other grants supported pilot studies of online learning in the humanities by member institutions of the Council of Independent Colleges and an exploration of blended learning by the Central Pennsylvania Consortium. The Associated Colleges of

the South received funds to test potential collaboration between liberal arts colleges and research universities, and the Five Colleges of Ohio used a renewal grant to expand the integration of digital materials into teaching and scholarship. Finally, a grant to the ASIANetwork supported in-country seminars for Asia specialists seeking to expand their areas of expertise.

The promotion of formal and informal collaborations is not limited to existing consortia. LAC supported joint courses, guest lectures, faculty panels, and simulations to encourage academic relationships between students and faculty at liberal arts colleges and military institutions of higher education. A group of liberal arts colleges in Pennsylvania received a planning grant to explore the development of a new state-wide consortium. Two women's colleges in Virginia, Sweet Briar College and Hollins University, received an officer's grant to study inter-institutional collaboration. Wofford and Converse Colleges were awarded a planning grant to explore an integrated library management system.

Successful collaborations require both strong leadership from college leaders and "ownership" by faculty and staff. Without these core elements, collaboration has less chance of succeeding when faced with the autonomous institutional cultures reflected in different academic calendars, course schedules, and student enrollment sizes. A \$1.4 million grant to Carleton College, in collaboration with St. Olaf College, which built on a previous planning grant and even earlier partnerships between the respective libraries, demonstrated that, while proximity matters, patience and familiarity with one's counterparts are crucial to mutually beneficial relations. Lastly, LAC concluded 2013 with a growing realization that collaboration between dissimilar, noncompeting institutions with complementary strengths may be a productive avenue to pursue.

As noted in the report on the Foundation's program in Research Universities and Scholarship in the Humanities, that program will be consolidated with LAC in the course of 2014. While the integrated program will support individual liberal arts colleges as it has in the past, it will be in a better position to pursue objectives that tie colleges directly to the lives of research universities, such as strengthening pathways for bringing traditionally underrepresented college graduates into PhD programs, or preparing doctoral candidates for tasks of teaching and mentoring in broadly integrative academic programs that are vital to the mission of liberal arts colleges.

*Diversity Initiatives*

Early in 2013, the Foundation began to plan for the 25th anniversary celebration of the Mellon Mays Undergraduate Fellowship (MMUF) program, which will take place at the High Museum in Atlanta on June 25, 2014. In anticipation of that milestone, a yearlong critical appraisal of MMUF was completed in December 2013. The design and development of a new MMUF Web site ([www.mmuf.org](http://www.mmuf.org)), pursued throughout the year, was completed in time for an early 2014 launch. Additionally, 11 MMUF chapters were renewed for four years, and two longstanding summer programs at Bowdoin College and Williams College were reconstituted with independent grants.

As one of higher education's premier "pipeline" programs aimed at remedying the problem of underrepresentation in the American professoriate, MMUF has become a multigenerational scholarly network of considerable complexity. Through December 2013, MMUF had chosen 4,230 fellows, 510 of whom had earned PhDs and 705 of whom are currently enrolled in PhD programs. In addition, 85 fellows have now earned tenure. Of those who finished the PhD, approximately 80 percent of fellows have at one time taught or are currently teaching in colleges and universities, with many others teaching in public and private schools and holding research positions. The report resulting from the review of MMUF summarizes 180 pages of statistical documentation and data analysis focusing on the varying rates of "throughput" of fellows to PhD programs from the 41 MMUF colleges and universities, as well as the UNCF consortium participants. Comparisons between the throughput rates of all participating programs were made on the basis of such contributing factors as institutional wealth, freshman to sophomore persistence rates, graduation rates, institutional selectivity, total earned PhDs per 100 baccalaureate degrees, and "critical mass" factors such as the percentages of black and Latino/a students on campus, the relative diversity of institutional faculties, and the percentage of students eligible for Pell Grants. Among the report's notable findings is MMUF's outstanding average time for earning the PhD degree of 6.6 years, which betters by as much as one year the median time nationally for social science PhDs and by as much as 2.5 years for humanities PhDs.

Intensive planning and development of the new MMUF Web site resulted in a new capacity to highlight the ongoing achievements of fellows including the recent appointment of the first fellow to become a college or university president. The Web site also serves to publicize the many annual events sponsored by MMUF, including those for graduate fellows planned by the Social Science Research Council and the Woodrow Wilson National Fellowship Foundation.

The Diversity Initiatives area also made grants that continue to support other pipeline programs with similar aims to MMUF. In 2013, grants were made to the Schomburg Center of the New York Public Library and the Library Company of Philadelphia for summer programs to support the use of primary materials by college students wishing to pursue graduate study in African American culture and history; to the Kohala Center in Hawaii for dissertation completion and postdoctoral fellowships for Native Hawaiians and others studying aspects of Hawaiian history, culture, and the environment; and to the University of New Mexico for late-stage graduate students completing dissertations focused on Mexican American, Native American, and border topics. Additionally, grants supporting the research agendas of underrepresented scholars and others during the early phases of their careers were made to the University of Chicago and to the UNCF.

The Foundation supports faculty and curriculum development as well as capacity-building in the area of enrollment management for a group of Historically Black Colleges and Universities (HBCUs) that offer an exemplary liberal arts education. It also promotes faculty degree attainment for the Tribal Colleges and Universities (TCUs) through the American Indian College Fund (AICF). In 2013, grants were made to Dillard University for faculty career enhancement; to Bennett College in support of internationalization of undergraduate study; to Johnson C. Smith University both for the expansion of visual and performing arts curriculum and a new faculty development plan; and to the HBCU Library Alliance to promote coordination of library resources with faculty research agendas. The AICF received a grant for masters degree completion for TCU faculty to complement an existing grant in the area of PhD completion.

### *Scholarly Communications and Information Technology*

The Foundation's Scholarly Communications and Information Technology (SCIT) program was led in 2013 by Donald J. Waters



and Helen Cullyer. The mission of SCIT is to help ensure that academic and cultural institutions disseminate widely the knowledge and research they produce and that they make easily accessible and preserve the original sources, interpretive scholarship, reference materials, and other resources that scholars need for further research and teaching. SCIT's objectives are to: (1) strengthen the publication of scholarship in the humanities and the arts and its dissemination to the widest possible audience; (2) support libraries and archives in their efforts to preserve and provide access to materials of broad cultural and scholarly significance; (3) assist scholars in developing specialized scholarly resources that promise to open or advance fields of study in the humanities and related social sciences; and (4) support the design, development, and implementation of information technologies that directly enhance scholarly research at the university and college level, or support the core operations of libraries, archives, museums, and performing arts organizations.

Grant support in the field of publishing emphasized initiatives that are developing and using innovative tools and workflows to enhance authoring, editing, and reading in a digital environment. The program provided support to the University of Southern California for further development of the Alliance for Networking Visual Culture, a collaboration among scholars, archivists, and publishers, and of Scalar, a multimedia authoring tool. A grant was made to the Pennsylvania State University to fund the planning and prototyping of the *Public Philosophy Journal*, a new open access serial that would focus on topics of urgent public concern. SCIT also supported studies on the current state and future possibilities of publishing. Grants were made to Rutgers University to support research on the feasibility of collaborative direct marketing for US university presses and to the University of Cambridge for a sociological study of the transformation of book publishing in the digital age.

In the field of preservation, the program focused on grant support for the preservation of digital materials, including electronic scholarly publications, and of audio and audiovisual collections. Columbia University received funds to increase significantly the number of electronic journal titles preserved by services such as Portico and Lots of Copies Keeps Stuff Safe (LOCKSS). SCIT provided funds to the New York Public Library to support a preservation needs assessment of its audiovisual collections and to the Northeast Document Conservation Center for the planning of a suite of new

audio reformatting and preservation services that it would offer to cultural institutions. In order to improve access to special collections in the US, SCIT continued to support the national Hidden Collections Cataloging program administered by the Council on Library and Information Resources (CLIR). SCIT also made grants to support cataloging of collections held outside the US. These included a grant to the Austrian National Library (ANL) to support the digitization and cataloging of its large unpublished collections of ancient and medieval papyri in Arabic, Coptic, and Greek. ANL scholars and staff are collaborating closely with scholars and technologists at the Duke University library's Foundation-funded Collaboratory for Classics Computing (DC3), which is intended to serve as a model for the increased integration of academic units, libraries, and information technology services that is required to support digital scholarship.

In the area of digital scholarly resources, a grant was made to Ludwig-Maximilians-Universität München for further development, in collaboration with ANL and Duke, of the Arabic Papyrology Database (APD), an online database of Arabic papyri that is used both for research and online instruction. SCIT also made grants to support advanced scholarly resources and software tools in the fields of classical studies, early modern studies, and archaeology of the Americas.

In 2012, SCIT conducted an evaluation of its information technology projects and those funded by other programs at the Foundation. Several grants were made in 2013 following the recommendations of that assessment. Stanford received funds to hire staff, conduct workshops, and disseminate code, standards, and data models with the goal of fostering collaboration and efficiencies across software development projects that serve humanities scholars and cultural institutions. Cornell was awarded a grant to conduct software development that would enable libraries to create and publish linked data about scholarly publications at large scale. Several projects received grants that would assist them in the development of sustainability models, and Ithaka Harbors, Inc. was awarded funds to design and implement sustainability workshops for technology and digital resource projects in the higher education and cultural sectors. The University of Illinois at Urbana-Champaign received a grant to support a nationwide regranting competition for proposals that promise to develop software tools and methods that would enrich and augment the metadata of digitized materials in the

HathiTrust repository. The technologies generated by the selected projects would make the contents of the HathiTrust and potentially other large digital repositories more useful for scholarly research.

SCIT also supports a number of fellowship programs that advance the objectives of the program and of the Foundation as a whole. In 2013, these included postdoctoral fellowships, administered by CLIR, for digital data curation in the field of early modern studies, and the iSchool Inclusion Institute of Information Sciences at the University of Pittsburgh, which provides summer fellowships that prepare undergraduate students from underrepresented populations for graduate study in information science.

Finally, Duke University received funds to support the Scholarly Communication Institute (SCI), formerly hosted by the University of Virginia. The new SCI would address pressing cross-disciplinary issues in scholarly communication, and participants at each institute would be selected by means of a competitive review process.

### *Performing Arts*

The Foundation's Performing Arts (PA) program, led by Susan Feder, seeks to shape and sustain a vibrant performing arts ecosystem at the intersection of creative practice and public engagement. Its grants aim to stimulate ambitious and distinctive work, preserve culturally significant repertoire, promote inclusivity and diversity, build knowledge within the sector, and strengthen exemplary institutions that are advancing these efforts. To the extent that artistic creation is experimental and pushes boundaries, it resembles research undertaken by scholars; over time the works created may enter the canon and themselves become the subjects of scholarly inquiry. PA puts particular emphasis on the development and dissemination of new work, through grants to institutions that place a high value on artist-driven processes led by composers, choreographers, playwrights, and ensembles creating devised work.

In 2013, the program continued to organize the distribution of its grants by discipline, in music (largely to orchestras and opera companies), theater, and contemporary dance. Increasingly, it has directed resources toward presenting organizations, alongside producing companies, in recognition of the crucial role they play in the incubation and touring of new work. Reflecting the rapidly chang-

ing demographic, technological, and financial challenges facing performing arts organizations, PA also fostered organizational capacity building and leadership development.

Over the past several years, PA has made an effort to align with the Foundation's other principal program areas by expanding support for the performing arts at colleges and universities. Through grants for performances and residencies that highlight the role of artists in the cultural and intellectual life of the campus, the program has aimed especially to make these activities readily accessible to students. In 2013, the Foundation launched a multiyear initiative placing choreographers in extended residencies at schools whose offerings include strong dance departments and professional arts presentations. Flexibly designed to be reflective of the strengths of each school, grants were awarded to Bard, Lafayette, Middlebury, and Williams Colleges and Montclair State University. Funds will support time and space for creative work and research, choreographers' integration into the academic and social environment, and distinctive opportunities for kinesthetic academic engagement. A related grant to Wesleyan University continues funding for multidisciplinary artistic and curricular initiatives and the Institute for Curatorial Practice in Performance. The Foundation also renewed support for the presentation of ambitious classical music events at four research universities: the Universities of North Carolina, Michigan, California at Berkeley, and Illinois at Urbana-Champaign. In tandem with the Foundation's recent RUSH grants to these institutions as part of its Arts on Campus initiative, this set of grants aims to integrate the university's cultural, academic, and new media resources to educate and engage audiences, work with faculty to provide academic context for the performances, and enable students as well as community constituents to become active participants in program offerings. By concentrating on presentations by large ensembles, especially visits by leading orchestras, the grants were also intended to complement the Foundation's efforts to help orchestras extend their performances beyond traditional subscription seasons. Another grant provided spendable and endowment support for the Bard Music Festival at Bard College.

Among PA's regranteeing programs, the National Dance Project (NDP, administered by the New England Foundation for the Arts) and the New York Theater Program (NYTP, administered by the New York Foundation for the Arts) received renewed support in 2013. NDP subsidizes production and touring costs to presenters

and artists across a broad aesthetic array—established, emerging, culturally specific, and experimental—as well as providing pre-production residencies designed to support the artist in improving the quality of the finished product through technical, artistic, directorial, and dramaturgical assistance. NYTP offers general operating support to small and mid-sized New York City-based theater producers and presenters that vitally contribute to theater culture on both a local and national scale. The Network of Ensemble Theaters received an implementation grant in 2013 for its Touring and Exchange Network, which aims to build organizational and artistic capacity among creators of “devised work” through the sharing of techniques, ideas, and expertise. Renewed support to the National New Play Network will sustain its Continued Life of New Works fund and help develop an online script database.

Cooperating with producing organizations that increasingly provide physical and technical resources to improve developmental processes, the Foundation made grants to Washington National Opera, Fort Worth Opera, Theatre for a New Audience, Center Theatre Group, and the University of North Carolina PlayMakers Repertory Company, among others. PA grants also provided production support to a number of companies with exemplary commitments to commissioning and producing new work or to reviving existing work in distinctive new formats. In the former category were grants to Glimmerglass Opera Festival, Lincoln Center Theater, Los Angeles Opera, and English Stage Company (Royal Court Theatre); in the latter, grants to the Park Avenue Armory, New World Symphony, and Philadelphia Orchestra. In recognition of exemplary efforts to create distinctive, socially relevant dramatic work, often in collaboration with local communities, grants were awarded to Cornerstone Theater Company, Perseverance Theatre, California Shakespeare Theater, and Appalshop (Roadside Theater).

PA continued its backing of efforts to preserve dance archives, with implementation grants to the Martha Graham Dance Company, Jacob’s Pillow Dance Festival, and Pick Up Performance Company (David Gordon), and assessment grants to New York Live Arts and Disalced (Mark Morris). Renewed support to the Dance Notation Bureau will enable the notation of important dance works in Labanotation.

In harmony with the Foundation's commitment to diversity and inclusion, the program made grants to support the Sphinx Organization's national tour of musicians from underrepresented communities and Chicago Sinfonietta's Project Inclusion fellowships for orchestral musicians and conductors. A grant to L.A. Theatre Works subsidized the distribution of its audio drama database to 49 Historically Black Colleges and Universities.

Recognizing that organizations that foster inspiring artistic work need to be appropriately capitalized, the Foundation provided grants to build capacity and catalyze activities of fieldwide benefit at Gina Gibney Dance, the American Symphony Orchestra League, and the Lark Theatre Company.

As President Lewis notes in his essay in this annual report, the Foundation's two programs in the arts—Performing Arts and Art History, Conservation, and Museums—will, in the course of 2014, be merged into a consolidated program of Arts and Cultural Heritage. This reconfiguration makes explicit two assumptions that motivate the Foundation's grantmaking in the arts alongside higher education and the humanities. First, the arts constitute a fertile field of human inquiry, knowledge, and experience that is distinct from other forms of human thought and making. Second, a dense matrix of cultural organizations helps ensure that the arts can flourish and that their accomplishments remain available as a resource for future generations. These performing arts organizations, museums, and art centers have cognate missions and challenges, and they are largely distinct from the institutions of higher education supported by the Foundation's other programs. The merged Arts and Cultural Heritage program will be able to respond more nimbly to changes in today's evolving system of the arts, in which boundaries between institutional types and media have blurred and performing and visual arts organizations face similar challenges.

### *Art History, Conservation, and Museums*

In 2013, the Foundation's program in Art History, Conservation, and Museums (AHCM) continued to be led by Vice President Mariët Westermann and Associate Program Officer Alison Gilcrest. AHCM supports the fields of art history and conservation through grants to museums, research centers, and universities, with an emphasis on collaborative efforts among institutions. The program maintained the Foundation's long-standing commitments to cura-

torial and conservation initiatives at the intellectual core of museums, while expanding recent initiatives aimed at strengthening teaching with objects and collections in graduate art history education as well as the development of scholarly resources for modern and contemporary art.

Following a yearlong planning process, the program awarded a major grant to the Los Angeles County Museum of Art (LACMA) to support an undergraduate fellowship program aimed at diversifying the curatorial profession by providing opportunities to students that are historically underrepresented in the sector. LACMA will administer this program in collaboration with the Art Institute of Chicago, the High Museum of Art in Atlanta, the Museum of Fine Arts, Houston, and the Nelson-Atkins Museum of Art in Kansas City, Missouri.

New and evolving approaches to the role of digital media and outreach in curatorial practice were supported at the Armand Hammer Museum of Art, Creative Time, and the Carnegie Museum of Art. AHCM supported core curatorial and training functions of museums with grants for curatorial positions and postdoctoral fellowships at the Birmingham Museum of Art, the Menil Collection, the Metropolitan Museum of Art, the Phillips Collection, the San Antonio Museum of Art, and the Meadows Museum at Southern Methodist University, as well as installation planning at the Asian Art Museum of San Francisco.

The program continues to support the study, public understanding, documentation, and preservation of contemporary art. The San Francisco Museum of Modern Art received support for reinforcing its commitment to working with artists to document, install, and preserve their works. Through the Artist Initiative, the museum will integrate these practices systematically into its collecting and conservation activities, and disseminate them widely through exhibitions, publications, and online resources. Both this grant and a final renewal of the Panza Collection Initiative at the Guggenheim Museum are intended to enable collaboration among curators, conservators, and artists or their estates.

Support continued for graduate programs in art history that wish to integrate exposure to object-based study and curatorial practice more fully into their curricula, usually in collaboration with significant museums. Under this initiative, a grant was made to the Blanton Museum of Art at the University of Texas at Austin, and twin

grants were made to the University of California at Los Angeles and the Los Angeles County Museum of Art. Two grants supported cross-institutional initiatives that use a short-term institute model to reach broad cohorts of emerging scholars: a grant to New York University renewed funding for a summer institute in technical art history hosted at the Institute of Fine Arts, and a grant to the Center for Curatorial Leadership will help launch a pilot curatorial institute for PhD students.

Three institutions of higher education (Colby College, Cornell University, and the University of Pennsylvania) received final rounds of support under the Foundation's long-running College and University Art Museums initiative, for programs designed to generate academic collaborations among curators, faculty, and students around museum collections and exhibitions, including the development of new curricula across the disciplines. Under a similar rubric, Johns Hopkins University received a last grant for its Museums and Society program.

In the area of art conservation, the program continued to focus support on strengthening the pipeline of conservators who specialize in the care and treatment of Chinese paintings. Endowment challenge grants to the Smithsonian's Freer-Sackler Galleries and the Museum of Fine Arts, Boston will help to build a full cohort of midcareer conservators who could eventually become senior experts and trainers in this critical field. An endowment challenge to the Denver Art Museum will support a conservator and fellowship program in textile conservation, which is also a small but vital specialization. In conservation science, the program continued to emphasize mutually productive relationships between museums and universities. The Museum of Fine Arts, Houston received a grant to support scientific collaboration in conservation with the Menil Collection and the chemistry department at Rice University.

While the Foundation emphasizes support for US institutions, AHCM's interests extend to collaborations between American institutions and counterparts abroad. Attending to global networks in which art history, conservation, and museums operate, the program again funded select international projects. A grant to the Rijksmuseum in Amsterdam will support a program of predoctoral curatorial fellowships; a grant to the Iziko Museums in Cape Town will strengthen conservation capacity; and a grant to the Universidad Complutense de Madrid will support research related to the con-



servation of the Pórtico de la Gloria at the Cathedral of Santiago de Compostela in Spain.

AHCM grantmaking in 2013 largely focused on themes that will be of ongoing interest to the program, including diversification of the curatorial pipeline, efforts to strengthen scholarly resources for the study and conservation of contemporary art, and use of technology to enhance scholarship and dissemination of knowledge about cultural heritage. As noted in the report on the Foundation's activities in the Performing Arts, above, AHCM will in the course of 2014 be merged with PA into an integrated Arts and Cultural Heritage program. The merger will enable AHCM to work more effectively at the intersection of new media, performance, and installation art, to attend more closely to the role of artists in arts organizations, and to strengthen the work of museums as premier institutions for the public humanities.

### *Conservation and the Environment*

Grantmaking in the Foundation's program in Conservation and the Environment, directed since 1979 by William Robertson IV, closed in December 2013 as long planned. Elsewhere in this annual report, an essay by Mr. Robertson reviews the history of the program. Plans for its orderly closing were made several years ago at a moment when the Foundation was reinforcing its core commitments to the arts and humanities; they were carried out flawlessly and on schedule by Mr. Robertson, who retired from the Foundation in December 2013, and his colleagues, Doreen Tinajero and Sydney Gilbert. In 2013, the program made 76 grants totaling \$13.6 million, including large grants to some major institutions—the New York Botanical Garden, the Royal Botanic Gardens at Kew, and the Smithsonian Institution—that will take the lead in ensuring the continuation of the broad collective project known as the “Plants Initiative” that was begun in 2003. Final proposals were accepted in 2013 from more than 60 participants in the Plants Initiative as well as from four grantees in the Research Bridges to South Africa program.

The Plants Initiative has assisted a consortium, formed gradually as the original effort focused on Africa expanded to other continents, of 322 herbaria from more than 75 countries in the work of developing and maintaining a coordinated database of high-quality digital images (600dpi) of plant type specimens (the original speci-

mens used to identify species). The type images that constitute the core of the database are supplemented by reference works, photographs, and botanical art. The participating herbaria, including those that will provide for the management and enhancement of the database in the future, have been contributing images for all of the types they hold. Their estimates indicate that the total number of images in the Plants Initiative database will exceed 3 million. The database now holds about 2.8 million images and associated data: 1.8 million types and historical specimens; 400,000 images of artwork, photographs, and reference materials; and nearly 450,000 articles linked from JSTOR. Objects continue to arrive at a rate of about 7,500 per week. That rate is expected to continue through 2014 and taper off thereafter. Searches within JSTOR Plants also display returns from the Biodiversity Heritage Library and other online resources. The database is available online at JSTOR (<http://plants.jstor.org>).

### *Special International Emphasis: South Africa*

Over the past two decades, the Foundation has made grants to academic institutions and nonprofit organizations in South Africa under the guidance of Stuart Saunders, who formally retired from his post as senior advisor at the March 2013 meeting of the Board of Trustees. At the request of incoming president Earl Lewis, Dr. Saunders agreed to continue to serve as a consultant to the Foundation for the remainder of 2013 and recommend to the Board, during the summer and fall, grants that would be considered in the third quarter of 2013 and the first quarter of 2014.

In 2013, the program made 19 grants totaling \$6.1 million. These awards continued to support primarily six research universities—Rhodes University, Stellenbosch University, and the Universities of Cape Town, Pretoria, the Western Cape, and the Witwatersrand—with which the Foundation has maintained ongoing relationships. As in the past, the grants to universities supported activities in a number of categories: graduate student fellowships, postdoctoral fellowships, research projects in the humanities, specialized research centers, interdisciplinary institutes, endowed chairs for distinguished faculty, and opportunities for faculty and staff development. Supplementing this ongoing pattern was an award of \$500,000 for financial aid to both undergraduate and graduate students at the University of the Free State.

CONSERVATION AND THE ENVIRONMENT:  
A BRIEF RETROSPECTIVE  
by William R. Robertson IV

*William R. Robertson IV joined the Foundation in 1979, when he was hired by Jack Sawyer, the Foundation's president from 1975 through 1987. At his retirement in December of 2013, Mr. Robertson had worked with four of the Foundation's six presidents (Sawyer, Bowen, Randel, and Lewis). During his more than 30 years of service to the Foundation, Bill Robertson proved himself capable of shouldering multiple responsibilities—among them, personnel, information technology, buildings and grounds, and relations with the Mellon family. The latter was a natural outgrowth of his long-term focus on projects that reflected the environmental passion of Paul Mellon, who, with his sister, Ailsa Mellon Bruce, set up the Foundation in 1969. From the outset, the Foundation helped support the preservation of iconic tracts of land, important to the environment and America's well-being. During a 25-year period, Bill Robertson oversaw more than \$23 million in grants to the Trust for Public Land alone. In his principal role as the program officer for Conservation and the Environment, he extended the Mellon family's interest in land conservation to basic scientific research in groundwater, toxic and hazardous waste, land-use regulation, and coastal ecology. A major dimension of the Foundation's work with higher education depended on his relationships with the emerging field of ecology, to which he made vital contributions during the 1980s, 1990s, and beyond, through grants to able junior researchers in support of work that other funding sources were not yet ready to consider. Another key accomplishment of Mr. Robertson's program was its support for international research collaborations, the most notable of which is likely the development of ecosystems research in South Africa's Kruger Park.*

*One crowning achievement of Mr. Robertson's career at the Foundation, and the core of the conservation effort since 2003, is the now global project that he launched as the African Plant Initiative. The initial idea was to create a digital database capturing all African plant types, with associated scholarly articles, botanical artwork, and scientific metadata. Web access to the database would enable researchers around the world to study and compare the plant types without needing to travel to distant herbaria. In 2006, the initiative was expanded to include Latin American plant types, and in due course became the Global Plants Initiative that seeks to capture the plant types of the entire planet. He has also been responsible for the establishment of the portal on the JSTOR Web site that makes the plants database accessible to the world at large.*

*Since Mr. Robertson's retirement in 2013 was an event not only of signal importance at the year's end but one of exceptional long-term significance in the history of the Mellon Foundation, we have prevailed on him to provide for this annual report a chronicle that reviews the work he carried out so effectively in his leadership of the Conservation and the Environment program. Interspersed in his account of that work are his reflections on the ideas and approaches that enabled the program to function in productive dialogue with its grantees and to achieve its goals.*

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The Andrew W. Mellon Foundation's Conservation and the Environment program (C&E) evolved from the interests of its predecessor foundations, the Avalon Foundation (established in 1940 by Ailsa Mellon Bruce) and the Old Dominion Foundation (established in 1941 by Paul Mellon). The Old Dominion Foundation supported "organizations concerned with increasing man's understanding of his natural environment, his relation to it, and the effects of his activities upon it," and the acquisition and preservation of natural areas. Old Dominion grants included support for the Conservation Foundation from the time of its founding in 1948, as well as support for the National Audubon Society. Old Dominion grants also helped the National Park Service acquire land to establish Cape Cod National Seashore, add to Cape Lookout National Seashore, and fund studies of US coasts to identify areas that should be preserved. Early activities of The Andrew W. Mellon Foundation (AWMF), following the merger in 1969 of the Avalon and Old Dominion Foundations, continued these programs. Important measures included enabling the National Park Foundation to purchase most of Cumberland Island in order to establish its National Seashore, and contributions to the revolving Land Preservation Fund of the Nature Conservancy.

The predecessor Avalon and Old Dominion Foundations provided support to the Population Council and Planned Parenthood in the belief that the growth of human numbers and demands of modern societies on natural resources constituted the major environmental problem. Those interests continued after the founding of the AWMF and evolved into a separate Population program.

The early program in conservation expanded with the arrival of John E. Sawyer as vice president of the AWMF in 1974 and then president from 1975 through 1987. Prior to 1974, Conservation was

classified as part of the Foundation's cultural programs. The formal Conservation and the Environment program, beginning in 1974, supported research in energy, natural resources, and the environment, including oceans; it also sought to strengthen important institutions working in those fields and funded the training of junior scientists, engineers, resource managers, and potential policymakers. The program was a response to changing circumstances, as most of the key US environmental legislation and regulations had recently been enacted. The major issues of the day included land preservation, toxic substances, waste disposal, natural resource use, population, and energy. While there was funding from many sources in all these areas, most seemed directed toward advocacy and support for various policies.

The Foundation's program sought instead to encourage strong objective research aimed at learning something rather than proving a point or bolstering a position. It was based upon the observation that much scholarship and publication was designed to suggest ways to improve regulation but almost none was directed toward learning how different types of environmental regulation actually worked in practice. Accordingly the program began to fund research of this kind. Among the numerous institutions supported in these areas were Resources for the Future, which received project grants and assistance in assuring its independent future, and the Environmental Law Institute, which received substantial support for its publication programs. Other grantees included the California Institute of Technology, the International Council of Scientific Unions, the Scientific Committee on Problems of the Environment, Island Press, the Massachusetts Institute of Technology, the National Academy of Sciences, the National Audubon Society, Oak Ridge Associated Universities, Partners for Livable Places, the World Resources Institute, WorldWatch, and the BioEnergy Council. Many of the grants to these organizations and institutions aimed to strengthen their core capacities; others funded mutually agreed upon research projects; still others emphasized activities designed to bring business and environmental leaders together.

Awards during the program's early years also provided support to the Yale and Duke schools of forestry and Harvard Forest at important periods in their evolution. Sustaining grants were made to the Conservation Foundation, and Foundation support helped the Marine Biological Laboratory establish its Ecosystems Center and strengthen its library. Woods Hole Oceanographic Institution received

grants for coastal and policy programs as well as endowments for research projects; assistance to the World Wildlife Fund helped establish the Minimum Critical Size of Ecosystem Study in Brazil; an award to the Rails to Trails Conservancy enabled it to survey abandoned rail corridors; and the Nature Conservancy received support for establishing and developing its State Natural Heritage Program, which has evolved, with funding from other sources, into the free-standing NatureServe.

From 1974 through 1989, AWMF also supported activities in public education. Grantees included maritime and science museums (Chesapeake Bay Maritime Museum, The Maine Maritime Museum, The Mariner's Museum, Mystic Seaport Museum, Philadelphia Maritime Museum, Old Dartmouth Historical Society, Peabody Museum of Salem, Boston Science Museum, The Exploratorium, Franklin Institute, Lawrence Hall of Science, Museum of Science and Industry, Ontario Science Centre), television outlets (Children's Television Workshop, KQED, WCET, WETA, WGBH), and the Scientists' Institute for Public Information.

During the program's early years the Ecological Society of America reported that most ecologists had degrees in related fields rather than ecology itself. They had been attracted to science and ecology by a field research experience. This observation prompted the Foundation to launch several activities to support field research. Eight colleges and universities with good reputations for producing graduates who pursued professional careers in ecology (Brown University, Connecticut College, Cornell University, Dartmouth College, Johns Hopkins University, Oberlin College, Stanford University, University of Pennsylvania, University of Vermont, Williams College, and Yale University) were provided with modest funding to establish small grants programs for student research. After a successful three years they were offered similar grants that could be used either as matching endowment or as spendable funds. Most selected the endowment option, and many of those programs continue today. Other institutions including the Massachusetts Audubon Society and Center for Environmental Intern Programs received support for making field research experiences available to college students.

Grants also helped the Marine Biological Laboratory establish a semester in science for liberal arts college students. Similarly, the Organization for Tropical Studies received support for the establishment of undergraduate semester abroad programs in Costa Rica

and South Africa, as well as for substantial institution building. At the University of Vermont, the Foundation funded the establishment and early sustaining support of a very successful and continuing Field Naturalist degree program. The program also helped the Arnold Arboretum begin the Center for Plant Conservation, which later moved to the Missouri Botanical Garden and continues as an independent institution.

In joint efforts with other Foundation programs, C&E grants helped provide field research experiences for minority students through a number of institutions including Harvard Forest, Institute of Ecosystem Studies, University of Minnesota, University of Washington, Organization for Tropical Studies, and the United Negro College Fund. Funding also helped the Institute of Ecosystem Studies and Ecological Society of America begin and develop the society's successful and continuing SEEDS program to increase diversity in the discipline.

Direct purchase of land for preservation stopped shortly after the purchase of Cumberland Island in the early 1970s because of limited staff and resources at the Foundation, but resumed in 1981 with support for the Trust for Public Land (TPL). TPL was selected because it worked to preserve all types of public land from city pocket parks and playgrounds through significant additions to National Parks and protected areas. TPL received 21 grants through 2005 totaling \$23.75 million.

Around 1980, the Foundation started to shift more resources toward support of basic research on how natural ecosystems work. Understanding ecosystems is fundamental to preserving and managing them. By the end of the century this was the largest fraction of grants (with C&E accounting for less than ten percent of the Foundation's annual grants) and continued through 2002. In 2003, a transition began that ushered the C&E program in stages to its closing at the end of 2013. Grants for both open and junior faculty research were devoted to basic investigations into how natural ecosystems work. Grants emphasized support for innovative research and the training of promising doctoral and postdoctoral researchers. Within the broad field of ecosystems science and training, grants were generally limited to botany and terrestrial ecosystems because of their key importance to overall ecosystems and to what is generally perceived as the environment of places, since other funding sources paid the least attention to these areas. The emphasis on plant ecosystems

ecology (here soils ecology and plant and ecosystem processes were included) and, within it, on field research was a constant. The Foundation sought what G. Evelyn Hutchinson described in 1943 as “the point of view of the mind that delights in understanding nature rather than in attempting to reform her.” The grants started with the United States and later included Latin America and South Africa in the open grants portion of the program. In addition to terrestrial plant ecology the program included, for shorter periods, coastal physical processes, coastal ecology, and efforts to establish the land use history of ecological research sites.

Good students in ecology and related fields tend to be attracted to active and productive research groups. The Foundation provided funding to several groups to enable them to involve pre- and postdoctoral students in research projects. They included Cornell, Princeton, Oregon State, and Stanford Universities, the Universities of Minnesota, Pennsylvania, and Wisconsin, Carnegie Institution of Washington’s departments of Plant Biology and Global Ecology, the Institute of Ecosystem Studies, the Marine Biological Laboratory, the Missouri Botanical Garden, the New York Botanical Garden, the Royal Botanic Gardens, Kew, and the Smithsonian Tropical Research Institute. As part of the selection process, program staff attended research seminars, research site meetings, and the annual meetings of professional societies to talk with researchers at all levels and listen to their ideas. Experience suggested that researchers tended to explain their ideas in ways that they thought most likely to win support from more traditional sources. The ideas the Foundation was looking for often were not emphasized or initially mentioned and surfaced only through relatively informal conversation. In my view, it is almost impossible for committees to fund truly innovative research. There are simply too many reasonable questions about new approaches and ideas, and someone has to be able to take responsibility for choosing risky grants to recommend to Trustees.

Junior Faculty Research grants were awarded to research groups led by new faculty as they began their first tenure-track positions. The awards did not replace start-up research funds provided by colleges or universities and were only made after those arrangements were in place. The idea was to provide intellectual venture capital to promising researchers at the critical and formative stage when they begin their independent research groups and careers so as to allow pursuit of their best ideas (not those most easily funded). Funds were typically used to support the direct costs of research and postdoc-



toral or student researchers. Overhead or indirect costs were not allowed, and, if tuition was included, the institution was expected to share that cost equally with the Foundation. Initial inquiry was by email and included a brief description of the research idea or ideas and an estimate of costs. The awards were limited in number. Successful research projects were those the Foundation found exciting because of their potential both to advance the basic understanding of ecosystems and to lead to a sustained program of research supported by traditional competitive programs. Negative results were valued. Where particularly promising results ensued and more work was needed to make the research line attractive to traditional funding sources, modest follow-up awards were possible. In this and all parts of the program the Foundation tried to adhere to Paul Mellon's principle of having grantees expend the least work possible in getting grants so that they could devote more of their time and energy to their good works.

As more research is done at a site by increasing numbers of research groups with different specialties, a body of information accumulates that allows ever more sophisticated questions to be asked. The program learned this from experience with the Hubbard Brook Ecosystem study, founded by F. Herbert Bormann, Gene Likens, Robert Pierce, and Noye Johnson, where AWMF support helped with annual meetings, projects, infrastructure, and bringing new scientists to the annual cooperators meeting as potential collaborators. Following this model, help was provided to the Hawaii Ecosystem Study led by Pamela Matson and Peter Vitousek and to the consortium led by Jane Lubchenco, Bruce Menge, and Steven Gaines that became the Partnership for Interdisciplinary Studies of Coastal Oceans (PISCO). Those experiences led to the simple idea that academic researchers have access to a variety of funding sources and need stable field research sites, while protected areas are usually held and managed by government agencies or private not-for-profits with limited or no funds for research. It seemed that a natural synergy should be possible if both groups could learn to work together: the sites would offer secure, stable, and attractive environments within which to work with a degree of autonomy, and host annual research meetings to encourage discussion and cooperation among researchers, while the researchers would use funding from other sources to support their projects on a continuing basis. Attempts to establish joint programs to support this kind of activity with the Nature Conservancy and National Parks Foundation/National Park

Service did not succeed. However, a partnership with South African National Parks (SANParks) did. The Foundation provided support to SANParks to improve research facilities and infrastructure, add staff committed to working with outside researchers, and fund pilot projects. A related effort provided research grants for specific projects to university researchers, primarily those from the US and South Africa. Today, SANParks hosts an annual science meeting that is a popular and primary meeting for savanna ecologists worldwide, has established a system-wide program of encouraging academic research, provides research facilities at strategic locations, and hosts about 300 registered research projects in a year.

Research and training grants often served more than one program objective. From 1977 through 2013, 474 grants totaled \$143.6 million. Of that, research bridges to South Africa accounted for 93 grants for \$26.0 million, and of that SANParks received 17 awards totaling \$4.7 million.

As the turn of the 21st century approached, with initial advice and support from Peter Crane, Peter Raven, Brian Huntley, and Sebsebe Demissew, the Foundation helped herbaria from around the world organize themselves into a Global Plants Initiative. Its goal was to digitize and make available on the internet images of plant type specimens (the preserved physical plant material upon which species are determined) along with related reference materials, artwork, and photographs. The initiative received critical support from the Royal Botanic Gardens, Kew, the South African National Biodiversity Institution, the New York Botanical Garden, the Missouri Botanical Garden, and the Smithsonian Tropical Research Institute. The digital resource is now JSTOR Plants (<http://plants.jstor.org>). It contains about 2.8 million images and associated data: 1.8 million types and historical specimens; 400,000 images of artwork, photographs, and reference materials; and nearly 450,000 articles linked from JSTOR. New material is currently arriving at about 7,500 items per week. The voluntary organization of 322 partners from 75 countries continues to work together toward maintaining and improving the resource. The Plants Initiative was supported from 1999 through 2013 with 516 grants totaling \$78.4 million.

Throughout the history of the Conservation and the Environment program, the New York Botanical Garden has been a special case. Support began with grants from predecessor Avalon and Old Dominion Foundations (\$1.05 million), continued as a regu-

lar part of the C&E program throughout its time (43 grants totaling \$16.4 million), and has begun a new relationship with a recent grant to broaden its role as a center of scholarship in the humanities.

From 1969 through 2013, the Conservation and the Environment program was responsible for over 1,500 grants totaling \$385 million. The organization of a project of this amplitude and duration was necessarily an exercise in collaboration. As times changed and new needs emerged, the program developed sustained relationships with a number of institutions, almost all of which are mentioned above. Scientists at universities, particularly Cornell, Oregon State, Princeton, Pennsylvania, Stanford, Vermont, Wisconsin, and Yale along with colleagues at the Carnegie Institution of Washington departments of Plant Biology and Global Ecology, Institute of Ecosystem Studies (now known as the Cary Institute of Ecosystem Studies), Marine Biological Laboratory, Missouri Botanical Garden, Smithsonian Tropical Research Institute, and World Wildlife Fund provided counsel and candid advice that helped shape the Foundation's programs. It is easily forgotten and seldom acknowledged that staff members in foundations really do not do the work of their grantmaking programs. The actual research is done by grantees who deserve full credit for the work they have carried out with financial support from the Foundation.



# The Andrew W. Mellon Foundation

## *Summary of Grants and Contributions, 2013*

	<i>Payable and Committed at Dec. 31, 2012</i>	<i>2013 Grants and Commitments</i>		<i>Payable and Committed at Dec. 31, 2013</i>
		<i>Appropriated</i>	<i>Paid</i>	
Higher Education and Scholarship . . . . .	\$19,140,396	\$133,396,759	\$135,390,081	\$17,147,074
Scholarly Communications and Information Technology . .	3,438,500	27,394,000	26,764,685	4,067,815
Performing Arts . . . . .	10,127,256	33,000,000	34,910,570	8,216,686
Art History, Conservation, and Museums . . . . .	12,582,772	26,085,530	23,692,391	14,975,911
Conservation and the Environment . . . . .	3,246,001	13,639,860	12,019,361	4,866,500
Public Affairs . . . . .	—	50,000	50,000	—
Other . . . . .	—	104,000	104,000	—
Program-Related Investments . . . . .	—	100,000	100,000	—
Program grants and commitments - totals . . . .	48,534,925	233,770,149	233,031,088	49,273,986
Contributions and matching gifts . . . . .	—	1,441,056	1,441,056	—
	<u>\$48,534,925</u>	<u>\$235,211,205</u>	<u>\$234,472,144</u>	<u>\$49,273,986</u>



# The Andrew W. Mellon Foundation

## *Classification of Grants*

### HIGHER EDUCATION AND SCHOLARSHIP

*Appropriated*

Allegheny College,  
Meadville, Pennsylvania:

To support collaborative undergraduate research in  
the humanities . . . . . \$ 600,000

American Academy in Rome,  
New York, New York:

To support the Rome Prize Fellowship  
endowment . . . . . 1,000,000

American Academy of Arts and Sciences,  
Cambridge, Massachusetts:

To increase an endowment for ongoing maintenance  
and development of the Humanities Indicators . . . . 2,000,000

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

To continue support for a program enabling  
non-academic organizations to appoint PhDs  
in the humanities to postdoctoral positions . . . . . 4,407,000

To support dissertation completion fellowships  
for graduate students in the humanities and  
social sciences . . . . . 3,000,000

To support the Frederick Burkhardt Residential  
Fellowship Program . . . . . 2,062,000

To support fellowships for collaborative scholarship  
in the humanities . . . . . 1,230,000

To support the Charles A. Ryskamp Research  
Fellowship Program for advanced junior faculty  
members in the humanities and humanistic  
social sciences . . . . . 1,140,000

HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

American Historical Association,  
Washington, DC:

To supplement support for investigation and  
development of extra-academic career possibilities  
for PhDs in history . . . . . 7,700

American Indian College Fund,  
Denver, Colorado:

To support a master's degree fellowship . . . . . 503,000

American University in Cairo,  
New York, New York:

To support student retention initiatives  
necessitated by recent political and economic  
transitions in Egypt . . . . . 500,000

ASIANetwork, Inc.,  
Bloomington, Illinois:

To support a series of faculty study and travel  
seminars in India, Thailand, Indonesia, and Japan . . 500,000

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

To support a project fostering academic innovation  
and faculty development through collaboration . . . . 2,000,000

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

To support teaching collaboration between liberal  
arts colleges and research universities . . . . . 120,000

Barnard College,  
New York, New York:

To explore the influence of urbanism in faculty  
pedagogy and research . . . . . 50,000



HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

Bates College,  
Lewiston, Maine:

To support presidential initiatives . . . . . 100,000

Beloit College,  
Beloit, Wisconsin:

To support the development of teaching and learning  
practices in diverse learning communities . . . . . 50,000

Bennett College,  
Greensboro, North Carolina:

To support international study programs . . . . . 300,000

Berea College,  
Berea, Kentucky:

To support a faculty development initiative . . . . . 500,000

To support presidential initiatives . . . . . 100,000

Boston University,  
Boston, Massachusetts:

To support a Sawyer Seminar on the Comparative  
Study of Cultures entitled "Reinterpreting the  
Twentieth Century" . . . . . 175,000

Bowdoin College,  
Brunswick, Maine:

To renew support for the Mellon Mays  
Undergraduate Fellowship program . . . . . 500,000

To support the President's Arts and Lecture Fund  
and innovation in teaching through technology . . . . 250,000

To renew support for the Mellon Mays Undergraduate  
Fellowship summer exchange program . . . . . 116,000

HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

Brown University,  
Providence, Rhode Island:

To support postdoctoral fellowships at the Cogut Center for the Humanities . . . . .	1,350,000
To support a New Directions Fellowship . . . . .	260,000

Bryn Mawr College,  
Bryn Mawr, Pennsylvania:

To support technology initiatives that integrate blended learning into the humanities and social sciences curriculum . . . . .	800,000
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Bucknell University,  
Lewisburg, Pennsylvania:

To support digital scholarship initiatives . . . . .	700,000
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California Institute of Technology,  
Pasadena, California:

To renew support for the Mellon Mays Undergraduate Fellowship program . . . . .	435,000
To support a New Directions Fellowship . . . . .	216,200

Canadian Centre for Architecture,  
Montreal, Canada:

To support multidisciplinary research groups in architectural history and design . . . . .	710,000
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Carleton College,  
Northfield, Minnesota:

To support cross-institutional administrative and academic collaboration with St. Olaf College . . . . .	1,400,000
To support global learning across the curriculum . . . . .	800,000
To renew support for the Mellon Mays Undergraduate Fellowship program . . . . .	420,000

HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

Carnegie Mellon University,  
Pittsburgh, Pennsylvania:

To support a New Directions Fellowship . . . . .	198,000
To support a Sawyer Seminar on the Comparative Study of Cultures entitled "The Ghetto: Concept, Conditions, and Connections in Transnational Historical Perspective from the 11th Century to the Present" . . . . .	175,000

Centre College of Kentucky,  
Danville, Kentucky:

To support undergraduate research in the humanities .	600,000
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City College of New York,  
New York, New York:

To renew support for the Mellon Mays Undergraduate Fellowship program . . . . .	339,000
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Claremont Graduate University,  
Claremont, California:

To support continued work on <i>The American Faculty: The New Era of Work and Careers</i> . . . . .	12,500
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College of the Holy Cross,  
Worcester, Massachusetts:

To support a visiting artist program . . . . .	600,000
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College of Wooster,  
Wooster, Ohio:

To support a program of faculty-mentored undergraduate research . . . . .	700,000
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Colorado College,  
Colorado Springs, Colorado:

To support strengthening innovation in engaged teaching and learning . . . . .	800,000
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HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

Columbia University,  
New York, New York:

To support a program that exposes graduate students to research questions and methods outside their disciplines . . . . . 500,000

Connecticut College,  
New London, Connecticut:

To support the integration of international and global studies programs . . . . . 700,000

Cornell University,  
Ithaca, New York:

To endow music programs . . . . . 2,000,000

To provide a final round of support for the Westfield Center for Historical Keyboard Studies . . . . . 500,000

To support a Sawyer Seminar on the Comparative Study of Cultures entitled "Political Will" . . . . . 175,000

To renew support for the Mellon Mays Undergraduate Fellowship program . . . . . 127,000

Council of American Overseas Research Centers,  
Washington, DC:

To support a regional fellowship program enabling pre- and early postdoctoral scholars to do research in the Mediterranean region . . . . . 1,000,000

Council of Graduate Schools,  
Washington, DC:

To support a study that addresses the gap in our understanding of the outcomes of doctoral education in the humanities and social sciences . . . . . 99,968

Council of Independent Colleges,  
Washington, DC:

To support online learning and teaching in the humanities at liberal arts colleges . . . . . 800,000

HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

Dartmouth College,  
Hanover, New Hampshire:

To support the establishment of a Society of Fellows . . . 1,265,000

Davidson College,  
Davidson, North Carolina:

To support development and expansion of digital  
studies throughout the curriculum . . . . . 800,000

Dickinson College,  
Carlisle, Pennsylvania:

To support a collaborative initiative between liberal  
arts colleges and military institutions of higher  
education . . . . . 400,000

Dillard University,  
New Orleans, Louisiana:

To renew support for the university's faculty career  
enhancement program . . . . . 300,000

Drew University,  
Madison, New Jersey:

To support an initiative to integrate the arts into the  
undergraduate curriculum . . . . . 625,000

Duke University,  
Durham, North Carolina:

To continue development of collaborative research  
projects among member institutions of the  
Consortium of Humanities Centers and Institutes . . . 1,350,000

To support a PhD program in visual and  
media studies . . . . . 1,300,000

To support a New Directions Fellowship . . . . . 279,100

Emory University,  
Atlanta, Georgia:

To renew support for the Mellon Mays  
Undergraduate Fellowship program . . . . . 500,000

HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

Five Colleges Incorporated,  
Amherst, Massachusetts:

To support the exploration of blended learning pedagogies in the humanities . . . . .	1,000,000
To support the Five College Center for the Study of World Languages . . . . .	800,000

The Five Colleges of Ohio,  
Gambier, Ohio:

To support the integration of digital scholarship into the curricula of liberal arts colleges . . . . .	775,000
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Fondation Maison des Sciences de l'Homme,  
Paris, France:

To support a multinational project in digital philology	600,000
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Franklin & Marshall College,  
Lancaster, Pennsylvania:

To support faculty exploration of blended learning pedagogies within the Central Pennsylvania Consortium . . . . .	100,000
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Georgetown University,  
Washington, DC:

To support a Sawyer Seminar on the Comparative Study of Cultures entitled "Critical Silk Road Studies" . . . . .	175,000
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Graduate School and University Center,  
City University of New York,  
New York, New York:

To support the continuation of the Mellon Seminar in the Humanities for the 2013-2014 academic year	100,000
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HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

Hamilton College,  
Clinton, New York:

To support continuing collaborative efforts of the  
New York Six Liberal Arts Consortium in the areas  
of globalization and language learning (in  
collaboration with Hobart and William Smith  
Colleges, Union College, and Colgate and  
St. Lawrence Universities) . . . . . 1,250,000

To support the second phase of an initiative  
integrating digital humanities into the curriculum  
and student-faculty research . . . . . 800,000

Hartwick College,  
Oneonta, New York:

To support strategic planning . . . . . 50,000

Harvard University,  
Cambridge, Massachusetts:

To support initiatives at the intellectual and  
institutional intersection of architecture, urbanism,  
and the humanities . . . . . 1,478,000

To renew support for a summer school of theater  
and performance studies . . . . . 353,000

Haverford College,  
Haverford, Pennsylvania:

To support a New Directions Fellowship . . . . . 235,000

To renew support for the Mellon Mays  
Undergraduate Fellowship program . . . . . 55,000

HBCU Library Alliance, Inc.,  
Atlanta, Georgia:

To support the assessment and strengthening of  
library services for faculty research at Historically  
Black Colleges and Universities . . . . . 247,000

HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

Hendrix College,  
Conway, Arkansas:

To support a college-wide writing program . . . . . 250,000

Hobart and William Smith Colleges,  
Geneva, New York:

To support a developmental approach to  
undergraduate research in the arts, humanities,  
and human sciences . . . . . 48,000

Hope College,  
Holland, Michigan:

To support a program of undergraduate research,  
mentoring, and technological innovation in the  
humanities . . . . . 500,000

Johns Hopkins University,  
Baltimore, Maryland:

To support initiatives aimed at strengthening the  
integration of the arts in academic life . . . . . 1,200,000

To support postdoctoral fellowships dedicated to the  
study of the arts in Judaism, Christianity, and Islam . . . 800,000

Hunter College,  
New York, New York:

To support the integration of the arts across the  
curriculum . . . . . 500,000

International Institute for Asian Studies,  
Leiden, The Netherlands:

To support a pilot initiative aimed at strengthening  
and redirecting the evolving field of Asian studies . . . 640,000

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

To support research on higher education and the  
transfer of this work to Ithaca S+R . . . . . 900,000



HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

Johnson C. Smith University,  
Charlotte, North Carolina:

To support the expansion of the visual and performing arts curricula . . . . .	500,000
To support career development initiatives for early-career faculty . . . . .	475,000

Kalamazoo College,  
Kalamazoo, Michigan:

To support a visiting scholar in ethnic studies . . . . .	150,000
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The Kohala Center, Inc.,  
Kamuela, Hawaii:

To continue support for dissertation completion and postdoctoral fellowships for Native Hawaiian scholars and others interested in advancing knowledge of Hawaiian history, culture, politics, language, and the natural environment . . . . .	500,000
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Lafayette College,  
Easton, Pennsylvania:

To support digital scholarship initiatives . . . . .	700,000
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Lake Forest College,  
Lake Forest, Illinois:

To support a faculty bridge appointment in theater . .	450,000
To support curricular initiatives in music and writing .	250,000

The Library Company of Philadelphia,  
Philadelphia, Pennsylvania:

To support work in early African American history through dissertation, dissertation-writing, and postdoctoral fellowships . . . . .	425,000
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HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

Macalester College,  
St. Paul, Minnesota:

To support faculty and curricular development . . . .	800,000
To support a New Directions Fellowship . . . . .	235,800

Marymount Manhattan College,  
New York, New York:

To support revitalization of the general education curriculum . . . . .	250,000
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Massachusetts Institute of Technology,  
Cambridge, Massachusetts:

To support initiatives at the intellectual and institutional intersection of architecture, urbanism, and the humanities . . . . .	1,000,000
To support research and a workshop on the teaching of global architectural history . . . . .	45,603

McGill University,  
Montreal, Canada:

To support postdoctoral fellowships in the humanities	1,500,000
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Morehouse College,  
Atlanta, Georgia:

To support presidential initiatives . . . . .	100,000
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Muhlenberg College,  
Allentown, Pennsylvania:

To strengthen the interdisciplinary, international, and undergraduate research components of the curriculum . . . . .	100,000
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National Humanities Center,  
Research Triangle Park, North Carolina:

To increase the endowment supporting the core fellowship program for scholars in the humanities . .	2,000,000
To augment fellowship stipends . . . . .	300,000

HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

Nebraska Wesleyan University,  
Lincoln, Nebraska:

To support faculty development and the assessment  
of student learning . . . . . 30,000

The New School,  
New York, New York:

To support the development of a Graduate Institute  
of Design, Ethnography, and Social Thought . . . . . 750,000

To support the creation by Eugene Lang College of  
a program of arts and humanities partnerships with  
cultural and civic organizations . . . . . 500,000

To support curricular planning at Eugene  
Lang College . . . . . 35,000

New York Botanical Garden,  
Bronx, New York:

To support an initiative that would broaden the  
New York Botanical Garden's role as a center of  
scholarship in the humanities . . . . . 635,000

New York Council for the Humanities,  
New York, New York:

To support the expansion of the New York State  
Humanities Centers Initiative . . . . . 81,000

New York Public Library,  
New York, New York:

To support the Schomburg-Mellon Summer  
Humanities Undergraduate Institute . . . . . 476,000

To support a conference on the future of African  
American research collections . . . . . 94,000

HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

New York University,  
New York, New York:

To support initiatives at the intellectual and institutional intersection of urban studies and the humanities . . . . .	2,000,000
To support the launch of a center for the study of ballet as an art form and of its history in Western societies . . . . .	2,000,000
To support a New Directions Fellowship . . . . .	260,200

Northwestern University,  
Evanston, Illinois:

To support the establishment of a new department of Asian languages and cultures . . . . .	750,000
To support a Sawyer Seminar on the Comparative Study of Cultures entitled "What Do We Know? Theoretical Issues in Social Epistemology" . . . . .	175,000

Oberlin College,  
Oberlin, Ohio:

To support the teaching of written and oral communication . . . . .	400,000
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Occidental College,  
Los Angeles, California:

To support programs in the digital liberal arts . . . . .	700,000
To support a New Directions Fellowship . . . . .	153,200

Pitzer College,  
Claremont, California:

To support the expansion of Latin American language and cultural study programs . . . . .	250,000
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Pomona College,  
Claremont, California:

To support a lecture series addressing the changing role of the humanities at liberal arts colleges . . . . .	50,000
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HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

Princeton University,  
Princeton, New Jersey:

To support initiatives at the intellectual and institutional intersection of architecture, urbanism, and the humanities . . . . .	1,965,000
To support the Survey Research Center's completion of a study of the careers of PhD holders in the humanities . . . . .	500,000

Randolph-Macon College,  
Ashland, Virginia:

To support the teaching of Chinese . . . . .	300,000
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Reed College,  
Portland, Oregon:

To support integration of digital resources in undergraduate student research . . . . .	800,000
To support presidential initiatives . . . . .	100,000

Rhodes University,  
Grahamstown, South Africa:

To support postdoctoral fellowships in the humanities and social sciences . . . . .	355,000
To support the establishment of a university archive and research on the history of the university . . . . .	290,000
To support master's and doctoral students who are conducting research into institutional culture at the university . . . . .	100,000
To support digitization of materials at the Cory Library . . . . .	85,000

Ripon College,  
Ripon, Wisconsin:

To support faculty renewal . . . . .	565,000
To support presidential initiatives . . . . .	100,000

HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

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

To endow a chaired professorship of philosophy . . . 1,500,000

Salzburg Global Seminar, Inc.,  
Washington, DC:

To support renewal and strengthening of the Mellon  
Fellow Community Initiative for Appalachian  
Colleges and Historically Black Colleges and  
Universities and creation of a Global Education  
Consortium . . . . . 448,000

Sarah Lawrence College,  
Bronxville, New York:

To support international engagement across the  
disciplines . . . . . 770,000

Smith College,  
Northampton, Massachusetts:

To support the integration of classroom and  
experiential learning . . . . . 760,000

To renew support for the Mellon Mays  
Undergraduate Fellowship program . . . . . 372,000

Social Science Research Council,  
Brooklyn, New York:

To support a revamped Dissertation Proposal  
Development Fellowships program for graduate  
students in the humanities and related social sciences 2,200,000

To support the completion of research into the  
organization of international and global studies in  
US universities . . . . . 75,000

To support staff costs not fully covered by the  
Mellon Mays Graduate Initiatives Program and  
Predoctoral Research Program . . . . . 17,913

HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

Southwestern University,  
Georgetown, Texas:

To support digital studies . . . . . 700,000

Spelman College,  
Atlanta, Georgia:

To support a program for social justice scholars . . . 250,000

Sphinx Organization, Inc.,  
Detroit, Michigan:

To support the planning of the Sphinx Medal of  
Excellence program . . . . . 50,000

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

To support experiential learning . . . . . 800,000

St. Lawrence University,  
Canton, New York:

To support a presidential commission on diversity . . 50,000

St. Olaf College,  
Northfield, Minnesota:

To support expansion of the digital humanities  
across the curriculum . . . . . 700,000

Stanford University,  
Stanford, California:

To support the establishment of an honors program  
in the arts . . . . . 600,000

Sweet Briar College,  
Sweet Briar, Virginia:

To support collaboration between Sweet Briar  
College and Hollins University . . . . . 75,000

HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

Union College,  
Schenectady, New York:

To support the integration of the humanities across  
the curriculum . . . . . 50,000

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

To support the renewal of the United Negro College  
Fund consortium's Mellon Mays Undergraduate  
Fellowship program . . . . . 3,406,350

To support faculty opportunities for exploration of  
new pedagogies and the pursuit of research projects . . 1,655,000

University Musical Society,  
Ann Arbor, Michigan:

To support strengthened integration of the arts  
into academic life . . . . . 600,000

University of California at Berkeley,  
Berkeley, California:

To support a New Directions Fellowship . . . . . 212,500

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

To support a Sawyer Seminar on the Comparative  
Study of Cultures entitled "The Environmental  
Humanities: Emergence and Impacts" . . . . . 175,000

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

To support a New Directions Fellowship . . . . . 238,700

University of Cambridge,  
Cambridge, United Kingdom:

To support a Sawyer Seminar on the Comparative  
Study of Cultures entitled "Comparing  
Comparatists" . . . . . 175,000



HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

University of Cape Town,  
Cape Town, South Africa:

To support doctoral students at the Institute for Humanities in Africa . . . . .	350,000
To support the Centre for African Language Diversity . . . . .	300,000
To support postdoctoral fellowships . . . . .	275,000
To support the creation of a Web-based platform to strengthen linkages between the humanities and psychology . . . . .	250,000
To support a research initiative and graduate program in the environmental humanities . . . . .	245,000
To support research in historical sound archives . . .	240,000
To support the completion of the Academic Research Development Project . . . . .	18,600

University of Chicago,  
Chicago, Illinois:

To endow music programs . . . . .	2,000,000
To support further development of an Islamic studies initiative . . . . .	800,000
To support postdoctoral fellowships for promising early career scholars from underrepresented minority groups and with other diverse backgrounds and experiences . . . . .	750,000
To support research on nonquantitative issues in the study of climate change and its ramifications . . . . .	500,000

The University of Fort Hare,  
Alice, South Africa:

To support strengthening of the library's electronic collections and the updating and expansion of its computer laboratories . . . . .	89,000
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HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

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

To support a collaboration of interdisciplinary  
humanities centers at 15 research-extensive  
institutions . . . . . 3,000,000

University of Michigan,  
Ann Arbor, Michigan:

To support development of a collaborative program  
of instruction in Global Islamic Studies with partner  
universities in the Committee on Institutional  
Cooperation . . . . . 3,000,000

To support an international partnership between  
the university's African Studies Center and the  
Witwatersrand Institute for Social and Economic  
Research . . . . . 1,500,000

To support initiatives at the intellectual and  
institutional intersection of architecture, urbanism,  
and the humanities . . . . . 1,300,000

To support a postdoctoral exchange program  
between the university and Kalamazoo and  
Oberlin Colleges . . . . . 700,000

To support a New Directions Fellowship . . . . . 236,300

University of Minnesota at Twin Cities,  
Minneapolis, Minnesota:

To support the creation of a Consortium for the  
Study of the Pre-Modern World . . . . . 600,000

To support a Sawyer Seminar on the Comparative  
Study of Cultures entitled "Making the Mississippi:  
Formulating New Water Narratives for the 21st  
Century and Beyond" . . . . . 175,000

HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

University of New Mexico,  
Albuquerque, New Mexico:

To continue support for a PhD-completion fellowship for Latino and Native American scholars, as well as others committed to advancing scholarship on the history and culture of New Mexico or on issues regarding Latino and Native American communities elsewhere . . . . .	800,000
To support expansion of a curriculum focused on land arts of the Southwest . . . . .	250,000

University of Oxford,  
Oxford, United Kingdom:

To establish a graduate fellowship in French history . .	500,000
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University of Pennsylvania,  
Philadelphia, Pennsylvania:

To support initiatives at the intellectual and institutional intersection of architecture, urbanism, and the humanities . . . . .	1,300,000
To support a New Directions Fellowship . . . . .	271,100
To support a study of the experiences of Latino graduates from Hispanic Serving Institutions in doctoral programs . . . . .	100,000
To support additional production costs associated with the Biennale opera . . . . .	18,000

University of Pretoria,  
Pretoria, South Africa:

To support the promotion of multidisciplinary team research projects in the humanities . . . . .	1,000,000
To support planning for an Institute for Advanced Study . . . . .	38,525

HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

University of Rochester,  
Rochester, New York:

To support training of graduate students in the  
digital humanities . . . . . 1,000,000

University of Southern California,  
Los Angeles, California:

To support graduate and postdoctoral training in  
the digital humanities . . . . . 1,900,000

University of Texas at Austin,  
Austin, Texas:

To support a Sawyer Seminar on the Comparative  
Study of Cultures entitled "Territorial Roots and  
Diasporic Routes: Native American and Indigenous  
Cultural Politics in the Americas" . . . . . 175,000

University of the Free State,  
Bloemfontein, South Africa:

To support graduate and postdoctoral studies in  
the humanities . . . . . 500,000

University of the Western Cape,  
Bellville, South Africa:

To support the development of teaching and  
research in aesthetics and politics . . . . . 600,000

University of the Witwatersrand,  
Johannesburg, South Africa:

To support initiatives at the intellectual and  
institutional intersection of architecture, urbanism,  
and the humanities . . . . . 1,449,000

To support the Institute for Human Evolution . . . . . 500,000

To support the History Workshop . . . . . 460,000

To support postdoctoral fellowships . . . . . 350,000

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

HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

University of Virginia,  
Charlottesville, Virginia:

To support a New Directions Fellowship . . . . . 256,300

University of Wisconsin at Madison,  
Madison, Wisconsin:

To support the Engaging the Humanities initiative . . 1,100,000

Vanderbilt University,  
Nashville, Tennessee:

To support a postdoctoral and faculty exchange  
program with Tennessee State University, Berea  
College, and Tougaloo College . . . . . 1,475,000

Vassar College,  
Poughkeepsie, New York:

To support multidisciplinary curricular  
development . . . . . 750,000

Washington and Jefferson College,  
Washington, Pennsylvania:

To support interdisciplinary and global initiatives . . 150,000

To support planning for a liberal arts colleges  
consortium in Pennsylvania . . . . . 70,000

Washington and Lee University,  
Lexington, Virginia:

To support international education initiatives . . . . . 577,000

Washington College,  
Chestertown, Maryland:

To support an interdisciplinary program connecting  
the arts with the natural environment . . . . . 575,000

HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

Wellesley College, Wellesley, Massachusetts:	
To support a project to enhance the first-year academic experience . . . . .	800,000
To renew support for the Mellon Mays Undergraduate Fellowship program . . . . .	317,000
Whitman College, Walla Walla, Washington:	
To support the conversion of contingent faculty positions to tenure-track . . . . .	800,000
Whittier College, Whittier, California:	
To support an initiative to integrate the digital humanities into the curriculum . . . . .	750,000
Williams College, Williamstown, Massachusetts:	
To support a New Directions Fellowship . . . . .	188,200
To support an exchange between the Mellon Mays Undergraduate Fellowship programs at Williams College and the University of Cape Town . . . . .	64,000
Wofford College, Spartanburg, South Carolina:	
To support the integration of library operations and resources with Converse College . . . . .	75,000
Yale University, New Haven, Connecticut:	
To renew support for the Mellon Mays Undergraduate Fellowship program . . . . .	<u>344,000</u>
Total—Higher Education and Scholarship . . . . .	<u><u>\$133,396,759</u></u>

SCHOLARLY COMMUNICATIONS AND  
INFORMATION TECHNOLOGY

*Appropriated*

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

To support further development of an open source  
collections management system for museums as  
well as final negotiations to move the system to a  
permanent home organization . . . . . \$ 100,000

Association of American University Presses, Inc.,  
New York, New York:

To support the new director's program of site visits  
to member institutions . . . . . 31,500

Association of Research Libraries,  
Washington, DC:

To support strategic planning . . . . . 50,000

Austrian National Library,  
Vienna, Austria:

To support a pilot project for the digitization,  
cataloging, and editing of a large collection of  
papyri dating from the early Arab period . . . . . 457,000

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

To support a summer fellowship program in critical  
bibliography . . . . . 783,000

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

To support the continuation of pilot programs in  
graduate-level training in the conservation of library  
and special collections materials . . . . . 391,000

Center for Research Libraries,  
Chicago, Illinois:

To support data collection and analysis of archiving  
and digitization programs for historical newspapers  
and print journals . . . . . 848,000

SCHOLARLY COMMUNICATIONS AND  
INFORMATION TECHNOLOGY

(continued)

*Appropriated*

Research Foundation of the City University of New York,  
New York, New York:

To support the digitization, publication, and  
repatriation of audio and film recordings of  
traditional Indonesian music dating from the first  
half of the 20th century . . . . . 175,000

College of Charleston,  
Charleston, South Carolina:

To support the development of an electronic edition  
of a corpus of inscribed tablets from Mycenaean  
Greece . . . . . 50,000

Columbia University,  
New York, New York:

To support the preservation of electronic journals . . 150,000  
To support the development of a prototype software  
system for the documentation of buildings and artifacts  
in their geographical and historical contexts . . . . . 75,000

Cornell University,  
Ithaca, New York:

To support software development that would allow  
libraries to create and share linked data . . . . . 999,000

Council on Library and Information Resources,  
Washington, DC:

To support a regranting program that would provide  
awards for cataloging unprocessed library and  
archival collections . . . . . 4,000,000  
To support general operations . . . . . 1,550,000  
To support postdoctoral fellowships in digital data  
curation in the field of early modern studies . . . . . 916,000  
To support administration of the Hidden Collections  
grantmaking competition . . . . . 300,000



SCHOLARLY COMMUNICATIONS AND  
INFORMATION TECHNOLOGY

(continued)

*Appropriated*

Duke University,  
Durham, North Carolina:

To support the development of a unit in the  
university library dedicated to digital humanities in  
the field of classics . . . . . 500,000

To support an annual institute with the goal of  
advancing scholarship, teaching, and publishing in  
the humanities through the application of digital  
technologies . . . . . 322,000

Five Colleges Incorporated,  
Amherst, Massachusetts:

To support planning for the shared management and  
shelving of collections of print monographs among  
northeast regional college and university libraries . . . 50,000

Frick Collection,  
New York, New York:

To support the preservation of Web-based resources  
in art and art history . . . . . 340,000

Georg-August-Universität Göttingen,  
Göttingen, Germany:

To support the implementation of interoperability  
protocols for medieval manuscripts within a virtual  
research environment . . . . . 70,500

Johns Hopkins University,  
Baltimore, Maryland:

To support the implementation of interoperability  
standards in a repository of medieval manuscripts  
and the development of tools to aid digital research  
in medieval studies . . . . . 50,000

To support a workshop for the planning of a digital  
library of Renaissance materials . . . . . 39,000

SCHOLARLY COMMUNICATIONS AND  
INFORMATION TECHNOLOGY

(continued)

*Appropriated*

Hypothes.is Project,  
San Francisco, California:

To support partial costs of two conferences on the  
theoretical and practical aspects of publishing in  
the digital age . . . . . 48,500

Indiana University,  
Bloomington, Indiana:

To support further development of an open source  
integrated library system . . . . . 882,000

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

To support the development and delivery of  
workshops on planning for financial sustainability  
aimed at project leaders of digital initiatives in higher  
education and cultural heritage organizations . . . . . 183,000

Thomas Jefferson Foundation, Inc.,  
Charlottesville, Virginia:

To support the redesign and redevelopment of  
software for a digital archive of archaeological data  
from slave sites in the New World . . . . . 450,000

Ludwig-Maximilians-Universität München,  
Munich, Germany:

To support further development of a database of  
Arabic papyri . . . . . 466,000

LYRASIS,  
Atlanta, Georgia:

To support the further development of and business  
planning for an open source collections management  
system for museums . . . . . 1,500,000

SCHOLARLY COMMUNICATIONS AND  
INFORMATION TECHNOLOGY

(continued)

*Appropriated*

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

To support the further development of an open  
source software system and related procedures for  
scholarly contributions to and use of the online  
catalog of the Medici archives . . . . . 292,000

Modern Language Association of America,  
New York, New York:

To support the planning of a software system to  
enable professional networking, online collaboration,  
and digital publication across scholarly societies . . . 40,500

National Association for Olmsted Parks,  
Washington, DC:

To support the editing of the final two volumes of the  
Frederick Law Olmsted Papers . . . . . 75,000

National Information Standards Organization,  
Baltimore, Maryland:

To support the standardization of license information  
for electronic publications and the implementation  
of the standard within a database for use by  
academic libraries . . . . . 44,000

New York Public Library,  
New York, New York:

To support a survey of the content and preservation  
needs of audiovisual collections . . . . . 102,000

New York University,  
New York, New York:

To support the development of a software tool for  
the management and description of archives . . . . . 599,000

To support the continuation of pilot programs in  
graduate-level training in the conservation of library  
and special collections materials . . . . . 296,000

SCHOLARLY COMMUNICATIONS AND  
INFORMATION TECHNOLOGY

(continued)

*Appropriated*

Newberry Library,  
Chicago, Illinois:

To support the creation of digital resources for  
training students in paleography . . . . . 526,000

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

To support business planning for audio preservation  
services . . . . . 128,000

Old Dominion University,  
Norfolk, Virginia:

To support the development of a Web archiving  
extension for the open source MediaWiki  
collaborative editing software . . . . . 25,000

The Pennsylvania State University,  
University Park, Pennsylvania:

To support the planning and design of an online  
journal of public philosophy . . . . . 236,000

The Pilgrim Trust,  
London, United Kingdom:

To support a regranting program that would provide  
awards for cataloging unprocessed library and  
archival collections . . . . . 250,000

Planetnetwork NGO, Inc.,  
San Francisco, California:

To support a workshop on the implementation of  
annotation standards for the World Wide Web . . . . . 46,500

Rochester Institute of Technology,  
Rochester, New York:

To support the development of a studio of scientific  
imaging of two-dimensional artworks . . . . . 495,000

SCHOLARLY COMMUNICATIONS AND  
INFORMATION TECHNOLOGY

(continued)

*Appropriated*

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

To support a study of how university presses could increase the sales of scholarly publications directly to consumers . . . . .	76,000
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Smithsonian Institution,  
Washington, DC:

To support the continued development of open source software for the management of archaeological research data . . . . .	497,000
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Stanford University,  
Stanford, California:

To support a suite of initiatives that would encourage collaboration and adoption of common standards by technology projects in cultural institutions and higher education . . . . .	945,000
To support the enhancement of a Web-based resource for literary studies . . . . .	353,000

Tufts University,  
Medford, Massachusetts:

To support the development of tools for classical studies . . . . .	600,000
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Regents of the University of California,  
Oakland, California:

To support the development of a shared repository system in the western US for print journals . . . . .	114,000
To support the further development of a shared repository system in the western US for print journals . . . . .	850,000

SCHOLARLY COMMUNICATIONS AND  
INFORMATION TECHNOLOGY

(continued)

*Appropriated*

University of California at Berkeley,  
Berkeley, California:

To support further development of methods and software for the creation, dissemination, and preservation of notes generated during the production of scholarly editions of personal papers of significance . . . . .	486,000
To support the further development of a registry of digital tools for humanistic research . . . . .	150,000

University of California at Davis,  
Davis, California:

To support planning for a research study on the economic consequences of open access journals for universities and their libraries . . . . .	34,000
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University of California at Los Angeles,  
Los Angeles, California:

To support the digitization and transcription of ancient cuneiform texts from museums around the world to build a comprehensive digital library for cuneiform studies . . . . .	450,000
To support the planning of an initiative for the textual analysis of East Asian literature . . . . .	55,500

University of California at Riverside,  
Riverside, California:

To support software enhancement for the English Short Title Catalog . . . . .	405,000
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University of Cambridge,  
Cambridge, United Kingdom:

To support research on the transformation of the book publishing industry . . . . .	137,000
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SCHOLARLY COMMUNICATIONS AND  
INFORMATION TECHNOLOGY

(continued)

*Appropriated*

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

To support the development of tools for enriching  
and augmenting metadata for works in the  
HathiTrust digital repository . . . . . 437,000

University of Miami,  
Coral Gables, Florida:

To support the experimental development of  
methods and software that would improve the  
accuracy of optical character recognition of  
medieval Latin manuscripts . . . . . 49,000

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

To support the second phase of development of  
forensic software tools for use in the preservation  
and management of digital archives . . . . . 456,000

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

To support the new press director's efforts to plan  
for an expanded model of digital publication . . . . . 100,000

University of North Texas,  
Denton, Texas:

To support the planning of research and publication  
alliances between scholars, presses, libraries, and  
scholarly societies . . . . . 50,000

University of Pittsburgh,  
Pittsburgh, Pennsylvania:

To support summer institutes designed to increase  
the diversity of students in graduate programs at  
information schools . . . . . 819,000

SCHOLARLY COMMUNICATIONS AND  
INFORMATION TECHNOLOGY

(continued)

*Appropriated*

University of Southampton,  
Southampton, United Kingdom:

To support the development of a set of tools for  
collecting and analyzing geographic information  
about the classical world . . . . . 494,000

University of Southern California,  
Los Angeles, California:

To support the further development of a platform  
for multimedia research and publication in the field  
of visual studies and creation of an institute for  
multimedia publishing . . . . . 740,000

University of Texas at Austin,  
Austin, Texas:

To support a planning study and pilot of a digitization  
initiative for archival materials in Latin America . . . . . 149,000

University of Toronto,  
Toronto, Canada:

To support the indexing and annotation of the notes  
left in printed books collected by Elizabeth I's  
Archbishop of Canterbury, Matthew Parker . . . . . 16,000

Total—Scholarly Communications and  
Information Technology \$27,394,000



PERFORMING ARTS	<i>Appropriated</i>
American Lyric Theater Center, Inc., New York, New York:	
To support the developmental process of new operas and organizational capacity . . . . .	\$ 150,000
American Repertory Theatre Company, Inc., Cambridge, Massachusetts:	
To support increased administrative staff capacity for the National Civil War Project . . . . .	74,000
American Symphony Orchestra League, New York, New York:	
To support a revolving cash reserve fund . . . . .	500,000
Appalshop, Inc., Whitesburg, Kentucky:	
To support artistic initiatives at Roadside Theater . .	650,000
Association of Performing Arts Presenters, Inc., Washington, DC:	
To support the Cultural Exchange Fund and services to the field . . . . .	250,000
Baltimore Symphony Orchestra, Inc., Baltimore, Maryland:	
To support a resident playwright and collaborations with Parsons The New School for Design . . . . .	50,000
Bard College, Annandale-on-Hudson, New York:	
To support the Bard Music Festival . . . . .	2,000,000
To support an initiative placing choreographers in long-term residencies on college and university campuses . . . . .	500,000

## PERFORMING ARTS

(continued)

*Appropriated*

The Vivian Beaumont Theater, Inc.,  
New York, New York:

To support the development and production of new  
work at LCT3 . . . . . 750,000

Cabrillo Festival of Contemporary Music,  
Santa Cruz, California:

To support the Conductors/Composers Workshop . . . . . 50,000

California Shakespeare Theater,  
Berkeley, California:

To support the Triangle Lab in collaboration with  
Intersection for the Arts . . . . . 300,000

Center for Contemporary Opera,  
New York, New York:

To support the development of new operas and  
music-theater works . . . . . 100,000

Center Theatre Group of Los Angeles,  
Los Angeles, California:

To support a commissioning and development  
program for collaboratively devised work . . . . . 1,000,000

Chicago Sinfonietta, Inc,  
Chicago, Illinois:

To support the Project Inclusion diversity initiative . . . . . 300,000

The Civilians, Inc,  
Brooklyn, New York:

To support a revolving risk capital fund . . . . . 50,000

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

To support the creation, development, and  
production of community-oriented work . . . . . 350,000

## PERFORMING ARTS

(continued)

*Appropriated*Dance Notation Bureau, Inc.,  
New York, New York:

To support the documentation of dance works in Labanotation and digitization of selected handwritten scores . . . . .	206,000
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Dance Service New York City, Inc.,  
New York, New York:

To support services to the dance field in New York City . . . . .	200,000
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Dance/USA,  
Washington, DC:

To support services to the dance field nationally . . .	250,000
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Discalced, Inc.,  
Brooklyn, New York:

To support a dance archive assessment and future preservation planning . . . . .	45,000
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English Stage Company, Ltd.,  
London, United Kingdom:

To support the development and production of new plays by American writers . . . . .	400,000
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Fort Worth Opera Association, Inc.,  
Fort Worth, Texas:

To support the development and production of new American operas . . . . .	490,000
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The Foundry Theatre, Inc.,  
New York, New York:

To support the development of a new leadership model . . . . .	200,000
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## PERFORMING ARTS

(continued)

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

To support a revolving cash reserve fund and a financial assessment by the Nonprofit Finance Fund . . .	110,000
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To support planning for the signing of a long-term lease on a dance rehearsal and performance venue and subsequent assimilation of the space into the organization's operations . . . . .	100,000
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Glimmerglass Opera Theatre, Inc.,  
Cooperstown, New York:

To support the production of new and rarely produced operas . . . . .	500,000
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The Gotham Chamber Opera, Inc.,  
New York, New York:

To support the development of a new opera, <i>Charlie Parker</i> , and a producing associate position . . . . .	400,000
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Martha Graham Center of Contemporary Dance, Inc.,  
New York, New York:

To support Martha Graham's dance archives . . . . .	1,000,000
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Home for Contemporary Theatre and Art, Ltd.,  
New York, New York:

To support the Prototype: Opera/Theatre/Now Festival . . . . .	75,000
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The House Foundation for the Arts, Inc.,  
New York, New York:

To support the pre-assessment phase of legacy planning for Meredith Monk and The House Foundation for the Arts, Inc. . . . .	42,500
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International Contemporary Ensemble Foundation, Inc.,  
Brooklyn, New York:

To support the ICECore Capacity Expansion project . . .	27,000
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## PERFORMING ARTS

(continued)

*Appropriated*

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

To support the festival's dance archives . . . . . 229,000

L.A. Theatre Works,  
Venice, California:

To support the subsidized distribution of the Audio  
Drama: The L.A. Theatre Works Collection database  
to 49 Historically Black Colleges and Universities . . . 46,550

Lafayette College,  
Easton, Pennsylvania:

To support an initiative placing choreographers in  
long-term residencies on college and university  
campuses . . . . . 450,000

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

To support capacity building and a revolving cash  
reserve fund . . . . . 500,000

Long Beach Opera,  
Long Beach, California:

To support a production of John Adams's opera  
*The Death of Klinghoffer* . . . . . 50,000

Los Angeles Opera Company,  
Los Angeles, California:

To support productions of contemporary American  
operas . . . . . 600,000

Mabou Mines Development Foundation, Inc.,  
New York, New York:

To support rehearsal studio and performance space  
rental for Mabou Mines/Suite Resident Artist  
Program . . . . . 36,000

## PERFORMING ARTS

(continued)

*Appropriated*

Magic Theatre, Inc.,  
San Francisco, California:

To support collaborative performances and  
activities in honor of the 70th birthday of  
playwright Sam Shepard . . . . . 50,000

Middlebury College,  
Middlebury, Vermont:

To support an initiative placing choreographers in  
long-term residencies on college and university  
campuses . . . . . 310,000

Montclair State University,  
Montclair, New Jersey:

To support an initiative placing choreographers in  
long-term residencies on college and university  
campuses . . . . . 450,000

Music and Dance Theater Chicago, Inc.,  
Chicago, Illinois:

To support artistic collaborations, audience  
development, and capacity-building projects . . . . . 500,000

National Arts Strategies, Inc.,  
Alexandria, Virginia:

To support planning for the CultureLab  
Community Library . . . . . 49,500

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

To support services to the theater field and the  
development of the New Play Exchange . . . . . 600,000

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

To support the Touring and Exchange Network . . . 650,000

## PERFORMING ARTS

(continued)

*Appropriated*

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

To support the National Dance Project . . . . . 2,200,000

New World Symphony, Inc.,  
Miami Beach, Florida:

To support artistic and audience development  
initiatives . . . . . 525,000

To support editing of video documentation from  
the John Cage Centennial Celebration . . . . . 40,000

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

To support artistic initiatives . . . . . 500,000

New York Community Trust,  
New York, New York:

To support the Arts and Culture Research Fund . . . 25,000

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

To support the New York Theater Program . . . . . 3,750,000

New York Live Arts, Inc.,  
New York, New York:

To support a dance archive assessment and future  
preservation planning . . . . . 34,450

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

To support the New Works Forum . . . . . 850,000

Opera Philadelphia,  
Philadelphia, Pennsylvania:

To support the Composer in Residence program . . . 330,000

## PERFORMING ARTS

(continued)

*Appropriated*Perseverance Theatre Incorporated,  
Douglas, Alaska:

To support artistic initiatives and organizational development . . . . .	350,000
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Philadelphia Orchestra Association,  
Philadelphia, Pennsylvania:

To support artistic initiatives . . . . .	750,000
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Pick Up Performance Company, Inc.,  
New York, New York:

To support David Gordon's dance archives . . . . .	200,000
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Post-Classical Ensemble, Inc.,  
Washington, DC:

To support artistic initiatives and organizational development . . . . .	200,000
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Seattle Symphony Orchestra, Inc.,  
Seattle, Washington:

To support a revolving cash reserve fund . . . . .	600,000
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Seventh Regiment Armory Conservancy, Inc.,  
New York, New York:

To support co-commissioning partnerships with international institutions . . . . .	250,000
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Sojourn Theatre,  
Evanston, Illinois:

To support The Catalyst Initiative . . . . .	65,000
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Sphinx Organization, Inc.,  
Detroit, Michigan:

To support a national touring program and a commissioning program for musicians from underrepresented communities . . . . .	500,000
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## PERFORMING ARTS

(continued)

*Appropriated*

St. Luke's Chamber Ensemble, Inc.,  
New York, New York:

To support artistic initiatives . . . . . 300,000

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

To support a professional development regranting  
program . . . . . 1,000,000

To support services to the field . . . . . 250,000

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

To support the Studio initiative . . . . . 500,000

University Musical Society,  
Ann Arbor, Michigan:

To support orchestral and large-ensemble  
presentations and related contextual programs . . . . 600,000

Regents of the University of California,  
Oakland, California:

To support orchestral and large-ensemble  
presentations and related contextual programs at  
Cal Performances . . . . . 600,000

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

To support two project coordinators for the Center  
for the Art of Performance at UCLA . . . . . 40,000

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

To support the presentation of leading American  
orchestras and related student engagement activities  
at the Krannert Center for the Performing Arts . . . . 600,000

To support the Chicago Symphony Orchestra's  
residency at the Krannert Center and related  
student engagement activities . . . . . 50,000

## PERFORMING ARTS

(continued)

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

To support the presentation of leading symphony orchestras and related contextual programs at Carolina Performing Arts . . . . .	600,000
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To support residencies for ensemble theater companies at the PlayMakers Repertory Company . .	250,000
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Washington National Opera,  
Washington, DC:

To support the American Opera Initiative . . . . .	350,000
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Wesleyan University,  
Middletown, Connecticut:

To support artistic initiatives at the Center for the Arts, curricular initiatives, and the Institute for Curatorial Practice in Performance . . . . .	750,000
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Williams College,  
Williamstown, Massachusetts:

To support an initiative placing choreographers in long-term residencies on college and university campuses . . . . .	<u>300,000</u>
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Total—Performing Arts	<u><u>\$33,000,000</u></u>
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ART HISTORY, CONSERVATION,  
AND MUSEUMS

*Appropriated*

AAMC Foundation,  
New York, New York:

To support a pilot curatorial training institute for  
PhD students at the Center for Curatorial  
Leadership . . . . . \$ 300,000

American Associates of the Royal Academy Trust,  
New York, New York:

To support a research initiative at the Royal  
Academy of Arts . . . . . 185,000

Armand Hammer Museum of Art and  
Cultural Center, Inc.,  
Los Angeles, California:

To support a new digital content development  
model for public access to and scholarly use of the  
museum's collections and programs . . . . . 500,000

Asian Art Museum Foundation of San Francisco,  
San Francisco, California:

To support planning for the reinstallation and  
reinterpretation of the museum's permanent  
collection . . . . . 500,000

Association of Research Institutes in Art History,  
Miami Beach, Florida:

To support a pilot series of fellowships for art  
historians from East Asia . . . . . 147,000

Birmingham Museum of Art Endowment Trust,  
Birmingham, Alabama:

To support a new curatorship of African American  
art and the postdoctoral fellowship program . . . . . 700,000

Carnegie Institute,  
Pittsburgh, Pennsylvania:

To continue support for the time-based media  
initiative at the Carnegie Museum of Art . . . . . 500,000

ART HISTORY, CONSERVATION,  
AND MUSEUMS

(continued)

*Appropriated*

Colby College,  
Waterville, Maine:

To support strengthening of student and faculty  
engagement with the collections at the Colby  
College Museum of Art . . . . . 600,000

Cornell University,  
Ithaca, New York:

To support strengthening of student and faculty  
engagement with the collections at the Herbert F.  
Johnson Museum of Art . . . . . 250,000

Creative Time, Inc.,  
New York, New York:

To support fellowships in the practice and  
scholarship of community-based art . . . . . 270,000

The Denver Art Museum,  
Denver, Colorado:

To endow the position of textile art conservator and  
to support a fellowship program in textile art  
conservation . . . . . 1,750,000

Emory University,  
Atlanta, Georgia:

To support new modalities of online publication in  
art history and aesthetics for use by nonsite.org . . . 92,000

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

To support a colloquy on a rare Daguerre triptych  
in collaboration with the State Hermitage Museum  
and the Academy of Fine Arts in Saint Petersburg,  
Russia . . . . . 73,000

To support a study on the digital needs of the  
conservation profession . . . . . 50,000

ART HISTORY, CONSERVATION,  
AND MUSEUMS

(continued)

*Appropriated*

Fundación General de la Universidad  
Complutense de Madrid,  
Madrid, Spain:

To support research related to the conservation  
of the Pórtico de la Gloria at the Cathedral of  
Santiago de Compostela in Galicia, Spain . . . . . 396,000

J. Paul Getty Trust,  
Los Angeles, California:

To support a series of scholarly meetings on the  
study and conservation of Jackson Pollock's Mural  
owned by the University of Iowa Art Museum . . . . . 98,130

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

To support the second phase of the Panza  
Collection Initiative . . . . . 1,250,000

Johns Hopkins University,  
Baltimore, Maryland:

To support the Museums and Society program . . . . . 500,000

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

To support the Artist Interview Methodology Project . . . . . 90,000

Iziko Museums of South Africa,  
Cape Town, South Africa:

To strengthen conservation capacity . . . . . 182,400

Menil Foundation, Inc.,  
Houston, Texas:

To endow the chief curator of the Menil Drawing  
Institute . . . . . 1,500,000

ART HISTORY, CONSERVATION,  
AND MUSEUMS

(continued)

*Appropriated*Metropolitan Museum of Art,  
New York, New York:

To support an initiative to engage postdoctoral fellows in collection-based research and to advance online publication of the museum's catalog information . . . . . 1,800,000

The Pierpont Morgan Library,  
New York, New York:

To support an endowment for curatorial research and activities related to exhibitions . . . . . 500,000

Museum Associates,  
Los Angeles, California:

To support a pilot program of undergraduate curatorial fellowships aimed at diversifying curatorial cohorts in American art museums, for use by the Los Angeles County Museum of Art in partnership with the Art Institute of Chicago, the High Museum of Art, The Museum of Fine Arts, Houston, and the Nelson-Atkins Museum of Art . . . 2,073,000

To support collaboration between the Los Angeles County Museum of Art and the University of California at Los Angeles to strengthen object-centered training of doctoral students in the art history department . . . . . 225,000

Museum of Fine Arts, Boston,  
Boston, Massachusetts:

To endow the position of senior conservator of Asian art and support an associate conservator of Chinese paintings . . . . . 1,750,000

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

To support scientific collaboration with the conservation department at the Menil Collection and the chemistry department at Rice University . . . 500,000

ART HISTORY, CONSERVATION,  
AND MUSEUMS

(continued)

*Appropriated*

New York University,  
New York, New York:

To support the Summer Institute in Technical Art  
History at the Institute of Fine Arts . . . . . 400,000

The Phillips Collection,  
Washington, DC:

To continue support for the joint position of director  
of The Phillips Collection Center for the Study of  
Modern Art and Curator at Large . . . . . 1,000,000

Portland Art Museum,  
Portland, Oregon:

To support a program to strengthen research and  
display practices in Native American art . . . . . 500,000

Stichting het Rijksmuseum,  
Amsterdam, The Netherlands:

To support a predoctoral curatorial fellowship  
program . . . . . 700,000

San Antonio Museum of Art,  
San Antonio, Texas:

To support the new position of chief curator . . . . . 500,000

San Francisco Museum of Modern Art,  
San Francisco, California:

To support an initiative aimed at engaging artists  
in the documentation, conservation, and installation  
of their works in the museum's collection . . . . . 1,750,000

Smithsonian Institution,  
Washington, DC:

To endow the position of an assistant conservator of  
Chinese painting at the Freer and Sackler Galleries . . 1,000,000

ART HISTORY, CONSERVATION  
AND MUSEUMS

(continued)

*Appropriated*

Southern Methodist University,  
Dallas, Texas:

To support postdoctoral curatorial fellowships in  
Spanish art at the Meadows Museum . . . . . 329,000

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

To endow a fellowship in the Research and  
Academic Program . . . . . 250,000

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

To support collaboration with the Los Angeles  
County Museum of Art to provide object-centered  
training of doctoral students in the art history  
department . . . . . 375,000

University of Pennsylvania,  
Philadelphia, Pennsylvania:

To strengthen student and faculty engagement with  
the collections at the University of Pennsylvania  
Museum of Archaeology and Anthropology . . . . . 496,000

University of Texas at Austin,  
Austin, Texas:

To support predoctoral curatorial fellowships at the  
Blanton Museum of Art . . . . . 504,000

Walters Art Museum Foundation, Inc.,  
Baltimore, Maryland:

To establish an endowment in support of scholarly  
research and publications related to exhibitions . . . 1,500,000

Total—Art History, Conservation, and Museums \$26,085,530



CONSERVATION AND  
THE ENVIRONMENT

*Appropriated*

Association Tela Botanica,  
Montpellier, France:

To continue support for the development of a  
coordinated digital database of images and  
information on plants of the world . . . . . \$ 350,000

Azerbaijan National Academy of Sciences,  
Baku, Azerbaijan:

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

Botanische Staatssammlung München,  
Munich, Germany:

To continue support for the development of a  
coordinated digital database of images and  
information on plants of the world . . . . . 314,000

To continue support for the development of a  
coordinated digital database of images and  
information on plants of the world . . . . . 200,000

To continue support for the development of a  
coordinated digital database of images and  
information on plants of the world . . . . . 180,000

Carnegie Institution of Washington,  
Washington, DC:

To support a program of ecological research and  
training in South Africa . . . . . 497,000

Carnegie Museum of Natural History,  
Pittsburgh, Pennsylvania:

To support the development of a coordinated  
digital database of images and information on  
plants of the world . . . . . 39,000

CONSERVATION AND  
THE ENVIRONMENT

(continued)

*Appropriated*

Charles University in Prague,  
Prague, Czech Republic:

To support the development of a coordinated  
digital database of images and information on  
plants of the world . . . . . 37,000

Conservatoire et Jardin Botaniques,  
Geneva, Switzerland:

To continue support for the development of a  
coordinated digital database of images and  
information on plants of the world . . . . . 996,000

Council of Heads of Australasian Herbaria,  
Canberra, Australia:

To continue support for the development of a  
coordinated digital database of images and  
information on plants of the world . . . . . 218,000

Duke University,  
Durham, North Carolina:

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

Field Museum of Natural History,  
Chicago, Illinois:

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

Free University of Berlin,  
Berlin, Germany:

To continue support for the development of a  
coordinated digital database of images and  
information on plants of the world . . . . . 132,000

CONSERVATION AND  
THE ENVIRONMENT

(continued)

*Appropriated*

Friedrich-Schiller-Universität Jena,  
Jena, Germany:

To continue support for the development of a  
coordinated digital database of images and  
information on plants of the world . . . . . 200,000

Geliantus LLC,  
Saint Petersburg, Russia:

To continue support for the development of a  
coordinated digital database of images and  
information on plants of the world . . . . . 22,500

Georg-August-Universität Göttingen,  
Göttingen, Germany:

To continue support for the development of a  
coordinated digital database of images and  
information on plants of the world . . . . . 39,000

Harvard University,  
Cambridge, Massachusetts:

To continue support for the development of a  
coordinated digital database of images and  
information on plants of the world . . . . . 75,000

To continue support for the development of a  
coordinated digital database of images and  
information on plants of the world . . . . . 21,000

Ilia State University,  
Tbilisi, Georgia:

To support the development of a coordinated  
digital database of images and information on  
plants of the world . . . . . 14,200

Instituto de Ecología A.C.,  
Xalapa, Mexico:

To support the development of a coordinated  
digital database of images and information on  
plants of the world . . . . . 54,000

CONSERVATION AND  
THE ENVIRONMENT

(continued)

*Appropriated*

Instituto Politécnico Nacional, Centro Interdisciplinario  
de Investigación para el Desarrollo Integral Regional  
Unidad Durango,  
Zacatenco, Mexico:

To support the development of a coordinated digital database of images and information on plants of the world . . . . .	14,250
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Ithaca Harbors, Inc.,  
New York, New York:

To continue support for the development of a coordinated digital database of images and information on plants of the world . . . . .	200,000
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Komarov Botanical Institute of the  
Russian Academy of Sciences,  
St. Petersburg, Russia:

To continue support for the development of a coordinated digital database of images and information on plants of the world . . . . .	94,000
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Legal Personality of the National Botanic  
Garden of Belgium,  
Meise, Belgium:

To continue support for the development of a coordinated digital database of images and information on plants of the world . . . . .	26,000
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The Linnean Society of London,  
London, United Kingdom:

To continue support for the development of a coordinated digital database of images and information on plants of the world . . . . .	300,000
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CONSERVATION AND  
THE ENVIRONMENT

(continued)

*Appropriated*

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

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

Lunds Universitet,  
Lund, Sweden:

To continue support for the development of a  
coordinated digital database of images and  
information on plants of the world . . . . . 98,000

Martin Luther University Halle-Wittenberg,  
Halle, Germany:

To continue support for the development of a  
coordinated digital database of images and  
information on plants of the world . . . . . 141,000

Missouri Botanical Garden,  
St. Louis, Missouri:

To continue support for the development of a  
coordinated digital database of images and  
information on plants of the world . . . . . 285,000

Museo di Storia Naturale,  
Florence, Italy:

To continue support for the development of a  
coordinated digital database of images and  
information on plants of the world . . . . . 192,000

Museo Ecuatoriano de Ciencias Naturales,  
Quito, Ecuador:

To continue support for the development of a  
coordinated digital database of images and  
information on plants of the world . . . . . 14,000

CONSERVATION AND  
THE ENVIRONMENT

(continued)

*Appropriated*

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

To continue support for the development of a  
coordinated digital database of images and  
information on plants of the world . . . . . 5,500

Muséum national d'Histoire naturelle,  
Paris, France:

To continue support for the development of a  
coordinated digital database of images and  
information on plants of the world . . . . . 618,000

National Academy of Sciences of the  
Republic of Armenia,  
Institute of Botany,  
Yerevan, Republic of Armenia:

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

The Natural History Museum,  
London, United Kingdom:

To continue support for the development of a  
coordinated digital database of images and  
information on plants of the world . . . . . 128,000

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

Natural History Museum of Denmark,  
Copenhagen, Denmark:

To continue support for the development of a  
coordinated digital database of images and  
information on plants of the world . . . . . 118,000

CONSERVATION AND  
THE ENVIRONMENT

(continued)

*Appropriated*

Naturhistorisches Museum Wien,  
Vienna, Austria:

To continue support for the development of a  
coordinated digital database of images and  
information on plants of the world . . . . . 652,000

New York Botanical Garden,  
Bronx, New York:

To continue support for the development of a  
coordinated digital database of images and  
information on plants of the world . . . . . 320,000

Northern Arizona University,  
Flagstaff, Arizona:

To support the development of a coordinated  
digital database of images and information on  
plants of the world . . . . . 3,310

Oklahoma State University,  
Stillwater, Oklahoma:

To support the development of a coordinated  
digital database of images and information on  
plants of the world . . . . . 7,000

Purdue University,  
West Lafayette, Indiana:

To support the development of a coordinated  
digital database of images and information on  
plants of the world . . . . . 59,000

Rancho Santa Ana Botanic Garden,  
Claremont, California:

To continue support for the development of a  
coordinated digital database of images and  
information on plants of the world . . . . . 4,700

CONSERVATION AND  
THE ENVIRONMENT

(continued)

*Appropriated*

Real Jardín Botánico de Madrid,  
Madrid, Spain:

To continue support for the development of a coordinated digital database of images and information on plants of the world . . . . .	38,000
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The Royal Botanic Garden Edinburgh,  
Edinburgh, United Kingdom:

To continue support for the development of a coordinated digital database of images and information on plants of the world . . . . .	66,000
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To continue support for the development of a coordinated digital database of images and information on plants of the world . . . . .	45,000
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Royal Botanic Gardens, Kew,  
Richmond, United Kingdom:

To continue support for the development of a coordinated digital database of images and information on plants of the world . . . . .	687,000
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To continue support for the development of a coordinated digital database of images and information on plants of the world . . . . .	605,000
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To support the continued digitization of historical holdings . . . . .	250,000
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Siberian Branch of the Russian Academy of Sciences,  
Novosibirsk, Russia:

To support the development of a coordinated digital database of images and information on plants of the world . . . . .	8,500
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CONSERVATION AND  
THE ENVIRONMENT

(continued)

*Appropriated*

Smithsonian Institution,  
Washington, DC:

To support a visiting research fellows program at the Smithsonian Tropical Research Institute in Panama . . .	1,200,000
To continue support for the development of a coordinated digital database of images and information on plants of the world, including the 2014 meeting of the Plants Initiative partners . . . . .	332,000
To continue support for the development of a coordinated digital database of images and information on plants of the world . . . . .	44,000

South African National Parks,  
Pretoria, South Africa:

To support a South African National Parks Research Fund . . . . .	1,200,000
To support a program of ecological research and training . . . . .	28,000

Swedish Museum of Natural History,  
Stockholm, Sweden:

To continue support for the development of a coordinated digital database of images and information on plants of the world . . . . .	397,000
To continue support for the development of a coordinated digital database of images and information on plants of the world . . . . .	310,000
To continue support for the development of a coordinated digital database of images and information on plants of the world . . . . .	233,000

Universidad de Antioquia,  
Medellín, Colombia:

To support the development of a coordinated digital database of images and information on plants of the world . . . . .	15,700
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CONSERVATION AND  
THE ENVIRONMENT

(continued)

*Appropriated*

Universidad de Buenos Aires,  
Buenos Aires, Argentina:

To continue support for the development of a  
coordinated digital database of images and  
information on plants of the world . . . . . 6,800

Universidad de Concepción,  
Concepción, Chile:

To support the development of a coordinated  
digital database of images and information on  
plants of the world . . . . . 35,000

Universidad Nacional de Colombia,  
Bogota, Colombia:

To support the development of a coordinated  
digital database of images and information on  
plants of the world . . . . . 31,500

Universidade de Coimbra,  
Coimbra, Portugal:

To continue support for the development of a  
coordinated digital database of images and  
information on plants of the world . . . . . 77,000

Universität Bayreuth,  
Bayreuth, Germany:

To support the development of a coordinated  
digital database of images and information on  
plants of the world . . . . . 118,000

Universitat de Barcelona,  
Barcelona, Spain:

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

CONSERVATION AND  
THE ENVIRONMENT

(continued)

*Appropriated*

University of British Columbia,  
Vancouver, Canada:

To continue support for the development of a  
coordinated digital database of images and  
information on plants of the world . . . . . 2,900

University of California at Berkeley,  
Berkeley, California:

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

University of Cape Town,  
Cape Town, South Africa:

To support a program of ecological research  
and training . . . . . 65,000

University of Dublin, Trinity College,  
Dublin, Ireland:

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

University of Florida at Gainesville,  
Gainesville, Florida:

To support a program of ecological research  
and training . . . . . 115,000

University of Hamburg,  
Hamburg, Germany:

To continue support for the development of a  
coordinated digital database of images and  
information on plants of the world . . . . . 189,000

CONSERVATION AND  
THE ENVIRONMENT

(continued)

*Appropriated*

University of Helsinki,  
Helsinki, Finland:

To continue support for the development of a  
coordinated digital database of images and  
information on plants of the world . . . . . 233,000

To continue support for the development of a  
coordinated digital database of images and  
information on plants of the world . . . . . 216,000

University of the South Pacific,  
Suva, Fiji:

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

University of Turku,  
Turku, Finland:

To continue support for the development of a  
coordinated digital database of images and  
information on plants of the world . . . . . 93,000

Yale University,  
New Haven, Connecticut:

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

Total—Conservation and the Environment \$13,639,860

## PUBLIC AFFAIRS

*Appropriated*Independent Sector,  
Washington, DC:

To support the 2013 national conference . . . . .	<u>\$50,000</u>
Total—Public Affairs	<u><u>\$50,000</u></u>

CONTRIBUTIONS	<i>Appropriated</i>
American Council of Learned Societies, New York, New York:	
To support further development of a multilanguage interactive periodical . . . . .	\$ 50,000
Doe Fund, Inc., New York, New York:	
To provide general support . . . . .	100,000
Foundation Center, New York, New York:	
To provide general support . . . . .	75,000
GrowNYC, New York, New York:	
To provide general support for conservation and preservation of the environment in New York City . .	30,000
GuideStar USA, Inc., Williamsburg, Virginia:	
To support GuideStar's membership program . . . . .	25,000
Nonprofit Coordinating Committee of New York, Inc., New York, New York:	
To provide general support . . . . .	75,000
Rockefeller Philanthropy Advisors, Inc., New York, New York:	
To support planning for the National Purpose Initiative . . . . .	<u>50,000</u>
Total—Contributions	<u><u>\$405,000</u></u>

OTHER	<i>Appropriated</i>
Eyebeam Atelier, New York, New York:	
To support immediate relief efforts in the aftermath of Hurricane Sandy . . . . .	\$ 50,000
Foundation of the American Institute for Conservation of Historic and Artistic Works, Inc., Washington, DC:	
To support immediate relief efforts in the aftermath of Hurricane Sandy . . . . .	45,000
Thin Man Dance, Inc., New York, New York:	
To support the repair and replacement of props and materials used in dance productions . . . . .	<u>9,000</u>
Total—Other	<u><u>\$104,000</u></u>

PROGRAM-RELATED INVESTMENTS *Appropriated*

Nonprofit Finance Fund,  
New York, New York:

To support an increase in a program-related investment funding a zero-interest loan pool for the Foundation's performing arts grantees . . .	\$ <u>100,000</u>
Total—Program-Related Investments	\$ 100,000
Matching Gifts	\$ <u>1,036,056</u>
Grand Totals	<u><u>\$ 235,211,205</u></u>



*Financial Statements*

## INDEPENDENT AUDITOR'S REPORT

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

We have audited the accompanying financial statements of the Andrew W. Mellon Foundation (the "Foundation"), which comprise the balance sheets as of December 31, 2013 and December 31, 2012, and the related statements of activities and cash flows for the years then ended.

***Management's Responsibility for the Financial Statements***

Management is responsible for the preparation and fair presentation of the financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

***Auditor's Responsibility***

Our responsibility is to express an opinion on the financial statements based on our audits. We conducted our audits 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 from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on our judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, we consider internal control relevant to the Foundation's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the Foundation's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements. We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

***Opinion***

In our opinion, the Financial Statements referred to above present fairly, in all material respects, the financial position of the Andrew W. Mellon Foundation at December 31, 2013 and December 31, 2012, and the results of its operations and its cash flows for the years then ended in accordance with accounting principles generally accepted in the United States of America.



PricewaterhouseCoopers LLP  
New York, NY  
May 29, 2014

# The Andrew W. Mellon Foundation

## *Balance Sheets*

*December 31, 2013 and 2012*

	<u>2013</u>	<u>2012</u>
	<i>(in thousands of dollars)</i>	
<b>ASSETS</b>		
Investments		
Marketable securities . . . . .	\$ 1,972,334	\$ 1,641,132
Alternative investments . . . . .	4,170,415	3,862,388
	<u>6,142,749</u>	<u>5,503,520</u>
Receivable from unsettled securities transactions, net . . . . .	2,236	415
	<u>6,144,985</u>	<u>5,503,935</u>
Cash . . . . .	221	192
Investment and other income receivable . . . . .	1,025	2,641
Other assets . . . . .	3,131	3,316
Taxes receivable . . . . .	1,722	6,504
Property, at cost, less accumulated depreciation of \$27,773 and \$25,353 at December 31, 2013 and 2012, respectively . . . . .	37,145	39,565
Total assets . . . . .	<u>\$ 6,188,229</u>	<u>\$ 5,556,153</u>
<b>LIABILITIES AND NET ASSETS</b>		
Liabilities		
Grants payable . . . . .	\$ 39,785	\$ 39,546
Accrued expenses, including interest payable . . . . .	8,982	9,297
Deferred federal excise tax . . . . .	22,700	14,700
Borrowings under credit facility . . . . .	—	40,000
Long term debt . . . . .	<u>274,350</u>	<u>274,350</u>
Total liabilities . . . . .	345,817	377,893
Net assets (unrestricted) . . . . .	<u>5,842,412</u>	<u>5,178,260</u>
Total liabilities and net assets . . . . .	<u>\$ 6,188,229</u>	<u>\$ 5,556,153</u>

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

# The Andrew W. Mellon Foundation

## *Statements of Activities*

*Years Ended December 31, 2013 and 2012*

	<u>2013</u>	<u>2012</u>
	<i>(in thousands of dollars)</i>	
<b>INVESTMENT RETURN</b>		
Gain on investments		
Realized, net . . . . .	\$ 547,660	\$ 307,373
Unrealized, net . . . . .	389,187	267,875
Interest . . . . .	9,742	12,572
Dividends . . . . .	11,456	12,021
	<u>958,045</u>	<u>599,841</u>
Less: Investment management expenses . . . . .	<u>(12,684)</u>	<u>(11,424)</u>
Net investment return . . . . .	<u>945,361</u>	<u>588,417</u>
<b>EXPENSES</b>		
Program grants and contributions, net . . . . .	233,258	258,943
Grantmaking operations . . . . .	15,058	13,971
Direct charitable activities . . . . .	1,869	2,194
Investment operations . . . . .	7,092	6,795
Interest . . . . .	9,707	9,577
Current provision for taxes . . . . .	13,772	7,324
Other expenses . . . . .	453	448
	<u>281,209</u>	<u>299,252</u>
Change in net assets . . . . .	664,152	289,165
<b>NET ASSETS (UNRESTRICTED)</b>		
Beginning of year . . . . .	<u>5,178,260</u>	<u>4,889,095</u>
End of year . . . . .	<u>\$5,842,412</u>	<u>\$5,178,260</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, 2013 and 2012

	<u>2013</u>	<u>2012</u>
	<i>(in thousands of dollars)</i>	
Cash flow from investment income and operations		
Change in net assets . . . . .	\$ 664,152	\$ 289,165
Adjustments to reconcile change in unrestricted net assets to net cash used by investment income and operations		
Realized gain on investments, net . . . . .	(547,660)	(307,373)
Unrealized gain on investments, net . . . . .	(397,187)	(273,375)
Decrease in investment and other income receivable . . . . .	1,616	1,068
Decrease (increase) in other assets . . . . .	185	(46)
Decrease (increase) in taxes receivable . . . . .	4,782	(4,919)
Increase in grants payable . . . . .	239	2,999
Decrease in accrued expenses . . . . .	(315)	(1,023)
Depreciation and amortization expense . . . . .	2,420	2,536
Increase in deferred federal excise tax payable . .	8,000	5,500
Net effect of bond amortization . . . . .	815	1,188
Total adjustments . . . . .	<u>(927,105)</u>	<u>(573,445)</u>
Net cash used by investment income and operations	<u>(262,953)</u>	<u>(284,280)</u>
Cash flow from investing activities		
Proceeds from sales of marketable securities		
Short-term . . . . .	1,559,970	2,523,160
Other . . . . .	2,111,647	2,965,526
Receipts from alternative investments . . . . .	699,485	526,990
Purchases of marketable securities		
Short-term . . . . .	(1,924,612)	(2,411,591)
Other . . . . .	(1,844,063)	(2,860,707)
Purchases of alternative investments . . . . .	<u>(299,445)</u>	<u>(502,257)</u>
Net cash provided by investing activities . . . . .	<u>302,982</u>	<u>241,121</u>
Cash flow from financing activities		
Borrowings under credit facility . . . . .	110,000	50,000
Repayment of credit facility borrowings . . . . .	<u>(150,000)</u>	<u>(10,000)</u>
Net cash (used) provided by financing activities .	<u>(40,000)</u>	<u>40,000</u>
Net increase (decrease) in cash . . . . .	29	(3,159)
Cash		
Beginning of year . . . . .	192	3,351
End of year . . . . .	<u>\$ 221</u>	<u>\$ 192</u>
<i>Supplemental disclosure of noncash investing activities</i>		
Distributions of securities received from alternative investments . . . . .	<u>\$ 39,798</u>	<u>\$ 55,252</u>

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

# The Andrew W. Mellon Foundation

## *NOTES TO FINANCIAL STATEMENTS*

*December 31, 2013 and 2012*

### 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 and scholarship; scholarly communications and information technology; performing arts; art history, conservation and museums; and conservation and the environment. Commencing in 2014, the Foundation will close its conservation and the environment program and will no longer appropriate new grants in this area. Following a strategic review in 2014 the Foundation will reorganize its core program areas as follows: higher education and scholarship; arts and cultural heritage; diversity; scholarly communications; and international.

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

#### *Investments*

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

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

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

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

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

Level 3 Inputs that are unobservable.

Inputs are used in applying the various valuation techniques and refer to the assumptions that market participants use to make valuation decisions. Inputs may include price information, credit data, liquidity statistics and other factors. A financial instrument’s level within the fair value hierarchy is based on the lowest level of any input that is significant to the fair value measurement. The Foundation considers observable data to be that market data which is readily available and reliable and provided by independent sources. The categorization of a financial

instrument within the hierarchy is therefore based upon the pricing transparency of the instrument and does not necessarily correspond to the Foundation's perceived risk of that instrument.

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

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

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

Realized gains and losses on investments in marketable securities are calculated based on the first-in, first-out identification method. Included in receivable from unsettled securities transactions in the accompanying Balance Sheets are receivables of \$17.5 million and \$20.8 million from unsettled security sales at December 31, 2013 and 2012, respectively, net of payables from unsettled securities purchases of \$15.3 million and \$20.4 million at December 31, 2013 and 2012, 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

*Notes to Financial Statements, (continued)*

is subject to income tax at corporate rates on certain income that is considered unrelated business income under the Internal Revenue Code. The Foundation's tax returns are subject to examination by federal and various state tax authorities. With few exceptions the Foundation is no longer subject to tax examinations for years prior to 2010.

*Property*

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

*Investment Return*

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

*Expenses*

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

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

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

The administrative expenses of distribution, including direct charitable activities, were \$16.9 million (7.2% of appropriated grants) in 2013, compared to \$16.2 million (6.3% of appropriated grants) in 2012.

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 2013 and 2012:

	<u>2013</u>	<u>2012</u>
	<i>(in thousands of dollars)</i>	
Program grants and contributions, net . . . . .	\$233,258	\$258,943
Salaries, pensions and benefits . . . . .	16,202	15,348
Interest . . . . .	9,707	9,577
Current provision for taxes . . . . .	13,772	7,324
Other operating expenses . . . . .	8,270	8,060
	<u>\$281,209</u>	<u>\$299,252</u>

#### *Use of Estimates*

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

#### *Reclassifications*

Certain 2012 amounts have been reclassified to conform to the 2013 presentation.

## 2. INVESTMENTS

Investments held at December 31, 2013 and 2012 are summarized as follows:

	<u>2013</u>		<u>2012</u>	
	<u>Fair Value</u>	<u>Cost</u>	<u>Fair Value</u>	<u>Cost</u>
	<i>(in thousands of dollars)</i>			
Equities . . . . .	\$1,279,498	\$1,049,871	\$1,067,874	\$ 924,253
Fixed income . . . . .	195,031	192,664	441,168	426,838
Short-term . . . . .	496,704	496,675	132,011	132,009
Derivative financial instruments . . . . .	1,101	3,632	79	641
	<u>1,972,334</u>	<u>1,742,842</u>	<u>1,641,132</u>	<u>1,483,741</u>
Alternative investments . . .	4,170,415	3,265,027	3,862,388	3,281,728
	<u>\$6,142,749</u>	<u>\$5,007,869</u>	<u>\$5,503,520</u>	<u>\$4,765,469</u>

The classification of investments by level within the valuation hierarchy as of December 31, 2013 is as follows:

	<u>Quoted Prices (Level 1)</u>	<u>Significant Observable Inputs (Level 2)</u>	<u>Significant Unobservable Inputs (Level 3)</u>	<u>Total</u>
	<i>(in thousands of dollars)</i>			
Marketable securities . . . .	\$ 795,775	\$1,176,559	\$ —	\$1,972,334
Alternative investments . . .		632,773	3,537,642	4,170,415
Receivable from unsettled securities sales, net . . . .	2,236			2,236
	<u>\$ 798,011</u>	<u>\$1,809,332</u>	<u>\$3,537,642</u>	<u>\$6,144,985</u>

*Notes to Financial Statements, (continued)*

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

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

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

	<i>2013</i>	<i>2012</i>
	<i>Alternative Investments</i>	
	<i>(in thousands of dollars)</i>	
Balance at January 1 . . . . .	\$ 3,588,595	\$ 3,247,932
Transfers, net . . . . .	(239,511)	41,731
Net realized gains . . . . .	312,362	203,246
Income . . . . .	95,865	51,717
Purchases . . . . .	299,445	502,257
Distributions/redemptions . . . . .	(739,283)	(582,242)
Net unrealized gains . . . . .	220,169	123,954
Balance at December 31 . . . . .	<u>\$ 3,537,642</u>	<u>\$ 3,588,595</u>

Net unrealized gains included in the Statements of Activities for investments designated as Level 3 and held at December 31, 2013 and 2012 were \$273.1 million and \$123.9 million, respectively. There were no transfers between Level 1 and Level 2 in 2013 or in 2012.

Set forth below is additional information pertaining to alternative investments as of December 31, 2013 and 2012:

	<i>Fair Value 2013</i>	<i>Fair Value 2012</i>	<i>Redemption Frequency</i>	<i>Redemption Notice Period</i>
	<i>(in thousands of dollars)</i>			
Equity long only (1) . . . . .	\$ 332,601	\$ 264,275	Quarterly	30-90 Days
Equity long/short (2) . . . . .	466,949	373,246	Quarterly/ Annually	30-60 Days
Diversified (3) . . . . .	864,142	924,377	Quarterly/ Annually	45-180 Days
Private partnerships (4) . . . . .	2,506,723	2,300,490		
	<u>\$ 4,170,415</u>	<u>\$ 3,862,388</u>		

- (1) This category includes investments in funds that invest in equity securities and derivatives in domestic and international markets. The Foundation estimates that approximately 49% of the value of these funds can be redeemed within 12 months. There are no unfunded commitments in this category.

- (2) This category includes investments in funds that invest long and short in domestic and international securities, primarily in equity securities. The Foundation estimates that approximately 78% of the value of these funds can be redeemed within 12 months. There are no unfunded commitments in this category.
- (3) This category includes investments in funds that invest in a variety of privately held and publicly available securities, including equities, corporate and government bonds, convertibles, derivatives, and includes investments in domestic and international markets. The Foundation estimates that approximately 53% of the value of these funds can be redeemed within 12 months. Unfunded commitments at December 31, 2013 were \$19 million.
- (4) This category includes investments in private equity, venture capital, buyout, credit opportunity, real estate and energy-related funds. These funds invest both domestically and internationally across a broad spectrum of industries. Generally these funds cannot be redeemed; instead, the nature of the investments is that distributions will be received as the underlying investments of the fund are liquidated. Unfunded commitments at December 31, 2013 were \$952 million, compared to \$907 million at December 31, 2012.

Through certain investment managers, the Foundation is a party to a variety of interest rate swaps and options. The extent of the Foundation's involvement in these instruments is determined by the composition of the investment portfolio and the investment managers' expectations as to the direction and volatility of equity and fixed income markets as well as other economic factors. At December 31, 2013, approximately \$3.0 million in assets and \$1.8 million in liabilities related to these financial instruments are included in derivative financial instruments. At December 31, 2012, approximately \$3.7 million in assets and \$3.2 million in liabilities related to these financial instruments are included in derivative financial instruments.

Through certain investment managers, the Foundation purchases and sells forward currency contracts whereby the Foundation agrees to exchange one currency for another on an agreed-upon date at an agreed-upon exchange rate to minimize the exposure of certain of its marketable securities to adverse fluctuations in financial and currency markets. At December 31, 2013, the Foundation had open foreign currency contracts with notional amounts of approximately \$20.6 million in assets and \$20.7 million in liabilities included in derivative financial instruments. At December 31, 2012, the Foundation had open foreign currency contracts with notional amounts of approximately \$37.3 million in assets and \$37.8 million in liabilities included in derivative financial instruments. All of these derivative financial instruments are carried at fair value, and changes in fair value are recognized currently in the Statements of Activities.

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

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

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

### 3. DEBT

At December 31, 2013, long term debt consists of \$230 million of bonds with a maturity date of August 1, 2014 (the "Fixed Rate Bonds") and \$44.4 million of bonds with a maturity date of December 1, 2032 (the "Variable Rate Bonds").

*Notes to Financial Statements, (continued)*

The Fixed Rate Bonds bear a 3.95% fixed rate of interest, payable semi-annually. The bonds may be redeemed at any time by the Foundation at a price equal to the greater of (i) 100% of the principal amount, and (ii) the sum of the present value of the remaining scheduled payments of principal and interest. The Foundation estimates that the fair value of the Fixed Rate Bonds at December 31, 2013 and 2012 was \$234.3 million and \$242.6 million, respectively. Interest incurred, exclusive of amortization of deferred bond issuance costs, for the Fixed Rate Bonds was \$9.1 million for both 2013 and 2012. On February 26, 2014, the Foundation entered into two nonrevolving credit agreements that permit the Foundation to borrow up to an aggregate \$230 million and that mature on June 30, 2017. The interest rate on the borrowings will be LIBOR plus 35 basis points. The Foundation intends to draw down these nonrevolving lines of credit in late July 2014 and use the proceeds to redeem the Fixed Rate Bonds.

Interest for the Variable Rate Bonds is reset weekly by the Foundation's bond agent. Bond holders have the right to tender their bonds to the bond agent weekly, and the agent has an obligation to remarket such bonds. Bonds that cannot be remarketed must be redeemed by the Foundation. The Foundation believes that the fair value of the Variable Rate Bonds approximates their book value. The average interest rate applicable in 2013 for the Variable Rate Bonds was 0.13% and in 2012 was 0.17%. Interest incurred, exclusive of amortization of deferred bond issuance costs and fees, was \$59 thousand and \$75 thousand in 2013 and 2012, respectively.

In connection with the Variable Rate Bond offering, the Foundation entered into a \$30 million dedicated line of credit agreement. Borrowings, if any, under this line of credit are at the discretion of the Foundation and are to be used solely to fund redemption requirements of the Variable Rate Bonds. The line of credit agreement expires on September 8, 2014. The annual commitment fee is 0.25%. As of December 31, 2013 and 2012, there were no borrowings outstanding under this line of credit.

On April 30, 2012, the Foundation entered into a two year secured revolving line of credit agreement ("Credit Agreement") which permits the Foundation to borrow up to \$60 million with an option to borrow up to \$75 million. Borrowings under the Credit Agreement are to be used to pay grants or other qualifying distributions. The interest rate on borrowings is LIBOR plus 35 basis points and the annual commitment fee is 0.10%. One of the Foundation's managed accounts valued at \$128.7 million, as of December 31, 2013, has been pledged to secure borrowings under the Credit Agreement. The pledged account is included in Marketable Securities in the accompanying Balance Sheet. As of December 31, 2013, there were no borrowings outstanding under the Credit Agreement and as of December 31, 2012 borrowings of \$40 million were outstanding. On April 30, 2014, the Credit Agreement was amended to extend the maturity date to April 30, 2016 and to increase borrowing capacity to \$145 million. The interest rate on borrowings under the amended Credit Agreement is LIBOR plus 30 basis points and the annual commitment fee is 0.05%.

#### 4. TAXES

The Internal Revenue Code imposes an excise tax on private foundations equal to two percent of net investment income (principally interest, dividends, and net realized capital gains, less expenses incurred in the production of investment income). This tax is reduced to one percent when a foundation meets certain distribution requirements under Section 4940(e) of the Internal Revenue Code. The Foundation was subject to the two percent rate in 2013

and 2012. 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 2013 comprises \$11.8 million for federal excise tax on net investment income and \$2.0 million in federal and state taxes on unrelated business income. The current tax provision for 2012 comprises \$5.7 million for federal excise tax on net investment income and \$1.6 million in federal and state taxes on unrelated business income. The change in unrealized appreciation in 2013 and 2012 reflected on the Statement of Activities includes deferred tax provisions of \$8.0 million and \$5.5 million, respectively based on change in net unrealized appreciation of investments at two percent. Taxes paid, net of refunds, in 2013 and 2012 were \$9.0 million and \$12.2 million, respectively.

## 5. GRANTS, CONTRIBUTIONS, AND COMMITMENTS

The following table of grant activity by major program area includes all grant appropriations approved during 2013. In addition, in 2013, the Foundation made one program-related investment for \$100 thousand, which is included in other assets in the accompanying Balance Sheets. Grants payable and committed at December 31, 2012 have been adjusted to reflect cancellations of \$439 thousand.

	<i>Payable and Committed December 31, 2012</i>	<i>2013 Grants and Commitments</i>		<i>Payable and Committed December 31, 2013</i>
		<i>Appropriated</i>	<i>Paid</i>	
		<i>(in thousands of dollars)</i>		
Higher Education and Scholarship . . . . .	\$19,140	\$133,397	\$135,390	\$17,147
Scholarly Communications and Information Technology . . . . .	3,439	27,394	26,765	4,068
Performing Arts . . . . .	10,127	33,000	34,911	8,216
Art History, Conservation and Museums . . . . .	12,583	26,085	23,692	14,976
Conservation and the Environment . . . . .	3,246	13,640	12,019	4,867
Public Affairs . . . . .	—	50	50	—
Other (1) . . . . .	—	104	104	—
Program grants and commitments — totals	48,535	233,670	232,931	49,274
Contributions and matching gifts . . . . .	—	1,441	1,441	—
	<u>\$48,535</u>	<u>\$235,111</u>	<u>\$234,372</u>	<u>\$49,274</u>

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

*Notes to Financial Statements, (continued)*

Grant and grant commitment activity is summarized below.

	<u>2013</u>	<u>2012</u>
	<i>(in thousands of dollars)</i>	
<b>Grants payable</b>		
Grants payable at January 1 . . . . .	\$ 39,546	\$ 36,547
Grant expense . . . . .	234,611	261,105
Less: Grants paid . . . . .	<u>(234,372)</u>	<u>(258,106)</u>
Grants payable at December 31 . . . . .	<u>\$ 39,785</u>	<u>\$ 39,546</u>
<b>Net grant expense</b>		
Unconditional grants . . . . .	\$ 203,894	\$ 226,221
Conditional grants meeting conditions for expense . . . . .	<u>30,717</u>	<u>34,884</u>
	234,611	261,105
Less: Grant refunds . . . . .	<u>(1,353)</u>	<u>(2,162)</u>
Net grant expense at December 31 . . .	<u>\$ 233,258</u>	<u>\$ 258,943</u>
<b>Grant commitments</b>		
Grant commitments at January 1 . . . . .	\$ 8,989	\$ 15,270
Less commitments cancelled . . . . .	—	(439)
Conditional grants appropriated . . . . .	31,217	29,042
Less: Grants meeting conditions for expense . . . . .	<u>(30,717)</u>	<u>(34,884)</u>
Grant commitments at December 31 . .	<u>\$ 9,489</u>	<u>\$ 8,989</u>

**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 both 2013 and 2012, Ithaka charged \$768 thousand to the Foundation for these services.
- The Foundation provides office space, free of charge, to Ithaka and ARTstor in a building owned by the Foundation in New York City. Under the terms of the building lease, which expires December 31, 2014, office space is provided rent free; however, Ithaka and ARTstor assume certain building operating costs.

**7. SUBSEQUENT EVENTS**

The Foundation has evaluated subsequent events through May 29, 2014, the date the financial statements were released, and believes no additional disclosures are required in its financial statements.