

# The Andrew W. Mellon Foundation

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

The Foundation makes grants in five core program areas: higher education and scholarship; scholarly communications and information technology; art history, conservation, and museums; performing arts; and 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

There is, of course, more than one way to think about philanthropy. What follows is, therefore, a personal view, and it differs a good deal from views that are widely held these days. It derives from my experience of having been “on both sides of the table”: five years as president of The Andrew W. Mellon Foundation and six years as president of the University of Chicago. Others, depending on aims and experience, will have very good reasons to hold a different view. I only wish to offer some aid and comfort to those made slightly uncomfortable by the currently dominant discourse.

Both philanthropy and higher education are subject to fashion, much of which comes in waves from the world of business. This is understandable because trustees of both kinds of institutions often come from the world of business and suppose quite naturally that the application of current business practices to philanthropies and institutions of higher education would cure their many ills. By this I do not mean to suggest that philanthropies and institutions of higher education are not businesses. They certainly are. But it is essential to understand what kinds of businesses these are. For a start, the underlying logic of for-profit businesses and not-for-profit businesses is inherently very different, and much else flows from this quite naturally. This might at a minimum call for more modesty when pointing the finger across the boundary between the two.

If one doubts that business is subject to fashion (one might even dare to say mere fashion), one has only to look at one's shelf of business books accumulated over a few decades. One might similarly review the qualifications and management styles of the leading CEOs of the last few decades. Most of these books have very short intellectual shelf lives for all of their momentary popularity. Yet they often come cloaked in a kind of moral superiority suggesting that one is both incompetent and morally bankrupt if one does not subscribe wholly to the view being advanced. The waves of “total quality management” and “continuous improvement” were good examples. They were not devoid of valuable insights. But they were preached and promoted by armies of consultants in ways often reminiscent of old-time religion and its revival meetings—you must hold hands with the person on either side of you and *believe*, and if you don't there is the clear likelihood that you will go straight to Hell.

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This essay was written to honor Senior Advisor Stuart Saunders, who has guided the Foundation's work in South Africa. It was privately published in eighty copies of a special issue of the *African Yearbook of Rhetoric* (“The Elephant and the Obelisk,” August 2011), and the publisher has agreed to its reproduction in this annual report.

“Strategic planning” has proved more durable but has had some of the same features. Every business, whether for-profit or not-for-profit, must plan for how it will carry on its affairs over a certain time horizon. The problem with many strategic plans, especially in the for-profit world, is that the time horizon is not nearly long enough. But in the worst of cases, it can lead one to reduce complex matters to slogans, which, once adopted, can blind one to the continuously shifting landscape if not the actual earthquake going on around one.

Some of the currently fashionable words having a particular effect on philanthropy are “impact,” “assessment,” “entrepreneurship,” “venture.” They will be found in the course and reading lists of every business school and on the Web sites of a good many foundations. It is not that these terms are meaningless. But they have much to do with the ways in which enormous wealth has been created by some individuals who then (blessings upon them) wish to become philanthropists. They have solved one very concrete problem—how to make a lot of money in some particular line of business—and they suppose that life consists for the most part of similar kinds of problems that are amenable to similar kinds of solutions. Most of the world’s truly serious problems, however, are very much harder. The philanthropist who limits his or her field of vision to problems even of the dimensions of how to take a company from startup in a garage to a market capitalization of many billions will misjudge the nature of many of the world’s problems and simply ignore a good many others. Finally, it must be said that a great deal of wealth has been created by standing in the right place at the right time, or having genuinely incompetent competition, or benefiting from inappropriate power and influence. A genuine philanthropist does not get to accomplish things by any of these methods, for the enemies to be overcome ultimately reduce themselves to suffering and ignorance, which are implacable and implacably complex.

The philanthropist may, of course, choose to solve a problem that is well defined and demonstrably solvable. One can reduce the number of children’s deaths from malaria in the developing world by distributing mosquito netting at a quite low unit cost. It will be possible to count the number of nets and their costs and reasonably estimate the number of lives saved. Who could not want to see such a thing happen? Suffering will have been reduced. But what about the ignorance in which these children may live out their lives even if they are healthy? That is a much more difficult problem that



afflicts the developed world every bit as much as the developing one. And if we care about the human spirit and enabling human beings around the globe to live the fullest possible lives, we must not ignore it just because we find it difficult to measure the dimensions of either the problem or its solution.

Philanthropy is not a branch of the social sciences, though it may attempt to ameliorate social ills. The philanthropist must understand that not everything is easily measurable and that the correlations of the social scientist do not necessarily lead unproblematically to effective policy. And one would be bound to admit that the social sciences have been notoriously poor at predicting even major catastrophes. Some of their predictions can turn out to be simply wrong. Hence, one cannot always approach philanthropy as if it were a controlled experiment in which one could feed one group of mice a lot and another group a little and then discover which group got fat. John Maynard Keynes, a great social scientist by any measure, put the matter extraordinarily well when he wrote the following: “the statement that Queen Victoria was a better queen but not a happier woman than Queen Elizabeth” is “a proposition not without meaning and not without interest, but unsuitable as material for the differential calculus.” The philanthropist must always bear in mind that many of the most important things in human life are not suitable material for the differential calculus.

American culture sometimes contributes to the failure to take this into account. There is no doubt that the United States has a culture of generous philanthropy that exists nowhere else in the world at anything like the same level. That generosity has created and sustained the world’s greatest universities, conquered terrible diseases, and much else. But there is a strongly practical, sometimes short-sighted, and ultimately anti-intellectual streak in this culture as well. This society has often felt compelled to justify major undertakings in terms of their contribution to the Gross Domestic Product or the national defense. But we have by now learned very well that GDP can grow while leaving behind an unconscionable number of poor. And defense spending can grow without any view to what might make the nation most worth defending.

The culture of sports also can have unfortunate effects. The public likes to know who wins and who is ranked number one or in the top ten or top 100. This appetite for rankings can produce utterly perverse effects in some areas of endeavor in which philanthropy is important. Higher education may be the most egregious. Many

philanthropic dollars have been unwisely spent in the effort to make one or another college or university “more competitive” and thus higher in the rankings of such institutions. It is nonsense to suggest that one could construct a meaningful ranking in the first place. But the criteria according to which institutions rise or fall in such rankings as those of *U. S. News & World Report* have essentially nothing to do with the quality of educational experience that any particular individual is likely to have in any particular institution. For example, the fact that one institution has rejected many more applicants than another guarantees nothing about the experience of the student who enrolls at the one or the other. The fact that one institution is very much wealthier than another and thus is able to spend much more per student than another guarantees nothing in and of itself about whether that wealth is being invested wisely in things that might contribute to a better education. Often the philanthropic dollars that produce the wealth of institutions are invested in ways that pander to the rampant consumerism of our society in general and of very many 18-year-olds in particular.

Worst of all is the money spent on intercollegiate athletics. It is sometimes claimed that successful athletic teams generate philanthropy for other purposes. This has been shown not to be true in the main. Yet a good deal of philanthropy in higher education goes to supporting athletics programs in which students of lesser academic ability are segregated from the intellectual life of their institutions and in the worst of cases graduate at very much lower rates than their fellow students. Participation in athletics can be a valuable part of an undergraduate education, just as playing in the college orchestra or acting in a play can. But the goal cannot be allowed to become rising to number  $N$  from number  $N-x$  simply for its own sake.

Philanthropy must in the end be about values worthy of the name. These are not easily measurable or rankable. And they may not be novel or change much over time. It may not be possible to realize them easily. But failure in the attempt does not necessarily make the attempt unworthwhile. This argues for a philanthropy that resists fashion and the pursuit of novelty for its own sake. The worst thing about much philanthropy in the foundation world especially is that it is fickle.

It is well then to begin by asking not what is the problem to be solved, but what is the phenomenon to be addressed and what are the values to be realized. The answer to this question must pre-

dominate over whether the outcome has impact that is easily measured or can be easily assessed. This may entail a willingness to live with ambiguity and what might be thought to be failure in more conventional terms. The fear of failure can stand in the way of noble undertakings. Even more important in this context, however, is that one need not be deterred by a fear that one may never know whether one has succeeded or failed except that one has valued and supported some activity. There is a cost/benefit analysis that is usefully undertaken in this context as well. Efforts at impact and assessment may simply cost too much as a fraction of the total resources being expended. All of us surely believe that certain activities are inherently worthwhile and deserve support even if they cannot be shown to cure ills that might be measured by the tools of social science.

This raises an ethical question. Some problems can be solved and some social ills measurably ameliorated. Given the enormity of the social ills afflicting even the richest country the world has ever known, to say nothing of the developing world, how can one devote resources to activities that do not ameliorate these ills or that may even disproportionately benefit those who must be seen to be privileged by any reasonable definition?

The logical extreme of the position implied by this question, given that the world's social ills will almost certainly never be entirely cured, would hold that no philanthropic resources whatever should be devoted to higher education and cultural institutions except perhaps to the extent that higher education trains people who will work directly on social problems. Such a view surely implies similar constraints on consumption by the well-to-do. How can one devote one's personal resources to anything other than basic necessities in the face of human misery? This points directly to the question of income inequality and income redistribution. Individuals will have widely varying views of this, but nations will arrive at compromises among these individual views and engage in more or less income redistribution for social and other purposes. But every nation—including the most socialist in the world today—and every individual could always do more.

A better approach to the ethical question would start with some attempt to describe the rights of all people, rich and poor alike. Martha Nussbaum describes this (somewhat more expansively than Amartya Sen) in terms of capabilities that every human being is enti-

tled to realize. These capabilities include, of course, good health and nutrition, education, and political freedom. But they also include the capability of thought and imagination and creative work. Seeing the realization of this capability as a fundamental right provides the framework in which we can advocate the investment of philanthropic resources in cultural institutions and in those aspects of higher education that serve more than a merely instrumental purpose. Although it will not be easy to strike the balance among capabilities in the face of resource constraints, to fail to invest in the realization, on the part of as many people as possible, of the capability of what we might call the life of the mind and its creative potential is to deprive at least some number of people of a fundamental human right.

Understood in this way, the humanities and the arts are essential to being fully human and are far from being mere entertainment. This is not to say that everyone participating in the arts by attending plays and concerts is deeply engaged in living the life of the mind. And it does not prevent one from regarding some artistic creation as trash. But simply to arrive at such a critical judgment is itself to exercise the imagination in a way that society should value and promote. In this way, the cultivation of the humanities and arts can be understood to be one of the responsibilities of a society to its people and an essential part of becoming fully human for the individual.

It will be very hard either to prove this or measure it. How would we know that more people are living the life of the mind? Taking college courses in the humanities, attending concerts and plays, and visiting museums do not in and of themselves guarantee it. We are forced to console ourselves with the *belief* that doing these things is better than not doing them and that promoting them is a worthy undertaking.

These activities turn out to be expensive, and this returns us to the question of income redistribution. Absent some commitment on the part of society at large and philanthropy in particular, they will become increasingly the province of the rich. This is a fundamental injustice in the terms I have outlined. The embarrassing fact, however, is that many in the United States at the moment seem fully prepared to deny to a substantial fraction of the population the capability of good health and adequate food and shelter. It should perhaps not be surprising then that these same people are fully prepared to withdraw public support for the humanities and the arts.

This leaves the responsibility for the necessary redistribution of income to individual educational and cultural institutions. Each must enable access for the less well-to-do by requesting or simply requiring the more well-to-do to contribute a greater-than-average share of the costs. Philanthropy plays a very big role in this, a role that is favored by the tax code. But placing this responsibility ultimately on thousands of individual educational and cultural organizations is at a minimum a very inefficient method for achieving a result that is crucial to the well-being of the society at large.

Accepting the appropriateness of philanthropic support for the humanities and the arts, how might one think about actually providing it? A foundation that would have this as its principal goal must begin by understanding thoroughly that it only supports money-losing businesses. If educational and cultural institutions of the kind we have in mind were not by their nature money-losing businesses they would have no need of philanthropy. Market forces have shown clearly that they will not provide the necessary support for such activities.

This is perhaps the hardest thing for some philanthropists and trustees of philanthropies to understand, coming as they sometimes do from the world of for-profit entrepreneurship. Some will say that they do not wish to make donations for the sake of covering deficits. But every philanthropic dollar goes to cover a deficit. The only question is how large a deficit is the institution reasonably prepared to try to cover. Expenses and revenues must of course be brought into balance, and this requires careful planning and estimates of risk (as in any for-profit business). But there is no such thing as saying that the first dollar donated during the fiscal year is not covering a deficit whereas the last one is. Similarly, to say, for example, that an institution ought to live within the means provided by its endowment without reducing its real value is only to say that the institution's deficit should be covered by past donors who created the endowment rather than by present donors.

Another feature of activities such as the humanities and the arts that does not respond well to the culture of the for-profit world as we encounter it today is that they operate on very long time horizons. One might argue that the for-profit world could benefit from operating with longer horizons in view as well. But the pursuit of the humanities and the arts is by its nature timeless and endless. Its methods may change over time, but its goals remain essentially the same, and thus there is no such thing as the quick fix or the quick profit.

This runs headlong into modern society's unquenchable thirst for novelty and its correspondingly atrophied attention span. Setting aside the mass media and their attitude toward what ought to be conveyed as news to the citizenry, even universities can fall prey to the pursuit of novelty for its own sake. This has a way, without malice necessarily, of privileging the sciences and technology over the humanities and the arts. Science is by its nature about the pursuit of the new. Discovery is its goal—sometimes patentable and revenue producing. Thus, the university's own communications effort may give a much more prominent place to the sciences than to the humanities and the arts because these are often occupied with ancient concerns even if expressed in new forms. And if we care about undergraduate education, we will find it especially difficult to produce good newspaper copy by current standards.

The big news in undergraduate education on every campus every day ought to be that some large number of undergraduates felt the thrill of grappling with an idea new to them, never mind whether that idea was first expressed in Greece in the 5th century BCE or the day before yesterday. This should not be confused with a wish to have them encounter some fixed body of ideas and works embodying them. The goal is to nurture a hunger for ideas ancient and modern, Western and non-Western, and an enduring regret that one will never have read enough or know enough or have exhausted the mind's capacity to stretch. Yet no newspaper will make this the lead story day in and day out.

The lesson for the philanthropist is that if one cares about the humanities and the arts, one cannot reasonably insist on novelty as the primary goal. Nor can one insist that the goal be reached in some near term, after which one is at liberty to direct one's attention elsewhere, perhaps leaving an institution with a financial burden that it may have difficulty sustaining. To promote the humanities and the arts is to promote more than anything a way of life rather than a body of information. As a result, philanthropic supporters of the humanities and the arts must be content to be patient and steadfast and not to have their names on the front page of the newspaper very often.

A frequent debate in philanthropy concerns the difference between support for specific programs in an institution and core support for the underlying costs of the institution's activity. Some foundations are highly allergic to the latter. Here, too, different balances can be struck. But one cannot in good conscience only push

institutions to pursue novelty without taking some account of their need to keep the lights on and the reluctance of many donors to help with such mundane needs.

All of this is to suggest that there are extremely valuable and important kinds of philanthropy that do not have novelty as a primary goal and that do not lend themselves to metrics for impact and assessment. Above all, they do not lend themselves to the self-promotion of the philanthropist. They derive from values and belief and commitment, even or especially in the face of forces to the contrary. In the end, it might even be more satisfying to know that one has remained true to one's values and belief and commitment despite demonstrated failure. The likelier case is that one will never know for certain whether one has succeeded. But the fear of failure and an inability to live with ambiguity are as paralyzing in philanthropy as they are in any other human activity.

How then to go about being a philanthropist? Modesty is a desirable attribute. This brings me back to my experience of having been "on both sides of the table." I am often asked about the difference. In my own view they have something profound in common. As a university president I always assumed that my job was to listen for other people's good ideas and then try to find the resources with which to help them realize those ideas. As a foundation president I assume that my job is to listen for other people's good ideas and then try to provide the resources with which to help them realize those ideas. This of course assumes in the university context that one picks very good people—people with good ideas and a commitment to collaboration for the common good. The president cannot possibly alone have all of the good ideas that it takes to make a great university. Admitting that is crucial to achieving the necessary collaboration. The foundation president cannot possibly have all of the good ideas either and should not assume the right to tell everyone else how they ought to conduct their affairs. Listening is perhaps the greatest skill of them all.

Although the foundation president can choose the right colleagues, the foundation does not choose its grantees in quite the same way. It requires especially careful listening. In the end, as in most other activities in life, it requires figuring out whom one can trust. And given trust, there needs to be some willingness to gamble. When I hear talk of venture philanthropists and entrepreneurial philanthropists, I often think that we are a lot more like bookies. With

some ability to read the racing form, we go out to the track, and when we spot a good-looking horse, we decide to put two dollars on the nose of that one. Then we can only stand back and see what happens, knowing that if we don't lose once in a while we will never win big either.

In the pages that follow, the Foundation's program staff offer summary accounts of their activities in 2011 and how they have wrestled with the challenge of being part of a great philanthropy. The remainder of the report contains a compilation of the Foundation's grants for 2011 and its annual financial statements.

Don M. Randel  
March 2012

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### *Higher Education*

In 2010 the staff of the Foundation's programs in higher education—Research Universities and Scholarship in the Humanities (RUSH), Liberal Arts Colleges (LAC), and Diversity Initiatives—undertook to promote conversations in their respective domains about initiatives that would make for better articulation of undergraduate and graduate education. In particular, as the Foundation's 2009 *Annual Report* foresaw, the communications sent by staff to regular beneficiaries of support from RUSH and LAC expressed the Foundation's interest in developing collaborations between colleges and universities and in improving the preparation of graduate students in the humanities for educating undergraduates. Over and beyond this dialogue specifically focused on the Foundation's support for colleges and universities, the higher education programs, owing to their size and breadth, were centrally engaged in the Foundation-wide effort to engineer cooperation among the various programs.

#### *Research Universities and Scholarship in the Humanities*

Vice-Presidents Philip Lewis and Mariët Westermann continued to exercise joint responsibility for RUSH in 2011. In the course of the year, President Randel modified slightly the distribution of grantmaking responsibilities. In addition to handling the program's central core made up of direct grants to US universities,



Ms. Westermann assumed explicit responsibility for collaborations between RUSH and Foundation programs other than LAC and for grants to independent research institutes; in addition to negotiating arrangements with regranting organizations and managing Foundation programs such as the Sawyer Seminars, New Directions program, and support for humanities centers, Mr. Lewis took charge of grants to universities in the United Kingdom and Europe while continuing to oversee collaborations between RUSH and LAC and to work with the staff of the Foundation's South Africa program. The leaders of RUSH elected to make grants in two venerable Foundation programs, the Distinguished Achievement Awards and the Emeritus Fellowships for retired faculty, that will not be continued in 2012. Three universities were the beneficiaries of \$1.5 million grants to support the work of the winners of Distinguished Achievement Awards: Benjamin A. Elman, professor of East Asian studies at Princeton University; Kaja Silverman, professor of history of art at the University of Pennsylvania; and John McDowell, professor of philosophy at the University of Pittsburgh. The Emeritus Fellowships program, overseen by Senior Fellow Harriet Zuckerman, awarded a total of 28 grants averaging approximately \$37,000 to retirees in 22 universities. The number of the Foundation's New Directions Fellowships, which enable recently tenured scholars to spend a year and two summers studying in areas outside their primary academic fields, was increased from 10 to 15 in 2011. As in previous years, ten John E. Sawyer Seminars in the Comparative Study of Cultures were funded.

The program's practice of enlisting other nonprofit organizations to administer fellowship programs and research support initiatives was significantly reinforced in 2011. The American Council of Learned Societies, in addition to receiving a pair of major grants that funded the continuation of postdoctoral fellowships in universities and expanded a pilot program providing for postdoctoral positions outside the academy (principally in governmental agencies and nonprofit organizations), received a \$6 million contribution to an endowment that supports its operating expenses. Two large grants renewed programs administered by the Social Science Research Council (SSRC), one that provides support for dissertation-completion fellowships in international studies and one that enables graduate students to pursue a year of dissertation research abroad. A third grant to the SSRC funded a pilot program in area studies.

A grant to the Council on Library and Information Resources renewed funding for a program that provides dissertation-completion fellowships to graduate students in the humanities who do research in original sources. Finally, and perhaps most significantly, in May and June of 2011 the Institute for International Education (IIE) cooperated with the Foundation in a response to the withdrawal of federal funding for 130 graduate students who had been promised fellowships for dissertation research abroad. A one-time grant of \$3.2 million to the IIE provided funding for approximately 80 students in the humanities and closely associated fields that the Foundation has traditionally supported.

The array of RUSH grants marked by interdisciplinary and international emphases was expanded in 2011. Three substantial grants to humanities centers were characterized by cross-institutional collaboration: support for a highly successful consortium of the centers at Cambridge, Columbia, the University of Chicago, and the University of California at Berkeley, built around discussions of the history and structure of the academic disciplines, was renewed; a second renewal supported the New York Humanities Corridor, a consortium headquartered at Syracuse University that connects in working groups a broad spectrum of humanities departments and programs at Cornell, Syracuse, and the University of Rochester; and a major grant to the University of California Humanities Institute, headquartered on the Irvine campus and linking the humanities centers of all the research university campuses in the California system, will provide support for multi-institutional research groups studying problems of labor and the role of educated workforces in a global knowledge economy. In the long-term context of an effort begun in 2004 to support work in art history centers and, in particular, to strengthen their links to the academy, grants were made to Harvard University in support of the Center for Italian Renaissance Studies at the Villa I Tatti in Florence, Italy, and to the National Gallery of Art in support of the Center for the Advanced Study of the Visual Arts (CASVA). The latter grant included a contribution to an endowment campaign designed to ensure future support for CASVA's programs.

In the international sphere, two universities—Duke and the University of Chicago—received funding for new programs they are mounting abroad. In Europe, Duke has formed a consortium of graduate programs in visual studies with institutions in France, Italy, and

Germany. In Asia, Chicago is developing research centers in Beijing and New Delhi that are closely tied to the home campus as well as to the Chinese and Indian scholarly communities. Other international initiatives included a grant to the Intercollegiate Center for Classical Studies in Rome for support of an annually selected senior scholar from the US who serves as its academic leader, and a collaboration with the Volkswagen Foundation in Hanover, Germany. The latter arrangement will support an annual exchange of 12 postdoctoral fellows in the humanities from the US who will be hosted by scholarly institutions in Germany and 12 German postdoctoral scholars who will be hosted by US universities.

Finally, the primary focus of RUSH grantmaking, consisting of direct grants to major US research universities, supported significant initiatives in more than a dozen institutions in 2011. Noteworthy among them were grants in support of research opportunities for humanities faculty at the University of California at Berkeley, renewals of postdoctoral fellowship programs at the University of Oxford, Tulane University, and the California Institute of Technology, support for graduate fellowships in the humanities at Rutgers, Johns Hopkins, and George Washington Universities, and funding for major programmatic initiatives in graduate education at the University of Virginia and the University of California at Los Angeles. The latter two initiatives focus in part on the preparation of graduate students for undergraduate teaching. Two grants in this category deserve mention because they may anticipate future grantmaking emphases. Duke University was awarded an exceptionally large grant of \$6 million for a five-year initiative, the “Humanities Writ Large,” built around research groups—Humanities Collaboratories—that give undergraduates in the liberal arts an opportunity to participate with faculty and graduate students in problem-solving projects and in the development of humanities-based networks in collaboration with neighboring colleges and universities. An innovative grant to Brown University will support a pilot program for graduate students who seek training in a second field germane to their intellectual interests. This grant is emblematic of the RUSH program’s concern with sustaining the cultivation of liberal arts breadth alongside the traditional stress on field-based special expertise in graduate education. Underlying the experiments at both Brown and Duke is the recognition by academic leaders that, for both undergraduate and graduate students, liberal

arts education entails learning to work cooperatively and bringing diverse competencies to bear on multidimensional questions.

### *Liberal Arts Colleges*

The Foundation's Liberal Arts Colleges (LAC) program was led in 2011 by Mr. Lewis and Eugene M. Tobin. As in recent years, grant-making reflected the financial, demographic, and technological challenges facing liberal arts colleges. LAC reaffirmed long-standing commitments to curricular and faculty development, institutional renewal, pedagogical innovation, and multi-institutional collaborations. In 2011, support for all consortia totaled slightly more than \$6 million and included two grants to Five Colleges Incorporated: an endowment grant of \$1.5 million and a program grant to support curricular initiatives connecting liberal and professional education. Other grants to consortia supported faculty career enhancement at the Associated Colleges of the South, cross-institutional curricular initiatives among members of the new Northwest Five College consortium (Lewis & Clark, Reed, and Whitman Colleges, the University of Puget Sound, and Willamette University), undergraduate research at the Appalachian College Association, and information literacy in select humanities disciplines for members of the Council of Independent Colleges.

LAC's complementary grant programs enabled the Foundation to sharpen well-defined program areas, to exit fields (like environmental studies) in which defined objectives had been achieved, and to redirect resources to new ventures in core fields of continuing interest such as undergraduate research, integration of the arts across the curriculum, and introduction of the digital humanities. The interest in undergraduate research encompassed support for multiple strategies and definitions of student-faculty collaborative "research." LAC acknowledged the need to familiarize humanists with collaborative approaches and encouraged initiatives that embedded undergraduate research into the curriculum. LAC's renewed interest in the arts was predicated on the assumption, championed by Don Randel and other advocates for the arts, that the arts are an integral component of the life of the mind and that the making of art enables students to understand strongly, through experience, how the exercise of curiosity, imagination, and reflection relate to the process of discovery. LAC grants supported initiatives that positioned the arts

at the intersection of curricular reform and community engagement and used artistic residencies to connect arts and non-arts constituencies within and outside the campus.

In many respects, 2011 was the year in which the digital humanities emerged as an area of growing, if still indeterminate, importance. LAC convened a meeting of digital humanists to address some basic questions: Can the digital humanities be defined with greater precision? Should the notion of digital literacy figure into current thinking about the competencies of a liberal education? Will thinking about the digital humanities migrate from current work in history, geography, and literature to art history, visual culture, film and media studies, musicology, cultural sociology, and anthropology? Are there existing models that colleges and universities can use in evaluating the quality of teaching and research pursued in digital humanities projects? How will faculty involvement in digital humanities affect pedagogy? What role should libraries play in helping students and faculty navigate this new technological terrain? What kinds of continuing faculty development and infrastructure costs should liberal arts colleges expect to sustain? The amorphous, diffuse nature of digital humanities initiatives and uncertainty regarding future directions contributed to deliberate and cautious grantmaking. A small number of grants supported discrete projects on individual campuses, and other awards encouraged multi-institutional initiatives among liberal arts colleges and between liberal arts colleges and humanities centers at research universities. A handful of institutions received planning grants to explore whether faculty development would be enhanced by the availability of postdoctoral fellowships, and whether there was a large enough pool of young, digitally-trained scholars to meet the demand.

In 2011, the use of postdoctoral fellowships became a unifying theme in LAC grantmaking across the program areas of faculty career enhancement, educational effectiveness, curricular development, faculty renewal, libraries and information technology, and presidential support. Although LAC traditionally used postdoctoral fellowships to keep the professorial pipeline open and to socialize new PhDs into the culture of liberal arts colleges, grants made in 2011 explicitly encouraged institutions to consider how “postdocs” might address multiple needs. Some of the most interesting grants used postdoctoral fellowships to add a stronger international dimension to humanities curricula and pedagogy, to rejuvenate faculty ranks with fresh thinking, and to support cross-institutional collaborations.

*Diversity Initiatives*

After serving as program officer for the Diversity Initiatives (DI) program and director of the Mellon Mays Undergraduate Fellowship (MMUF) program since 2009, Carlotta Arthur resigned from the Foundation in December 2011 to take up a post at the Henry Luce Foundation as program director for the Clare Boothe Luce Program. Her successor will be Armando Bengochea, dean of the college and senior diversity officer at Connecticut College. Mr. Bengochea, who has served as coordinator of the MMUF programs at both Connecticut College and Brown University, will take up his position at the Foundation on July 1, 2012. In the summer of 2011, Lina Buffington joined the Foundation as associate director of MMUF. She will work with Vice-President Westermann in managing DI and MMUF operations prior to Mr. Bengochea's arrival.

In 2012 the program continued both to sustain the work of MMUF and to make grants to a range of institutions and programs dedicated to the academic success of faculty and students from historically underrepresented groups. DI grants support projects that seek not only to mitigate underrepresentation of disadvantaged communities in higher education and research, but also to ensure the presence of wide-ranging perspectives in the academy.

MMUF, which is active at 42 institutions including three South African universities, and which also works with the United Negro College Fund (UNCF) consortium of 39 historically black colleges and universities (HBCUs), is at the core of the Foundation's efforts to help transform the academy into an educational community that embraces and reflects the diversity of the US population at large. To this end, MMUF undertakes to increase the number of students from underrepresented minority groups who pursue PhDs in core arts and sciences disciplines and to support the pursuit of PhDs by students who may not come from underrepresented minority groups but have demonstrated a commitment to the goals of MMUF. As of March 2012, 3,767 students have been selected to participate in MMUF over the 24 years of its history. The total number of PhDs earned by fellows is 411, 47 of whom have earned tenure in colleges and universities. The number of PhDs in progress is 703.

In past years, the simultaneous renewal of grants to a growing majority of MMUF member institutions was covered by a large infusion of Foundation funds. As this situation left little room for support

of other diversity initiatives in years of large renewals, the MMUF grantmaking process was restructured in 2010 to stagger program renewals over consecutive years. The staggering process was virtually completed in 2011, by making grants for an extra year of MMUF support to four institutions. The last of these extended renewal grants are anticipated for 2012. While MMUF recruits undergraduates interested in academic careers, recent efforts have also provided support and mentoring to the growing number of fellows who have become graduate students and junior faculty, and to leveraging the collegial networking and mentoring potential of the entire postgraduate MMUF community. A large 2011 grant to the Social Science Research Council renewed a graduate initiatives program designed to help MMUF doctoral candidates complete their dissertations on time. In recognition of the significant support that MMUF recipients can provide each other throughout their graduate and academic trajectories, the Foundation awarded two grants to the Woodrow Wilson National Fellowship Foundation to explore, plan, and launch the development of a formal MMUF alumni network.

Other DI grants supported academic programs, faculty career enhancement, libraries, and academic review and planning at HBCUs and Native American colleges with strong track records in graduating students from underrepresented communities. Grants to the HBCU Faculty Development Network and the American Indian College Fund supported programs for faculty career enhancement and research. Morehouse and Spelman Colleges received support for the coordination and enhancement of international studies. A grant to the Southern Education Foundation assists HBCUs with preparing for reaccreditation reviews that tax these institutions administratively but also bring them planning benefits. With a view to ensuring the full participation of underrepresented groups in the rapid evolution of academic libraries, grants were made to the Robert W. Woodruff Library to stimulate the enrollment of HBCU graduates in library and information science programs and to the LYRASIS consortium for a program designed to strengthen HBCU libraries.

Mentored research opportunities contribute significantly to the academic success of undergraduate students. In addition to supporting undergraduate research through MMUF, the DI program regularly makes grants for undergraduate research to HBCUs and other institutions committed to offering supervised research experiences. Grants in this area were made to Brown and Xavier Universities, the

Schomburg Center for Research in Black Culture at the New York Public Library, and the University of Michigan. The latter grant was developed in collaboration with the Foundation's RUSH program; the Foundation is anticipating more such collaborative grantmaking as it seeks to mitigate the limited diversity in cultural institutions such as museums and performing arts organizations.

### *Scholarly Communications and Information Technology*

The Foundation's Scholarly Communications and Information Technology (SCIT) program was led in 2011 by Donald J. Waters and Helen Cullyer. SCIT's overarching goal is to assist universities, libraries, and other cultural institutions with the development of systems, which are driven by the needs of scholars and other users, for the preservation, analysis, and dissemination of information in print, analog, and digital formats. The program's objectives are to: (1) support the efforts of libraries and archives to preserve and provide access to materials of broad scholarly and cultural significance; (2) assist scholars in developing specialized scholarly resources that promise to open or advance fields of study in the humanities and humanistic social sciences; (3) strengthen the publication of humanistic scholarship and its dissemination to the widest possible audience; and (4) support the design, development, and implementation of software applications and services that advance the objectives of the Foundation's core constituents.

During 2011, SCIT continued to fund projects that help libraries reorganize their services so that they become more efficient and better serve the changing needs of scholars. Emory University received funds to develop a digital scholarship center within the university library, and Johns Hopkins University was awarded a grant to undertake a study of the impact of patron-driven acquisition models for scholarly monographs on both research libraries and scholarly presses. The Center for Research Libraries (CRL) received a second grant to assist in the transformation of the organization that began in 2008. CRL is expanding both the digital collections it provides to its members and its services for the audit and certification of digital repositories. It is also helping to coordinate regional print archiving efforts across the US.

Conservation and preservation grants focused on the development of new forensic and scientific methods and on their application



to the preservation of library and archival materials in a variety of media; they also sought to ensure that there is a sufficient supply of well-trained conservators and conservation scientists to serve libraries and archives. The University of North Carolina at Chapel Hill received funds to help develop open source software, based on digital forensic methods, for the management and preservation of born-digital archives. To foster scientific research on conservation issues in libraries and archives and to recruit scientists to work on these issues, Johns Hopkins University was awarded a grant to continue a pilot postdoctoral program in materials science applied to book and paper collections. In addition, following upon three initial grants in 2010, SCIT awarded funds to the art conservation programs at Buffalo State College, New York University, and the University of Delaware to support two cohorts of graduate students specializing in the conservation of library and archival materials.

SCIT also continued to assist libraries and archives with critically important cataloging activities. In the UK, the University of Cambridge received a grant to continue cataloging its legal deposit material, and the University of Oxford was awarded funds to convert its paper-based catalogs for maps and music to electronic formats. In the US, the Council on Library and Information Resources (CLIR) administered the Foundation-funded Hidden Collections program, a national, peer-reviewed, competitive grant-making program for the cataloging of uncataloged and unprocessed special collections in US institutions that are effectively “hidden” from scholars. Nineteen libraries, museums, and collecting institutions were awarded Hidden Collections grants. CLIR also received funding to continue to administer the program in 2012 and for general operational support.

To help scholars build resources and tools to advance their fields, the Foundation made a number of grants in ancient Near Eastern and classical studies, archaeology, medieval studies, early modern studies, and musicology. Awards included grants to the University of California at Los Angeles for expansion of its Cuneiform Digital Library; to Arizona State University for further development of Digital Antiquity, a repository of data from US archaeological projects; and to the University of Wisconsin for a project to develop open source software tools for the analysis of a corpus of early modern English printed texts. In order to foster development of new humanistic resources, tools, and digitally-based

research, funds were awarded to the American Council of Learned Societies to support the Digital Innovation Fellowship program. An award was also made to the University of Chicago to assess the relationship of technological innovation to disciplinary change. Two postdoctoral fellows will each study the influences of a particular technology on a set of disciplines, and the influences of those disciplines on the technology.

SCIT also made grants to fund the development and publication of electronic reference works such as the Online Egyptological Bibliography (University of Oxford), the New Greek Lexicon (University of Cambridge), and People of the Founding Era (Virginia Foundation for the Humanities and Public Policy). In addition, SCIT funded projects that are developing infrastructure for scholarly publishing. Grants were made to the University of Southern California for development of multimedia authoring and reading applications: the Sophie project received funds to develop applications so that books authored with Sophie software could be read on mobile devices; and the Alliance for the Networking of Visual Culture received further funds to plan for the sustainability and enhancement of the Scalar platform that is already being used by some university presses for the publication of multimedia, book-length scholarly works.

Other information technology grants included support for the development of applications for use by libraries, archives, and museums and by scholars. Grants were made to the American Museum of the Moving Image for the further development of CollectionSpace, an open source museum collections management system, and to New York University for ArchivesSpace, a system for archival description that combines the features of Archivists' Toolkit and Archon. Also receiving funds were the University of Nebraska, which is to develop a tool that would automatically convert text from one mark-up schema to another, and the University of Illinois at Urbana-Champaign, which is to develop a system that evaluates algorithms for music information retrieval and plan for its sustainability.

### *Performing Arts*

The Foundation's Performing Arts program was led in 2011 by Susan Feder. It makes grants in the disciplines of music (with an emphasis on orchestras and opera), theater, and dance, and also pro-

vides support for presenting organizations, service organizations, and related institutions working to advance the field (several of which administer regranteeing programs that extend the Foundation's reach). Many grants support the creation, presentation, and dissemination of ambitious or rarely performed artistic work and are evaluated on the basis of artistic excellence, distinctiveness, and impact. While the program has long focused on supporting the work of generative artists—composers, playwrights, and choreographers—it has increasingly concentrated on strengthening the developmental process of their work, both before and after a premiere. In 2011, grants also helped organizations seeking to adapt their practices, structures, or programming to a rapidly changing environment and provided support for documentation and preservation, international exchange activities, technological and media-related innovations, professional development, and collaborative ventures. In addition, the program continued its recent emphasis on enhancing the role of the performing arts on college and university campuses. While the program's grants are national in scope, they also reflect the Foundation's role as a New York-based funder.

Examples of grants supporting creation and presentation included those for the University of North Carolina's ambitious year-long exploration of *"The Rite of Spring" at 100* (one of six grants to college and university-based presenters aimed at integrating professional classical music into academic offerings); the New York Theater Program (administered by the New York Foundation for the Arts), which provides support to 31 small and mid-sized New York City-based theater producers and presenters that contribute to the cultural landscape on both a local and national scale; the National Dance Project (administered by the New England Foundation for the Arts), which enables partnerships between artists and presenters across the US; and English National Opera's multiyear commitment to new or recent American operas (one of several similar grants to opera companies).

Highlights of the Foundation's 2011 support for creation and developmental activities included a grant to Washington Drama Society (Arena Stage) for the American Voices New Play Institute, in which playwrights receive three-year salaried residency positions and access to a discretionary fund for the development of their work (the institute also provides one-year fellowships for early-career producers, and online tools designed to engage the broader

theater community). Similarly, a grant to New York Live Arts supports a two-year choreographic residency including commission, salary, and tour support for one midcareer artist annually. Grants to Emerson College and the National Performance Network are intended to provide developmental and production support for touring artists and companies through on-site residencies, while grants to several theater companies aim to strengthen the development of new work by means of extended residencies. Through a new initiative, 15 dance organizations in New York City received three years of support to subsidize the costs of providing affordable rehearsal space. This should result in more than 21,000 hours annually available for professional choreographers and dance companies to rehearse their work.

In the aftermath of the economic downturn (but not solely because of it), collaboration has been a distinguishing feature of an increasing number of initiatives. Opera America's New Works Forum will offer opera producers and creators opportunities to gain greater fluency in the production of new work through facilitated discussions, case studies, and showcases designed to foster stronger relationships among opera company leaders and encourage collaborative projects. Project Audience, a national initiative developed cooperatively by arts and culture organizations, will commence a proof-of-concept phase aimed at creating a technology platform that can aggregate and share performance and event information on a common local, regional, and, eventually, national basis. Two orchestras will partner with universities on initiatives: the Atlanta Symphony with Emory University to explore the topic of creation, and the Louisiana Philharmonic with Louisiana State University, where the orchestra will perform and teach and in turn receive technological support and access to the Louisiana Optical Network. A grant to the Curtis Institute of Music will support multiyear residencies with the ensemble eighth blackbird, an initiative developed by Curtis in recognition of the urgent need for young musicians to assume more comprehensive and entrepreneurial roles in their future careers. The Foundation also renewed its support for ArtPlace—a collaboration involving large private foundations, the National Endowment for the Arts, and other federal agencies—which makes grants to enhance the physical and social character of communities through arts and cultural activities.

Recognizing that professional development ought to serve leaders throughout their careers, the Foundation supported the efforts of National Arts Strategies to create a two-year executive leadership program for 100 experienced and emerging arts executives, to be held in cooperation with leading business schools. The program is designed to address issues such as the centrality of the arts to civil society and discourse, competition with commercial entertainment, and opportunities and challenges in a globalized marketplace. Similarly, a re-envisioned version of Theatre Communications Group's successful professional development program will now target midcareer as well as emerging leaders, while a grant to the Margaret Jenkins Dance Studio supported its mentorship program for established and emerging choreographers. Grant funds also made possible a tuition-free course on strategic technology planning for nonprofit arts organizations.

The Foundation awarded several grants to strengthen organizational infrastructure. These included covering expenses associated with the merger of two leading music service organizations and contributing funds to a cash reserve, and a grant to support an operating reserve for the Signature Theatre's new center, the largest performing arts complex to open in New York City since Lincoln Center (the grant also supports productions by distinguished playwrights long associated with the company). The Foundation extended for another three years its program-related investment (administered by the Nonprofit Finance Fund) for a zero-interest loan pool serving small and mid-sized performing arts grantees. Finally, a grant to the Cunningham Dance Foundation, to support rehearsals for the company's final tour, represented the capstone on the Foundation's support for Cunningham's legacy planning, as well as nearly 40 years of funding.

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

The Foundation's Art History, Conservation, and Museums program was led in 2011 by Ms. Westermann and Alison Gilcrest. Formerly known as the Museums and Art Conservation program, the program was renamed in order to emphasize its support of the art historical and conservation mission of museums as well as its recognition of the triangulated relations among museums, research centers, and universities in the practice of these disciplines. At the end of 2010 and into 2011, staff reviewed the program's long-term

initiatives and found that several have reached a level of maturity that warrants a gradual withdrawal as grantee institutions and other funders assume responsibility for established programs. Staff also explored the current needs and priorities of art museums within the expanded institutional field of the early 21st century. Through consultations with leaders of museums, conservation centers, research institutes, and graduate programs, new challenges and opportunities for art museums emerged: limitations to collecting and conservation capacity, the growing importance of non-collecting institutions, expanding digital expectations and ambitions, and the impacts of globalization. Grants made in the Art History, Conservation, and Museums program in 2011 began to support initiatives that address new needs and expand the range of grantee institutions while maintaining investments in curatorial practice, conservation training, and conservation science and documentation.

The program continued its emphasis on enhancing the role of works of art in teaching and research with grants to the Universities of Michigan, Virginia, and the Witwatersrand, and to Oxford, Princeton, and Rutgers Universities; these grants are intended to stimulate collaborations between campus art museum curators, professors, and students, as well as to enrich curricula. Museums and universities alike have begun to recognize that the revitalization of object-based study and curatorial experience within PhD programs is vital to art history as an intellectual enterprise. Several grants were made to enhance the experience of art history graduate students with objects, collections, and conservation, and also to integrate museum curators into university teaching and research. The grants to Michigan and Rutgers included such components; a grant to the University of Delaware supported the launch of a curatorial track within its art history PhD program. Grants to the Robert W. Woodruff Arts Center, for use by the High Museum, and Emory University in Atlanta supported a collaborative program focused on objects from the museum's collection. With Foundation funding, the Conservation Center at the Institute of Fine Arts, New York University, is offering pilot workshop courses in the technical study of art for art history students from any graduate program where such training is not offered.

Support for core curatorial functions in art museums of national or international importance remained a priority. First-time grants were made to the Newark Museum, the Studio Museum in Harlem, and the Luis A. Ferre Foundation in Puerto Rico for use by the

Museo de Arte de Ponce. A select number of new directors with demonstrated leadership capacity and compelling visions for their museums received grants to initiate curatorially-focused endeavors that will advance the missions of their institutions and that could have the potential to serve as models for the field. Among such grants were those made to the Toledo Museum of Art and the Carnegie Institute. Established directors with innovative ideas for expanding and improving curatorial practice received awards that will enable them to test new methods of enhancing curatorial capacity: the Indianapolis Museum of Art (IMA) will host a series of consulting curators who will be in residence to bring their expertise to bear on the IMA's collections; the Whitney Museum of American Art will launch a new curatorial initiative in performance; and the Museum of Modern Art (MoMA) will establish a series of fellowships in its Contemporary and Modern Art Perspectives program, which supports research collaborations with colleagues in Eastern Europe, Japan, and Brazil.

The grants to the Whitney and MoMA also exemplify the Foundation's continuing interest in strengthening scholarship in contemporary art. The New Museum of Contemporary Art and New Art Publications, Inc. (BOMB Magazine) received grants to help make their prodigious documentary resources more fully available to scholars and to help establish standards for research, documentation, and archiving in the domain of contemporary art. Grants to the Menil Foundation and the International Network for the Conservation of Contemporary Art-North America support artist interview initiatives. The Institute of Contemporary Art in Boston received support for research and publication on the complex interactions between conceptual art and craft after World War II.

The program's commitment to conservation was reflected in several grants to the US graduate conservation programs that support their important function in training skilled professionals. A major grant to Carnegie Mellon University maintains support for the Art Conservation Research Center, which will continue its research on fundamental chemical and physical degradation processes of art and library materials while it prepares to relocate to a new host institution.

Although the program's support is focused domestically, staff have developed an approach to non-US museums that would support initiatives of genuinely innovative and modeling potential for art history or the museum sector, and that may stimulate sustained engagement between US institutions and counterparts abroad.

Grants such as those to the Stiftung Museum Kunstpalast, to support the Cranach Digital Archive, and to the University of Delaware, to support the Iraqi Institute for the Conservation of Antiquities and Heritage, recognize the importance of international collaboration for the advancement of the inherently global disciplines of art history and conservation.

### *Conservation and the Environment*

The Foundation's Conservation and the Environment program (C&E), directed by William Robertson IV, continued efforts begun in 2003 to help a consortium of over 240 herbaria from more than 70 countries develop a coordinated database of high-quality digital images (600dpi) of plant Type specimens (the original specimens used to identify species). These Type images are augmented by reference works, photographs, and botanical art. The participating herbaria are contributing images for all of the Types they hold, and their estimates indicate that the total will be in excess of 2 million. The Plants Initiative database now holds about 1,900,000 images and associated data: 1,300,000 Types and historical specimens; 190,000 images of artwork, photographs, and reference materials; and nearly 450,000 articles linked from JSTOR. Objects are arriving at the rate of about 7,500 per week. Searches within JSTOR Plants also display returns from the Biodiversity Heritage Library and other online resources. The database is available online at JSTOR (<http://plants.jstor.org>). Staff welcome communications from any institutions holding Type specimens that have yet to be included in the database.

C&E will close in 2013 as the Foundation moves into the next phase of its long-term plans to focus on the humanities and the arts. Proposals continue to be accepted for the Plants Initiative and from extant grantees in order to bring the Research Bridges to South Africa programs to an orderly conclusion.

### *Special International Emphasis: South Africa*

Under the guidance of its representative in South Africa, Stuart Saunders, the Foundation supports programs at key South African universities. They are designed to produce the next generation of scholars and advance research and teaching in an innovative and pur-



poseful way in the humanities. At the University of the Western Cape and the University of Pretoria, awards were given for doctoral and postdoctoral fellows in the humanities. The award to the University of Pretoria included funds for distinguished visiting fellows and seminars. The award to the University of the Western Cape was given for use by the Centre for Humanities Research, while the University of Pretoria is in the process of establishing its own Centre for Advanced Scholarship.

At Rhodes University, funds were used to support leading humanities scholars in an effort to promote research and postgraduate development. In addition, a grant was given to the university's Women's Academic Solidarity Associated Research Program and the Women's Academic Solidarity Association, which promote the roles of women in teaching, research, and administration.

Grants awarded to the Opera School at the University of Cape Town (UCT) helped to reinforce the achievements of the past nine years, which have seen a transformation of opera in South Africa and the arrival of African opera singers in leading companies of Europe and North America. UCT also received grants to establish a photographic archive and to create an academic post in music technology, to support research into the use and abuse of memory in post-authoritarian societies in its Centre for Popular Memory, and to provide merit awards for outstanding young faculty members in the humanities.

The Southern African Labour and Development Research Unit at UCT received a matching grant to help establish an endowment that will support the important interinstitutional summer training programs for humanities and social science scholars in quantitative methods. The Constitutional Court Trust received support to ensure the continuation of the Southern African Legal Information Institute, which collects primary legal materials and ensures public access to them. A new vice-chancellor was appointed at the University of the Free State, and a discretionary grant was awarded to support his initiatives.



# The Andrew W. Mellon Foundation

## *Summary of Grants and Contributions, 2011*

	<i>Payable and Committed at Dec. 31, 2010</i>	<i>2011 Grants and Commitments</i>		<i>Payable and Committed at Dec. 31, 2011</i>
		<i>Appropriated</i>	<i>Paid</i>	
Higher Education and Scholarship . . . . .	\$30,569,162	\$128,692,445	\$137,117,007	\$22,144,600
Scholarly Communications and Information Technology . .	2,860,761	26,000,000	25,787,161	3,073,600
Performing Arts . . . . .	11,852,500	37,750,000	40,130,700	9,471,800
Art History, Conservation, and Museums . . . . .	20,423,865	25,740,756	30,430,380	15,734,241
Conservation and the Environment . . . . .	<u>1,182,001</u>	<u>12,140,000</u>	<u>11,930,000</u>	<u>1,392,001</u>
Program grants and commitments — totals . . .	66,888,289	230,323,201	245,395,248	51,816,242
Contributions and matching gifts . . . . .	<u>—</u>	<u>1,454,984</u>	<u>1,454,984</u>	<u>—</u>
	<u>\$66,888,289</u>	<u>\$231,778,185</u>	<u>\$246,850,232</u>	<u>\$51,816,242</u>



# The Andrew W. Mellon Foundation

## *Classification of Grants*

### HIGHER EDUCATION AND SCHOLARSHIP

*Appropriated*

Agnes Scott College,  
Decatur, Georgia:

To support a program to embed undergraduate research into the humanities across the curriculum . . . . .	\$ 200,000
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American Academy in Rome,  
New York, New York:

To support the Conversations That Matter pilot program . . . . .	62,500
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American Council of Learned Societies,  
New York, New York:

To support an endowment reserved for core operating expenses . . . . .	6,000,000
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To support postdoctoral fellowships for recent PhD recipients in the humanities . . . . .	3,000,000
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To continue support for a program allowing nonacademic organizations to appoint PhDs in the humanities to postdoctoral positions . . . . .	3,000,000
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American Indian College Fund,  
Denver, Colorado:

To support planning for a master's degree completion fellowship program at tribal colleges and universities . . . . .	50,000
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To support publication of a two-volume series of manuscripts written by Mellon fellows at tribal colleges . . . . .	50,000
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HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

American University - Central Asia,  
Bishkek, Kyrgyz Republic:

To support postdoctoral fellowships . . . . .	100,000
To support presidential initiatives . . . . .	50,000

American University in Cairo,  
New York, New York:

To support postdoctoral teaching fellowships in the core curriculum . . . . .	700,000
To support financial aid and student retention initiatives necessitated by recent political and economic transitions in Egypt . . . . .	500,000
To plan, collect, and document the events of the Tahrir Square protest movement . . . . .	50,000

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

To support academic planning . . . . .	40,000
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Amherst College,  
Amherst, Massachusetts:

To support renewal of an Emeritus Fellowship . . . . .	8,800
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Appalachian College Association,  
Berea, Kentucky:

To support a partnership for undergraduate research with the University of North Carolina at Asheville . . . . .	570,000
To support the participation of two additional colleges in the Bowen Central Library of Appalachia shared catalog . . . . .	68,500

HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

ASIANetwork, Inc.,  
Bloomington, Illinois:

To support a series of faculty study and travel  
seminars in India, South Korea, and Vietnam . . . . . 200,000

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

To support faculty career enhancement . . . . . 800,000

Barnard College,  
New York, New York:

To support the creation of an empirical reasoning  
laboratory, the development of course modules, and  
the integration of inquiry-based materials  
throughout the curriculum . . . . . 700,000

To support the Mellon Mays Undergraduate  
Fellowship program . . . . . 247,500

Bowdoin College,  
Brunswick, Maine:

To support a New Directions Fellowship . . . . . 241,000

Brandeis University,  
Waltham, Massachusetts:

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

Brooklyn College,  
Brooklyn, New York:

To support the Mellon Mays Undergraduate  
Fellowship program . . . . . 247,500

HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

Brown University,  
Providence, Rhode Island:

To support a pilot program that will enable graduate students to acquire training in a second field germane to their intellectual interests and their doctoral research . . . . .	2,000,000
To renew support for undergraduate student summer research in the humanities and social sciences . . . . .	500,000
To support a Sawyer Seminar on the Comparative Study of Cultures, entitled "Animal Magnetism: The Emotional Ecology of Animals and Humans" . .	175,000
To support an Emeritus Fellowship . . . . .	50,500
To support ongoing scholarly activities by a former New Directions Fellowship recipient . . . . .	50,000

Bryn Mawr College,  
Bryn Mawr, Pennsylvania:

To support an integrated, multidisciplinary program for curricular renewal . . . . .	1,000,000
To support the Mellon Mays Undergraduate Fellowship program . . . . .	247,500
To support an Emeritus Fellowship . . . . .	55,000

Bucknell University,  
Lewisburg, Pennsylvania:

To support presidential initiatives . . . . .	100,000
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California Institute of Technology,  
Pasadena, California:

To support postdoctoral fellowships in the humanities and humanistic social sciences . . . . .	750,000
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HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

Carleton College,  
Northfield, Minnesota:

To support presidential initiatives . . . . .	100,000
To support ongoing scholarly activities by a former New Directions Fellowship recipient . . . . .	50,000

Carnegie Mellon University,  
Pittsburgh, Pennsylvania:

To support ongoing scholarly activities by a former New Directions Fellowship recipient . . . . .	50,000
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Centre College,  
Danville, Kentucky:

To support an East Asian studies program . . . . .	250,000
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Claremont McKenna College,  
Claremont, California:

To support programs in Portuguese language and Latin American history and culture . . . . .	600,000
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Clark University,  
Worcester, Massachusetts:

To support presidential initiatives . . . . .	100,000
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Colgate University,  
Hamilton, New York:

To support presidential initiatives . . . . .	100,000
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College of the Holy Cross,  
Worcester, Massachusetts:

To support expansion of the undergraduate research program in the humanities . . . . .	625,000
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College of William and Mary,  
Williamsburg, Virginia:

To support a program for undergraduate research in global studies . . . . .	866,000
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HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

Colorado College,  
Colorado Springs, Colorado:

To support programs in Mediterranean, Asian, and  
Latin American languages and cultures . . . . . 509,000

Columbia University,  
New York, New York:

To support collectively developed projects in  
disciplinary innovation and cross-institutional  
collaboration by a consortium of university  
humanities centers . . . . . 400,000

To support historical scholarship on the League of  
Nations . . . . . 30,000

Community MusicWorks,  
Providence, Rhode Island:

To support strategic collaborations and programs  
that will extend the educational model of  
Community MusicWorks in the fields of classical  
music and arts education . . . . . 257,750

Connecticut College,  
New London, Connecticut:

To support undergraduate research in the arts and  
humanities . . . . . 400,000

The Constitutional Court Trust,  
Braamfontein, South Africa:

To support the Southern African Legal  
Information Institute . . . . . 600,000

Convergence,  
Washington, DC:

To support a second year of a postdoctoral  
fellowship to bolster the U.S.-Muslim Engagement  
Initiative . . . . . 95,000

HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

Cornell University,  
Ithaca, New York:

To support a New Directions Fellowship . . . . .	269,000
To support a New Directions Fellowship . . . . .	260,000
To support ongoing scholarly activities by a former New Directions Fellowship recipient . . . . .	50,000
To support an Emeritus Fellowship . . . . .	32,400

Council of Independent Colleges,  
Washington, DC:

To support information fluency workshops in core disciplines of the humanities . . . . .	682,000
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Council on Library and Information Resources,  
Washington, DC:

To support a dissertation fellowship program for graduate students in the humanities to conduct research in original sources . . . . .	1,398,000
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Dartmouth College,  
Hanover, New Hampshire:

To support a New Directions Fellowship . . . . .	309,000
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DePauw University,  
Greencastle, Indiana:

To support a New Directions Fellowship . . . . .	176,000
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Dickinson College,  
Carlisle, Pennsylvania:

To support a collaborative initiative between liberal arts colleges and military institutions of higher education . . . . .	100,000
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Dillard University,  
New Orleans, Louisiana:

To renew support for a faculty career enhancement program . . . . .	300,000
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HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

Doane College,  
Crete, Nebraska:

To support undergraduate research in the humanities . . . . .	50,000
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Duke University,  
Durham, North Carolina:

To support the launch of the Humanities Writ Large initiative . . . . .	6,000,000
To support international graduate education programs . . . . .	500,000
To support a New Directions Fellowship . . . . .	350,000
To support planning for the future of the Consortium of Humanities Centers and Institutes . .	100,000
To support an Emeritus Fellowship . . . . .	55,000

Five Colleges Incorporated,  
Amherst, Massachusetts:

To establish an endowment in support of administrative operations that serve academic programs . . . . .	1,500,000
To support pilot projects bridging liberal arts and professional education and the use of digital humanities resources and innovative technology . . .	1,500,000

Furman University,  
Greenville, South Carolina:

To support faculty positions for a fine arts initiative . . . . .	800,000
To support presidential initiatives . . . . .	100,000

George Washington University,  
Washington, DC:

To support summer archival training institutes for graduate students in the humanities and humanistic social sciences . . . . .	285,000
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HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

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

To support a Sawyer Seminar on the Comparative Study of Cultures, entitled "Democratic Citizenship and the Recognition of Cultural Differences" . . . . .	174,400
To support an Emeritus Fellowship . . . . .	42,700

Grinnell College,  
Grinnell, Iowa:

To support presidential initiatives . . . . .	100,000
To support an Emeritus Fellowship . . . . .	25,500

Hamilton College,  
Clinton, New York:

To support a research-based summer internship program for students in the digital humanities and to establish an endowment to support ongoing digital humanities initiatives . . . . .	150,000
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Hampshire College,  
Amherst, Massachusetts:

To support institutional and faculty renewal . . . . .	850,000
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Harvard University,  
Cambridge, Massachusetts:

To support activities aimed at strengthening scholarship in art history at the Villa I Tatti . . . . .	593,000
To support initial editorial work on the <i>Dictionary of Caribbean and Afro-Latin American Biography</i> . . . . .	100,000
To support an Emeritus Fellowship . . . . .	55,000
To support an Emeritus Fellowship . . . . .	55,000
To support production and publication of the Mellon Mays Undergraduate Fellowship annual journal . . . . .	54,000

HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

Harvey Mudd College,  
Claremont, California:

To support a program of academic support and  
research opportunities for students from  
disadvantaged backgrounds . . . . . 600,000

Haverford College,  
Haverford, Pennsylvania:

To support the establishment of a collaborative  
creative residencies program within the liberal arts  
curriculum of Haverford, Swarthmore, and Bryn  
Mawr Colleges. . . . . 739,000

HBCU Faculty Development Network,  
Tougaloo, Mississippi:

To support historically black college and university  
faculty participation in the HBCU Faculty  
Development Network’s annual meeting, strategic  
planning, and evaluation . . . . . 70,000

Hendrix College,  
Conway, Arkansas:

To support faculty development, workshops, and  
retreats in preparation for a revision of the general  
education program . . . . . 450,000

Hunter College,  
New York, New York:

To support the Mellon Mays Undergraduate  
Fellowship program . . . . . 247,500

To support the integration of the arts across the  
curriculum . . . . . 100,000

Illinois College,  
Jacksonville, Illinois:

To support revision of the general education  
program . . . . . 214,000

HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

Illinois Wesleyan University,  
Bloomington, Illinois:

To support writing and information literacy across  
the curriculum . . . . . 250,000

Indiana University,  
Bloomington, Indiana:

To support a Sawyer Seminar on the Comparative  
Study of Cultures, entitled "Food Choice, Freedom,  
and Politics" . . . . . 172,000

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

To support the Graduate Fellowships for  
International Study program . . . . . 3,160,000

Intercollegiate Center for Classical Studies,  
Durham, North Carolina:

To support the salary and costs associated with the  
Professor-in-Charge position . . . . . 400,000

Johns Hopkins University,  
Baltimore, Maryland:

To support summer stipends for doctoral students in  
the humanities . . . . . 3,000,000

Kenyon College,  
Gambier, Ohio:

To support a unified teaching and learning initiative  
to address the core competencies of liberal  
education . . . . . 750,000

To support a first-year writing program and a study  
to analyze the effectiveness of writing instruction at  
the college . . . . . 150,000

HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

Lafayette College,  
Easton, Pennsylvania:

To support the integration of the performing and visual arts across the curriculum . . . . .	800,000
To support a forum on the future of the liberal arts college . . . . .	50,000

Lawrence University,  
Appleton, Wisconsin:

To support continuation of the Senior Experience program . . . . .	450,000
To support an academic program in dance studies . .	150,000

Lewis and Clark College,  
Portland, Oregon:

To support presidential initiatives . . . . .	100,000
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LYRASIS,  
Atlanta, Georgia:

To support the strengthening of libraries at historically black colleges and universities . . . . .	600,000
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McDaniel College,  
Westminster, Maryland:

To support presidential initiatives . . . . .	100,000
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Middlebury College,  
Middlebury, Vermont:

To support faculty bridge appointments in anticipation of retirements and evolving needs in the humanities and social sciences . . . . .	800,000
To support international education and faculty development . . . . .	150,000
To support an Emeritus Fellowship . . . . .	31,300



HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

Morehouse College,  
Atlanta, Georgia:

To endow a professorship in the physical sciences in honor of Morehouse's former president, Walter E. Massey . . . . .	500,000
To support the launch of the Cinema, Television, and Emerging Media Studies program . . . . .	400,000

Mount Holyoke College,  
South Hadley, Massachusetts:

To support the integration of academic and practical experiences through internships, field work, and civic engagement . . . . .	500,000
To support presidential initiatives . . . . .	100,000

National Gallery of Art,  
Washington, DC:

To support activities aimed at strengthening scholarship in art history . . . . .	858,000
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Nebraska Wesleyan University,  
Lincoln, Nebraska:

To support liberal arts seminars in the general education curriculum . . . . .	50,000
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The New School,  
New York, New York:

To support strategic and curricular planning for Eugene Lang College . . . . .	50,200
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New York Public Library,  
New York, New York:

To support renewal of the Schomburg-Mellon Summer Humanities Undergraduate Institute . . . . .	446,000
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HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

Northwestern University,  
Evanston, Illinois:

To support a New Directions Fellowship . . . . .	257,000
To support an Emeritus Fellowship . . . . .	55,000
To support ongoing scholarly activities by a former New Directions Fellowship recipient . . . . .	50,000

Oberlin College,  
Oberlin, Ohio:

To support international humanities teaching and research through creation and endowment of a center for the study of foreign languages and international cultures . . . . .	950,000
To support the Mellon Mays Undergraduate Fellowship program . . . . .	247,500
To support planning for the Toni Morrison Center for the Humanities . . . . .	50,200

Pennsylvania State University,  
University Park, Pennsylvania:

To support ongoing scholarly activities by a former New Directions Fellowship recipient . . . . .	40,000
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Pitzer College,  
Claremont, California:

To support an intercollegiate media studies program . . . . .	500,000
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Pomona College,  
Claremont, California:

To support an arts-based campus culture . . . . .	600,000
To provide staff support for community-based research and learning and workshops for faculty and staff . . . . .	150,000

HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

Princeton University,  
Princeton, New Jersey:

To support a Distinguished Achievement Award . . .	1,500,000
To support renewal of an Emeritus Fellowship . . . .	30,000
To support an Emeritus Fellowship . . . . .	29,000

Reed College,  
Portland, Oregon:

To support planning for a teaching and learning center . . . . .	100,000
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Rhodes College,  
Memphis, Tennessee:

To support an interdisciplinary center focusing on the social, cultural, and economic changes in the Mid-South region . . . . .	250,000
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Rhodes University,  
Grahamstown, South Africa:

To support leading humanities scholars in an effort to promote research and postgraduate development . . . . .	800,000
To support the Women's Academic Solidarity Association and its research program . . . . .	95,000

Rice University,  
Houston, Texas:

To support the Mellon Mays Undergraduate Fellowship program . . . . .	247,500
To support a Sawyer Seminar on the Comparative Study of Cultures, entitled "Cultures of Energy: Global Economics and Local Communities" . . . . .	170,600

HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

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

To support a collaborative program designed to increase the number of historically black college and university students entering graduate library and information science programs . . . . .	400,000
To support the documentation, publication, and preservation of the oral histories, experiences, and perspectives of former historically black college and university presidents . . . . .	46,000

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

To support doctoral programs in the humanities . . .	3,500,000
To support a New Directions Fellowship . . . . .	217,000
To support a Sawyer Seminar on the Comparative Study of Cultures, entitled "Race, Place, and Space in the Americas: New Questions and Comparative Analysis" . . . . .	175,000

Saint Augustine's College,  
Raleigh, North Carolina:

To support renewal of a bridge program to enhance student learning and retention . . . . .	400,000
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Sarah Lawrence College,  
Bronxville, New York:

To support environmental studies . . . . .	1,000,000
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Scripps College,  
Claremont, California:

To support the revision and expansion of the writing program . . . . .	50,000
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HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

Skidmore College,

Saratoga Springs, New York:

To support an environmental studies program . . . . . 200,000

To support an initiative to connect students' academic experiences to community-based learning through internships and collaborative projects . . . . . 150,000

Smith College,

Northampton, Massachusetts:

To support an Emeritus Fellowship . . . . . 47,000

To support an Emeritus Fellowship . . . . . 37,000

Social Science Research Council,

Brooklyn, New York:

To support the International Dissertation Research Fellowship program for graduate students in the humanities and social sciences . . . . . 4,709,850

To continue support for a program of pre-dissertation fellowships and related workshops for graduate students in the humanities and humanistic social sciences . . . . . 3,700,000

To support the administration of the Social Science Research Council-Mellon Mays Graduate Initiatives programs for MMUF graduate students and PhDs . . . . . 2,875,000

To support a program of postdoctoral fellowships for transregional research . . . . . 1,000,000

Southern Africa Legal Services Foundation, Inc.,

Washington, DC:

To support an oral history project on the Legal Resource Centre . . . . . 20,000

Southern Education Foundation, Inc.,

Atlanta, Georgia:

To support preparation for reaccreditation reviews of historically black colleges and universities . . . . . 600,000

HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

Southwestern University,  
Georgetown, Texas:

To support postdoctoral teaching fellows to  
strengthen disciplinary writing in the humanities . . . 720,000

Spelman College,  
Atlanta, Georgia:

To support planning and piloting of an international  
studies program . . . . . 70,000

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

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

To support the strengthening of students' academic  
experiences outside the classroom . . . . . 30,000

Stanford University,  
Stanford, California:

To support an Emeritus Fellowship . . . . . 34,700

To support an Emeritus Fellowship . . . . . 34,700

To support an Emeritus Fellowship . . . . . 24,500

Swarthmore College,  
Swarthmore, Pennsylvania:

To support the endowment of a new tenure-track  
position in environmental economics and to provide  
dedicated funds for course and program  
development . . . . . 1,000,000

To support a tri-college environmental studies  
program in collaboration with Bryn Mawr and  
Haverford Colleges . . . . . 591,000

Sweet Briar College,  
Sweet Briar, Virginia:

To support a project to expand participation in the  
arts management program to faculty from a variety  
of disciplines . . . . . 43,500

HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

Syracuse University,  
Syracuse, New York:

To support the Central New York Humanities  
Corridor, a collaborative research initiative between  
Syracuse University, Cornell University, and the  
University of Rochester . . . . . 1,000,000

Trinity College,  
Hartford, Connecticut:

To support curricular and faculty development  
initiatives within the college's Institute for  
Interdisciplinary Studies . . . . . 150,000

Trinity University,  
San Antonio, Texas:

To support curricular planning . . . . . 47,750

Tulane University,  
New Orleans, Louisiana:

To support postdoctoral fellowships in the  
humanities and the related social sciences . . . . . 1,050,000

University of California at Berkeley,  
Berkeley, California:

To support faculty fellowships in the humanities  
and research grants to senior faculty . . . . . 3,000,000

To support collectively developed projects in  
disciplinary innovation and cross-institutional  
collaboration by a consortium of university  
humanities centers . . . . . 400,000

To support a Sawyer Seminar on the Comparative  
Study of Cultures, entitled "Speciesism in Biology,  
Culture, and Sociopolitics" . . . . . 165,000

To support an Emeritus Fellowship . . . . . 26,600

HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

University of California at Davis,  
Davis, California:

To support a New Directions Fellowship . . . . .	225,000
To support a Sawyer Seminar on the Comparative Study of Cultures, entitled "Indigenous Cosmopolitics: Dialogues about the Reconstitution of Worlds" . . . . .	173,800

University of California at Irvine,  
Irvine, California:

To support a University of California Humanities Research Institute program for humanities faculty and graduate students devoted to changing conceptions of work and the global workforce . . . . .	800,000
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University of California at Los Angeles,  
Los Angeles, California:

To support the development of a curriculum initiative in the classics department . . . . .	700,000
To support the development of a curriculum initiative in the English department . . . . .	650,000
To support an Emeritus Fellowship . . . . .	32,100
To support an Emeritus Fellowship . . . . .	26,800

University of Cambridge,  
Cambridge, United Kingdom:

To support collectively developed projects in disciplinary innovation and cross-institutional collaboration by a consortium of university humanities centers . . . . .	400,000
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HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

University of Cape Town,  
Cape Town, South Africa:

To support the University of Cape Town Opera School fellowship program . . . . .	850,000
To support the creation of digital and print collections of photographs . . . . .	425,000
To support an endowment for the Southern African Labour and Development Research Unit's Summer Training Programme . . . . .	355,000
To support a faculty position in music technology . .	300,000
To support the development of academic staff in the humanities and social sciences . . . . .	210,000
To support the establishment of the African Memory Project at the Centre for Popular Memory . . . . .	125,000
To support the short-term needs of capacity development in the fields of conservation and curatorship . . . . .	100,000
To support the development of a Web-based platform that makes accessible a seminar series on neuropsychanalysis . . . . .	50,000
To cover the cost of administrative support to a senior advisor . . . . .	9,500

HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

University of Chicago,  
Chicago, Illinois:

To support the recruitment of new faculty in the humanities for the university's extant center in Beijing and its new center to be established in New Delhi . . . . .	2,500,000
To support collectively developed projects in disciplinary innovation and cross-institutional collaboration by a consortium of university humanities centers . . . . .	400,000
To support short-term research fellowships for the Black Metropolis Research Consortium . . . . .	200,000
To support an Emeritus Fellowship . . . . .	55,000

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

To support a New Directions Fellowship . . . . .	228,000
To support ongoing scholarly activities by a former New Directions Fellowship recipient . . . . .	50,000

University of Iowa,  
Iowa City, Iowa:

To support an Emeritus Fellowship . . . . .	33,400
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University of Michigan,  
Ann Arbor, Michigan:

To support the participation of humanities and humanistic social science students from underrepresented groups in a summer research program . . . . .	110,150
To support an Emeritus Fellowship . . . . .	40,800

University of Minnesota at Twin Cities,  
Minneapolis, Minnesota:

To support ongoing scholarly activities by a former New Directions fellowship recipient . . . . .	50,000
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HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

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

To support a New Directions Fellowship . . . . . 171,000

University of Notre Dame,  
Notre Dame, Indiana:

To support a New Directions Fellowship . . . . . 200,000

To support a Sawyer Seminar on the Comparative  
Study of Cultures, entitled "The Qur'an in the  
World of Late Antiquity" . . . . . 175,000

To support scholarly programs in ancient  
philosophy . . . . . 50,000

To support an Emeritus Fellowship . . . . . 44,200

University of Oxford,  
Oxford, United Kingdom:

To support postdoctoral fellowships in the  
humanities . . . . . 2,000,000

University of Pennsylvania,  
Philadelphia, Pennsylvania:

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

To support a New Directions Fellowship . . . . . 167,000

To support the multimedia opera, *Biennale* . . . . . 82,000

To support renewal of an Emeritus Fellowship . . . . 7,100

University of Pittsburgh,  
Pittsburgh, Pennsylvania:

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

University of Pretoria,  
Pretoria, South Africa:

To support the revitalization of scholarship in the  
humanities . . . . . 1,140,000

HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

University of Puget Sound,  
Tacoma, Washington:

To support the development of a major program in  
environmental policy and decision making, and the  
creation of a minor in US Hispanic studies . . . . . 150,000

University of Richmond,  
Richmond, Virginia:

To support the integration of liberal, professional,  
and vocational education . . . . . 86,845

University of Southern California,  
Los Angeles, California:

To support a New Directions Fellowship . . . . . 212,000

University of the Free State,  
Bloemfontein, South Africa:

To support the Prestige Young Scholars  
Programme . . . . . 100,000

University of the South,  
Sewanee, Tennessee:

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

University of the Western Cape,  
Bellville, South Africa:

To support doctoral and postdoctoral fellowships in  
the Centre for Humanities Research . . . . . 300,000

University of the Witwatersrand,  
Johannesburg, South Africa:

To support strengthening of the university's research  
culture through the engagement of senior research  
scholars . . . . . 700,000

HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

University of Toronto,  
Toronto, Canada:

To support editorial costs of the *Dictionary of Old  
English* . . . . . 500,000

University of Virginia,  
Charlottesville, Virginia:

To support an initiative to strengthen  
interdisciplinary research and graduate education  
in the humanities . . . . . 2,900,000

University of Washington,  
Seattle, Washington:

To support a Sawyer Seminar on the Comparative  
Study of Cultures, entitled “Bordering Violence:  
Boundaries, Indigeneity, and Gender in the  
Americas” . . . . . 175,000

University of Wisconsin at Madison,  
Madison, Wisconsin:

To support the completion of print and digital  
versions of the *Dictionary of American Regional  
English* . . . . . 500,000  
To support an Emeritus Fellowship . . . . . 22,700

Vanderbilt University,  
Nashville, Tennessee:

To support a Sawyer Seminar on the Comparative  
Study of Cultures, entitled “The Age of  
Emancipation: Black Freedom in the Atlantic  
World” . . . . . 145,700

Vassar College,  
Poughkeepsie, New York:

To support the Career and Curricular Transitions  
Postdoctoral Fellowships . . . . . 1,500,000

HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

VolkswagenStiftung,  
Hanover, Germany:

To support up to 12 postdoctoral fellows from US  
universities to spend an academic year in  
Germany . . . . . 3,000,000

Washington and Lee University,  
Lexington, Virginia:

To support the appointment of junior faculty fellows  
to catalyze curriculum development in the  
humanities . . . . . 700,000

Washington College,  
Chestertown, Maryland:

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

Wellesley College,  
Wellesley, Massachusetts:

To support postdoctoral teaching fellows to  
strengthen the first-year seminar program, area  
studies, and interdisciplinary programs in the  
humanities and social sciences . . . . . 700,000

To support cross-institutional curricular  
collaboration with Babson College and the Olin  
College of Engineering . . . . . 55,000

Wesleyan University,  
Middletown, Connecticut:

To support the operations of the university's Center  
for the Humanities . . . . . 2,000,000

Wheaton College,  
Norton, Massachusetts:

To support a phased retirement program  
incorporating postdoctoral fellowship appointments  
and curricular renewal . . . . . 700,000

To support faculty and student research . . . . . 150,000

HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

Whitman College, Walla Walla, Washington:	
To support the conversion of contingent faculty positions to the tenure track . . . . .	644,000
Whittier College, Whittier, California:	
To support the creation of a certificate program to integrate traditional core liberal arts values within the business administration curriculum . . . . .	340,000
Willamette University, Salem, Oregon:	
To support collaboration with Lewis and Clark, Reed, and Whitman Colleges, and the University of Puget Sound . . . . .	800,000
Williams College, Williamstown, Massachusetts:	
To support presidential initiatives . . . . .	100,000
To support the planning and integration of international academic programs . . . . .	48,000
Wittenberg University, Springfield, Ohio:	
To support undergraduate interdisciplinary research in the humanities . . . . .	30,000
Woodrow Wilson National Fellowship Foundation, Princeton, New Jersey:	
To support the planning and launch of an alumni network for Mellon Mays Undergraduate Fellowship recipients . . . . .	1,000,000
To support planning for a Mellon Mays Fellows leadership organization . . . . .	20,000

HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

Xavier University of Louisiana,  
New Orleans, Louisiana:

To support undergraduate research . . . . .	300,000
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Yale University,  
New Haven, Connecticut:

To support a New Directions Fellowship . . . . .	350,000
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To support an Emeritus Fellowship . . . . .	<u>40,400</u>
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Total—Higher Education and Scholarship . . . . .	<u><u>\$128,692,445</u></u>
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SCHOLARLY COMMUNICATIONS AND  
INFORMATION TECHNOLOGY

*Appropriated*

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

To support fellowships for scholars who effectively  
use computer-based methods of research and  
analysis in the humanities and humanistic social  
sciences . . . . . \$ 1,900,000

American Historical Association,  
Washington, DC:

To support research on how to strengthen and  
expand membership and member services in the  
digital age . . . . . 25,100

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

To support further development of an open source  
collections management system for museums . . . . . 630,000

American Philosophical Society,  
Philadelphia, Pennsylvania:

To support both the preservation of rare recordings  
of Native American languages and engagement with  
tribal communities to help revitalize the use of these  
languages . . . . . 500,000

Amistad Research Center,  
New Orleans, Louisiana:

To support the cataloging of hidden collections . . . . . 238,200

Arizona State University,  
Tempe, Arizona:

To support further development of a digital  
repository for US archeological data and reports . . . . . 1,200,000

Brown University,  
Providence, Rhode Island:

To support the cataloging of hidden collections . . . . . 376,100

SCHOLARLY COMMUNICATIONS AND  
INFORMATION TECHNOLOGY

(continued)

*Appropriated*

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

To support the continuation of pilot programs in graduate-level training in the conservation of library and special collections materials . . . . .	329,000
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Center for Jewish History, Inc.,  
New York, New York:

To support the cataloging of hidden collections . . . . .	229,600
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Center for Research Libraries,  
Chicago, Illinois:

To support further reorganization of operations and services . . . . .	1,005,000
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Columbia University,  
New York, New York:

To support the completion of an online database of images of French Gothic cathedrals . . . . .	41,600
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Council on Library and Information Resources,  
Washington, DC:

To support general operations . . . . .	1,458,000
To support the administration of the hidden collections grantmaking competition . . . . .	295,000
To support a research study on semantic Web and linked data technologies . . . . .	49,000
To support technical research and software prototyping for the Digital Public Library of America . . . . .	46,000

Dance Heritage Coalition, Inc.,  
Washington, DC:

To support the cataloging of hidden collections . . . . .	350,000
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SCHOLARLY COMMUNICATIONS AND  
INFORMATION TECHNOLOGY

(continued)

*Appropriated*

Drew University,  
Madison, New Jersey:

To support the completion of a software tool for the  
annotation of digitized medieval manuscripts . . . . . 50,000

Emory University,  
Atlanta, Georgia:

To support the development of a library-based  
center for digital scholarship . . . . . 695,000

Georgetown University,  
Washington, DC:

To support the cataloging of hidden collections . . . . . 95,200

Harvard University,  
Cambridge, Massachusetts:

To support planning for the digitization of medieval  
manuscripts at Harvard University and other Boston  
area repositories . . . . . 25,000

Historical Society of Pennsylvania,  
Philadelphia, Pennsylvania:

To support a survey and assessment of small  
repositories of archives and manuscripts in the  
Philadelphia area . . . . . 162,000

History San José,  
San José, California:

To support the cataloging of hidden collections . . . . . 86,600

Johns Hopkins University,  
Baltimore, Maryland:

To continue support for an initiative to increase  
scientific expertise in the conservation programs  
of libraries and archives . . . . . 1,054,000

To support a study of patron-driven acquisition of  
electronic and print books by academic libraries . . . . . 83,000

SCHOLARLY COMMUNICATIONS AND  
INFORMATION TECHNOLOGY

(continued)

*Appropriated*

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

To support further planning and development of an  
electronic journal devoted to the scholarly uses and  
organization of library and special collections and  
archives . . . . . 108,000

Maine Maritime Museum,  
Bath, Maine:

To support the cataloging of hidden collections . . . . 125,600

Massachusetts Institute of Technology,  
Cambridge, Massachusetts:

To support business planning for an organization  
that will maintain a registry of researchers for the  
purpose of disambiguating personal names . . . . . 45,000

Mennonite Historians of Eastern Pennsylvania Inc.,  
Harleysville, Pennsylvania:

To support the cataloging of hidden collections . . . . 98,500

Museum of New Mexico Foundation,  
Santa Fe, New Mexico:

To support the cataloging of hidden collections . . . . 179,600

National Information Standards Organization,  
Baltimore, Maryland:

To support two meetings on standards for the  
bookmarking and annotation of electronic books . . . 48,500

New York Archival Society, Ltd.,  
New York, New York:

To support the cataloging of hidden collections . . . . 120,000

New York Public Library,  
New York, New York:

To support initiatives of the new president . . . . . 200,000

SCHOLARLY COMMUNICATIONS AND  
INFORMATION TECHNOLOGY

(continued)

*Appropriated*

New York University,  
New York, New York:

To support the development of a new software tool  
for the management and description of archives . . . 1,095,000

To support the continuation of pilot programs in  
graduate-level training in the conservation of library  
and special collections materials . . . . . 548,000

To support a study of the open peer review of  
scholarly articles and monographs in the humanities 50,000

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

To support the cataloging of hidden collections . . . . 255,700

North Carolina State University,  
Raleigh, North Carolina:

To support the cataloging of hidden collections . . . . 219,600

RIPM Consortium Ltd.,  
Baltimore, Maryland:

To support the creation of a bibliographic index to  
the music journal, *Der Merker. Österreichische  
Zeitschrift für Musik und Theater* . . . . . 159,000

Rochester Institute of Technology,  
Rochester, New York:

To support further research into the preservation of  
digitally printed materials . . . . . 600,000

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

To support the cataloging of hidden collections . . . . 165,000

San Diego Museum of Man,  
San Diego, California:

To support the cataloging of hidden collections . . . . 115,200

SCHOLARLY COMMUNICATIONS AND  
INFORMATION TECHNOLOGY

(continued)

*Appropriated*

Smithsonian Institution,  
Washington, DC:

To support the cataloging of hidden collections . . . . 222,700

South Arts, Inc.,  
Atlanta, Georgia:

To support the development of a software tool that  
will assist performing arts organizations in planning  
for disaster recovery . . . . . 300,000

Stanford University,  
Stanford, California:

To support a workshop on the design of a large-scale  
prototype of a platform for the scholarly use of  
semantic Web and linked data technologies . . . . . 50,000

To support the development and assessment of a  
software framework that will make digital images  
from different collections interoperable . . . . . 50,000

Texas A&M University,  
College Station, Texas:

To support the cataloging of hidden collections . . . . 84,500

Université de Fribourg,  
Fribourg, Switzerland:

To support further development of the e-codices  
digital library of medieval manuscripts . . . . . 501,000

University College Dublin,  
National University of Ireland,  
Dublin, Ireland:

To support collaborative storage and collections  
services for Irish research libraries . . . . . 50,000

To support an assessment of a collection of  
manuscripts and rare books owned by the Irish  
Franciscan Order . . . . . 43,000

SCHOLARLY COMMUNICATIONS AND  
INFORMATION TECHNOLOGY

(continued)

*Appropriated*

University of California at Berkeley,  
Berkeley, California:

To support the cataloging of hidden collections . . . .	481,800
To support development and customization of methods and software that will enable scholars and archivists to identify the names of individuals and organizations across a wide range of digital resources	20,200
To support a planning workshop for a new electronic monograph series in the field of classics . . . . .	4,100

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

To support continued digitization and transcription of cuneiform tablets from ancient Near Eastern civilizations for the purposes of preservation and scholarly access . . . . .	904,000
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University of California at Riverside,  
Riverside, California:

To support planning efforts for the enhancement of the English Short Title Catalog . . . . .	48,500
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University of California at Santa Barbara,  
Santa Barbara, California:

To support the cataloging of hidden collections . . . .	183,500
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University of Cambridge,  
Cambridge, United Kingdom:

To support further development of content and digital tools for the distribution and study of the music scores of Frédéric Chopin . . . . .	600,000
To support further cataloging of legal deposit materials in the university library . . . . .	348,000
To support the completion of an up-to-date Ancient Greek-English lexicon that will be published in print and electronically . . . . .	296,000

SCHOLARLY COMMUNICATIONS AND  
INFORMATION TECHNOLOGY

(continued)

*Appropriated*

University of Chicago,  
Chicago, Illinois:

To support further digitization of the Persepolis  
Fortification Archive . . . . . 636,000

To support postdoctoral fellowships for the study of  
the relationships between technologies and academic  
disciplines . . . . . 227,000

University of Delaware,  
Newark, Delaware:

To support the continuation of pilot programs in  
graduate-level training in the conservation of library  
and special collections materials . . . . . 407,000

Board of Trustees of the University of Illinois,  
Urbana, Illinois:

To support further development of the Extensible  
Catalog software for use by large library consortia . . . . . 100,000

To support planning for an online portal for the  
Chicago Collections Consortium of libraries and  
archives . . . . . 61,000

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

To support sustainability planning for and further  
development of a music information retrieval system . . . . . 390,000

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

To support further preliminary work for a census of  
18th-century British periodicals . . . . . 16,000

University of Nebraska Board of Regents,  
Lincoln, Nebraska:

To support development of a software application  
that converts electronic text from one markup  
schema to another . . . . . 183,000



SCHOLARLY COMMUNICATIONS AND  
INFORMATION TECHNOLOGY

(continued)

*Appropriated*

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

To support the development of forensic software  
tools and procedures for use in the preservation and  
digital archives . . . . . 600,000

To support the development of models for the  
collaborative purchasing and sharing of electronic  
books by library consortia . . . . . 41,000

University of Oxford,  
Oxford, United Kingdom:

To support development of an online Egyptological  
bibliography . . . . . 609,000

To support conversion to electronic format of  
cataloging records for collections of printed music  
and maps at the Bodleian Library . . . . . 493,000

University of Southern California,  
Los Angeles, California:

To support the development of an application that  
will enable electronic books authored with Sophie  
software to be read on certain mobile devices . . . . . 289,000

To support the technical assessment of a platform  
for multimedia research and publication in the field  
of visual studies and planning for its further  
development . . . . . 200,000

University of Toronto,  
Toronto, Canada:

To support the development of a prototype digital  
edition of the *Records of Early English Drama* . . . . . 102,700

University of Waterloo,  
Waterloo, Canada:

To support redevelopment and enhancement of a  
database of ecclesiastical medieval chants . . . . . 47,000

SCHOLARLY COMMUNICATIONS AND  
INFORMATION TECHNOLOGY

(continued)

*Appropriated*

University of Wisconsin at Madison,  
Madison, Wisconsin:

To support a pilot study to explore the relationship  
between linguistic variation in a large corpus of early  
modern English texts and the development of genres  
of printed discourse . . . . . 411,000

University of Wisconsin at Milwaukee,  
Milwaukee, Wisconsin:

To support the cataloging of hidden collections . . . . 259,900

University of York,  
York, United Kingdom:

To support the planning and development of a  
prototype database of ecclesiastical documents  
dating from the 13th to 17th centuries . . . . . 50,000

Virginia Foundation for the Humanities  
and Public Policy,  
Charlottesville, Virginia:

To support further development of a prosopography  
of Americans of the Founding Era and of tools for  
prosopographical research . . . . . 584,000

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

To support the preservation of the *Eyes on the Prize*  
documentary series . . . . . 550,000

WGBH Educational Foundation,  
Boston, Massachusetts:

To support the online publication of the catalog of  
WGBH's audiovisual archives, and the testing of  
models for scholarly contributions to the catalog . . . 500,000

Total—Scholarly Communications and  
Information Technology

\$26,000,000

## PERFORMING ARTS

*Appropriated*American Symphony Orchestra League,  
New York, New York:

To support a series of convenings of orchestra leaders . . . . .	\$	11,000
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Association of Performing Arts Presenters, Inc.,  
Washington, DC:

To support the Cultural Exchange Fund . . . . .		250,000
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Ballet Hispanico of New York, Inc.,  
New York, New York:

To support subsidized rehearsal space for the professional nonprofit dance field . . . . .		90,000
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Baryshnikov Arts Center, Inc.,  
New York, New York:

To support subsidized rehearsal space for the professional nonprofit dance field . . . . .		90,000
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Berkeley Repertory Theatre,  
Berkeley, California:

To support commissions and development of ambitious theater works . . . . .		450,000
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Brooklyn Academy of Music, Inc.,  
Brooklyn, New York:

To support opera programming . . . . .		500,000
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Brooklyn Arts Exchange, Inc.,  
Brooklyn, New York:

To support subsidized rehearsal space for the professional nonprofit dance field . . . . .		81,000
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Center for Performance Research, Inc.,  
Brooklyn, New York:

To support subsidized rehearsal space for the professional nonprofit dance field . . . . .		90,000
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## PERFORMING ARTS

(continued)

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

To support the RADAR L.A. theater festival . . . . . 45,000

Chamber Music America, Inc.,  
New York, New York:To support a commissioning program for classical  
music . . . . . 750,000To support a national study of the chamber music  
field . . . . . 30,000Chez Bushwick, Inc.,  
Brooklyn, New York:To support subsidized rehearsal space for the  
professional nonprofit dance field . . . . . 51,000Corporate Council for the Arts,  
Seattle, Washington:To support a proof-of-concept phase for the Project  
Audience technology initiative . . . . . 570,000To support capacity building and the development  
of a business plan and governance structure for  
Project Audience . . . . . 75,000Cunningham Dance Foundation, Inc.,  
New York, New York:

To support rehearsals for the Legacy Tour . . . . . 60,000

Curtis Institute of Music,  
Philadelphia, Pennsylvania:To support a multiyear teaching and performance  
residency by the chamber ensemble eighth blackbird 450,000Dance Heritage Coalition, Inc.,  
Washington, DC:To support the Secure Media Network and  
organizational development . . . . . 400,000

## PERFORMING ARTS

(continued)

*Appropriated*

## Dance/USA,

## Washington, DC:

To support services to the field and Dance/NYC . . .	250,000
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To support organizational strategic planning . . . . .	30,000
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## Dancewave, Inc.,

## Brooklyn, New York:

To support subsidized rehearsal space for the professional nonprofit dance field . . . . .	45,000
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## Dartmouth College,

## Hanover, New Hampshire:

To support classical music presenting activities at the Hopkins Center for the Arts . . . . .	575,000
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## Detroit Symphony Orchestra Hall, Inc.,

## Detroit, Michigan:

To support artistic and new media initiatives . . . . .	900,000
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To support organizational capacity building . . . . .	50,000
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## Disalced, Inc.,

## Brooklyn, New York:

To support subsidized rehearsal space for the professional nonprofit dance field . . . . .	90,000
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## Emerson College,

## Boston, Massachusetts:

To provide development and production support for touring artists and companies at ArtsEmerson . . . .	375,000
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## English National Opera,

## London, United Kingdom:

To support productions of operas by US composers	350,000
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To support the premiere production of Nico Muhly's <i>Two Boys</i> . . . . .	50,000
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## PERFORMING ARTS

(continued)

*Appropriated*

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

To support planning for the development of the  
ATHENA software platform . . . . . 135,000

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

To support subsidized rehearsal space for the  
professional nonprofit dance field . . . . . 90,000

Henry Street Settlement,  
New York, New York:

To support American Realness, a dance and  
contemporary performance festival . . . . . 30,000

Home for Contemporary Theatre and Art, Ltd.,  
New York, New York:

To support Prototype, an annual contemporary  
opera and music-theater festival . . . . . 600,000

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

To support artistic initiatives . . . . . 900,000

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

To support artistic initiatives and an operating  
reserve fund . . . . . 3,000,000

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

To support subsidized rehearsal space for the  
professional nonprofit dance field . . . . . 67,500

Long Beach Opera,  
Long Beach, California:

To support artistic initiatives and organizational  
capacity . . . . . 300,000

## PERFORMING ARTS

(continued)

*Appropriated*The Louisiana Philharmonic Orchestra,  
New Orleans, Louisiana:

To support artistic and technological initiatives in collaboration with the Louisiana State University . . .	750,000
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To support the planning of partnership activities with the Louisiana State University . . . . .	40,000
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Magic Theatre, Inc.,  
San Francisco, California:

To support artistic initiatives and organizational development and to establish a cash reserve fund . .	300,000
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Margaret Jenkins Dance Studio, Inc.,  
San Francisco, California:

To support the Choreographers in Mentorship Exchange program . . . . .	400,000
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Meet the Composer, Inc.,  
New York, New York:

To support transition and start-up expenses related to a merger with American Music Center, Inc. . . . .	500,000
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To support transition costs related to a merger with American Music Center, Inc. . . . .	50,000
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The Minnesota Opera,  
Minneapolis, Minnesota:

To support artistic initiatives . . . . .	750,000
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Misnomer Inc.,  
Brooklyn, New York:

To support the Audience Engagement Platform . . .	175,000
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Musical Arts Association,  
Cleveland, Ohio:

To support musician-led organizational development at the Cleveland Orchestra . . . . .	46,000
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## PERFORMING ARTS

(continued)

*Appropriated*National Arts Strategies, Inc.,  
Alexandria, Virginia:

To support education programs for nonprofit performing arts leaders . . . . .	1,000,000
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National Performance Network, Inc.,  
New Orleans, Louisiana:

To support the Forth Fund subsidy program . . . . .	700,000
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Network of Ensemble Theaters, Inc.,  
Los Angeles, California:

To support planning for a touring and exchange network . . . . .	35,000
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New England Foundation for the Arts, Inc.,  
Boston, Massachusetts:

To support the National Dance Project . . . . .	2,000,000
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New World Symphony, Inc.,  
Miami Beach, Florida:

To support the presentation of new concert formats and audience research . . . . .	525,000
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New York City Center, Inc.,  
New York, New York:

To support subsidized rehearsal space for the professional nonprofit dance field . . . . .	90,000
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New York Foundation for the Arts, Inc.,  
Brooklyn, New York:

To support the New York Theater Program . . . . .	3,140,000
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New York Live Arts, Inc.,  
New York, New York:

To support an artist-in-residence program . . . . .	425,000
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To support subsidized rehearsal space for the professional nonprofit dance field . . . . .	92,000
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## PERFORMING ARTS

(continued)

*Appropriated*

New York University,  
New York, New York:

To support the Center for Creative Research . . . . . 48,000

Nonprofit Finance Fund,  
New York, New York:

To support the ArtPlace initiative . . . . . 2,000,000

To support the administration of a zero-interest  
loan program . . . . . 75,000

Non-Profit Technology Enterprise Network,  
Portland, Oregon:

To support a technology course for nonprofit  
organizations . . . . . 240,000

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

To support convenings and related events that will  
encourage collaboration around new work  
development and production . . . . . 845,000

Pennsylvania State University,  
University Park, Pennsylvania:

To support classical music presenting activities at the  
Center for Performing Arts . . . . . 470,000

Pittsburgh Symphony, Inc.,  
Pittsburgh, Pennsylvania:

To support artistic initiatives . . . . . 900,000

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

To support the Atlanta Symphony Orchestra's  
collaboration with Emory University . . . . . 800,000

## PERFORMING ARTS

(continued)

*Appropriated*

Rod Rodgers Dance Company, Inc.,  
New York, New York:

To support subsidized rehearsal space for the  
professional nonprofit dance field . . . . . 45,000

San Francisco Symphony,  
San Francisco, California:

To support a series of symposia on the changing state  
of the American orchestra . . . . . 215,000

Seventh Regiment Armory Conservancy, Inc.,  
New York, New York:

To support production planning for large-scale,  
site-specific performances and an artist residency  
program . . . . . 250,000

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

To support artistic initiatives and an operating  
reserve . . . . . 2,000,000

South Dakota Symphony Orchestra,  
Sioux Falls, South Dakota:

To support the Lakota Music Project . . . . . 150,000

Spanish-English Ensemble Theatre, Inc.,  
New York, New York:

To support subsidized rehearsal space for the  
professional nonprofit dance field . . . . . 30,000

St. Ann's Warehouse, Inc.,  
Brooklyn, New York:

To support transitional operating expenses . . . . . 230,000

Stanford University,  
Stanford, California:

To support classical music presenting activities at  
Stanford Lively Arts . . . . . 500,000

## PERFORMING ARTS

(continued)

*Appropriated*

Sundance Institute,  
Park City, Utah:

To support the Sundance Institute Theatre Program . . . . . 600,000

Theatre Bay Area,  
San Francisco, California:

To support the dissemination phase of the Intrinsic  
Impact Study . . . . . 50,000

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

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

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

TOPAZ ARTS, Inc.,  
Woodside, New York:

To support subsidized rehearsal space for the  
professional nonprofit dance field . . . . . 90,000

Triskelion Arts-Kick-StanDance, Inc.,  
Brooklyn, New York:

To support subsidized rehearsal space for the  
professional nonprofit dance field . . . . . 58,500

University Musical Society,  
Ann Arbor, Michigan:

To support a developmental residency for Philip  
Glass's *Einstein on the Beach* . . . . . 100,000

University of California at Davis,  
Davis, California:

To support classical music presenting activities  
at the Robert & Margrit Mondavi Center for the  
Performing Arts . . . . . 580,000

PERFORMING ARTS

(continued)

*Appropriated*

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

To support activities associated with “*The Rite of Spring*” at 100 initiative at Carolina Performing Arts 750,000

University of Texas at Austin,  
Austin, Texas:

To support classical music presenting activities at Texas Performing Arts . . . . . 450,000

Washington Drama Society, Inc.,  
Washington, DC:

To support the American Voices New Play Institute . 2,100,000

Woolly Mammoth Theatre Company,  
Washington, DC:

To support organizational capacity . . . . . 30,000

Z Space Studio,  
San Francisco, California:

To support technical development residencies . . . . . 45,000

Total—Performing Arts \$37,750,000

ART HISTORY, CONSERVATION,  
AND MUSEUMS*Appropriated*AAMC Foundation,  
New York, New York:

To support a strategic planning process for the Center for Curatorial Leadership . . . . .	\$ 40,000
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AHNCA INC.,  
New York, New York:

To support a three-year capacity building initiative that incorporates new Web technologies into the research and publication of scholarly articles in the journal <i>Nineteenth-Century Art Worldwide</i> . . . . .	49,800
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American Museum of Natural History,  
New York, New York:

To support planning for reinstallation of the museum's Asian Collections . . . . .	500,000
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Buffalo State College Foundation, Inc.,  
Buffalo, New York:

To support students in the conservation graduate program . . . . .	315,000
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To support an advanced teaching residency in conservation . . . . .	228,000
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Carnegie Institute,  
Pittsburgh, Pennsylvania:

To support a leadership initiative of the new director of the Carnegie Museum of Art . . . . .	325,000
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Carnegie Mellon University,  
Pittsburgh, Pennsylvania:

To continue support for the Art Conservation Research Center while it prepares for a transition to a new host institution . . . . .	2,500,000
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Colonial Williamsburg Foundation,  
Williamsburg, Virginia:

To support a pilot program for curatorial internships . . . . .	200,000
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ART HISTORY, CONSERVATION,  
AND MUSEUMS

(continued)

*Appropriated*

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

To support the scholarly activities of the “Living as  
Form” exhibition . . . . . 100,000

Emory University,  
Atlanta, Georgia:

To support a fellowship program for art history  
graduate students focused on object-centered  
curatorial training in collaboration with the High  
Museum of Art . . . . . 90,000

Frick Collection,  
New York, New York:

To endow the predoctoral curatorial  
fellowship program . . . . . 2,000,000

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

To support the strengthening of curatorial training  
in the PhD program in art history . . . . . 500,000

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

To support the Mellon Curators-at-Large program . . 1,025,000

Institute of Contemporary Art,  
Boston, Massachusetts:

To support curatorial research and exhibition  
development resulting in a series of three  
scholarly publications . . . . . 410,000

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

To support the Artist Interview Project . . . . . 65,000

ART HISTORY, CONSERVATION,  
AND MUSEUMS

(continued)

*Appropriated*

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

To endow the position of chief conservator . . . . . 1,000,000

The Luis A. Ferré Foundation, Inc.,  
Ponce, Puerto Rico:

To support paper conservation, condition assessments,  
and scholarly publication at the Museo de Arte  
de Ponce . . . . . 500,000

Menil Foundation, Inc.,  
Houston, Texas:

To support the Artist Documentation Program . . . . . 96,086

Metropolitan Museum of Art,  
New York, New York:

To support scholarly activities in the department of  
Islamic art . . . . . 97,870

To support the planning of a pilot fellowship program  
for conservators from India . . . . . 71,500

The Museum for African Art,  
Long Island City, New York:

To support an associate curator and two  
curatorial fellowships . . . . . 500,000

Museum of Modern Art,  
New York, New York:

To support the research initiative Contemporary and  
Modern Art Perspectives in a Global Age . . . . . 1,463,000

National Gallery of Art,  
Washington, DC:

To support the development of ConservationSpace,  
an open source Web-based software application for  
managing conservation documentation . . . . . 1,037,000

ART HISTORY, CONSERVATION,  
AND MUSEUMS

(continued)

*Appropriated*New Art Publications, Inc.,  
Brooklyn, New York:

To support the BOMB Magazine Digital Archive . . . . .	138,000
To support preparation for the BOMB Magazine Digital Archive . . . . .	50,500

New Museum of Contemporary Art,  
New York, New York:

To support preservation of and access to primary source documentation in the field of contemporary art . . . . .	486,000
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New York University,  
New York, New York:

To support students in the conservation graduate program . . . . .	533,000
To support two pilot workshops in the technical study of art for art history graduate students . . . . .	240,000

The Newark Museum Association,  
Newark, New Jersey:

To support a curatorial initiative in African art . . . . .	1,000,000
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Northwestern University,  
Evanston, Illinois:

To support a pilot Academic Museum and Gallery Leadership seminar . . . . .	100,000
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Princeton University,  
Princeton, New Jersey:

To support a leadership initiative of the new director of the art museum . . . . .	500,000
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ART HISTORY, CONSERVATION,  
AND MUSEUMS

(continued)

*Appropriated*

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

To support a fellowship program for art history graduate students focused on object-centered curatorial training at the High Museum of Art in collaboration with Emory University . . . . .	123,000
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Rutgers, The State University of New Jersey,  
New Brunswick, New Jersey:

To support the strengthening of student and faculty engagement with the art museum's collections . . . .	500,000
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Seattle Art Museum,  
Seattle, Washington:

To support a leadership initiative of the new director . . . . .	500,000
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Smithsonian Institution,  
Washington, DC:

To support a Chinese painting conservation pilot program at the Freer and Sackler galleries . . . . .	340,000
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Stiftung Museum Kunstpalast,  
Düsseldorf, Germany:

To continue support for the Cranach Digital Archive . . . . .	740,000
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The Studio Museum in Harlem, Inc.,  
New York, New York:

To support a curatorial research fund . . . . .	1,000,000
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Toledo Museum of Art,  
Toledo, Ohio:

To support a leadership initiative of the new director . . . . .	500,000
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ART HISTORY, CONSERVATION,  
AND MUSEUMS

(continued)

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

To provide core faculty and student support for the ULCA/Getty Master's Interdepartmental Program in Archaeological and Ethnographic Conservation . . .	1,000,000
To support an advanced teaching residency in conservation . . . . .	206,000

University of Delaware,  
Newark, Delaware:

To support the pilot phase of the university's curatorial track PhD program in the department of art history . . . . .	680,000
To support the academic program in collections conservation at the Iraqi Institute for the Conservation of Antiquities and Heritage in Erbil, Iraq . . . . .	400,000
To support students in the conservation graduate program . . . . .	280,000

University of Michigan,  
Ann Arbor, Michigan:

To support the strengthening of student and faculty engagement with the art museum's collections . . . .	650,000
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University of Oxford,  
Oxford, United Kingdom:

To support the strengthening of student and faculty engagement with the collections at the Ashmolean Museum of Art and Archaeology . . . . .	1,100,000
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University of Pennsylvania,  
Philadelphia, Pennsylvania:

To support the planning process for a collection sharing initiative at the University of Pennsylvania Museum of Archaeology and Anthropology . . . . .	72,100
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ART HISTORY, CONSERVATION,  
AND MUSEUMS

(continued)

*Appropriated*

University of Virginia,  
Charlottesville, Virginia:

To support the strengthening of student and faculty  
engagement with the art museum's collections . . . . 315,000

University of the Witwatersrand,  
Johannesburg, South Africa:

To support the strengthening of student and faculty  
engagement with the collections at the  
Wits Art Museum . . . . . 375,000

Walker Art Center, Inc.,  
Minneapolis, Minnesota:

To support a conservation assessment of the recent  
acquisition of materials from the Merce Cunningham  
Dance Company archive . . . . . 98,900

Whitney Museum of American Art,  
New York, New York:

To support a new curatorial initiative  
in performance . . . . . 700,000

Total—Art History, Conservation, and Museums \$25,740,756

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 the world . . . . . \$ 94,000

To continue support for the development of a  
coordinated digital database of images and  
information on plants of the world . . . . . 27,600

Association Tela Botanica,  
Montpellier, France:

To support the development of a coordinated  
digital database of images and information on  
plants of the world . . . . . 47,000

To continue support for the development of a  
coordinated digital database of images and  
information on plants of the world . . . . . 355,000

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

To support the development of a coordinated  
digital database of images and information on  
plants of the world . . . . . 89,000

Bishop Museum,  
Honolulu, Hawaii:

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

Botanische Staatssammlung München,  
Munich, Germany:

To support the development of a coordinated  
digital database of images and information on  
plants of the world . . . . . 388,000

CONSERVATION AND  
THE ENVIRONMENT

(continued)

*Appropriated*

Cairo University,  
Giza, Egypt:

To support the development of a coordinated  
digital database of images and information on  
plants of the world . . . . . 28,000

Carnegie Institution of Washington,  
Washington, DC:

To support a program of ecological research  
and training . . . . . 500,000

Conservatoire et Jardin Botaniques,  
Geneva, Switzerland:

To support the development of a coordinated  
digital database of images and information on  
plants of the world . . . . . 980,000

Council of Heads of Australasian Herbaria,  
Canberra, Australia:

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

To continue support for the development of a  
coordinated digital database of images and  
information on plants of the world . . . . . 72,000

Department of National Parks,  
Wildlife and Plant Conservation,  
Bangkok, Thailand:

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

Duke University,  
Durham, North Carolina:

To support the development of a coordinated  
digital database of images and information on  
plants of the world . . . . . 76,000

CONSERVATION AND  
THE ENVIRONMENT

(continued)

*Appropriated*

Flora of North America Association, Inc.,  
Point Arena, California:

To continue support for the development of a coordinated digital database of images and information on plants of the world . . . . .	200,000
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Forest Research Institute Malaysia,  
Kepong, Malaysia:

To support the development of a coordinated digital database of images and information on plants of the world . . . . .	18,000
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Free University of Berlin,  
Berlin, Germany:

To support the development of a coordinated digital database of images and information on plants of the world . . . . .	35,000
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To continue support for the development of a coordinated digital database of images and information on plants of the world . . . . .	158,000
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Georg-August-Universität Göttingen,  
Göttingen, Germany:

To continue support for the development of a coordinated digital database of images and information on plants of the world . . . . .	90,000
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Göteborgs Universitet,  
Göteborg, Sweden:

To support the development of a coordinated digital database of images and information on plants of the world . . . . .	88,000
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CONSERVATION AND  
THE ENVIRONMENT

(continued)

*Appropriated*

Harvard University,  
Cambridge, Massachusetts:

To support the development of a coordinated digital database of images and information on plants of the world . . . . .	247,000
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Her Majesty the Queen in Right of Canada  
as represented by the Minister of  
Agriculture and Agri-Food,  
Ottawa, Canada:

To support the development of a coordinated digital database of images and information on plants of the world . . . . .	65,000
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Instituto de Botánica Darwinion,  
Buenos Aires, Argentina:

To support the development of a coordinated digital database of images and information on plants of the world . . . . .	122,000
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Instituto de Pesquisas Jardim Botânico  
do Rio de Janeiro,  
Rio de Janeiro, Brazil:

To support the development of a coordinated digital database of images and information on plants of the world . . . . .	54,000
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International Association for Plant Taxonomy,  
Bratislava, Slovakia:

To support the development of a coordinated digital database of images and information on plants of the world . . . . .	26,000
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Komarov Botanical Institute of the  
Russian Academy of Sciences,  
St. Petersburg, Russian Federation:

To continue support for the development of a coordinated digital database of images and information on plants of the world . . . . .	90,000
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CONSERVATION AND  
THE ENVIRONMENT

(continued)

*Appropriated*

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

To continue support for the development of a  
coordinated digital database of images and  
information on plants of the world . . . . . 195,000

The Linnean Society of London,  
London, United Kingdom:

To support the development of a coordinated  
digital database of images and information on  
plants of the world . . . . . 113,000

To continue support for the development of a  
coordinated digital database of images and  
information on plants of the world . . . . . 88,000

Missouri Botanical Garden,  
St. Louis, Missouri:

To support international research programs . . . . . 1,100,000

To support the development of a coordinated  
digital database of images and information on  
plants of the world . . . . . 235,000

To continue support for the development of a  
coordinated digital database of images and  
information on plants of the world . . . . . 126,000

Museo di Storia Naturale,  
Florence, Italy:

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

Muséum national d'Histoire naturelle,  
Paris, France:

To support the development of a coordinated  
digital database of images and information on  
plants of the world . . . . . 555,000



CONSERVATION AND  
THE ENVIRONMENT

(continued)

*Appropriated*

National Parks Board,  
Singapore, Singapore:

To support the development of a coordinated digital database of images and information on plants of the world . . . . .	76,000
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The Natural History Museum,  
London, United Kingdom:

To continue support for the development of a coordinated digital database of images and information on plants of the world . . . . .	260,000
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To support the Wallace Correspondence Project . . . . .	94,000
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To continue support for the development of a coordinated digital database of images and information on plants of the world . . . . .	66,000
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Naturhistorisches Museum Wien,  
Vienna, Austria:

To continue support for the development of a coordinated digital database of images and information on plants of the world . . . . .	584,000
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New York Botanical Garden,  
Bronx, New York:

To continue support for the development of a coordinated digital database of images and information on plants of the world . . . . .	370,000
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To continue support for the development of a coordinated digital database of images and information on plants of the world . . . . .	250,000
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Real Jardín Botánico de Madrid,  
Madrid, Spain:

To continue support for the development of a coordinated digital database of images and information on plants of the world . . . . .	152,000
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CONSERVATION AND  
THE ENVIRONMENT

(continued)

*Appropriated*

The Royal Botanic Garden Edinburgh,  
Edinburgh, United Kingdom:

To support the development of a coordinated digital database of images and information on plants of the world . . . . .	195,000
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Royal Botanic Gardens, Kew,  
Richmond, United Kingdom:

To continue support for the development of a coordinated digital database of images and information on plants of the world . . . . .	788,000
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To support the digitization of extensive library and archival holdings . . . . .	250,000
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To continue support for the development of a coordinated digital database of images and information on plants of the world . . . . .	110,000
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Smithsonian Institution,  
Washington, DC:

To continue support for the development of a coordinated digital database of images and information on plants of the world . . . . .	416,000
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To continue support for the development of a coordinated digital database of images and information on plants of the world . . . . .	32,000
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To continue support for the development of a coordinated digital database of images and information on plants of the world . . . . .	32,000
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Swedish Museum of Natural History,  
Stockholm, Sweden:

To continue support for the development of a coordinated digital database of images and information on plants of the world . . . . .	663,000
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To continue support for the development of a coordinated digital database of images and information on plants of the world . . . . .	290,000
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CONSERVATION AND  
THE ENVIRONMENT

(continued)

*Appropriated*

Universidade de Coimbra,  
Coimbra, Portugal:

To support the development of a coordinated  
digital database of images and information on  
plants of the world . . . . . 9,400

Universidade de Lisboa,  
Lisbon, Portugal:

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

University of Alaska at Anchorage,  
Anchorage, Alaska:

To support a program of ecological research  
and training . . . . . 174,000

University of Graz,  
Graz, Austria:

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

University of Hamburg,  
Hamburg, Germany:

To support the development of a coordinated  
digital database of images and information on  
plants of the world . . . . . 112,000

University of Helsinki,  
Helsinki, Finland:

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

CONSERVATION AND  
THE ENVIRONMENT

(continued)

*Appropriated*

University of Massachusetts at Amherst,  
Amherst, Massachusetts:

To support the development of a coordinated digital database of images and information on plants of the world . . . . .	17,000
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University of Tokyo,  
Tokyo, Japan:

To support the development of a coordinated digital database of images and information on plants of the world . . . . .	69,000
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University of Turku,  
Turku, Finland:

To support the development of a coordinated digital database of images and information on plants of the world . . . . .	65,000
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Total—Conservation and the Environment	<u><u>\$12,140,000</u></u>
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## CONTRIBUTIONS

*Appropriated*

Council of American Overseas Research Centers,  
Washington, DC:

To provide operating support . . . . . \$ 100,000

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

To provide general support . . . . . 40,000

Foundation Center,  
New York, New York:

To provide general support . . . . . 35,000

Grantmakers in the Arts,  
Seattle, Washington:

To support the Grantmakers in the Arts  
publication, the *GIA Reader* . . . . . 60,000

GrowNYC,  
New York, New York:

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

GuideStar USA, Inc.,  
Williamsburg, Virginia:

To support GuideStar's membership program . . . . . 25,000

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

To provide general operating support . . . . . 50,000

Total—Contributions \$ 340,000

Matching Gifts \$ 1,114,984

Grand Totals \$231,778,185



*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, 2011 and 2010, 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 16, 2012



# The Andrew W. Mellon Foundation

## *Balance Sheets*

*December 31, 2011 and 2010*

	<u>2011</u>	<u>2010</u>
	<i>(in thousands of dollars)</i>	
<b>ASSETS</b>		
Investments		
Marketable securities . . . . .	\$ 1,671,867	\$ 1,934,796
Alternative investments . . . . .	3,536,748	3,498,081
	<u>5,208,615</u>	<u>5,432,877</u>
Payable from unsettled securities purchases, net . .	(43,120)	(22,333)
	<u>5,165,495</u>	<u>5,410,544</u>
Cash . . . . .	3,351	2,711
Investment and other income receivable . . . . .	3,709	3,726
Other assets . . . . .	3,270	3,461
Taxes receivable . . . . .	1,585	3,357
Property, at cost, less accumulated depreciation of \$22,816 and \$20,174 at December 31, 2011 and 2010, respectively . . . . .	<u>42,102</u>	<u>44,744</u>
Total assets . . . . .	<u>\$ 5,219,512</u>	<u>\$ 5,468,543</u>
<b>LIABILITIES AND NET ASSETS</b>		
Liabilities		
Grants payable . . . . .	\$ 36,547	\$ 39,717
Accrued expenses, including interest payable . . .	10,320	11,977
Deferred federal excise tax . . . . .	9,200	15,100
Long term debt . . . . .	<u>274,350</u>	<u>274,350</u>
Total liabilities . . . . .	330,417	341,144
Net assets (unrestricted) . . . . .	4,889,095	5,127,399
Total liabilities and net assets . . . . .	<u>\$ 5,219,512</u>	<u>\$ 5,468,543</u>

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

# The Andrew W. Mellon Foundation

## *Statements of Activities*

*Years Ended December 31, 2011 and 2010*

	<u>2011</u>	<u>2010</u>
	<i>(in thousands of dollars)</i>	
<b>INVESTMENT RETURN</b>		
Gain (loss) on investments		
Realized, net	\$ 308,218	\$ 281,600
Unrealized, net	(287,292)	382,834
Interest	19,226	24,781
Dividends	16,000	15,928
Other income	45	176
	<u>56,197</u>	<u>705,319</u>
Less: Investment management expenses	(12,869)	(12,945)
Net investment return	<u>43,328</u>	<u>692,374</u>
<b>EXPENSES</b>		
Program grants and contributions, net	242,772	233,650
Grantmaking operations	13,010	13,577
Direct charitable activities	2,257	2,450
Investment operations	6,497	6,171
Interest	9,533	9,560
Current provision for taxes	7,190	3,712
Other expenses	373	182
	<u>281,632</u>	<u>269,302</u>
Change in net assets	(238,304)	423,072
<b>NET ASSETS (UNRESTRICTED)</b>		
Beginning of year	<u>5,127,399</u>	<u>4,704,327</u>
End of year	<u>\$ 4,889,095</u>	<u>\$ 5,127,399</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, 2011 and 2010

	<u>2011</u>	<u>2010</u>
	<i>(in thousands of dollars)</i>	
Cash flow from investment income and operations		
Change in net assets . . . . .	\$ (238,304)	\$ 423,072
Adjustments to reconcile change in unrestricted net assets to net cash used by investment income and operations		
Realized gain on investments, net . . . . .	(308,218)	(281,600)
Unrealized loss (gain) on investments, net . . . . .	293,192	(390,634)
Decrease in investment and other income receivable . . . . .	17	399
Decrease in other assets . . . . .	191	124
Decrease in taxes receivable . . . . .	1,772	115
Decrease in grants payable . . . . .	(3,170)	(11,389)
Decrease in accrued expenses . . . . .	(1,657)	(2,470)
Depreciation and amortization expense . . . . .	2,643	2,620
(Decrease) increase in deferred federal excise tax payable . . . . .	(5,900)	7,800
Net effect of bond amortization . . . . .	707	629
Total adjustments . . . . .	<u>(20,423)</u>	<u>(674,406)</u>
Net cash used by investment income and operations	<u>(258,727)</u>	<u>(251,334)</u>
Cash flow from investing activities		
Proceeds from sales of marketable securities		
Short-term . . . . .	1,767,428	1,549,579
Other . . . . .	3,511,077	3,109,506
Receipts from alternative investments . . . . .	684,043	512,003
Purchases of marketable securities		
Short-term . . . . .	(1,831,711)	(1,417,200)
Other . . . . .	(3,275,023)	(2,958,497)
Purchases of alternative investments . . . . .	(596,447)	(544,722)
Additions to property . . . . .	—	(150)
Net cash provided by investing activities . . . . .	<u>259,367</u>	<u>250,519</u>
Net increase (decrease) in cash . . . . .	640	(815)
Cash		
Beginning of year . . . . .	2,711	3,526
End of year . . . . .	<u>\$ 3,351</u>	<u>\$ 2,711</u>
<i>Supplemental disclosure of noncash investing activities</i>		
Distributions of securities received from alternative investments . . . . .	<u>\$ 11,204</u>	<u>\$ 28,841</u>

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

# The Andrew W. Mellon Foundation

## NOTES TO FINANCIAL STATEMENTS

December 31, 2011 and 2010

### 1. ORGANIZATION AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

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

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

#### *Investments*

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

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

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

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

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

Level 3 Inputs that are unobservable.

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

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

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

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

Realized gains and losses on investments in securities are calculated based on the first-in, first-out identification method. Included in payable from unsettled securities purchases in the accompanying Balance Sheets are payables of \$71.1 million and \$33.6 million at December 31, 2011 and 2010, respectively, net of receivables from unsettled securities sales of \$28.0 million and \$11.3 million at December 31, 2011 and 2010, 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 2008.

## Notes to Financial Statements, (continued)

### Property

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

### Investment Return

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

### Expenses

Grantmaking operations include all costs related to appropriating, paying and administering grants. Direct charitable activities include building operating expenditures for ARTstor Inc. ("ARTstor") and Ithaca Harbors, Inc. ("Ithaca"), which are independent not-for-profit entities, and expenditures for research. Investment operations include the costs of supervising the Foundation's investment portfolio. Interest expense includes interest, amortization of deferred bond issuance costs, commitment fees and remarketing fees incurred in connection with servicing the Foundation's 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 \$15.3 million (6.6% of appropriated grants) in 2011, compared to \$16.0 million (7.2% of appropriated grants) in 2010.

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 2011 and 2010:

	<u>2011</u>	<u>2010</u>
	<i>(in thousands of dollars)</i>	
Program grants and contributions, net . . .	\$242,772	\$233,650
Salaries, pensions and benefits . . . . .	14,595	13,989
Interest . . . . .	9,533	9,560
Current provision for taxes . . . . .	7,190	3,712
Other operating expenses . . . . .	7,542	8,391
	<u>\$281,632</u>	<u>\$269,302</u>

*Use of Estimates*

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

*Reclassifications*

Certain 2010 amounts have been reclassified to conform to the 2011 presentation.

## 2. INVESTMENTS

Marketable securities held at December 31, 2011 and 2010 are summarized as follows:

	<i>December 31, 2011</i>		<i>December 31, 2010</i>	
	<i>Fair Value</i>	<i>Cost</i>	<i>Fair Value</i>	<i>Cost</i>
	<i>(in thousands of dollars)</i>			
Equities . . . . .	\$ 997,629	\$ 976,922	\$1,269,547	\$1,015,460
Fixed income . . . . .	431,778	435,646	486,098	486,732
Short-term . . . . .	243,485	243,486	179,206	179,140
Derivative financial instruments . . . . .	(1,025)	(581)	(55)	(56)
	<u>\$1,671,867</u>	<u>\$1,655,473</u>	<u>\$1,934,796</u>	<u>\$1,681,276</u>

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

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

The classification of investments by level within the valuation hierarchy as of December 31, 2010 is as follows:

	<i>Quoted Prices (Level 1)</i>	<i>Significant Observable Inputs (Level 2)</i>	<i>Significant Unobservable Inputs (Level 3)</i>	<i>Total</i>
	<i>(in thousands of dollars)</i>			
Marketable securities . . . .	\$1,012,847	\$ 921,234	\$ 715	\$1,934,796
Alternative investments . . .	—	255,904	3,242,177	3,498,081
Payable from unsettled securities purchases, net	(22,333)	—	—	(22,333)
	<u>\$ 990,514</u>	<u>\$1,177,138</u>	<u>\$3,242,892</u>	<u>\$5,410,544</u>

*Notes to Financial Statements, (continued)*

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

	2011		2010	
	<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 . . . . .	\$ 715	\$3,242,177	\$ 4,606	\$2,839,667
Transfer . . . . .	—	(46,606)	—	(46,665)
Net realized gains . . . . .	120	189,010	1,131	121,650
Income . . . . .	—	10,489	—	53,098
Purchases . . . . .	570	596,447	1,340	544,722
Distributions/redemptions . . .	(1,301)	(695,247)	(5,632)	(540,844)
Net unrealized gains (losses) .	(104)	(48,338)	(730)	270,549
Balance at December 31 . . . .	<u>\$ —</u>	<u>\$3,247,932</u>	<u>\$ 715</u>	<u>\$3,242,177</u>

Net unrealized gains included in the Statements of Activities for investments designated as Level 3 and held at December 31, 2011 are \$10.8 million for alternative investments. Net unrealized gains (losses) included in the Statements of Activities for investments held at December 31, 2010 were \$(692) thousand for marketable securities and \$269.2 million for alternative investments, respectively.

Set forth below is additional information pertaining to alternative investments as of December 31, 2011 and 2010:

	<u>Fair Value</u>	<u>Fair Value</u>	<u>Redemption Frequency</u>	<u>Redemption Notice Period</u>
	<u>December 31, 2011</u>	<u>December 31, 2010</u>		
	<i>(in thousands of dollars)</i>			
Equity long only (1) . . . . .	\$ 185,382	\$ 64,405	Quarterly	30-90 Days
Equity long/short (2) . . . . .	313,290	328,812	Quarterly/ Annually	30-60 Days
Limited liquidity (3) . . . . .	824,387	946,777	Quarterly/ Annually	45-180 Days
Private partnerships (4) . . . . .	<u>2,213,689</u>	<u>2,158,087</u>		
	<u>\$3,536,748</u>	<u>\$3,498,081</u>		

- (1) This category includes investments in funds that invest in equity securities and derivatives in domestic and international markets, including emerging markets. The Foundation estimates that approximately 75% of the value of these funds can be redeemed within 18 months. There are no unfunded commitments in this category.
- (2) This category includes investments in funds that invest long and short in domestic and international securities, primarily equity securities. The Foundation estimates that approximately 73% of the value of these funds can be redeemed within 18 months. There are no unfunded commitments in this category.
- (3) This category includes investments in funds that invest in a variety of privately held and publicly available securities, including equities, corporate and government bonds, convertibles, asset backed and derivatives, and includes investments in domestic and international markets. The Foundation estimates that approximately 82% of the value of these funds can be redeemed within 18 months. There are no unfunded commitments in this category.



- (4) This category includes investments in private equity, venture capital, buyout, credit opportunity, real estate and energy-related funds. These funds invest both domestically and internationally across a broad spectrum of industries. Generally these funds cannot be redeemed; instead, the nature of the investments is that distributions will be received as the underlying investments of the fund are liquidated. Unfunded commitments at December 31, 2011 were \$956 million, compared to \$951 million at December 31, 2010.

Through certain investment managers, the Foundation is a party to a variety of interest rate swaps and options. The extent of the Foundation's involvement in these instruments is determined by the composition of the investment portfolio and the investment managers' expectations as to the direction and volatility of equity and fixed income markets as well as other economic factors. At December 31, 2011, approximately \$477 thousand in assets and \$1.6 million of liabilities related to these financial instruments are included in derivative financial instruments. At December 31, 2010, approximately \$1.3 million in assets and \$1.5 million of liabilities related to these financial instruments were included in derivative financial instruments.

Through certain investment managers, the Foundation purchases and sells forward currency contracts whereby the Foundation agrees to exchange one currency for another on an agreed-upon date at an agreed-upon exchange rate to minimize the exposure of certain of its marketable securities to adverse fluctuations in financial and currency markets. At December 31, 2011, the Foundation had open foreign currency contracts with notional amounts of approximately \$94.4 million in assets and \$94.2 million in liabilities included in derivative financial instruments. At December 31, 2010, the Foundation had open foreign currency contracts with notional amounts of approximately \$87.7 million in assets and \$87.6 million in liabilities included in derivative financial instruments. All of these derivative financial instruments are carried at fair value, and changes in fair value are recognized currently in the Statements of Activities.

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

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

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

### 3. BONDS PAYABLE

At December 31, 2011, bonds payable consists of \$230 million of bonds with a maturity date of August 1, 2014 (the "Fixed Rate Bonds") and \$44.4 million of bonds with a maturity date of December 1, 2032 (the "Variable Rate Bonds").

The Fixed Rate Bonds bear a 3.95% fixed rate of interest, payable semi-annually. The bonds may be redeemed at any time by the Foundation at a price equal to the greater of (i) 100% of the principal amount, and (ii) the sum of the present value of the remaining scheduled payments of principal and interest. The Foundation estimates that the fair value of the Fixed Rate Bonds at December 31, 2011 and 2010 was \$247.9 million and \$243.4 million, respectively. Interest incurred, exclusive of amortization of deferred bond issuance costs, for the Fixed Rate Bonds was \$9.1 million for both 2011 and 2010.

*Notes to Financial Statements, (continued)*

Interest for the Variable Rate Bonds is reset weekly by the Foundation's bond agent. Bond holders have the right to tender their bonds to the bond agent weekly, and the agent has an obligation to remarket such bonds. Bonds that cannot be remarketed must be redeemed by the Foundation. The Foundation believes that the fair value of the Variable Rate Bonds approximates their book value. The average interest rate applicable in 2011 for the Variable Rate Bonds was 0.2% and in 2010 was 0.3%. Interest incurred, exclusive of amortization of deferred bond issuance costs and fees, was \$98 thousand and \$137 thousand in 2011 and 2010, respectively.

In connection with the Variable Rate Bond offering, the Foundation entered into a \$30 million dedicated line of credit agreement. Borrowings, if any, under this line of credit are at the discretion of the Foundation and are to be used solely to fund redemption requirements of the Variable Rate Bonds. The line of credit agreement expires on September 8, 2014. The annual commitment fee is 0.25%. As of December 31, 2011 and 2010, there were no borrowings outstanding under the line of credit.

On April 30, 2012, the Foundation entered into a two year secured revolving line of credit agreement ("Credit Agreement") which permits the Foundation to borrow up to \$60 million with an option to borrow up to \$75 million. Borrowings, if any, under the Credit Agreement would be used to pay grants or other qualifying distributions. The interest rate on borrowings is LIBOR plus 35 basis points and the annual commitment fee is 0.10%. The Foundation has pledged one of its managed investment accounts to secure borrowings under the Credit Agreement. To date, no borrowings have been made under this agreement.

#### 4. TAXES

The Internal Revenue Code imposes an excise tax on private foundations equal to two percent of net investment income (principally interest, dividends, and net realized capital gains, less expenses incurred in the production of investment income). This tax is reduced to one percent when a foundation meets certain distribution requirements under Section 4940(e) of the Internal Revenue Code. The Foundation was subject to the two percent rate in 2011 and qualified for the one percent rate in 2010. Certain income defined as unrelated business income by the Code may be subject to tax at ordinary corporate rates.

The provision for taxes consists of a current provision for the federal excise taxes on net investment income and state and federal taxes on unrelated business income and a deferred provision on the change in unrealized appreciation of investments. The current tax provision for 2011 comprises \$6.5 million for federal excise tax on net investment income and \$698 thousand in state and federal taxes on unrelated business income. The current tax provision for 2010 includes a \$4.0 million provision for federal excise tax on net investment income. State and federal taxes on unrelated business income were immaterial in 2010. The change in unrealized appreciation in 2011 and 2010 reflected on the Statements of Activities includes a deferred tax benefit of \$5.9 million and a deferred tax provision of \$7.8 million, respectively, based on change in net unrealized appreciation of investments at two percent. Taxes paid; net of refunds, in 2011 and 2010 were \$5.4 million and \$3.6 million, respectively.

## 5. GRANTS, CONTRIBUTIONS, AND COMMITMENTS

The following table of grant activity by major program area includes all grant appropriations approved during 2011. Grants payable and committed at December 31, 2010 have been adjusted to reflect a cancellation of \$250 thousand.

	<i>Payable and Committed December 31, 2010</i>	<i>2011 Grants and Commitments</i>		<i>Payable and Committed December 31, 2011</i>
		<i>Appropriated</i>	<i>Paid</i>	
<i>(in thousands of dollars)</i>				
Higher Education and Scholarship . . . . .	\$30,569	\$128,692	\$137,116	\$22,145
Scholarly Communications and Information				
Technology . . . . .	2,860	26,000	25,786	3,074
Performing Arts . . . . .	11,853	37,750	40,131	9,472
Art History, Conservation and Museums . . . . .	20,424	25,741	30,431	15,734
Conservation and the Environment . . . . .	1,182	12,140	11,930	1,392
Program grants and commitments — totals	66,888	230,323	245,394	51,817
Contributions and matching gifts . . . . .	—	1,455	1,455	—
	<u>\$66,888</u>	<u>\$231,778</u>	<u>\$246,849</u>	<u>\$51,817</u>

Grant and grant commitment activity is summarized below.

	<u>2011</u>	<u>2010</u>
<i>(in thousands of dollars)</i>		
Grants payable		
Grants payable at January 1 . . . . .	\$ 39,717	\$ 51,106
Grant expense . . . . .	243,679	234,412
Less: Grants paid . . . . .	(246,849)	(245,801)
Grants payable at December 31 . . . . .	<u>\$ 36,547</u>	<u>\$ 39,717</u>
Net grant expense		
Unconditional grants . . . . .	\$ 202,330	\$ 189,842
Conditional grants meeting conditions for expense . . . . .	41,349	44,570
	243,679	234,412
Less: Grant refunds . . . . .	(907)	(762)
Net grant expense at December 31 . . .	<u>\$ 242,772</u>	<u>\$ 233,650</u>
Grant commitments		
Grant commitments at January 1 . . . . .	\$ 27,171	\$ 39,558
Less: Commitments cancelled . . . . .	—	(250)
Conditional grants appropriated . . . . .	29,448	32,433
Less: Grants meeting conditions for expense . . . . .	(41,349)	(44,570)
Grant commitments at December 31 . .	<u>\$ 15,270</u>	<u>\$ 27,171</u>

*Notes to Financial Statements, (continued)*

## 6. OTHER SERVICES

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

- Ithaka provides information technology services to the Foundation. In 2011 and 2010, Ithaka charged \$760 thousand and \$786 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 16, 2012 and believes no additional disclosures are required in its financial statements.