

The Andrew W. Mellon Foundation

*Report
from January 1, 2009
through December 31, 2009*

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As of December 31, 2009

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

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

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

PRESIDENT'S REPORT

The *Annual Report* for 2008 described a precipitous decline in the Foundation's total assets resulting from the turmoil that engulfed the economy as a whole, including especially the kinds of educational and cultural institutions that the Foundation serves. Fortunately, this *Annual Report* for 2009 can describe a substantial rebounding of net assets from \$4.1 billion at December 31, 2008, to \$4.7 billion at December 31, 2009, after grantmaking of over \$215 million in the course of the year.

The extent of both the decline and the rebound was somewhat unexpected by most observers and proved the wisdom of taking a long view despite the short-term challenges. Because the Foundation has very low fixed expenses and almost no future commitments in its grantmaking, there was no need to withdraw from any commitments to grantees. The grantmaking budget returned more or less to what it had been in 2006, which seemed high at the time, and we will hope as we proceed through 2010 to begin to increase it again. Even now the Foundation's assets slightly exceed the real value of its original corpus. Our goal will be to maintain or exceed the real value of the grantmaking budget in coming years, to the extent that the legal requirements for expenditures allow.

What was anomalous, then, was not so much the decline in assets at the end of 2008 and the first part of 2009 as the remarkable spike that preceded it. This spike enabled the Foundation to increase its grantmaking substantially for a year or two but did not cause us to depart from a tradition of funding even most multiyear grants in their entirety from the start and thus did not cause us to become reliant on a continuation of the kinds of investment returns that had produced the spike. The precipitous nature of the decline did, however, present challenges to the management of liquidity for purposes of both grantmaking and commitments of capital to certain kinds of investments, since the Foundation held substantial assets that were either illiquid or substantially undervalued from a longer-term perspective. Therefore, in order not to interrupt the flow of funds to our grantees, the Foundation sold \$230 million of taxable bonds, which it was able to do at quite favorable rates deriving from market conditions generally and from the fact that the Foundation has very limited fixed obligations. Simultaneously, the Foundation increased somewhat the allocation in its portfolio to highly liquid assets. All

of this reflects a long-term and disciplined philosophy with respect to both grantmaking and investing.

Unfortunately, many institutions saw this spike as the wave of the future and undertook long-term commitments that became difficult or impossible to sustain. Some of these commitments, especially among private institutions of higher education, were undertaken with the best of motives, as for example in the case of undergraduate financial aid. A few of the very wealthiest institutions substantially enhanced their financial aid programs, in some cases eliminating the requirement that loans form a part of most or all financial aid packages. A number of much less wealthy institutions felt the need to compete in these terms and believed that their own increasing wealth and that of their alumni and other donors would enable them to keep up in this competition. What was not really affordable at the time announcements of new financial aid policies were made forced painful decisions when the downturn came. At first no one wished to retreat from the more generous financial aid policies, and difficult cuts were imposed on other categories of expense to pay for them. Finally, a few institutions took the unpleasant step of admitting that they could no longer afford what had been promised. It is quite likely that more institutions will be forced to follow suit.

Another type of commitment undertaken in what were after all relatively few years of remarkable prosperity following the last major downturn in 2001-2002 was to capital projects, perhaps chief among them to major new facilities for the sciences. The doubling of the budget of the National Institutes of Health and the hoped for increases of a similar kind for the National Science Foundation as well as in the Department of Energy's budget for research in the physical sciences all encouraged this. Unfortunately, the federal government has never paid the full cost of the research that it sponsors in universities, especially not its capital costs. A bad matter, largely unacknowledged by either the federal government or the general public, was made substantially worse by the declining possibilities of the federal budget and the downturn in private assets that the federal expenditure had long leveraged. Important among those private assets, though not often recognized as such, is undergraduate tuition, which faces serious problems of its own. Undergraduate tuition remains for the overwhelming number of private institutions, including some with multibillion-dollar endowments, the single largest

source of unrestricted funds. Thus, when the federal government underfunds research in the basic sciences, undergraduates' parents make up a certain part of the difference.

If the consequences of the downturn in the economy in all of its forms have been difficult for private institutions, for public institutions they have been disastrous almost everywhere. Shortfalls in the revenues of the states have been passed on in abundance to their institutions of higher education. Recent studies have shown that other developed countries have protected higher education as they coped with shrinking resources, whereas the United States has not. This is in part because this country for the most part has no national policy on higher education, a matter left principally to the states. And the states have significantly less flexibility in dealing with revenue shortfalls and in some cases little wish to support what is in their own long-term interest, to say nothing of the long-term interest of the nation. The State of California has enjoyed what is surely the greatest system of public higher education that the world has ever known, and yet that system is being steadily dismantled.

What is The Andrew W. Mellon Foundation to do in the face of this? In the end, we can only continue to do what we have long done—help a rather small fraction of the 4,000 institutions of higher education in the country maintain a commitment to activities that we have always cared about, namely the humanities and the arts. Many observers believe, furthermore, that these are the activities likely to suffer most in the retrenchment that higher education is undergoing. In times like these, practical arguments for supporting science and technology, because they are thought to lead to economic growth, become ever more powerful. And students and their parents will rush to whatever fields they believe most likely to lead to a good job. These fields are not always thought to include English and philosophy.

Yet this Foundation believes that the humanities and the arts do indeed contribute to the material prosperity of individuals as well as of society at large. And they are absolutely crucial to creating the kind of life that thoughtful people and a humane society will want to live. There is no doubt that a strong education in the humanities and the arts contributes to the intellectual armament that most enables success in thinking imaginatively about the unexpected as well as the familiar and that contributes most powerfully to the invention of the future. It also contributes most effectively to a successful engagement with the people of other cultures in a world in which

engagement of this kind is obligatory. Whatever one's job, an education that includes the humanities and the arts will enable one to do it better. Institutions of higher education in other parts of the world often remark that liberal arts education of the type practiced in the United States is what they lack in creating an imaginative and entrepreneurial citizenry.

Because this kind of higher education is crucial to the national life, it is crucial that it take full account of the nation's diversity. The Foundation's diversity initiatives have a long history and will remain a priority. A central part of our effort is to bring greater diversity to the professoriate by supporting in a variety of ways students from underrepresented groups and others with a demonstrated commitment to diversity who wish to pursue advanced degrees for the sake of becoming college and university faculty members. Support for Historically Black Colleges and Universities will also continue to play a role. The range of our diversity initiatives is described later in this report.

Personal and national prosperity are not the only or the deepest reasons for a strong presence of the humanities and the arts in national life. We often speak of businesses in terms of their value proposition. We sometimes speak of higher education in terms of its value proposition—the financial return over a lifetime of an investment in higher education. It is essential, however, that we also think about the *values* proposition of higher education and of the humanities and the arts more broadly.

The nation has very far to go before it can be content that the needs of all of its citizens for some of the most basic material comforts are being met. Access to adequate health care and adequate education, especially but not only higher education, is denied to too many. This argues for building a strong economy that meaningfully reduces unemployment and generates the resources necessary to attend to society's needs. But the character of a society will ultimately reflect its values more than its wealth. Values will determine how wealth is created and the uses to which it is put. And it is the humanities and the arts that explore such values and confront each of us with the need to choose the values by which we will live. In a period in which the nation is quite properly concerned with the creation of jobs for the appallingly high number of unemployed, we must also concern ourselves with the values that will shape the lives of those who do have jobs, perhaps even extremely lucrative jobs, as well as

those who do not. These values will determine how—indeed if—our democracy is to function.

Whether for rich or poor, a job is not something to be pursued simply for its own sake with no thought of what greater purpose life might embody. And an education that prepares only for a job without attention to greater purposes is not an education in the fullest sense. Great works of art and literature explore these matters and present them powerfully as nothing else can, which is the deepest reason for making the humanities and the arts a part of every education and of every life thereafter.

In *Silas Marner* George Eliot writes, “Every man’s work, pursued steadily, tends in this way to become an end in itself, and so to bridge over the loveless chasms of his life.” Of Silas’s life and the lesson that might be drawn from it she writes:

His life had reduced itself to the functions of weaving and hoarding, without any contemplation of an end towards which the functions tended. The same sort of process has perhaps been undergone by wiser men, when they have been cut off from faith and love—only, instead of a loom and a heap of guineas, they have had some erudite research, some ingenious project, or some well-knit theory.

We might wish that these words had been taken to heart by more of the millions of people who were obliged to read *Silas Marner* as sophomores in high school. This is only to say that great works of art and literature will often require the help of thoughtful teachers and parents who must prepare fertile terrain for them. But making and preserving the space for them in modern life is essential to a society of which we can be proud. That is an important part of the work of this Foundation.

The staff of the Foundation continues to think about how it can carry on this work ever more effectively, even when the goals of that work remain largely constant. It is important that we use our resources responsibly and that we maintain a sharp focus on those goals and the values that support them. This requires that we listen attentively to our grantees and their expressions of the nature of their needs. And it requires that as a staff we listen attentively to one another. Even with a rather small staff (a total of about 70 people) in relation to the extent of our resources, we must guard against a kind of atomization in which busy people develop programs that continue along their way without interacting fruitfully.

With a view to the closer integration of some of our efforts, at the end of 2009 the program on Research in Information Technology was merged with the program on Scholarly Communications, now renamed Scholarly Communications and Information Technology. The Foundation has had a long and deep commitment to bringing to bear the power of new information technologies on the work of the humanities and the arts. This commitment will continue. The merger of the two programs, however, will further concentrate efforts in information technology on direct support for the work of the humanities and the arts. The Foundation is pleased to have stimulated a number of large, community-based, open source software projects and to have seen their viability clearly demonstrated. These have included enterprise systems for use in the administration of major universities as well as smaller institutions. With the humanities and the arts under increasing threat in the world of higher education and in society at large, however, some greater focus on their particular needs has seemed necessary and appropriate. And it is clear, for example, that the rate of change in the ways in which humanistic scholars gather and use information has greatly accelerated and calls for the development and application of new and more powerful tools.

The year 2009 also saw the announcement of two other major changes taking place in 2010 and that will occasion deep reflection on how the Foundation does its work. That work is of course carried on by talented people. And two of the Foundation's most talented and widely admired program officers retire in March of 2010.

Harriet Zuckerman has been the senior vice president of the Foundation for 19 years, principally overseeing the Foundation's single largest program, which is in support of research universities. She has long been the face of the Foundation in the world of research universities and is certainly the nation's leading authority on support for graduate education and scholarship in the humanities. Her programs have also supported centers for advanced study, independent research libraries, and other specialized institutes. She has personally been responsible for the Foundation's research activities, and has overseen a portfolio of studies in the area of higher education, some of which she has herself written. Her incisive and stylish presence has made an indelible imprint, and to say that she will be missed by the Foundation and grantees alike is to engage in major understatement.

Angelica Z. Rudenstine has been the Foundation's program officer for the program on Museums and Art Conservation. Her impact in the world of museums on scholarship and conservation has been singular, and she established almost single-handedly the field of basic science in support of art conservation. The world of museums has been forever transformed, as leaders in that field have amply testified.

Both of these retirements command the Foundation to look to its future and ensure that it continues to meet the high standards that these colleagues have set. This entails reflection and consultation. The Foundation has begun a process of convening representatives of the fields in which we work in order to learn from them what is most needed at the present time. In this context we expect that a number of opportunities for our programs to collaborate more closely will emerge. Among those likely to emerge will be an effort to bring together our concern for undergraduate education as expressed in our support of liberal arts colleges and our concern for graduate education in the humanities, which produces the faculty members who ultimately teach undergraduates in both large universities and smaller liberal arts institutions. We wish to help ensure that undergraduate education of the kind we believe in, that is, a liberal arts education properly so called, flourishes in institutions of all types and that graduate students receive the training necessary to strengthen undergraduate education wherever they may spend their careers. Similarly, we wish to understand the continuing and in many ways growing need of museums for support in art conservation while exploring further ways in which museums might collaborate with one another and with other kinds of cultural institutions and ways in which our support of graduate education and research in art history might better serve both museums and higher education.

All of this requires attracting new talent of the highest order to the Foundation. In this we have been extremely fortunate to be able to appoint Mariët Westermann as a vice president of the Foundation to lead the program in Museums and Art Conservation and to assume major responsibilities for programs in support of higher education. She will assume her position in June of 2010 and brings to that position the experience of a distinguished scholar of art history and university administrator. The program that has supported the humanities and the arts in research universities and the program sup-

porting liberal arts colleges will now be more closely coordinated, and in this effort Vice President Westermann and Vice President Philip E. Lewis will share responsibilities across the entire spectrum of higher education.

One can easily become discouraged about the state of our national intellectual, cultural, and political life. The character of our national discourse does not encourage a belief in the health of our democracy. The debate about health care causes one to fear for the character of the debate about higher education that will surely follow before long and that will pose similar issues. If there is any hope for a more civil and civilized environment in which to rise to the challenges that confront us, both domestic and foreign, it lies in a lifelong education that develops and encourages in everyone the thoughtful qualities of mind that are explored and strengthened by engagement with the humanities and the arts. No single foundation could possibly guarantee the realization of this hope. The Andrew W. Mellon Foundation, however, will contribute as mightily as it can to that end.

In the pages that follow, the Foundation's program staff offer summary accounts of their activities in 2009. The remainder of the report consists of a compilation of the Foundation's grants for 2009 and its annual financial statements.

Don M. Randel
March 2010

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Research Universities and Humanistic Scholarship

Overseen by Harriet Zuckerman and Joseph S. Meisel, the Research Universities and Humanistic Scholarship (RUHS) program has three main objectives: (1) supporting research by individual scholars at different career stages, beginning with graduate fellowships and ending with awards for emeritus professors; (2) assisting institutions where humanists work, including research universities, centers for advanced study, independent research libraries, and specialized research institutes, while also facilitating institutional collaborations; and (3) encouraging promising lines of humanistic inquiry, often involving multiple scholars. Projects supported by RUHS often focus on two, or even all three, of these objectives.

Consistent with the Foundation's overall commitments during the financial downturn, RUHS maintained its central programmatic activities in 2009. Four outstanding senior humanists received Distinguished Achievement Awards: the philosopher and theorist Judith Butler; Thomas Gunning, a historian of early cinema; Barbara Newman, a scholar of medieval religion; and the Sanskritist Sheldon Pollock. Once again, ten scholars received New Directions fellowships for systematic training in fields other than their own, and 20 Emeritus Fellows were awarded funds for their continuing scholarly contributions. In addition, nine new John E. Sawyer Seminars in the Comparative Study of Cultures were approved.¹

While continuing these and other ongoing initiatives, RUHS also responded to changed circumstances institutions were confronting. Rapid budgetary retrenchment at colleges and universities drastically curtailed faculty hiring, creating what is known now as the "jobless market" in the humanities and calling for a broad intervention to increase postdoctoral opportunities for new recipients of the PhD. Accordingly, the Foundation funded an experimental program of "New Faculty Fellows" developed in partnership with, and overseen by, the American Council of Learned Societies (ACLS).

More flexible and affordable than creating new assistant professorships, postdoctoral fellowships give recent PhDs in the humanities opportunities to learn from seasoned faculty colleagues, gain classroom experience, and advance their own scholarship. Data collected for the Foundation's Graduate Education Initiative (GEI) of the 1990s (also a period of significant, if more gradual, contraction in available jobs) indicate that more than 40 percent of PhD recipients at the time were initially employed in temporary posts, while the proportion of those who obtained full-time jobs shortly after graduation declined. Postdoctoral fellows were far more likely to find tenure-track positions within three years of graduation than those employed in more tenuous and contingent academic posts (although this finding may reflect the quality of the fellows chosen as much as their postdoctoral experiences).² Multiyear postdoctoral positions,

¹ More information on the objectives of these programs, as well as the names of the people and titles of projects funded under them, is available via the Foundation's Web site at the RUHS program page: http://www.mellon.org/grant_programs/programs/higher-education-and-scholarship/researchuniversities.

² Ronald G. Ehrenberg, Harriet Zuckerman, Jeffrey A. Groen, and Sharon M. Brucker, *Educating Scholars: Doctoral Education in the Humanities* (Princeton: Princeton University Press, 2010), pp. 187-92.

adequately compensated and well-integrated into departmental life, not only benefit the fellows, but also help to meet important institutional needs (e.g., fulfilling departmental teaching obligations, allowing for the expansion of departmental expertise and course offerings, and building intellectual and programmatic connections across fields) even when hiring additional permanent faculty is impossible.

The New Faculty Fellows program was launched in fall of 2009 as a national competition for 50 new PhDs in the humanities without full-time academic employment. Fellows would receive a \$50,000 stipend and \$5,000 research fund annually, plus a one-time moving allowance of \$1,500. The 60 US-based members of the Association of American Universities (AAU), which produce the overwhelming majority of doctorates in the humanities, were invited to nominate highly qualified PhDs who had received their degrees in the two prior years and did not hold tenure-track jobs. Each university could nominate approximately 30 percent of the annual number of humanities PhDs it awarded. Ultimately, 58 universities nominated 826 individuals, 764 of whom applied for fellowships. A two-stage review process involving senior scholars and experienced administrators (typically deans and associate deans) selected 120 finalists and then 60 fellowship recipients. These 60 represent 30 institutions, both public and private. Reviewers commented on the high quality of the applicant pool and particularly of the finalists. In a process governed by strict guidelines and timetables, fellows were to be hired for two-year terms in a “mini-market” established by ACLS, consisting of the participating AAU members and a selected group of liberal arts colleges. Ultimately, 14 of those elected chose to accept job offers outside the program (indicating that the process had identified highly eligible candidates). The 46 New Faculty Fellows that remain will take up posts at 20 universities and six colleges.

Foundation funds allow institutions to hire fellows at a substantial discount: universities pay only one-third, and colleges only one-quarter of their total cost (in addition to providing health coverage). The program was designed as a time-limited response to the poor job prospects facing recent PhDs who entered graduate school anticipating that academic employment would be reasonably available. The demand evidenced by the number of applications, the high quality of the finalists, and the eagerness of colleges and universities to hire them, along with continuing budgetary restrictions, indicate that funding for a second round should be considered.

Recent annual reports have noted the problematic consequences of increasing economic disparities among leading research universities and the difficulties that excellent institutions confront in trying to keep pace academically with the small number of peers that command the greatest resources. These problems continue despite the significant losses sustained by universities with large endowments. Marked differences remain in the ability of institutions to achieve their intellectual aspirations. At one time, the Foundation's funding for universities concentrated almost entirely on the private sector, a policy based on the continuing support public universities received from their state governments. Since this support has shrunk drastically and affected the humanities especially, the Foundation's grantmaking now includes a larger number of public institutions, and several received major grants in 2009.

The University of North Carolina at Chapel Hill was awarded \$4.5 million to strengthen its graduate programs in the humanities. Two other "publics" also received grants exceeding \$2 million for significant new initiatives in the humanities: the Graduate School and University Center of the City University of New York, which will strengthen critical fields by appointing visiting faculty from other CUNY campuses and providing enhanced graduate support, and the University of Wisconsin at Madison, which will establish or restore 12 faculty lines focused particularly on cross-regional historical developments and cultural connections. In addition, two out of three university-based postdoctoral fellowship programs established last year (bringing the total number of such programs funded since 1998 to 32) are at public institutions: the University of Illinois at Urbana-Champaign and the University of Wisconsin at Madison.

Liberal Arts Colleges

The Liberal Arts Colleges program, led by Philip Lewis and Eugene Tobin, provides multiyear grants to liberal arts colleges. A majority of these grants supports innovative academic work in the humanities and humanistic social sciences in a select group of approximately 70 colleges. In 2009, the program continued to expand its efforts to encourage collaboration among groups of colleges that form regionally based consortia. Prominent among these is the Appalachian College Association (ACA), a consortium of 37

colleges that was previously the province of a program officer who was also responsible for grants made to private Historically Black Colleges and Universities (HBCUs). During 2009, the Foundation merged its work with HBCUs, its grantmaking under the heading Diversity Initiatives, and the Mellon Mays Undergraduate Fellowships program into a single unit. Pursuant to this reorganization, the Liberal Arts Colleges program is responsible for grants to the ACA.

Along with the ACA, seven consortia—the American International Consortium of Academic Libraries, the Associated Colleges of the Midwest, the Associated Colleges of the South, the Claremont University Consortium, the Five Colleges of Ohio, the Great Lakes Colleges Association, and Five Colleges, Incorporated, of Western Massachusetts—have ongoing affiliations with the program. Grants to these seven consortia in 2009 totaled approximately \$4 million. This unusually small amount resulted directly from the economic downturn of 2008, which caused a significant reduction in the program’s annual grantmaking budget and also delayed projected grants to support operating endowments for some consortia. In some cases, staff provided direct grants for operating expenses to compensate for these delays. The program agreed to support another consortium of six colleges in upstate New York (Colgate, Hamilton, Hobart and William Smith, Skidmore, St. Lawrence, and Union) and granted start-up funds to this group in 2009; it also opened discussion with five colleges in Oregon and Washington about the development of a consortium in the Northwest. Grants enabling collaboration by smaller groupings of institutions—such as Dickinson, Franklin & Marshall, and Gettysburg in central Pennsylvania; Bryn Mawr, Haverford, and Swarthmore in Philadelphia; Bates, Bowdoin, and Colby in Maine; and Connecticut College, Trinity, and Wesleyan in Connecticut—also reflect the program’s interest in encouraging cooperative projects that may be either academic or administrative in nature.

Historically, four durable rubrics—faculty career enhancement, libraries and information technology, curricular development and educational effectiveness, and presidential support—have covered much of the grantmaking in the Liberal Arts Colleges program. In 2009, approximately one-fourth of the program’s \$30-million budget supported curricular projects, while another one-fourth was devoted to grants for faculty development and institutional revitalization. In this

latter category, grants ranged from the funding of teaching post-doctoral fellowships and mentoring programs linking junior and retiring faculty, to support for individual scholarly projects and research leaves that enable faculty members to acquire interdisciplinary competencies. A third prominent sphere of grantmaking was the growing interdisciplinary field of environmental studies.

As the year progressed and concerns about the bleak job market for new PhD's in the arts and humanities intensified, staff issued a letter to college presidents underscoring the program's receptiveness to proposals for support of postdoctoral fellowships and artistic residencies. This letter also noted the growth of what scholars now term the "digital humanities" and expressed interest in pilot projects that would integrate this field into academic programs.

2009 was a pivotal year for the National Institute for Technology in Liberal Education (NITLE), which has pursued efforts initiated by the Foundation in the mid-1990s to enable liberal arts colleges to deploy the resources of information technology in their academic activities. In the summer of 2009, the NITLE headquarters were moved to Southwestern University in Georgetown, Texas. Under the leadership of its new executive director, W. Joseph King, NITLE has begun to develop a streamlined organization that focuses on the pedagogical applications of technology in liberal education and on linking the institutional members of the NITLE network through a high-definition "telepresence" technology that will greatly facilitate the collaborative delivery of instruction.

Diversity Initiatives

The Diversity Initiatives program was a site of transition and consolidation in 2009. The pivotal event was the retirement of Lydia English, who had served since 1999 as the program officer for Diversity Initiatives and director of the Mellon Mays Undergraduate Fellowship (MMUF) program. MMUF supports two groups of qualified students who wish to seek doctoral degrees and pursue careers in higher education: those from underrepresented minority groups and other students with demonstrated commitments to diversity. Carlotta M. Arthur, program officer for the Foundation's Historically Black Colleges and Universities (HBCU) and Appalachian Colleges program, became program officer for the newly expanded Diversity Initiatives program which now encompasses

MMUF, Diversity Initiatives, and HBCUs. The Foundation also welcomed Armanda Lewis, the program's new associate director.

MMUF is active at 42 institutions, including three South African universities and the UNCF Consortium of 39 HBCUs. In 2009, support for MMUF was renewed through 2013 at 34 of the 42 institutions and the UNCF consortium, with a ten percent increase in the program budget being awarded to each institution as well. The 300th PhD earned by an MMUF Fellow was awarded in 2009, and, of these degree holders, 37 have been awarded tenure. The number of PhDs in progress was 539. The Diversity Initiatives program continued its support for academic diversity by underwriting a collaborative program with the American Indian College Fund designed to increase the number of faculty members with PhDs in the Tribal College system and for programs for graduate students and junior faculty administered by the United Negro College Fund, the Social Science Research Council, and the Woodrow Wilson National Fellowship Foundation.

Support to HBCUs has primarily been grouped into three broad categories: institution building, collaborations among HBCUs and research universities, and libraries. Institution building grants, awarded to support academic and administrative programs that are of strategic importance to HBCU presidents, increased in 2009, and approximately 65 percent of the HBCU budget supported such programs. This included grants for internationalization programs, undergraduate and faculty research, curricular development, and student recruitment and retention programs. Collaborations between research universities and HBCUs have sought to facilitate exchanges of knowledge and expertise among these institutions, and the Foundation renewed support for several collaborative programs in 2009. With respect to libraries, several grants were awarded to individual HBCUs to increase their electronic resources, develop information literacy programs, and provide staff training. Grants were also made in support of consortial arrangements such as the HBCU Library Alliance.

Scholarly Communications

The Foundation's Scholarly Communications program was led in 2009 by Donald J. Waters and Helen Cullyer. The program's three primary objectives are to: (1) support the efforts of libraries

and archives to preserve and provide access to materials of broad cultural and scholarly significance; (2) assist scholars in developing specialized resources that promise to open or advance fields of study in the humanities and humanistic social sciences; and (3) strengthen the publication of humanistic scholarship and its dissemination to the widest possible audience.

Among the year's most significant highlights was a series of grants made in the wake of the severe economic downturn that resulted in budget cuts, on average, of ten percent for the current fiscal year at major research libraries. The grants were designed to foster cost-saving collaboration among institutions, accelerate infrastructure development so that multiple institutions could benefit, and develop critical new initiatives, particularly in the area of digital collections, on which future scholarship depends. Columbia University, in collaboration with Cornell University, received a grant to plan the development of an independent service entity that would support the libraries of both universities and provide a 30 percent integration of operations within three years over a variety of departments including technical services and information technology. The Foundation also made awards to both the University of California and the Council on Library and Information Resources (CLIR) to study how libraries could generate savings by making effective use of shared regional repositories of print and digital materials. In addition, several institutions began to develop, with Foundation funding in 2009, the infrastructure, workflows, and staff expertise necessary to deal with their growing number of born-digital collections. The University of Virginia, in collaboration with Yale University, Stanford University, and the University of Hull in the United Kingdom, was awarded funds to develop software to process and preserve born-digital archival "papers" and to process 13 digital collections, including the archives of Stephen Jay Gould and of Pelli Clark Pelli architects. Columbia and Stanford Universities are implementing systems to archive and catalog Web sites, and digital files available via Web sites, that are of scholarly importance, while the University of Michigan is implementing a prototype software system for collecting faculty and staff email of institutional significance for preservation in the university's archives.

During 2009, Scholarly Communications also continued to support the basic and critically important activities of collection assessment and cataloging. In close association with the Performing

Arts program, Scholarly Communications awarded funds to six major symphony orchestras, the Kronos Performing Arts Association, and the American Symphony Orchestra League, for assessment of their archival collections including original scores and unique audio recordings. CLIR received funds to administer a second year of the Cataloging Hidden Collections program, a national, competitive, peer-reviewed granting program for the cataloging of unprocessed and uncataloged special collections in the US that are effectively “hidden” from scholars. In the UK, the University of Cambridge was awarded funds to support the cataloging of its 4,650 European incunabula (books printed before 1501).

To ensure that collection records are available to library users, robust software applications are needed so that library staff can catalog materials with rigor and ease, and make descriptive records available online to library users. To this end, the Foundation awarded funds to the University of California at San Diego, which, in collaboration with New York University and the University of Illinois at Urbana-Champaign, will plan and design a new software tool for the management and description of archives. This tool will be based on and enhance the best features of the existing tools Archon and the Archivists’ Toolkit.

In 2009, the program’s support for scholars to build broad and comprehensive resources for research focused on the fields of medieval studies, classics, and archaeology. St. John’s University received funds to catalog digitized eastern Christian medieval manuscripts held in a variety of institutions across the globe and in a variety of languages. The program also helped the Université de Fribourg in Switzerland to continue its e-codices project, which makes digitized medieval manuscripts in Switzerland accessible to scholars online. In the field of classics, the Foundation awarded funds to the University of Oxford to support the Archive of Performances of Greek and Roman Drama, which maintains an archival collection of materials related to contemporary performances of ancient drama and encourages research by convening international conferences and seminars on the topic. In the field of archaeology, Scholarly Communications made grants for the further development of the Chaco Canyon digital archive at the University of Virginia and an online bibliography of scholarship in the field of East Asian archaeology at Boston University.

To support scholarly publishing, Scholarly Communications provided funds to the University of Southern California to develop new methods of electronic publication in the field of visual studies so that scholars can more easily integrate text, images, and moving images. Grants were also awarded to the University of Pittsburgh and University of California as part of the Universities and their Presses program, which encourages the close alignment of the output of presses with the academic priorities of their sponsoring universities.

Museums and Art Conservation

The Museums and Art Conservation program, under the direction of Angelica Z. Rudenstine with Alison H. Gilchrest, has continued its efforts to enable outstanding art museums to build and sustain their capacity to undertake serious scholarship on their permanent collections, preserve these collections, and appropriately disseminate the results of their work to the scholarly community and other audiences.

At a time when the need for science within the field of art conservation was beginning to be recognized but the demand had not yet materialized, Foundation Trustees endorsed a proposal in 2000 to commit significant resources over a ten-year period to address this situation. As that decade comes to a close, the Foundation has invested approximately \$46 million at 21 museums and universities in support of science within art conservation. These grants have resulted in the establishment of new positions (several through endowment challenges), the establishment of postdoctoral fellowships for scientists, and the planning and equipping of laboratories. In addition, this support has encouraged research partnerships between scientists in museums and those in universities and industry, as well as the integration of museum collections and conservation resources into the curriculum of at least three universities (Rice, Emory, and Northwestern). Through carefully structured, advanced-level chemistry and physics courses or research opportunities, new models for science education, especially for undergraduates, have been developed.

Over the past six years, a significant effort has been made to enlist the support of the National Science Foundation (NSF) for the field of science in the cultural heritage sphere. The NSF had not been able to give the research needs of the field serious attention until this year

when the leadership of its division of chemistry invited the Foundation to co-sponsor a workshop intended to generate NSF interest in launching a broad plan of support for the field. The goals of the workshop were to explore the basic scientific questions relating to cultural heritage materials, define priorities for research, and enhance cross-disciplinary collaborations among scientists in cultural heritage institutions and their peers in academic, national, and industrial laboratories. In the wake of this very successful workshop attended by 42 scientists, NSF has posted a call for proposals, perhaps representing a turning point in funding sources for this scientific field. Meanwhile, the Foundation continues to recognize that post-doctoral fellowships for scientists in exceptional museum environments are essential elements in the strengthening of the pipeline of scientists: such fellowships at the British Museum have recently been extended for the next 16 years, and two senior scientific positions have been endowed at the Harvard Art Museum and the Walters Art Museum.

A continuing effort during the past year to strengthen the scholarly capacity of major art museums has resulted in the establishment of midlevel curatorships at the Minneapolis Institute of Arts and the Cleveland Museum of Art, as well as senior curatorial or conservation positions at Cleveland, the Phillips Collection, and the Frick Collection. At the Museum of Modern Art (MoMA), a new focus on scholarly research and publication of the permanent collections stimulated the award of a four-year grant in support of an interdisciplinary study and in-depth analysis of a major portion of the museum's photograph collection (the Thomas Walther Collection). The thorough documentation of these holdings and the eventual comprehensive publication of the results are seen by the museum as models for comparable study and dissemination of other areas of MoMA's collections. This will contribute to the shaping of MoMA's scholarly agenda for the future.

Following the initiation of a second cycle of grants under the College and University Art Museum program in 2008, an experimental model was launched by the Yale University Art Gallery in which it would lend important examples from its unusually comprehensive collections to help sister institutions in the liberal arts community strengthen their curricular offerings. Yale identified six institutions (Bowdoin, Dartmouth, Mount Holyoke, Oberlin, Smith, and Williams) that have significant art collections but lack the

Gallery's encyclopedic range. In partnership with faculty and curators from the colleges, Yale colleagues selected works that would particularly enrich the academic potential of the more limited holdings of the liberal arts college museums, enhancing what the faculty could accomplish in teaching with original works of art.

Lastly, at a time when many Foundation endowments at museums and training institutions had lost their historic dollar value, and when income to support the core scholarly activities was therefore unavailable, 13 grants totaling approximately \$3.7 million were made to institutions that faced critical challenges in their effort to maintain essential curatorial, conservation, and training activities.

Performing Arts

The Foundation's Performing Arts program, led by Susan Feder and Diane Ragsdale, works with leading orchestras, opera and single choreographer dance companies, regional and New York-based theaters and playwriting centers, presenting organizations, and the service organizations that assist these institutions. Several regranting programs, administered by partner institutions, extend Foundation support more widely. While the economic downturn weighed heavily on grantmaking considerations in 2009, the program's objectives remained stable. Grants to enable strong institutions to further their artistic and organizational development were made in the following broad categories: the creation and presentation of ambitious or rarely done artistic work; strengthening infrastructure to support the development and production of new works by artist-led companies; initiatives aimed at helping organizations adapt their practices, structures, or programming to a changing environment; documentation and preservation; legacy planning; international exchange activities; technological innovations that have the capacity to serve the broader field; and professional development and leadership training for administrators and artists.

In 2009, US orchestras confronted significant financial challenges deriving largely from their high fixed costs as well as broad systemic challenges that preceded the 2008 downturn. The long-standing national trend of declining attendance has forced orchestra leaders to ask whether they are producing too many musical events and providing sufficient civic and cultural value for their communities. Accordingly, the Performing Arts program supported

orchestras testing new models of programming, technology, management, and community engagement that are designed to address long-term issues of sustainability and also serve as models to help other orchestras adapt to changed circumstances. Grants were made to support Hispanic programming and marketing initiatives at the Los Angeles Philharmonic, ambitious multimedia projects at the Chicago Symphony and San Francisco Symphony, experimental concert formats at the New World Symphony, and the formation of amateur adult ensembles to be coached by San Francisco and Baltimore Symphony musicians.

Opera companies face many of the same challenges as orchestras do. However, because most have short mainstage seasons and opportunities to co-produce or adjust the number, length, and size of their productions, they have somewhat more flexibility in controlling expenses, despite the enormous costs of producing opera. Finding support to present new productions remains a pressing need; even more money is required for the performance of new operas or the revival of those rarely heard (including commission fees, workshops, extra rehearsals, and additional marketing). Although the Foundation's grants are not sufficient to cover such incremental expenses in full, program staff continued to focus on this area in order to encourage the revitalization of the art form at a particularly challenging moment and help companies leverage other support. Grants also went to exemplary organizations that have a deep and longstanding commitment to the presentation of new and unusual repertoire, and those at the forefront of creating collaborative partnerships to strengthen the development and dissemination of these works.

In response to the particular financial challenges of presenting large-scale classical music events on campuses, the Foundation made an initial grant to a consortium of three university presenters: University Musical Society (University of Michigan), Krannert Center (University of Illinois), and Cal Performances (University of California, Berkeley). This grant is designed to support their individual presenting activities, encourage greater student and faculty participation, and enable a joint commission and collaborative work.

The Foundation's multiyear inquiry into new play development and production continued to inform grantmaking efforts. As in 2008, when the Foundation began making larger grants to a smaller number of theaters—distinguished by their sustained commitment to artists, distinctive artistic vision, and history of producing

new or artistically ambitious works—grants went to the American Repertory Theatre, Washington Drama Society (Arena Stage), Center Theatre Group of Los Angeles, and the English Stage Company (Royal Court Theatre, in recognition of its longstanding support of American playwrights) among others. Recognizing that many now successful midcareer playwrights were first produced at small theaters dedicated to new work and early-career writers (whereas most funding for new work has traditionally gone to large resident theaters), the Foundation awarded support to a cohort of eight New York City-based theaters with budgets under \$750,000. Their artistic directors are widely recognized as leading professionals who have collectively nurtured the careers of many of the most talented writers and artists currently active in the field. The multi-year grants are intended to help them continue to take artistic risks, support playwrights and other artists, and produce high-quality, ambitious new works during the current economic downturn.

Last year, the Foundation moved its support for the creation and touring of dance to the National Dance Project, a peer-reviewed program managed by the New England Foundation for the Arts. Pursuant to that shift, grants in 2009 provided direct support to single choreographer companies to assist with a variety of initiatives: planning or capacity building that would enable companies to investigate or implement new financial strategies, operating structures, or partnerships aimed at making them stronger; ambitious revivals or reconstructions of work; or documentation and preservation of the legacy of their founders. A noteworthy example was the grant to the Cunningham Dance Foundation to support the legacy plan it developed with Merce Cunningham prior to his death in 2009. The plan covers documentation, preservation and licensing efforts, a farewell tour, and the closing of the company. Additionally, following a multiyear analysis of the finances of the dance program's grantees, the Foundation awarded several grants to establish or strengthen cash reserves. Finally, in response to ongoing concerns that artist-led performance companies (particularly dance companies) lack adequate resources to develop and produce their work, the Foundation awarded grants to the National Performance Network and the Alliance of Artist Communities to encourage and support the expansion and coordination of resources that presenters and others could make available for residencies of performing artists, and to the Joyce Theater Foundation to operate a fully outfitted dance

facility that will provide critically needed subsidized rehearsal space in Manhattan.

In response to the economic crisis, the Foundation provided a program-related investment to the Nonprofit Finance Fund to establish a zero-interest loan pool for its New York-based small and mid-sized performing arts grantees. The 18-month program provides both bridge funds to cover delayed payments from specific contracted and contributed sources and assistance in dealing with the unexpected loss of funding.

Program staff also worked closely with the Research in Information Technology program in the Foundation's ongoing effort to enhance the efficiency and operating strategies of performing arts organizations. Grants were made to Fractured Atlas Productions for the development of an open source ticketing software application, as well as for the planning phase of a broad-based initiative, "Project Audience," aimed at helping arts organizations develop collaborative strategies for promoting participation in the arts in their communities.

Conservation and the Environment

The Foundation's Conservation and the Environment program, directed by William Robertson IV with Doreen N. Tinajero, continued efforts begun in 2003 to help a consortium of over 153 herbaria from more than 57 countries to develop a coordinated database of high-quality digital images (600dpi) of plant Type specimens (the original specimens used to identify species). These Type images are augmented by reference works, photographs, and botanical art. The participating herbaria are contributing images for all of the Types they hold and their estimates indicate that the total will be in excess of 2 million, with approximately 1.4 million already submitted. The database is available online at JSTOR (<http://plants.jstor.org>). Staff welcome communications from any institutions holding Type specimens that have yet to be included in the database.

The Conservation and Environment Program is closing when the Plants Initiative is completed, as the Foundation hones its focus on its core areas of interest in the humanities and arts, as presented in the other program areas. Proposals will continue to be accepted through 2013 in the Plants Initiative and to conclude extant research programs within Research Bridges to South Africa.

Research in Information Technology

The Research in Information Technology (RIT) program was led in 2009 by Ira Fuchs and Christopher Mackie. Highlights of the year's grantmaking included a number of awards to support projects to develop sustainable open source software and standards which meet the technological needs of researchers and libraries.

Electronic scholarly resources, such as the medieval manuscript projects supported by Scholarly Communications, are greatly enhanced when scholars are able to annotate texts, images, and audiovisual clips electronically. Many different methods of and systems for digital annotation are now available. However, existing tools do not make it easy for individual scholars either to keep their own annotations together or to share their annotations with other scholars. In addition, different tools and standards must be used for annotation of different types of media, making research using multimedia sources cumbersome. To address these problems, the RIT program funded the OpenAnnotation project led by University of Illinois at Urbana-Champaign (UIUC) to develop a set of interoperability standards and an annotation standard to support more effective interactions between annotation tools and digital collections.¹ The annotation standard will encompass all types of media and allow for annotation of content located on a local computer or remote server. The project will include pilot implementations of the annotation standard using JSTOR's collections and Zotero, the Web-based research tool, as the annotation client.

Although the OpenAnnotation project serves a direct and obvious need on the part of scholars, much of the technological infrastructure required for humanistic scholarship is invisible from scholars and students. For example, the basic library services needed by the academic community—online library catalogs, the ability to request online an interlibrary loan, and even librarians' acquisition of books and journals—rely on a core Integrated Library Systems (ILS). Most ILS applications were developed decades ago, and have been expanded on an *ad hoc* basis to facilitate the acquisition of electronic library materials and the integration of the ILS with other computer systems within the library and in other units across cam-

¹ Other project partners are University of Maryland, University of Queensland, Los Alamos National Laboratory, Ithaka Harbors, Inc, and George Mason University.

puses. In 2008, a Foundation-funded planning process, led by Duke University, sought to define the requirements of a 21st-century open source ILS. With the planning phase successfully completed in 2009, a group of universities, led by Indiana University, received funds to develop such a system, named Kuali Open Library Environment, which would be developed, maintained, and governed by project partners under the umbrella of the Kuali Foundation.²

Special International Emphases: South Africa

The South Africa program seeks to strengthen the country's democracy through its specific intervention of supporting the humanities in higher education. Under the guidance of Stuart Saunders, the Foundation subsidizes the programs that key South African universities have developed in order to train the next generation of scholars and teachers. In addition, it supports programs that encourage innovative research and teaching in order to increase knowledge production and make it widely available to the scholarly community.

The Foundation continues its active program of fellowships in the humanities. In 2009, fellowships for students pursuing honors degrees (the honors year precedes entry into masters programs) in the humanities at the University of Cape Town were instituted. These fellowships are designed to encourage qualified students who possess their first degrees to undertake further study and thus to create an essential pipeline for future masters and doctoral students. A grant to the University of the Western Cape also combined support for honors and masters students. At the University of the Witwatersrand, financial assistance for masters and doctoral students has been funneled through the postgraduate mentoring program. In addition to recurring fellowship funds, students gain valuable academic mentoring and advice on professional development. The aim is to increase the likelihood that they will pursue an academic career.

² The project partners, in addition to Indiana, are Lehigh University, the Universities of Chicago, Maryland, Michigan, and Pennsylvania, the Florida Consortium, and the Triangle Research Libraries Network.

The program also supports scholarly research in university research centers. A grant to the University of Cape Town helped establish its humanities center and a grant to the University of the Witwatersrand established a Chair of Indian Studies at the Centre for Indian Studies in Africa. While different in scope, these centers seek to: 1) contribute to the production of the next generation of humanities scholars through doctoral and postdoctoral support and enrichment; 2) promote intellectual linkages between scholars in the region, the nation, and the world; 3) create lively hubs of scholarly exchange and collaboration between university departments; and 4) invigorate the national public debate in support of democratic values.

In an effort to make primary source materials more available to the scholarly community, funds were given to the University of Cape Town for the continued conservation, documentation, and interpretation of archival materials related to the San people of Southern Africa.

The Andrew W. Mellon Foundation

Summary of Grants and Contributions, 2009

The following table includes program-related investments, which are classified as other assets in the Foundation's Balance Sheets in the accompanying financial statements.

	<i>Payable and Committed at Dec. 31, 2008</i>	<i>2009 Grants and Commitments</i>		<i>Payable and Committed at Dec. 31, 2009</i>
		<i>Appropriated</i>	<i>Paid</i>	
Conservation and the Environment	\$ 4,837,133	\$ 11,217,200	\$ 13,554,348	\$ 2,499,985
Museums and Art				
Conservation	19,827,618	17,890,560	19,002,909	18,715,269
Performing Arts	10,853,750	28,173,697	29,126,197	9,901,250
Higher Education and				
Scholarship	61,477,881	122,163,500	127,962,041	55,679,340
Libraries and Scholarly				
Communication	9,863,478	18,688,000	24,675,650	3,875,828
Other	484,330	500,000	984,330	—
Program-Related				
Investments	—	1,265,000	1,265,000	—
Program grants and commitments — totals	107,344,190	199,897,957	216,570,475	90,671,672
Contributions and matching gifts	—	856,760	856,760	—
	<u>\$107,344,190</u>	<u>\$200,754,717</u>	<u>\$217,427,235</u>	<u>\$90,671,672</u>

The Andrew W. Mellon Foundation

Classification of Grants

CONSERVATION AND THE ENVIRONMENT

Appropriated

Academy of Natural Sciences of Philadelphia,
Philadelphia, Pennsylvania:

To support the development of a coordinated digital
database of images and information on plants of
Africa, Latin America, and other areas \$ 93,000

Arizona State University,
Tempe, Arizona:

To support a program of ecological research and
training 299,000

To support the development of a coordinated digital
database of images and information on plants of
Africa, Latin America, and other areas 8,000

Association Tela Botanica,
Montpellier, France:

To continue the development of a coordinated
digital database of images and information on plants
of Africa, Latin America, and other areas 213,000

Botanische Staatssammlung München,
Munich, Germany:

To support the development of a coordinated digital
database of images and information on plants of
Africa, Latin America, and other areas 275,000

Brooklyn Botanic Garden Corporation,
Brooklyn, New York:

To support the development of a coordinated digital
database of images and information on plants of
Africa, Latin America, and other areas 22,000

CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

Carnegie Institution of Washington,
Washington, DC:

To support programs of ecological research and
training 537,000

Conservatoire et Jardin Botaniques,
Geneva, Switzerland:

To support the development of a coordinated digital
database of images and information on plants of
Africa, Latin America, and other areas 480,000

Corporación para el Desarrollo de las Ciencias
Vegetales en América Latina,
Santiago, Chile:

To support the Latin American Plants Sciences
Network (RedLatinoamericana de Botánica) 85,000

Fairchild Tropical Botanic Garden,
Coral Gables, Florida:

To support the development of a coordinated digital
database of images and information on plants of
Africa, Latin America, and other areas 47,000

Field Museum of Natural History,
Chicago, Illinois:

To support the development of a coordinated digital
database of images and information on plants of
Africa, Latin America, and other areas 33,000

Free University of Berlin,
Berlin, Germany:

To support the development of a coordinated digital
database of images and information on plants of
Africa, Latin America, and other areas 189,000

CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

Friedrich-Schiller-Universität Jena,
Jena, Germany:

To support the development of a coordinated digital
database of images and information on plants of
Africa, Latin America, and other areas 180,000

Fundación Jardín Botánico Joaquín Antonio Uribe,
Medellin, Colombia:

To support the development of a coordinated digital
database of images and information on plants of
Africa, Latin America, and other areas 11,000

Georg-August-Universität Göttingen,
Göttingen, Germany:

To continue the development of a coordinated
digital database of images and information on plants
of Africa, Latin America, and other areas 83,000

Harvard University,
Cambridge, Massachusetts:

To continue the development of a coordinated
digital database of images and information on plants
of Africa, Latin America, and other areas 172,000

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

To continue the development of a coordinated
digital database of images and information on plants
of Africa, Latin America, and other areas 43,000

Instituto de Botanica Darwinion,
Buenos Aires, Argentina:

To continue the development of a coordinated
digital database of images and information on plants
of Africa, Latin America, and other areas 44,000

CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

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

To support the development of a coordinated digital
database of images and information on plants of
Africa, Latin America, and other areas 13,000

Instituto de Pesquisas Jardim Botânico
do Rio de Janeiro,
Rio de Janeiro, Brazil:

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

Instituto Nacional de Biodiversidad,
Santo Domingo, Heredia, Costa Rica:

To support the development of a coordinated digital
database of images and information on plants of
Africa, Latin America, and other areas 28,000

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

To support the development of a coordinated digital
database of images and information on plants of
Africa, Latin America, and other areas 213,000

Lunds Universitet,
Lund, Sweden:

To support the development of a coordinated digital
database of images and information on plants of
Africa, Latin America, and other areas 72,000

Missouri Botanical Garden,
St. Louis, Missouri:

To continue the development of a coordinated
digital database of images and information on plants
of Africa, Latin America, and other areas 178,000

CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

Museo di Storia Naturale,
Florence, Italy:

To continue the development of a coordinated
digital database of images and information on plants
of Africa, Latin America, and other areas 27,000

Muséum national d'Histoire naturelle,
Paris, France:

To support the development of a coordinated digital
database of images and information on plants of
Africa, Latin America, and other areas 555,000

To support the development of a coordinated digital
database of images and information on plants of
Africa, Latin America, and other areas 178,000

The Natural History Museum,
London, United Kingdom:

To continue the development of a coordinated
digital database of images and information on plants
of Africa, Latin America, and other areas 395,000

To support the development of a coordinated digital
database of images and information on plants of
Africa, Latin America, and other areas 127,000

To support an international informatics meeting . . . 20,000

Naturhistorisches Museum Wien,
Vienna, Austria:

To support the development of a coordinated digital
database of images and information on plants of
Africa, Latin America, and other areas 547,000

New York Botanical Garden,
Bronx, New York:

To support science and library programs 500,000

To continue the development of a coordinated
digital database of images and information on plants
of Africa, Latin America, and other areas 379,000

CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

To continue the development of a coordinated digital database of images and information on plants of Africa, Latin America, and other areas	250,000
Rancho Santa Ana Botanic Garden, Claremont, California:	
To support the development of a coordinated digital database of images and information on plants of Africa, Latin America, and other areas	8,000
Real Jardín Botánico de Madrid, Madrid, Spain:	
To support the development of a coordinated digital database of images and information on plants of Africa, Latin America, and other areas	162,000
Rhodes University, Grahamstown, South Africa:	
To support programs of ecological research and training	200,000
The Royal Botanic Garden Edinburgh, Edinburgh, United Kingdom:	
To support the development of a coordinated digital database of images and information on plants of Africa, Latin America, and other areas	218,000
To support the development of a coordinated digital database of images and information on plants of Africa, Latin America, and other areas	25,200
Royal Botanic Gardens, Kew, Richmond, United Kingdom:	
To continue the development of a coordinated digital database of images and information on plants of Africa, Latin America, and other areas	659,000
To continue the development of a coordinated digital database of images and information on plants of Africa, Latin America, and other areas	203,000

CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

To continue the development of a coordinated digital database of images and information on plants of Africa, Latin America, and other areas	200,000
To support a scientific conference	10,000
Smithsonian Institution, Washington, DC:	
To support the development of a coordinated digital database of images and information on plants of Africa, Latin America, and other areas	463,000
To support the development of a coordinated digital database of images and information on plants of Africa, Latin America, and other areas	380,000
South African National Biodiversity Institute, Pretoria, South Africa:	
To support the development of a coordinated digital database of images and information on plants of Africa, Latin America, and other areas	436,000
To continue the development of a coordinated digital database of images and information on plants of Africa, Latin America, and other areas	60,000
South African National Parks, Pretoria, South Africa:	
To support programs of ecological research and training	380,000
Universidad de la República, Montevideo, Uruguay:	
To support the development of a coordinated digital database of images and information on plants of Africa, Latin America, and other areas	7,000

CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

Universidad Nacional de La Plata,
Buenos Aires, Argentina:

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

Universidad Nacional Mayor de San Marcos,
Lima, Peru:

To support efforts in the digitizing of Latin
American Types, data sharing, and capacity
building 30,000

Universidade de Lisboa,
Lisbon, Portugal:

To support the development of a coordinated digital
database of images and information on plants of
Africa, Latin America, and other areas 32,000

Universidade Federal de Minas Gerais,
Minas Gerais, Brazil:

To support the development of a coordinated digital
database of images and information on plants of
Africa, Latin America, and other areas 19,000

University of British Columbia,
Vancouver, British Columbia, Canada:

To support the development of a coordinated digital
database of images and information on plants of
Africa, Latin America, and other areas 10,000

University of California at Davis,
Davis, California:

To support a program of ecological research and
training in collaboration with Kruger National Park
in South Africa 239,000

CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

University of Cape Town,
Cape Town, South Africa:

To support programs of ecological research and
training 220,000

University of Florida at Gainesville,
Gainesville, Florida:

To support a program of ecological research and
training 300,000

University of Helsinki,
Helsinki, Finland:

To support the development of a coordinated digital
database of images and information on plants of
Africa, Latin America, and other areas 64,000

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

To support the development of a coordinated digital
database of images and information on plants of
Africa, Latin America, and other areas 80,000

University of the Witwatersrand,
Johannesburg, South Africa:

To support programs of ecological research and
training 296,000

University of Wyoming,
Laramie, Wyoming:

To support the development of a coordinated digital
database of images and information on plants of
Africa, Latin America, and other areas 36,000

CONSERVATION AND
THE ENVIRONMENT

(continued)

Appropriated

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

To support the development of a coordinated digital database of images and information on plants of Africa, Latin America, and other areas	101,000
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Total—Conservation and the Environment	<u><u>\$11,217,200</u></u>
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MUSEUMS AND
ART CONSERVATION

Appropriated

The British Museum,
London, United Kingdom:

To support a program of postdoctoral science
fellowships \$ 1,250,000

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

To sustain Mellon curatorial positions at a time
when their endowment principals have fallen below
their historic dollar value 400,000

Cleveland Museum of Art,
Cleveland, Ohio:

To create and endow two midlevel curatorial
positions and to support a senior curatorship of
Japanese and Korean art 1,950,000

Dartmouth College,
Hanover, New Hampshire:

To establish an endowment to strengthen the
curricular role of the museum's collections and
programs 1,250,000

Emory University,
Atlanta, Georgia:

To support the development of curricula to
strengthen the academic role of the museum's
collections and programs 500,000

Frick Collection,
New York, New York:

To establish an endowment for the position of chief
conservator 1,000,000

Harvard University,
Cambridge, Massachusetts:

To endow the position of senior organic scientist at
the Straws Center for Conservation at the Harvard
Art Museum 1,000,000

MUSEUMS AND
ART CONSERVATION

(continued)

Appropriated

Institute of Museum and Library Services,
Washington, DC:

To support the final meeting in the multiyear
initiative of the Institute of Museum and Library
Services to establish goals and identify resources for
collections care 10,000

Isabella Stewart Gardner Museum, Inc.,
Boston, Massachusetts:

To support curatorial research while endowment
funds for a program of scholarly exhibitions are
being raised 170,000

Menil Foundation, Inc.,
Houston, Texas:

To create an archive of filmed artist interviews and
to facilitate access to this material 195,000

Metropolitan Museum of Art,
New York, New York:

To support the preparation of contributions to the
Rembrandt Database located at the Rijksbureau
voor Kunsthistorische Documentatie and
Mauritshuis 43,560

Minneapolis Society of Fine Arts,
Minneapolis, Minnesota:

To endow two midlevel (assistant or associate)
curatorships and to support these positions while
matching funds are being raised 1,750,000

Museum of Modern Art,
New York, New York:

To support the initiation of a program of research
and scholarly publication of the museum's
permanent collection 1,475,000

MUSEUMS AND
ART CONSERVATION

(continued)

Appropriated

National Gallery of Art,
Washington, DC:

To sustain the program of scholarly publications at the Center for Advanced Study in the Visual Arts at a time when the endowment principal has fallen below its historic dollar value	750,000
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Nelson Gallery Foundation,
Kansas City, Missouri:

To support a pilot program of collaborative projects to be undertaken by the Nelson-Atkins Museum of Art with outside scientists	110,000
--	---------

New York Public Library,
New York, New York:

To support a comprehensive survey of the library's photograph holdings and their condition	50,000
--	--------

New York University,
New York, New York:

To sustain conservation student support at the Institute of Fine Arts at a time when the endowment principal has fallen below its historic dollar value	350,000
To support advanced teaching residencies in conservation	191,000
To support a summer training program in surveying historic collections	50,000

North Carolina Museum of Art Foundation, Inc.,
Raleigh, North Carolina:

To sustain the Mellon research program at a time when the endowment principal has fallen below its historic dollar value	178,000
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MUSEUMS AND
ART CONSERVATION

(continued)

Appropriated

Northwestern University,
Evanston, Illinois:

To support a workshop entitled "Chemistry and
Material Science of Cultural Heritage: Components,
Structures, and Processes," jointly sponsored by the
National Science Foundation 34,500

Philadelphia Museum of Art,
Philadelphia, Pennsylvania:

To sustain Mellon curatorial, conservation, and
science positions at a time when their endowment
principals have fallen below their historic dollar
value 300,000

The Phillips Collection,
Washington, DC:

To support the position of senior curator 750,000

Seattle Art Museum,
Seattle, Washington:

To sustain the conservation department at a time
when its Mellon endowment principal has fallen
below its historic dollar value 500,000

Smithsonian Institution,
Washington, DC:

To support the position of conservator of
decorative arts at the Cooper-Hewitt National
Design Museum while endowment funds are being
raised 260,000

Stiftung museum kunst palast,
Düsseldorf, Germany:

To support a pilot project for conservation
documentation in digital form 260,000

To supplement for the previous grant to the museum
in light of currency discrepancies 15,000

MUSEUMS AND
ART CONSERVATION

(continued)

Appropriated

University of Delaware,
Newark, Delaware:

To support advanced teaching residencies in
conservation 174,000

Wadsworth Atheneum Museum of Art,
Hartford, Connecticut:

To sustain the position of curator of European art
at a time when the endowment principal has fallen
below its historic dollar value 250,000

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

To establish a permanent endowment for the
position of senior scientist 1,500,000

To sustain Mellon curatorial positions at a time
when their endowment principals have fallen below
their historic dollar value 260,000

Worcester Art Museum,
Worcester, Massachusetts:

To sustain the Mellon fellowship program at a time
when the endowment principal has fallen below its
historic dollar value 100,000

Yale University,
New Haven, Connecticut:

To support the implementation of an experimental
program in which works of art from Yale's collections
would be loaned to six college art museums 750,000

To support a comprehensive survey of Yale's
photographic holdings 64,500

Total—Museums and Art Conservation

\$17,890,560

PERFORMING ARTS	<i>Appropriated</i>
Alliance of Artists Communities, Providence, Rhode Island:	
To support efforts to increase and improve residency opportunities for performing artists \$	85,000
American Conservatory Theatre Foundation, San Francisco, California:	
To support the development of <i>The Tosca Project</i> . . .	50,000
American Repertory Theatre Company, Inc., Cambridge, Massachusetts:	
To support new artistic initiatives, including <i>Club Zero Arrow, Destination: Boston</i> and <i>ART in the World</i> , and organizational development	1,000,000
American Symphony Orchestra League, New York, New York:	
To support professional development offerings and core programs	1,500,000
To support a convening of field leaders	10,000
Anna Deavere Smith Works, Inc., New York, New York:	
To support a pilot residency program for artists at New York University	100,000
Association of Performing Arts Presenters Inc., Washington, DC:	
To support the <i>Under the Radar Festival and Symposium</i>	250,000
To support the Cultural Exchange Fund	200,000
Ballet Theatre Foundation, Inc., New York, New York:	
To support the National Residency Program	225,000

PERFORMING ARTS

(continued)

Appropriated

Baltimore Symphony Orchestra, Inc.,
Baltimore, Maryland:

To support the Summer Academy 950,000

The Carnegie Hall Corporation,
New York, New York:

To support a feasibility study for a national youth
orchestra in partnership with the Yale School of
Music 50,000

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

To support a commissioning and development
program focused on non-text-based work 1,000,000

Chicago Opera Theater,
Chicago, Illinois:

To support productions of six contemporary and
Baroque operas 500,000

Chicago Symphony Orchestra,
Chicago, Illinois:

To support the artistic initiative *Beyond the Score* . . . 900,000

Clubbed Thumb, Inc.,
New York, New York:

To support an artistic director discretionary fund . . 90,000

Corporate Council for the Arts,
Seattle, Washington:

To support planning related to the development of
Project Audience, a collaborative, community-based
technology to support audience engagement with
arts and culture 68,000

To support expenses for a convening related to
Project Audience 14,484

PERFORMING ARTS

(continued)

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

To support the Living Legacy Plan 1,000,000

To support *Mondays with Merce* 100,000Dance Heritage Coalition, Inc.,
Washington, DC:To support the preliminary assessment of the
archives of a cohort of single choreographer
companies 10,125Danspace Project, Inc.,
New York, New York:To support facilitation and meeting costs related to
an assessment of the programs and services among
the three dance-related organizations, and a
convening with leaders in the New York dance
community 6,588Discalced, Inc.,
Brooklyn, New York:To support a cash reserve fund and initiatives aimed
at strengthening programs and finances 720,000English Stage Company, Ltd.,
London, United Kingdom:To support the development and production of new
plays by American writers 400,000Festival of North American Orchestras, Inc.,
New York, New York:To support the *Spring for Music* festival 1,000,000Florida State University Foundation, Inc.,
Tallahassee, Florida:To support a national choreographic research
conference at the Maggie Allesee National Center
for Choreography 50,000

PERFORMING ARTS

(continued)

Appropriated

The Foundry Theatre, Inc.,
New York, New York:

To support an artistic director discretionary fund . . . 165,000

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

To support the development and deployment of a
new open source ticketing software application for
the performing arts community 350,000

To enable NYC Performing Arts Spaces to conduct
a study assessing rehearsal space needs and
availability for single choreographer dance
companies in New York City 41,500

Glimmerglass Opera, Inc.,
Cooperstown, New York:

To support artistic initiatives and the production of
new America operas 500,000

Hartford Stage Company,
Hartford, Connecticut:

To support Horton Foote's *Orphans' Home Cycle* . . . 500,000

Huntington Theatre Company, Inc.,
Boston, Massachusetts:

To support the development of Chay Yew's *The Long
Season* 50,000

Ina, Inc.,
New York, New York:

To support Eiko and Koma's *Retrospective Project* . . . 225,000

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

To support artistic initiatives 1,000,000

PERFORMING ARTS

(continued)

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

To support subsidies for nonprofit rentals and operations at the organization's 38th Street space . .	400,000
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To support the take-over of the lease on a space outfitted with 11 dance studios, and the purchase of necessary equipment	100,000
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Los Angeles Philharmonic Association,
Los Angeles, California:

To support artistic and marketing initiatives to cultivate Latino audiences	900,000
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Margaret Jenkins Dance Studio, Inc.,
San Francisco, California:

To establish a cash reserve fund and to support the Choreographers in Mentorship Exchange program . .	405,000
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Martha Graham Center of Contemporary Dance, Inc.,
New York, New York:

To support the reconstruction of the 1938 dance <i>American Document</i>	110,000
--	---------

To support salary costs for a development professional and an administrative support professional	100,000
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Ma-Yi Filipino Theatre Ensemble, Inc.,
New York, New York:

To establish a cash reserve fund and support an artistic discretionary fund	165,000
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Memphis Orchestral Society Inc.,
Memphis, Tennessee:

To support planning for a musician-led concert series	40,000
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PERFORMING ARTS

(continued)

*Appropriated*Minnesota Orchestral Association,
Minneapolis, Minnesota:

To support planning for a series of week-long residency programs in small Minnesota communities	15,000
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Musical Arts Association,
Cleveland, Ohio:

To support artistic and marketing initiatives related to a diversification strategy	800,000
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National Arts Strategies, Inc.,
Washington, DC:

To support an executive education program for nonprofit arts organizations	1,000,000
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National Performance Network, Inc.,
New Orleans, Louisiana:

To support the Forth Subsidy Fund	100,000
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New World Symphony, Inc.,
Miami Beach, Florida:

To support artistic initiatives related to new concert formats	500,000
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New York Foundation for the Arts, Inc.,
Brooklyn, New York:

To support the New York Theater Program	27,000
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Nonprofit Finance Fund,
New York, New York:

To support financial analyses and consultations with the companies participating in Mellon's single choreographer dance program	135,000
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To support costs associated with administering a loan program	105,000
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PERFORMING ARTS

(continued)

Appropriated

Opera America, Inc.,

New York, New York:

To support professional development programs and customization and implementation of the Cultural Data Project in New York	770,000
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Opera Theatre of Saint Louis,

St. Louis, Missouri:

To support productions of new America operas	1,000,000
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Orpheus Chamber Orchestra, Inc.,

New York, New York:

To support planning for the expansion of the Orpheus Institute	45,000
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Paul Taylor Dance Foundation, Inc.,

New York, New York:

To support the continuation of work on the Paul Taylor Dance Archives	50,000
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Pick Up Performance Company, Inc.,

New York, New York:

To support capacity building and the revival of an historic work	200,000
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Play Production Company, Inc.,

New York, New York:

To establish a cash reserve fund and support an artistic director discretionary fund	135,000
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Rattlestick Productions, Inc.,

New York, New York:

To support an artistic director discretionary fund . .	165,000
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PERFORMING ARTS

(continued)

Appropriated

Ringside, Inc.,

Brooklyn, New York:

To establish a cash reserve fund and support new strategic initiatives and organizational capacity building	325,000
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San Francisco Symphony,

San Francisco, California:

To support three initiatives: <i>Keeping Score</i> , an Internet radio station, an adult amateur orchestra, and chamber music activities	800,000
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The Santa Fe Opera,

Santa Fe, New Mexico:

To support technology and marketing assessments . .	875,000
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Seattle Opera,

Seattle, Washington:

To support a fund to help underwrite two subsequent productions of Daron Hagen's <i>Amelia</i> . .	500,000
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Seventh Regiment Armory Conservancy, Inc.,

New York, New York:

To support the development of the Armory's performing arts program	200,000
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Shen Wei Dance Arts, Inc.,

New York, New York:

To support salary costs for a full-time development director	50,000
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Soho Repertory Theatre, Inc.,

New York, New York:

To establish a cash reserve fund and support an artistic director discretionary fund	200,000
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PERFORMING ARTS

(continued)

*Appropriated*Sphinx Organization, Inc.,
Detroit, Michigan:

To support the 2009 Sphinx Chamber Orchestra Tour	25,000
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St. Ann Center for Restoration and the Arts, Inc.,
Brooklyn, New York:

To support new works by New York artists	50,000
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Stephen Petronio Dance Company, Inc.,
New York, New York:

To establish a cash reserve fund	150,000
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Theater Labrador, Inc.,
New York, New York:

To support an artistic director discretionary fund . .	90,000
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Theatre and Arts Foundation of San Diego County,
La Jolla, California:

To support the development of a new, large-scale music-theater piece exploring the life of John Birch . .	50,000
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Theatre Communications Group, Inc.,
New York, New York:

To support the <i>New Generations</i> program	1,000,000
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Theatre Development Fund, Inc.,
New York, New York:

To support field meetings and the dissemination of findings from a research study in nine US cities . . .	21,000
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13 Playwrights, Inc.,
Brooklyn, New York:

To support artistic initiatives	90,000
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PERFORMING ARTS

(continued)

*Appropriated*University Musical Society,
Ann Arbor, Michigan:

To support classical music presentations, as well as
commissioning and associated residency activities in
collaboration with Cal Performances and the
Krannert Center for the Performing Arts 700,000

University of California at Berkeley,
Berkeley, California:

To support classical music presentations at Cal
Performances and collaborative work with the
University Musical Society and the Krannert
Center for the Performing Arts 600,000

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

To support classical music presentations at the
Krannert Center for the Performing Arts and
collaborative work with the University Musical
Society and Cal Performances 600,000

University of Southern California,
Los Angeles, California:

To support a national summit at the Annenberg
School for Communication that will identify and
produce new models for arts journalism 20,000

Washington Drama Society, Inc.,
Washington, DC:

To support the American Voices New Play Institute . . . 1,100,000

Wesleyan University,
Middletown, Connecticut:

To support arts components of the Creative
Campus Initiative administered by Wesleyan's
Center for the Arts 50,000

PERFORMING ARTS

(continued)

*Appropriated*Woolly Mammoth Theatre Company,
Washington, DC:To support artistic initiatives and organizational
development 300,000

Total—Performing Arts

\$28,173,697

HIGHER EDUCATION
AND SCHOLARSHIP

Appropriated

Allegheny College,
Meadville, Pennsylvania:

To support substantial curricular revision and enhancement in Middle Eastern and North African Studies	\$ 400,000
To support presidential initiatives	100,000

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

To support dissertation completion fellowships for graduate students in the humanities and social sciences, and portable early career fellowships for recent PhD recipients in these fields	10,623,000
To support New Faculty Fellowships for recent PhD recipients in the humanities	4,792,000

American Indian College Fund,
Denver, Colorado:

To support the continuation of the Mellon Faculty Career Enhancement Fellowship Program for tribal college faculty	450,000
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American Musicological Society Inc.,
Brunswick, Maine:

To support publication of first books by junior scholars in musicology	200,000
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American Philosophical Society,
Philadelphia, Pennsylvania:

To support small research grants for junior scholars	250,000
--	---------

American University - Central Asia,
Bishkek, Kyrgyz Republic:

To support faculty development to stabilize the new curriculum in the humanities	100,000
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HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

American University of Beirut,
New York, New York:

To support a Writing Across the Curriculum program	400,000
To support presidential initiatives	100,000

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

To support the work and development of the American International Consortium of Libraries (AMICAL)	740,000
To support presidential initiatives	100,000

Antioch University,
Yellow Springs, Ohio:

To support the development of a plan to reopen the college in 2011	50,000
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Appalachian College Association,
Berea, Kentucky:

To support expansion of the William G. Bowen Central Library of Appalachia's collections	300,000
To support an initiative that will enhance opportunities for study away from campus	300,000
To support technology initiatives and expansion of the William G. Bowen Central Library shared online catalog	280,000
To support presidential initiatives	100,000
To support planning for a consortium-wide foreign-language teaching and learning initiative . . .	100,000

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

To support ongoing programs	200,000
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HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Austin College,
Sherman, Texas:

To support a course partnership program 500,000

Barnard College,
New York, New York:

To support an environmental studies program 450,000

To support the renewal of the Mellon Mays
Undergraduate Fellowship program 151,300

To support presidential initiatives 100,000

To support a pilot program to bring undergraduate
classes into museums to learn from actual objects
and installations 50,000

Bates College,
Lewiston, Maine:

To support faculty career enhancement initiatives . . 300,000

Bennett College,
Greensboro, North Carolina:

To support student retention 46,000

Bennington College,
Bennington, Vermont:

To support an environmental studies program 324,000

Berea College,
Berea, Kentucky:

To support a faculty bridge program and curriculum
development in the humanities and humanistic
social sciences 412,000

Boston University,
Boston, Massachusetts:

To support a Sawyer Seminar on the Comparative
Study of Cultures, entitled "Energy Transitions and
Society" 150,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Bowdoin College,
Brunswick, Maine:

To support the renewal of the Mellon Mays Undergraduate Fellowship program	334,000
To support a President's Arts and Lecture Fund . . .	150,000

Brooklyn College,
Brooklyn, New York:

To support the renewal of the Mellon Mays Undergraduate Fellowship program	248,000
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Brown University,
Providence, Rhode Island:

To support postdoctoral fellowships in the humanities and humanistic social sciences	1,246,000
To support the renewal of the Mellon Mays Undergraduate Fellowship program	248,000
To support an Emeritus Fellowship	40,000

Bryn Mawr College,
Bryn Mawr, Pennsylvania:

To support teaching and learning initiatives	735,000
To support the renewal of the Mellon Mays Undergraduate Fellowship program	359,000
To support presidential initiatives	100,000
To support comprehensive administrative and operational collaboration with Haverford College . .	50,000

California Institute of Technology,
Pasadena, California:

To support the renewal of the Mellon Mays Undergraduate Fellowship program	122,000
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Canadian Centre for Architecture,
Montreal, Canada:

To support visiting fellowships for senior scholars . .	308,000
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HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Carleton College,
Northfield, Minnesota:

To support the teaching of visual analysis,
interpretation, and communication skills across
the curriculum 770,000

To support the renewal of the Mellon Mays
Undergraduate Fellowship program 269,400

Carnegie Mellon University,
Pittsburgh, Pennsylvania:

To support postdoctoral fellowships in the
humanities and humanistic social sciences 1,124,000

To support a summer program for undergraduate
students at Historically Black Colleges and
Universities 206,000

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

Centre College,
Danville, Kentucky:

To support faculty and curriculum development . . . 452,000

City College of New York,
New York, New York:

To support the renewal of the Mellon Mays
Undergraduate Fellowship program 370,000

Claremont McKenna College,
Claremont, California:

To support an Arabic language program 295,000

Claremont University Consortium,
Claremont, California:

To support an intercollegiate environmental
analysis program 1,500,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

College of William and Mary,
Williamsburg, Virginia:

To support presidential initiatives 100,000

Colorado College,
Colorado Springs, Colorado:

To support a pilot program in Mediterranean
languages and cultures to serve as a model for
incorporating modern languages more fully into
the broader curriculum 414,000

Columbia University,
New York, New York:

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

To support a program to train graduate students in
the humanities and social sciences in research
methods ordinarily not included in their disciplinary
requirements 547,000

To support the renewal of the Mellon Mays
Undergraduate Fellowship program 255,400

To support a dissertation seminar in the
humanities 133,000

To support a graduate colloquium on the history
and structure of American higher education 42,000

To support an Emeritus Fellowship 40,000

To support an Emeritus Fellowship 18,000

Connecticut College,
New London, Connecticut:

To support an initiative to expand and enhance
the teaching of foreign languages across the
curriculum 375,000

Cornell College,
Mount Vernon, Iowa:

To support an environmental studies program 316,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Cornell University,
Ithaca, New York:

To support research and training in the economics of higher education	699,000
To support the renewal of the Mellon Mays Undergraduate Fellowship program	397,000
To support digital imaging training and sustainability planning for librarians at Historically Black Colleges and Universities	375,000
To support a New Directions Fellowship	274,000
To support an Emeritus Fellowship	48,000
To support an Emeritus Fellowship	55,000
To support ongoing scholarly activities by a former New Directions Fellowship recipient	45,000
To support ongoing scholarly activities by a former New Directions Fellowship recipient	50,000

Council for European Studies,
New York, New York:

To support summer pre-dissertation fellowships for graduate students in the humanities and humanistic social sciences	400,000
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Council of Independent Colleges,
Washington, DC:

To support information fluency workshops in core disciplines of the humanities	577,000
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Dartmouth College,
Hanover, New Hampshire:

To support the renewal of the Mellon Mays Undergraduate Fellowship program	324,000
To support a New Directions Fellowship	224,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Denison University,
Granville, Ohio:

To support an increase in the number of tenure-track faculty positions	788,000
To support reconfiguration of the honors program and to establish a multicultural student services center	250,000

DePauw University,
Greencastle, Indiana:

To support an environmental studies program	595,000
To support presidential initiatives	100,000

Dickinson College,
Carlisle, Pennsylvania:

To support an Africana studies program	250,000
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Duke University,
Durham, North Carolina:

To support the renewal of the Mellon Mays Undergraduate Fellowship program	286,000
To support an Emeritus Fellowship	55,000
To support planning for international training programs for graduate students in the humanities . .	50,000

Emory University,
Atlanta, Georgia:

To support faculty and programmatic renewal in the humanities	2,390,000
To support the renewal of the Mellon Mays Undergraduate Fellowship program	83,200
To support an Emeritus Fellowship	37,000
To support the symposium, "A Keeping of the Records: The Art and Life of Alice Walker"	10,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Fisk University,
Nashville, Tennessee:

To support curriculum realignment	500,000
To support an academic bridge program	42,000

Five Colleges Incorporated,
Amherst, Massachusetts:

To support strategic academic and administrative planning	45,000
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The Five Colleges of Ohio,
Gambier, Ohio:

To support the integration of digital resources into the curricula of liberal arts colleges	600,000
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Goucher College,
Baltimore, Maryland:

To support an environmental studies program	448,000
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Graduate School and University Center,
City University of New York,
New York, New York:

To support activities associated with academic renewal and innovation in the humanities and humanistic social sciences	2,415,000
To support initiatives aimed at strengthening the role that the Center for the Humanities plays in the instructional and scholarly activities of the university	491,000
To support an Emeritus Fellowship	55,000
To support an Emeritus Fellowship	31,000

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

To support ongoing programs	200,000
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HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Grinnell College,
Grinnell, Iowa:

To support planning for the humanities and social
studies divisions 250,000

Hamilton College,
Clinton, New York:

To support planning for the collaborative work of
the "New York Six" consortium, comprised of
Hamilton, Hobart and William Smith, Skidmore
and Union Colleges, and Colgate and St. Lawrence
Universities 100,000

To support an open curriculum program 100,000

Hartwick College,
Oneonta, New York:

To support presidential initiatives 50,000

Harvard University,
Cambridge, Massachusetts:

To support initiatives aimed at strengthening the
role the Humanities Center plays in the instructional
and scholarly activities of the university 406,000

To support the International Seminar on the
History of the Atlantic World, 1500-1825 290,000

To support the renewal of the Mellon Mays
Undergraduate Fellowship program 190,000

To support editorial costs for the expanded online
edition of the African American National
Biography 100,000

Harvey Mudd College,
Claremont, California:

To support reform of the core curriculum 419,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Haverford College,

Haverford, Pennsylvania:

To support the renewal of the Mellon Mays
Undergraduate Fellowship program 332,000

To support the integration of the arts more broadly
within the liberal arts curriculum 87,700

Heritage University,

Toppenish, Washington:

To support the renewal of the Mellon Mays
Undergraduate Fellowship program 362,000

Hope College,

Holland, Michigan:

To support a program of undergraduate research,
mentoring, and technological innovation in the
humanities 200,000

Hunter College,

New York, New York:

To support the renewal of the Mellon Mays
Undergraduate Fellowship program 184,000

Illinois College,

Jacksonville, Illinois:

To support library services and programs 100,000

Indiana University,

Bloomington, Indiana:

To support the development of version 1.0 of the
Kuali Open Library Environment, a shared
technology services environment for research
and academic libraries 2,380,000

In collaboration with Kent State University Press
and Temple University Press, to support publication
of first monographs in ethnomusicology 877,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

To support a Sawyer Seminar on the Comparative Study of Cultures, entitled "Rupture and Flow: The Circulation of Technoscientific Facts and Objects"	144,000
Johns Hopkins University, Baltimore, Maryland:	
To support an Emeritus Fellowship	40,000
Johnson C. Smith University, Charlotte, North Carolina:	
To support a new visual and performing arts curriculum	294,000
To support the planning of a new arts curriculum	38,000
Kenyon College, Gambier, Ohio:	
To support planning by the Five Colleges of Ohio for the integration of digital collections into information literacy programs and college and university curricula	20,000
Knox College, Galesburg, Illinois:	
To support faculty career enhancement	400,000
Lake Forest College, Lake Forest, Illinois:	
To support a study abroad program	150,000
Lehigh University, Bethlehem, Pennsylvania:	
To support a global Islamic studies program	1,400,000
Lewis and Clark College, Portland, Oregon:	
To support midcareer faculty development	800,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Literary Classics of the United States, Inc.,
New York, New York:

To support research, editorial, and related costs for
publishing projects consistent with the core mission
of the Library of America series 553,000

Macalester College,
St. Paul, Minnesota:

To support the renewal of the Mellon Mays
Undergraduate Fellowship program 373,000

Massachusetts Institute of Technology,
Cambridge, Massachusetts:

To support a Sawyer Seminar on the Comparative
Study of Cultures, entitled "Sensing the Unseen" 145,000

To support implementation of the Consortium on
Financing Higher Education (COFHE) Campus
Performance Panel 25,000

Middlebury College,
Middlebury, Vermont:

To support undergraduate research abroad and
senior work at the college 700,000

Morehouse College,
Atlanta, Georgia:

To support a global education office and
associated programs 500,000

Mount Holyoke College,
South Hadley, Massachusetts:

To support bridge faculty appointments in the
humanities and humanistic social sciences in
anticipation of upcoming retirements 750,000

To support an Emeritus Fellowship 36,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

National History Center, Inc.,
Washington, DC:

To support a seminar on the history of
decolonization 1,457,000

National Humanities Center,
Research Triangle Park, North Carolina:

To support a conference for former participants
in the Summer Institutes for Literary Studies
program 50,000

New Africa Theatre Association,
Cape Town, South Africa:

To support participation of students from
disadvantaged backgrounds in the New Africa
Theatre Academy 45,000

The New School,
New York, New York:

To support faculty recruitment and retention
initiatives and postdoctoral fellowships at The New
School for Social Research 500,000

To support four faculty positions in the humanities
and arts at Eugene Lang College 265,000

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

To support residential fellowships for scholars 484,000

Northwestern University,
Evanston, Illinois:

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

To support a New Directions Fellowship 156,000

Oberlin College,
Oberlin, Ohio:

To support the renewal of the Mellon Mays
Undergraduate Fellowship program 269,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

To support the American Democracy project	100,000
To support an Emeritus Fellowship	25,000
To support an Emeritus Fellowship	12,000
 Organization for Tropical Studies, Inc., Durham, North Carolina:	
To support student diversity and enhance the involvement of liberal arts colleges in the organization's undergraduate semester abroad program in South Africa	300,000
 Pitzer College, Claremont, California:	
To support program development for the Center for the Study of Global Communities	600,000
 Pontifical Institute of Mediaeval Studies, Toronto, Canada:	
To support postdoctoral fellowships	300,000
 Princeton University, Princeton, New Jersey:	
To support the renewal of the Mellon Mays Undergraduate Fellowship program	447,000
To support ongoing data management by the Survey Research Center for the Foundation's Graduate Education Initiative	329,000
To support a New Directions Fellowship	283,000
To support ongoing scholarly activities by a former New Directions Fellowship recipient	50,000
To support an Emeritus Fellowship	52,000
To support an Emeritus Fellowship	45,000
 Queens College, Flushing, New York:	
To support the renewal of the Mellon Mays Undergraduate Fellowship program	327,600

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Randolph College,
Lynchburg, Virginia:

To support the integration of experiential learning
across the curriculum 50,000

Randolph-Macon College,
Ashland, Virginia:

To support the operational costs of the First-Year
Experience 50,000

Reed College,
Portland, Oregon:

To support an environmental studies program 844,000

Rice University,
Houston, Texas:

To support the renewal of the Mellon Mays
Undergraduate Fellowship program 327,000

Ripon College,
Ripon, Wisconsin:

To support, in collaboration with Lawrence
University, the development of cooperative models
for curricular enhancement and faculty scholarship . 100,000

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

To develop a campus-integrated center for
technology and teaching for the Atlanta University
Center institutions 150,000

Rutgers University Foundation,
New Brunswick, New Jersey:

To support research, instructional, and related
activities in the field of British studies 407,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Salzburg Global Seminar,
Middlebury, Vermont:

To support renewal and enhancement of the Mellon Fellow Community Initiative for Historically Black Colleges and Universities and Appalachian Colleges	500,000
To support planning for a Global Education Consortium	50,000

Skidmore College,
Saratoga Springs, New York:

To support faculty bridge appointments in anticipation of retirements	750,000
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Smith College,
Northampton, Massachusetts:

To support the renewal of the Mellon Mays Undergraduate Fellowship program	203,000
To support an Emeritus Fellowship	13,000
To support efforts to increase participation of students from underrepresented and disadvantaged backgrounds in the Summer Institute in Art and Museum Studies	9,600

Social Science Research Council,
Brooklyn, New York:

To renew support for the Predoctoral Grants Program for Mellon Mays graduate students	1,000,000
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Southern Africa Legal Services Foundation, Inc.,
Washington, DC:

To support an oral history project on the Legal Resource Centre	60,000
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Southwestern University,
Georgetown, Texas:

To support an environmental studies program	750,000
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HIGHER EDUCATION
AND SCHOLARSHIP

(continued)	<i>Appropriated</i>
To support a collaborative program that would provide research and leadership opportunities for undergraduate students	100,000
To support the transition of the National Institute for Technology and Liberal Education	96,700
Spelman College, Atlanta, Georgia:	
To support general operations	500,000
St. John's College, Santa Fe, New Mexico:	
To support initiatives to strengthen admissions	645,000
To support a comprehensive review of admissions strategies and policies	25,000
St. Lawrence University, Canton, New York:	
To support an environmental studies program	800,000
Stanford University, Stanford, California:	
To support fellowships for humanists at the Center for Advanced Study in the Behavioral Sciences	770,000
To support the renewal of the Mellon Mays Undergraduate Fellowship program	183,000
To support a Sawyer Seminar on the Comparative Study of Cultures, entitled "Gender Bias in the Past and Future of Asia"	150,000
Stichting Solidarity Fund for Historians-Amsterdam 2010, Amsterdam, The Netherlands:	
To support programs to increase the number of historians from developing countries who participate in the 2010 congress of the International Committee of Historical Sciences	200,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Swarthmore College,
Swarthmore, Pennsylvania:

To support the renewal of the Mellon Mays
Undergraduate Fellowship program 211,000

Trinity University,
San Antonio, Texas:

To support bridge funding for faculty in the
humanities disciplines 830,000

Union College,
Schenectady, New York:

To support an environmental studies program 600,000

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

To support the renewal of the Mellon Mays
Undergraduate Fellowship program 3,032,000

To support student retention 500,000

To bridge a shortfall in funds for the Mellon Mays
Undergraduate Fellowship program 300,000

University of California at Berkeley,
Berkeley, California:

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

To support the production of "OpenCast," an open
source software suite supporting the institutional
capture, processing, and dissemination of audio
and video recordings as "podcasts" 750,000

To support initiatives aimed at strengthening the role
that the Doreen B. Townsend Center for the
Humanities plays in the instructional and scholarly
activities of the university 382,000

To support training in preparation for development
of "OpenCast" software 25,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

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

To support a New Directions Fellowship 217,000

University of Cambridge,
Cambridge, United Kingdom:

To support a program of scholarly activities on
“Exchanges of Economic, Legal, and Political
Ideas” 662,000

University of Cape Town,
Cape Town, South Africa:

To support the creation of a humanities institute . . . 1,300,000

To support honors students in the faculty of
humanities 700,000

To support the renewal of the Mellon Mays
Undergraduate Fellowship program 458,000

To support the continued conservation,
documentation, and interpretation of archival
materials related to the San people of Southern
Africa 300,000

To support the curriculum assessment project of the
Academic Development Research Project 50,000

University of Chicago,
Chicago, Illinois:

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

To support the renewal of the Mellon Mays
Undergraduate Fellowship program 495,000

To support the Midwest Faculty Seminar 415,000

To support a New Directions Fellowship 255,000

To support an Emeritus Fellowship 51,000

To support an Emeritus Fellowship 43,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

University of Edinburgh,
Edinburgh, United Kingdom:

To support a Sawyer Seminar on the Comparative
Study of Cultures, entitled "Embodied Values:
Bringing the Senses back to the Environment" 150,000

University of Georgia,
Athens, Georgia:

To support, in collaboration with New York
University Press and Northern Illinois University
Press, the publication of first monographs on Early
American regions 648,000

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

To support postdoctoral fellowships in the
humanities and humanistic social sciences 1,250,000

To support the production of a set of standards for
the annotation of electronic resources 362,000

To support an Emeritus Fellowship 52,000

University of Michigan,
Ann Arbor, Michigan:

To support a faculty and postdoctoral exchange
program with Oberlin and Kalamazoo Colleges . . . 1,248,000

To support two additional postdoctoral positions
under the exchange program with Oberlin and
Kalamazoo Colleges 100,000

To support a Sawyer Seminar on the Comparative
Study of Cultures, entitled "Ethnicity in African
Societies: Historical Comparative and Contemporary
Investigations" 150,000

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

To support an Emeritus Fellowship 44,000

To support an Emeritus Fellowship 29,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

University of Minnesota at Twin Cities,
Minneapolis, Minnesota:

To support a New Directions Fellowship	207,000
To support a dissertation seminar in the humanities	143,000

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

To support doctoral students in the humanities	4,500,000
To support an Emeritus Fellowship	36,000

University of Notre Dame,
Notre Dame, Indiana:

To support research workshops for graduate students and faculty members in the humanities . . .	100,000
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University of Pennsylvania,
Philadelphia, Pennsylvania:

To support the renewal of the Mellon Mays Undergraduate Fellowship program	190,800
To support an Emeritus Fellowship	52,000
To support ongoing scholarly activities by a former New Directions Fellowship recipient	50,000

University of Puget Sound,
Tacoma, Washington:

To support curricular planning in the humanities . .	41,000
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University of Richmond,
Richmond, Virginia:

To support the Tocqueville Seminar program	968,000
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University of Southern California,
Los Angeles, California:

To support the USC-Huntington Early Modern Studies Institute	883,000
To support a New Directions Fellowship	305,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

To support the renewal of the Mellon Mays Undergraduate Fellowship program	280,800
University of the Western Cape, Bellville, South Africa:	
To support honors and masters fellowships in the humanities	700,000
University of the Witwatersrand, Johannesburg, South Africa:	
To support the postgraduate mentoring program	1,000,000
To support the Chair of Indian Studies for the Centre for Indian Studies in Africa	1,000,000
To support a Sawyer Seminar on the Comparative Study of Cultures, entitled "Property, Race and Poverty: Paradoxes of the Law and the Possibility of Justice in Contemporary South Africa"	150,000
To support the restructuring and integration of the International Human Rights Exchange into the university's curriculum	50,000
University of Toronto, Toronto, Canada:	
To support the production of "Fluid Engage," an open source software suite for delivering museum content online to visitors using mobile devices	1,260,000
To support editorial and research costs associated with the preparation of the Greater London volumes of the <i>Records of Early English Drama</i>	500,000
To support editorial costs of the <i>Dictionary of Old English</i>	200,000
University of Warwick, Coventry, United Kingdom:	
To support a collaborative program between the university and the Newberry Library on "Renaissance and Early Modern Communities in a Transatlantic Perspective"	421,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

University of Washington,
Seattle, Washington:

To support a New Directions Fellowship 249,000

To support an Emeritus Fellowship 42,000

University of Wisconsin at Madison,
Madison, Wisconsin:

To establish new faculty lines in the humanities . . . 2,500,000

To support postdoctoral fellowships in the
humanities and humanistic social sciences 1,807,000

To support a Sawyer Seminar on the Comparative
Study of Cultures, entitled "Vulnerability and
Resilience: Rethinking Human Rights for the
21st Century" 150,000

To support research workshops in the humanities . . 125,000

University Press of Colorado,
Boulder, Colorado:

To support, in collaboration with Texas A & M
University Press, University of Alabama Press,
University of Arizona Press, University of Florida
Press, and University of Utah Press, the publication
of first monographs on the archaeology of the
Americas 282,000

Ursinus College,
Collegeville, Pennsylvania:

To support faculty development initiatives 279,000

Vassar College,
Poughkeepsie, New York:

To support postdoctoral fellowships to facilitate
faculty retirement transitions 850,000

To support artistic residencies and cross-disciplinary
collaboration 50,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Washington and Lee University,
Lexington, Virginia:

To support the spring term initiative 650,000

Washington University in St. Louis,
St. Louis, Missouri:

To support the renewal of the Mellon Mays
Undergraduate Fellowship program 350,000

To support a Sawyer Seminar on the Comparative
Study of Cultures, entitled "Japan Embodied: New
Approaches to Japanese Studies" 150,000

To support the production of a documentary film
project about the life and achievements of
Dr. Benjamin E. Mays 100,000

Wellesley College,
Wellesley, Massachusetts:

To support the renewal of the Mellon Mays
Undergraduate Fellowship program 407,000

Wesleyan University,
Middletown, Connecticut:

To support the renewal of the Mellon Mays
Undergraduate Fellowship program 189,000

To support a John E. Sawyer Seminar for Liberal
Arts Colleges, entitled "War" 142,000

Williams College,
Williamstown, Massachusetts:

To support the renewal of the Mellon Mays
Undergraduate Fellowship program 447,000

Wittenberg University,
Springfield, Ohio:

To integrate the use of foreign languages in teaching
science and mathematics 30,000

HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

Woodrow Wilson National Fellowship Foundation,
Princeton, New Jersey:

To renew support for the Junior Faculty Career Enhancement Fellowship program	2,700,000
To renew support for the dissertation program, and the travel and research program	800,000

Xavier University of Louisiana,
New Orleans, Louisiana:

To support undergraduate research	375,000
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Yale University,
New Haven, Connecticut:

To support the renewal of the Mellon Mays Undergraduate Fellowship program	417,000
To support a New Directions Fellowship	276,000

Total—Higher Education and Scholarship	<u><u>\$122,163,500</u></u>
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LIBRARIES AND SCHOLARLY
COMMUNICATION

Appropriated

American Antiquarian Society,
Worcester, Massachusetts:

To support staff training and development
initiatives \$ 50,000

American Philological Association, Inc.,
Philadelphia, Pennsylvania:

To support a workshop for planning the future of
the association's scholarly publications 25,000

American Symphony Orchestra League,
New York, New York:

To support initiatives to assess and preserve the
league's archival collections 51,000

Amherst College,
Amherst, Massachusetts:

To support staff training and development initiatives
at Folger Shakespeare Library 44,000

Baltimore Symphony Orchestra, Inc.,
Baltimore, Maryland:

To support initiatives to assess and preserve the
orchestra's archival collections 77,000

Boston University,
Boston, Massachusetts:

To support the further development of an online,
multilingual, bibliographic database of resources in
East Asian archaeology 600,000

To support supplementary software development
and documentation for the collaborative cataloging
of the Martin Luther King, Jr. collection 32,100

Brown University,
Providence, Rhode Island:

To support staff training and development initiatives
at John Carter Brown Library 50,000

LIBRARIES AND SCHOLARLY
COMMUNICATION

(continued)

*Appropriated*Columbia University,
New York, New York:

To support the development of library processes for the systematic collection and preservation of Web content	716,000
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To support a partnership with Cornell University libraries to share resources, collections, services, and expertise	385,000
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Council on Library and Information Resources,
Washington, DC:

To support the second year of a grantmaking program to catalog special collections in US libraries and archives	4,303,000
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To support general operations	1,400,000
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To support an evaluation of combining large-scale virtual and print repositories as surrogates for research library collections	32,000
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To support a study of the potential uses in humanistic scholarship of declassified analytical tools developed by the intelligence community	28,000
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Detroit Symphony Orchestra, Inc.,
Detroit, Michigan:

To improve access to the orchestra's archives and performance records	70,000
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Emory University,
Atlanta, Georgia:

To support initiatives to restructure library operations and develop essential infrastructure for digital scholarship	53,000
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Henry E. Huntington Library & Art Gallery,
San Marino, California:

To support staff training and development initiatives at the library	46,000
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LIBRARIES AND SCHOLARLY
COMMUNICATION

(continued)

Appropriated

Historical Society of Pennsylvania,
Philadelphia, Pennsylvania:

To support staff training and development
initiatives 50,000

Houston Symphony Society,
Houston, Texas:

To support initiatives to assess and preserve the
symphony's archives 71,000

Kronos Performing Arts Association,
San Francisco, California:

To support initiatives to improve access to and
preservation of the Kronos Quartet's archive 100,000

The Library Company of Philadelphia,
Philadelphia, Pennsylvania:

To support staff training and development
initiatives 50,000

Lyrasis,
Atlanta, Georgia:

To support the development of a business plan for
services to support open source software
applications in libraries 192,000

Martin Luther King, Jr. Center for
Nonviolent Social Change, Inc.,
Atlanta, Georgia:

To support planning for participation in a
collaborative project to catalog the papers of
Martin Luther King Jr. 40,000

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

To support planning for the redesign of the online
catalog of the Medici archives 50,000

LIBRARIES AND SCHOLARLY
COMMUNICATION

(continued)

Appropriated

National Symphony Orchestra
Association of Washington, D.C.,
Washington, DC:

To support initiatives to assess and preserve the
orchestra's archival collections 92,000

New York Public Library,
New York, New York:

To provide budgetary relief from "underwater"
endowment funds 1,000,000

New York University,
New York, New York:

To support the planning of a collaborative university
press strategy for the delivery and distribution of
electronic books 125,000

To support the conservation of the Sylvester
Manor Archive 5,000

Newberry Library,
Chicago, Illinois:

To support staff training and development initiatives 50,000

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

To support staff training and development
initiatives 50,000

Pittsburgh Symphony, Inc.,
Pittsburgh, Pennsylvania:

To support initiatives to assess and preserve the
orchestra's archival collections 92,000

Rochester Institute of Technology,
Rochester, New York:

To support the development and testing of a system
designed to lower the cost and improve the fidelity
of color reproduction in art imaging and
conservation 750,000

LIBRARIES AND SCHOLARLY
COMMUNICATION

(continued)

Appropriated

To support an evaluation of the precision and accuracy of an imaging system designed to measure how the surfaces of artworks reflect light and color . . .	50,000
Seattle Symphony Orchestra, Inc., Seattle, Washington:	
To support initiatives to assess and preserve the orchestra's archival collections	97,000
St. John's University, Collegeville, Minnesota:	
To support the cataloging of digitized medieval manuscripts	343,000
Stanford University, Stanford, California:	
To support the development of library processes for the systematic collection and preservation of Web content	289,000
Université de Fribourg, Fribourg, Switzerland:	
To support the digitization of medieval manuscripts . . .	594,000
The Regents of the University of California, Oakland, California:	
To support the development of a retrospective print repository service in the western region of the US . . .	70,000
University of California at Berkeley, Berkeley, California:	
To support a study and workshop on peer review . . .	90,000
To support further documentation and dissemination of a detailed study of scholarly communications practices	75,000
To support technical enhancements to the PhiloBiblon database of medieval manuscripts and early printed books	22,000

LIBRARIES AND SCHOLARLY
COMMUNICATION

(continued)

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

To support the planning and design of a new software tool for the management and description of archives	539,000
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University of California Press Foundation,
Berkeley, California:

To support the creation of a scholarly journal in California studies titled <i>Global California</i> , and an annual conference in this emerging field	722,000
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University of Cambridge,
Cambridge, United Kingdom:

To support the creation of an online catalog of the library's incunabula collection	427,000
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University of Leeds,
Leeds, United Kingdom:

To support the planning of an electronic edition of the works of Ben Jonson	25,000
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University of Maryland College Park,
College Park, Maryland:

To support the application of computer forensics in the preservation of born-digital archives in cultural heritage institutions	81,000
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University of Miami,
Coral Gables, Florida:

To support the development of a strategic plan for the Cuban Theater Digital Archive	48,300
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University of Michigan,
Ann Arbor, Michigan:

To support the implementation and documentation of a prototype system for the archiving of electronic mail	290,000
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LIBRARIES AND SCHOLARLY
COMMUNICATION

(continued)

Appropriated

To support planning for the development of procedures to validate the quality and usefulness of digital objects in the HathiTrust repository	49,000
University of Minnesota at Twin Cities, Minneapolis, Minnesota:	
To support the further development of an online bibliographic database and related services for scholars working in the interdisciplinary area of practical ethics	264,000
University of Oxford, Oxford, United Kingdom:	
To support the transition of core funding for the Archive of Performances of Greek and Roman drama from independent to university sources	579,000
University of Pittsburgh, Pittsburgh, Pennsylvania:	
To support a publishing initiative on the history of science	750,000
To support the planning of summer institutes designed to increase diversity in graduate programs at schools of information technology	100,000
University of Rochester, Rochester, New York:	
To support further software development of an open source public access catalog system for research and college libraries	175,000
University of Southern California, Los Angeles, California:	
To support a national, interinstitutional alliance to develop new models of multimedia access and publication in the field of visual studies	751,000

LIBRARIES AND SCHOLARLY
COMMUNICATION

(continued)

Appropriated

University of Texas at Austin,
Austin, Texas:

To support an external assessment of the graduate conservation training program and the development of a plan for its future	20,600
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University of Virginia,
Charlottesville, Virginia:

To support the development of a collaborative strategy for the management of born-digital archival and special collections	870,000
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To support the expansion and enhancement of the Chaco Canyon Archaeological Research Archive . . .	538,000
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To support a workshop on scholarly editing	90,000
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To support the planning and administration of a conference on scholarly editing	20,000
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The Winthrop Group, Inc.,
New York, New York:

To support phase one of a historical study of the Gutenberg-e publishing project	40,000
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Total—Libraries and Scholarly Communication	<u><u>\$18,688,000</u></u>
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CONTRIBUTIONS	<i>Appropriated</i>
Council on the Environment, Inc., New York, New York:	
To provide general support	\$ 30,000
Doe Fund, Inc., New York, New York:	
To provide general support	40,000
Foundation Center, New York, New York:	
To provide general support	30,000
GuideStar USA, Inc., Williamsburg, Virginia:	
To support GuideStar's membership program	25,000
Marymount Manhattan College, New York, New York:	
To support the first-year experience and faculty development	60,000
Nonprofit Coordinating Committee of New York, Inc., New York, New York:	
To provide general support	100,000
Total—Contributions	<u>\$ 285,000</u>

OTHER	<i>Appropriated</i>
Dillard University, New Orleans, Louisiana:	
To support the university's library	\$ 500,000
Total—Other	<u>\$ 500,000</u>

PROGRAM-RELATED
INVESTMENTS

Appropriated

Metropolitan Museum of Art,
New York, New York:

To sustain Mellon curatorial positions at a time
when the endowment principals have fallen below
their historic dollar value \$ 265,000

Nonprofit Finance Fund,
New York, New York:

To support a recoverable no-interest loan program
for New York-based, Mellon-supported performing
arts organizations 1,000,000

Total—Program-Related Investments	\$ 1,265,000
Matching Gifts	<u>\$ 571,760</u>
Grand Totals	<u><u>\$200,754,717</u></u>

Financial Statements

REPORT OF INDEPENDENT AUDITORS

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

In our opinion, the accompanying balance sheets and the related statements of activities and cash flows present fairly, in all material respects, the financial position of The Andrew W. Mellon Foundation (the "Foundation") at December 31, 2009 and 2008, and the changes in its net assets and its cash flows for the years then ended in conformity with accounting principles generally accepted in the United States of America. These financial statements are the responsibility of the Foundation's management. Our responsibility is to express an opinion on these financial statements based on our audits. We conducted our audits of these statements in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements, assessing the accounting principles used and significant estimates made by management, and evaluating the overall financial statement presentation. We believe that our audits provide a reasonable basis for our opinion.

PricewaterhouseCoopers LLP

May 26, 2010

The Andrew W. Mellon Foundation

Balance Sheets

December 31, 2009 and 2008

	<u>2009</u>	<u>2008</u>
	<i>(in thousands of dollars)</i>	
ASSETS		
Investments		
Marketable securities	\$ 1,969,850	\$ 1,846,098
Alternative investments	3,020,122	2,393,535
	<u>4,989,972</u>	<u>4,239,633</u>
Payable from unsettled securities purchases, net . .	(365)	(106,354)
	<u>4,989,607</u>	<u>4,133,279</u>
Cash	3,526	3,375
Collateral under securities loan agreement	—	167,205
Investment and other income receivable	4,125	5,330
Other assets	3,585	978
Taxes receivable	3,472	3,544
Property, at cost, less accumulated depreciation of \$17,554 and \$14,917 at December 31, 2009 and 2008, respectively	47,215	49,852
Total assets	<u>\$ 5,051,530</u>	<u>\$ 4,363,563</u>
LIABILITIES AND NET ASSETS		
Liabilities		
Grants payable	\$ 51,106	\$ 52,693
Accrued expenses, including interest payable . . .	14,447	4,864
Payable under securities loan agreement	—	171,684
Deferred federal excise tax	7,300	—
Long term debt	<u>274,350</u>	<u>44,350</u>
Total liabilities	347,203	273,591
Net assets (unrestricted)	<u>4,704,327</u>	<u>4,089,972</u>
Total liabilities and net assets	<u>\$ 5,051,530</u>	<u>\$ 4,363,563</u>

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

The Andrew W. Mellon Foundation

Statements of Activities

Years Ended December 31, 2009 and 2008

	<u>2009</u>	<u>2008</u>
	<i>(in thousands of dollars)</i>	
INVESTMENT RETURN (LOSS)		
Gain (loss) on investments		
Realized, net	\$ (119,200)	\$ 148,523
Unrealized, net	951,338	(1,729,036)
Interest	19,275	23,678
Dividends	16,895	29,604
Other income	194	131
	<u>868,502</u>	<u>(1,527,100)</u>
Less: Investment management expenses	(11,703)	(15,881)
Net investment return (loss)	<u>856,799</u>	<u>(1,542,981)</u>
EXPENSES		
Program grants and contributions, net	214,083	315,337
Grantmaking operations	15,040	15,098
Direct charitable activities	2,467	2,570
Investment operations	5,412	5,474
Interest	5,184	1,129
Current provision for taxes	119	2,533
Other expenses	139	160
	<u>242,444</u>	<u>342,301</u>
Change in net assets	614,355	(1,885,282)
NET ASSETS (UNRESTRICTED)		
Beginning of year	<u>4,089,972</u>	<u>5,975,254</u>
End of year	<u>\$ 4,704,327</u>	<u>\$ 4,089,972</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, 2009 and 2008

	<u>2009</u>	<u>2008</u>
	<i>(in thousands of dollars)</i>	
Cash flow from investment income and operations		
Change in net assets	\$ 614,355	\$ (1,885,282)
Adjustments to reconcile change in unrestricted net assets to net cash used by investment income and operations		
Realized loss (gain) on investments, net	119,200	(148,523)
Unrealized (gain) loss on investments, net	(944,038)	1,752,136
Decrease in investment and other income receivable	1,205	2,140
(Increase) decrease in other assets	(2,607)	210
Decrease in taxes receivable	72	1,273
(Decrease) increase in grants payable	(1,587)	48,404
Increase (decrease) in accrued expenses	9,583	(1,609)
Depreciation and amortization expense	2,637	2,637
Increase (decrease) in deferred federal excise tax payable	7,300	(23,100)
Net effect of bond amortization	605	1,032
Total adjustments	<u>(807,630)</u>	<u>1,634,600</u>
Net cash used by investment income and operations . .	<u>(193,275)</u>	<u>(250,682)</u>
Cash flow from investing activities		
Proceeds from sales of marketable securities		
Short-term	2,921,198	1,423,046
Other	3,635,436	4,172,816
Receipts from alternative investments	258,002	635,378
Capital gain distributions received	43	26,634
Net returns on financial instruments	4,229	(7,771)
Purchases of marketable securities		
Short-term	(2,989,062)	(1,494,800)
Other	(3,449,879)	(3,426,740)
Purchases of alternative investments	(416,541)	(1,078,009)
Disposals of property	—	477
Net cash (used) provided by investing activities . . .	<u>(36,574)</u>	<u>251,031</u>
Cash flow from financing activities		
Bond proceeds	230,000	44,350
Bond redemption	—	(44,000)
Net cash provided by financing activities	<u>230,000</u>	<u>350</u>
Net increase in cash	151	699
Cash		
Beginning of year	3,375	2,676
End of year	<u>\$ 3,526</u>	<u>\$ 3,375</u>
<i>Supplemental disclosure of noncash investing activities</i>		
Distributions of securities received from alternative investments	<u>\$ 19,014</u>	<u>\$ 16,605</u>

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

The Andrew W. Mellon Foundation

NOTES TO FINANCIAL STATEMENTS

December 31, 2009 and 2008

1. ORGANIZATION AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

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

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

Investments

Effective January 1, 2008, the Foundation adopted the authoritative guidance for fair value measurements for financial assets and financial liabilities. 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 guidance also established a fair value hierarchy that prioritizes the inputs to valuation techniques used to measure fair value. The hierarchy gives the highest priority to unadjusted quoted prices in active markets for identical assets (Level 1 measurements) and the lowest priority to unobservable inputs (Level 3 measurements). The three levels of the fair value hierarchy are as follows:

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

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

Level 3 Inputs that are unobservable.

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

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

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

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

Realized gains and losses on investments in securities are calculated based on the first-in, first-out identification method. Included in payable from unsettled securities purchases in the accompanying Balance Sheets are receivables from unsettled securities sales of \$29.2 million and \$148.6 million at December 31, 2009 and 2008, respectively.

Grants

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

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

Taxes

The Foundation qualifies as a tax-exempt organization under Section 501(c)(3) of the Internal Revenue Code and, accordingly, is not subject to federal income taxes. However, the Foundation is subject to a federal excise tax. The Foundation follows the policy of providing for federal excise tax on the net appreciation (both realized and unrealized) of investments. The deferred federal excise tax in the accompanying financial statements represents tax provided on the net unrealized appreciation of investments. Under federal tax law the Foundation cannot carry forward realized losses resulting from the sale of investments. The Foundation is subject to income tax at corporate rates on certain income that is considered unrelated business income under the Internal Revenue Code. The Foundation's tax returns are subject to examination by federal and various state tax authorities. With few exceptions the Foundation is no longer subject to tax examinations for years prior to 2006.

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.

Notes to Financial Statements, (continued)

Investment Return

Investment return includes income and realized and unrealized gains or losses on all investments. Unrealized gain or loss comprises the change in unrealized appreciation or depreciation on marketable securities and 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, commitment fees and remarketing fees incurred in connection with servicing the Foundation's bonds payable. 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 on the basis of the direct salary allocations. Identifiable costs, such as consultants, are charged directly to each activity.

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

The administrative expenses of distribution, including direct charitable activities, were \$17.5 million (8.8% of appropriated program grants) in 2009, compared to \$17.7 million (6.3% of appropriated program grants) in 2008. The Foundation's grantmaking expenses in 2009 were \$15.0 million (7.5% of appropriated program grants), compared to \$15.1 million (5.4% of appropriated program grants) in 2008.

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 2009 and 2008:

	<u>2009</u>	<u>2008</u>
	<i>(in thousands of dollars)</i>	
Program grants and contributions, net . . .	\$214,083	\$315,337
Salaries, pensions and benefits	14,885	13,828
Interest	5,184	1,129
Current provision for taxes	119	2,533
Other operating expenses	8,173	9,474
	<u>\$242,444</u>	<u>\$342,301</u>

Use of Estimates

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

Reclassifications

Certain 2008 amounts have been reclassified to conform to the 2009 presentation.

Subsequent Events

In May 2009, the Financial Accounting Standards Board issued authoritative guidance which establishes general standards of accounting for and disclosure of events that occur after the balance sheet date, but before the issuance of financial statements. The Foundation has adopted this new guidance, which had no material effect on its financial statements.

2. INVESTMENTS

Marketable securities held at December 31, 2009 and 2008 are summarized as follows:

	<i>December 31, 2009</i>		<i>December 31, 2008</i>	
	<i>Fair Value</i>	<i>Cost</i>	<i>Fair Value</i>	<i>Cost</i>
	<i>(in thousands of dollars)</i>			
Equities	\$1,153,955	\$1,011,082	\$1,203,382	\$1,548,702
Fixed income	505,652	503,516	418,465	431,055
Short-term	311,527	311,505	243,626	243,582
Derivative financial instruments	(1,284)	(769)	(19,375)	(14,612)
	<u>\$1,969,850</u>	<u>\$1,825,334</u>	<u>\$1,846,098</u>	<u>\$2,208,727</u>

The classification of investments by level within the valuation hierarchy as of December 31, 2009 is as follows:

	<i>Total</i>	<i>Quoted</i>	<i>Significant</i>	<i>Significant</i>
		<i>Prices</i>	<i>Observable</i>	<i>Unobservable</i>
		<i>(Level 1)</i>	<i>Inputs</i>	<i>Inputs</i>
			<i>(Level 2)</i>	<i>(Level 3)</i>
		<i>(in thousands of dollars)</i>		
Marketable securities	\$1,969,850	\$1,067,428	\$ 897,816	\$ 4,606
Alternative investments . . .	3,020,122	—	180,455	2,839,667
Payable from unsettled securities purchases, net . .	(365)	(365)	—	—
	<u>\$4,989,607</u>	<u>\$1,067,063</u>	<u>\$1,078,271</u>	<u>\$2,844,273</u>

Notes to Financial Statements, (continued)

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

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

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

	<u>2009</u>		<u>2008</u>	
	<u>Marketable Securities</u>	<u>Alternative Investments</u>	<u>Marketable Securities</u>	<u>Alternative Investments</u>
	<i>(in thousands of dollars)</i>			
Balance at January 1	\$ 182,877	\$2,393,535	\$ 203,400	\$2,692,836
Transfer (1)	(140,028)	(143,633)	—	—
Net realized gains	11,556	40,339	16,850	196,472
Income (losses)	—	(21,859)	418	(62,434)
Purchases	—	416,541	83,601	1,078,008
Distributions/Redemptions . .	(47,644)	(272,546)	—	(655,560)
Net unrealized gains (losses) . .	(2,155)	427,290	(121,392)	(855,787)
Balance at December 31	<u>\$ 4,606</u>	<u>\$2,839,667</u>	<u>\$ 182,877</u>	<u>\$2,393,535</u>

(1) Transfer, effective January 1, 2009, of securities previously designated as Level 3 investments, which are currently classified as Level 2 due to their liquidity characteristics.

Net unrealized gains (losses) included in the Statements of Activities for investments held at December 31, 2009 are \$(2.2) million for marketable securities and \$431.5 million for alternative investments, respectively. Net unrealized losses included in the Statements of Activities for investments held at December 31, 2008 were \$121.4 million for marketable securities and \$716.8 million for alternative investments, respectively.

Set forth below is additional information pertaining to alternative investments as of December 31, 2009:

	<u>Fair Value</u>	<u>Unfunded Commitments</u>	<u>Redemption Frequency</u>	<u>Redemption Notice Period</u>
		<i>(in thousands of dollars)</i>		
Equity long only (1)	\$ 54,984	\$ —	Quarterly	30-90 Days
Equity long/short (2)	255,076	—	Quarterly/ Annually	30-60 Days
Limited liquidity (3)	896,363	—	Quarterly/ Annually	45-180 Days
Private partnerships (4) . . .	<u>1,813,699</u>	<u>1,200,048</u>		
	<u>\$3,020,122</u>	<u>\$1,200,048</u>		

- (1) This category includes investments in funds that invest in equity securities in domestic and international markets, including emerging markets. The majority of these investments cannot be redeemed until December 31, 2012 or later.
- (2) This category includes investments in funds that invest long and short in domestic and international securities, primarily equity securities. The Foundation estimates that approximately 74% of the value of these funds can be redeemed prior to 2012.
- (3) This category includes investments in funds that invest in a variety of privately held and publicly available securities, including equities, corporate and government bonds, convertibles, asset backed and derivatives, and includes investments in domestic and international markets. The Foundation estimates that approximately 77% of the value of these funds can be redeemed prior to 2012.
- (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, 2009 were \$1.20 billion, compared to \$1.49 billion at December 31, 2008.

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 Foundation's expectations as to the direction and volatility of equity and fixed income markets as well as other economic factors. At December 31, 2009, approximately \$600 thousand in assets and \$2.0 million of liabilities related to these financial instruments are included in derivative financial instruments. At December 31, 2008, approximately \$31.1 million in assets and \$50.4 million of liabilities related to these financial instruments were included in derivative financial instruments. Through certain investment managers, the Foundation also 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, 2009, approximately \$30.3 million in assets and \$30.2 million in liabilities related to open foreign currency contracts are included in derivative financial instruments. At December 31, 2008, approximately \$26.1 million in assets and \$26.2 million in liabilities related to open foreign currency contracts were 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.

Notes to Financial Statements, (continued)

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

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

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.

The Foundation's security lending program was terminated in December 2009. Under the program, the Foundation had loaned certain stocks and bonds included in its investment portfolio to qualified investors. The Foundation's gross securities loaned to certain investors at December 31, 2008 amounted to approximately \$169 million. The collateral held by the Foundation was measured as a Level 2 asset.

3. BONDS PAYABLE

At December 31, 2009, bonds payable consists of \$230 million of bonds issued in June 2009 (the "2009 Bonds") and \$44.4 million of bonds issued in June 2008 (the "2008 Bonds").

The 2009 Bonds were issued with a maturity date of August 1, 2014. These bonds bear a 3.95% fixed rate of interest, payable semi-annually. The proceeds of the 2009 Bonds will be used to pay qualified distributions, primarily grants, as defined by the Internal Revenue Code. 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. In connection with the bond offering, the Foundation incurred \$1.2 million of deferred bond costs, which will be amortized over the life of the bonds. The Foundation estimates that the fair value of the 2009 Bonds at December 31, 2009 was \$238.4 million. Interest incurred in 2009 for the 2009 Bonds was \$4.7 million.

The 2008 Bonds have a maturity date of December 1, 2032. Bond interest is reset weekly by the Foundation's bond agent. Bond holders have the right to tender their bonds to the bond agent weekly, and the agent has an obligation to remarket such bonds. Bonds that cannot be remarketed must be redeemed by the Foundation. The Foundation believes that the fair value of the 2008 Bonds approximates the book value. The average interest rate applicable in 2009 for the 2008 Bonds was .6% and in 2008 was 3.2%. Interest incurred in 2009 and 2008 was \$286 thousand and \$1.1 million, respectively.

In connection with the 2008 Bond offering, the Foundation entered into a \$30 million dedicated line of credit agreement. Borrowings, if any, under this line of credit are to be used solely to fund redemption requirements of the 2008 Bonds. The line of credit agreement expires on September 8, 2011. This facility has an annual commitment fee on unfunded commitments of 0.20%. As of December 31, 2009 and 2008, there were no borrowings outstanding under the line of credit.

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

4. TAXES

The Internal Revenue Code imposes an excise tax on private foundations equal to 2 percent of net investment income (principally interest, dividends, and net realized capital gains, less expenses incurred in the production of investment income). This tax is reduced to 1 percent when a foundation meets certain distribution requirements under Section 4940(e) of the Internal Revenue Code. The Foundation qualified for the 1 percent rate in 2009 and in 2008. 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 2009 includes a \$88 thousand benefit for federal excise tax on net investment income. The current tax provision for 2008 included \$2.8 million of federal excise tax on net investment income. Federal and state taxes on unrelated business income were immaterial in 2009 and 2008. The change in unrealized appreciation in 2009 reflected on the Statements of Activities includes a provision for deferred taxes of \$7.3 million, based on net unrealized appreciation of investments at 2 percent. In 2008, the Foundation incurred cumulative net unrealized losses which depleted the cumulative unrealized gains and resulted in a benefit for deferred taxes of \$23.1 million. Taxes paid in 2009 and 2008 were \$46 thousand and \$1.3 million, respectively.

Effective January 1, 2009, the Foundation adopted authoritative guidance concerning accounting for uncertainty in income taxes. This guidance requires the Foundation to determine whether a tax position is more likely than not to be sustained upon examination by the applicable taxing authority. The adoption of this authoritative guidance did not have a material effect on the Foundation's financial statements.

Notes to Financial Statements, (continued)

5. GRANTS, CONTRIBUTIONS, AND COMMITMENTS

The following table of grant activity by major program area includes all grant appropriations approved during 2009. In addition, in 2009, the Foundation made two program-related investments totaling \$1.3 million, which are classified as other assets in the accompanying Balance Sheets. Grants payable and committed at December 31, 2008 have been adjusted to reflect a cancellation of \$50 thousand.

	<i>Payable and Committed December 31, 2008</i>	<i>2009 Grants and Commitments</i>		<i>Payable and Committed December 31, 2009</i>
		<i>Appropriated</i>	<i>Paid</i>	
		<i>(in thousands of dollars)</i>		
Conservation and the Environment	\$ 4,837	\$ 11,217	\$ 13,554	\$ 2,500
Museums and Art Conservation	19,828	17,891	19,003	18,716
Performing Arts	10,854	28,174	29,126	9,902
Higher Education and Scholarship	61,478	122,163	127,962	55,679
Libraries and Scholarly Communication	9,863	18,688	24,676	3,875
Other (1)	<u>484</u>	<u>500</u>	<u>984</u>	<u>—</u>
Program grants and commitments - totals	107,344	198,633	215,305	90,672
Contributions and matching gifts	<u>—</u>	<u>857</u>	<u>857</u>	<u>—</u>
	<u>\$107,344</u>	<u>\$199,490</u>	<u>\$216,162</u>	<u>\$90,672</u>

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

Grant and grant commitment activity is summarized below.

	<u>2009</u>	<u>2008</u>
	<i>(in thousands of dollars)</i>	
Grants payable		
Grants payable at January 1	\$ 52,693	\$ 4,289
Grant expense	214,575	315,883
Less: Grants paid	(216,162)	(267,479)
Grants payable at December 31	<u>\$ 51,106</u>	<u>\$ 52,693</u>
Net grant expense		
Unconditional grants	\$ 181,081	\$ 225,857
Conditional grants meeting conditions for expense	33,494	90,026
	<u>214,575</u>	<u>315,883</u>
Less: Grant refunds	(492)	(546)
Net grant expense at December 31	<u>\$ 214,083</u>	<u>\$ 315,337</u>
Grant commitments		
Grant commitments at January 1	\$ 54,651	\$ 91,512
Less: Commitments cancelled	—	(50)
Conditional grants appropriated	18,409	53,215
Less: Grants meeting conditions for expense	(33,494)	(90,026)
Grant commitments at December 31	<u>\$ 39,566</u>	<u>\$ 54,651</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 2009 and 2008, Ithaka charged \$878 thousand and \$918 thousand, respectively, to the Foundation for these services.
- The Foundation provides office space, free of charge, to Ithaka and ARTstor in a building owned by the Foundation in New York City. Under the terms of the building lease, which expires December 31, 2014, office space is provided rent free; however, Ithaka and ARTstor assume certain building operating costs.

7. SUBSEQUENT EVENTS

The Foundation has evaluated subsequent events through May 26, 2010 and believes no additional disclosures are required in its financial statements.