The Andrew W. Mellon Foundation

Report
from January 1, 1993
through December 31, 1993
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THE ANDREW W. MELLON FOUNDATION, a Not-for-Profit Corporation under the laws of the State of New York, is the result of the consolidation on June 30, 1969 of Old Dominion Foundation into Avalon Foundation with the name of the latter being changed to The Andrew W. Mellon Foundation. Avalon Foundation had been founded by Ailsa Mellon Bruce, daughter of Andrew W. Mellon, in December 1940 as a common law charitable trust. In 1954 it was incorporated under the Membership Corporations Law of the State of New York. Old Dominion Foundation had been established in 1941 under the laws of the Commonwealth of Virginia by Paul Mellon, son of Andrew W. Mellon.

The purpose of the Foundation is to “aid and promote such religious, charitable, scientific, literary, and educational purposes as may be in the furtherance of the public welfare or tend to promote the well-doing or well-being of mankind.”

Under this broad charter, the Foundation currently makes grants on a selective basis to institutions in higher education; in cultural affairs and the performing arts; in population; in conservation and the environment; and in public affairs.

Within these fields, the Foundation directs most of its grantmaking to particular areas of interest, which are made known in a variety of formal and informal ways. Annual reports describe grantmaking activities and present complete lists of recent grants. In addition, organizations are welcome to request further information concerning the nature and extent of the Foundation’s activities in a specified area. The Foundation seeks to be clear about its priorities so as to provide reasonable guidance to those who are considering investing time and resources in preparing proposals.

Applications are reviewed throughout the year, and no special forms are required. Ordinarily, a short letter setting forth the need, the nature, and the amount of the request and the justification for it, together with evidence of suitable classification by the Internal Revenue Service and any supplementary exhibits an applicant may wish to submit, are sufficient to permit consideration by the staff. Applicants must recognize, however, that the Foundation is able to respond favorably to but a small fraction of the requests that it receives. Only rarely is a grant made in response to an unsolicited proposal outside defined areas of interest, and prospective applicants are encouraged to explore their ideas informally with Foundation staff (preferably in writing) before submitting formal proposals. The Foundation does not make grants to individuals or to primarily local organizations.
In reviewing the events of the year just concluded, those inclined to look first “at the numbers” would have reason to be puzzled by the summary of appropriations approved by the Trustees of The Andrew W. Mellon Foundation (p. 39). This was a busy year, with no falloff in any of our established programs and several new initiatives launched; nonetheless, the 1993 total of $89.4 million of appropriations is almost $4 million below the corresponding total for 1992—rather than, as originally projected, $4 to $5 million higher.

This one-year decline has nothing to do with investment results, which were exceptionally good, or with programmatic decisions. Rather, it is a consequence of modest adjustments in the timing of two sets of large grants. Appropriations for work in literacy, anticipated to be approximately $4 million, were deferred until 1994. Also, the recurring cycle of annual appropriations, in the $6 to $7 million range, for the Foundation’s major program of institutional grants in support of doctoral education was shifted from the December 1993 to the March 1994 meeting of the Trustees. The obverse side of these adjustments in the grant-making calendar is that total appropriations in 1994 are likely to be significantly above the normal trend line.

As is so often the case, the year’s important developments cannot be read from any of the aggregate numbers presented in this annual report. The detailed list of individual appropriations at the back of the report is more revealing, but it too is opaque in one important respect: it fails to illuminate major decisions about the Foundation’s future programmatic directions that were made in the course of the year. Four judgments of this kind are described briefly below in the hope that they will be of interest to potential grantees and that they will encourage readers to provide further advice and criticism as we shape these programs and others not highlighted in this year’s report.
Consistent with the practice followed in previous years, the second part of this year's annual report (pp. 22–37) consists of a discussion by my colleague, Henry Drewry, of one of the Foundation's major programmatic objectives: encouraging larger numbers of talented students from minority groups to pursue doctoral study in the arts and sciences.1 Mr. Drewry has led this program with great distinction for the last five years, and as he now contemplates retirement from full-time service at the Foundation, this seems an appropriate time for him to review accomplishments to date, lessons learned, and the opportunities ahead.

Conservation and the Environment

In supporting major initiatives, the long-standing policy of the Foundation is to pursue a “steady as you go” approach. At the same time, we also review periodically what has been accomplished and, when justified, modify directions. In this spirit, the staff and Trustees have now completed a full-scale review of the Foundation’s activities in Conservation and the Environment. An outside committee (chaired by M. Gordon Wolman of the Johns Hopkins University, with Pamela A. Matson of the University of California at Berkeley, Paul G. Risser of Miami University in Ohio, and Robert M. White of the National Academy of Engineering in Washington serving as the other members) was asked to assess how well the Foundation has succeeded in achieving its objectives within this field. The committee’s second and broader charge was to consider whether the basic direction of the program should be modified, taking the current level of outlays—about $10 million per year—as given.

William Robertson, the program officer responsible for the Foundation’s grant-making in Conservation and the Environment, has every reason to be pleased by the verdicts rendered. The review committee took extensive soundings from experts in the

1 In the 1989 annual report, Neil Rudenstine described the Foundation’s approach to the field of literacy; in the 1990 report, Carolyn Makinson discussed population studies and population policy; in the 1991 report, Rachel Bellow presented the Foundation’s program in arts and culture; and last year, Richard Quandt described the Foundation’s activities in Eastern Europe. All of these reports are available from the Foundation on request.
field, including a number who have not received support from the Foundation, and reported that:

It is the universal judgment of those that we have interviewed at some length, that the Foundation Program has demonstrated great wisdom in the selection of institutions and individuals for support . . . . The program is described from the outside as one in which seed money is provided where it can do the most good, and that the style of administration is one of strong inquiry prior to a grant and the expectation of results unhampered by bureaucratic influences or the necessity for endless reporting.

The present program emphasizes basic research on how ecosystems work. Within this broad field, we focus on botany and terrestrial ecosystems because of their importance within larger systems and because they are often neglected by other funding sources. We also provide some support for land preservation, primarily through grants to the Trust for Public Land.

The review committee cited a number of instances in which Foundation grants have been highly successful in and of themselves and have also had catalytic effects on institutional development and on fields of research. The Foundation’s activities in support of work in systematics and its relation to tropical ecology is a good example. Special mention was also made of the broad effects of Mellon support of work at the Hubbard Brook Ecosystem Study. Most recently, the Foundation has encouraged more fundamental studies of coastal systems. The committee recommended that these basic programmatic directions be sustained. In their words: “We conclude that the basic direction of the program seems right and the quality is quite strong.”

At the same time, the committee suggested that further consideration be given to one aspect of the funding strategy underlying this program. While applauding the Foundation’s willingness to provide continuity of funding—which is fundamental to success in almost any area of basic research—the committee noted that there is also a downside to this approach which must be considered: the restriction it imposes on opportunities for new ventures. The point is well made. The staff recognize the need to phase out support for successful projects after some number of years (say, five or six), so
that new seeds can be planted. To stay with the botanical metaphor, "pruning the tree" has to be a regular activity.

The review committee also suggested other kinds of activities which might merit support. We have decided to investigate two new areas into which the Conservation and the Environment program might expand in at least modest ways. The first links scientific research to questions of public policy, particularly in the area of governmental regulation. The gap between the assumptions underlying certain types of regulation and current scientific knowledge has been widely criticized, and we may support a small number of efforts to understand better how and why some approaches work and others fail to work. The second new area under exploration is the link between environmental concerns and population trends, with special emphasis on the Amazon basin. This area is particularly appropriate because of this Foundation's parallel program in population. Directed by Carolyn Makinson, the population program already supports demographic research in Brazil as well as in many other parts of the world.

Liberal Arts Colleges

In the past year, the Trustees also reviewed a new set of recommendations concerning liberal arts colleges. The review was particularly timely because of the shift in staff responsibility for this area from Roberto Ifill, who has now returned to the front lines of campus life at Connecticut College, to Alice F. Emerson, who served for 16 years as the president of Wheaton College in Massachusetts before coming to the Foundation. In developing new initiatives, President Emerson is being assisted by Elizabeth A. Duffy, who recently completed graduate work at Stanford University in business and education.

The Foundation remains committed to supporting the leading liberal arts colleges in this country (a universe that, for our purposes, is limited to colleges that award more than 75 percent of their degrees in traditional arts and sciences disciplines and that also meet other criteria related to scale and quality). This important set of institutions faces serious financial constraints that are unlikely to ease in the foreseeable future. Therefore, it will not do, in our view,
to start new initiatives in the hope that somehow other sources of funds will allow them to become self-sustaining in the future.

The basic proposition that underlies our approach to the liberal arts college sector is that these colleges must grow through a process of substitution rather than by addition if they are to thrive. Consistent with this philosophy, we intend to continue to encourage colleges to submit proposals that improve educational effectiveness while simultaneously reducing costs. (This part of our present program builds on the Foundation’s earlier “consolidation” program.) Such proposals may involve redesigning academic programs or restructuring administrative procedures. For example, Barnard College plans to achieve greater curricular coherence and to gain economies in instructional costs by eliminating and combining courses.

A parallel effort is designed to encourage new forms of cooperation among institutions. Some imaginative collaborative proposals have already been submitted, such as the Central Pennsylvania Consortium’s plan to teach advanced foreign language courses on three campuses simultaneously via interactive satellite hook-ups. Difficult as it can be to share resources, joint programs are often the only way in which small colleges can offer high-quality educational programs in a cost-effective way. Among the other opportunities for collaboration being explored by the Foundation and groups of liberal arts colleges are further applications of electronic technologies to the teaching of foreign languages and collaborative faculty development programs.

**Scholarly Communication, Libraries, and Technology**

At their December 1993 meeting, the Trustees discussed and approved the outline of a new initiative designed to address the interrelated problems of: escalating library costs, threats to the continuing viability of certain forms of scholarly publishing (especially of monographs in the humanities), the future of archiving, conservation of at-risk materials, and how best to take advantage of the possibilities for improved scholarly communication inherent in new technological developments. The Foundation has had a long-standing interest in research libraries, and my predecessor, John
Sawyer, played a leading role in marshaling support for the Research Libraries Group (RLG). More recently, Foundation staff members prepared a report which analyzed trends in the economics of library operations and examined some of the implications for libraries of recent innovations in information technology.

One conclusion of this report is that the status quo is not sustainable. Libraries cannot afford to build collections, defined in traditional ways, at the rate at which they have been built in the past. Prices of serials, especially in the fields of science, technology, and medicine, have increased so rapidly that purchases of monographs have been severely curtailed—a development which reduces print runs and threatens the capacity of university presses and others to publish such materials. Furthermore, there is a limit on the extent to which colleges and universities can be expected to devote scarce capital resources to expanding shelf space in libraries so as to house ever-larger holdings of bound volumes and other paper materials. Everyone seems to agree that emphasis has to be shifted from ownership to access, but it remains unclear how this change is to be accomplished with maximum effectiveness.

It is highly unlikely that there is one "right path" through these thickets. The Trustees have authorized the Foundation's staff to encourage experiments and to monitor experience with a variety of approaches, including online, stand-alone, and hybrid technologies, applied to a range of arts and sciences fields in a variety of institutional settings (from small colleges to large research universities). In all of these projects, careful attention will have to be paid to key economic variables, including pricing structures and costs.

One objective is to find ways to improve scholarly communication without expecting libraries (and their users) to pay more for electronic access to materials while simultaneously incurring all of the other costs already burdening the system. In short, the benefits of new technologies have to be reflected in cost savings as well as in enhanced services. We are not inclined to support projects that serve primarily to enhance services, if such projects add signifi-

cantly to overall outlays. With few exceptions, that has been the history of the application of technology to libraries in recent decades, and the time has come, in our view, to give higher priority to budget constraints.

It also seems clear to us that attention must be given to the costs and benefits of the entire system of scholarly communication seen as an integrated whole—which extends from the aspiring assistant professor who writes and submits an article, to the publisher, to the library or other repository of journals, to the individual student or faculty member who wishes to find and use the material. It will not suffice to examine costs and benefits solely from the perspective of any single actor or single set of institutions. The respective roles of publishers, libraries, and users may well change in fundamental ways, along with methods of licensing, regulating usage, and sharing costs. We wish to encourage collaborative efforts to address what are, ultimately, system-wide problems—and opportunities.

Primary responsibility within the Foundation for oversight of this complex area of activity rests with Richard Ekman and Richard Quandt, assisted by an advisory committee consisting of Patricia Battin, president of the Commission on Preservation and Access; Richard De Gennaro, librarian of Harvard College; Janet Fisher, associate director for journals publishing of the MIT Press; M. Stuart Lynn, vice president for information technologies at Cornell University; Paul E. Peters, executive director of the Coalition for Networked Information; and Steven M. Stigler, professor of statistics at the University of Chicago. By the time this report appears, Messrs. Ekman and Quandt will have finished a paper describing in considerable detail how the Foundation views potential classes of projects and what criteria will be used in grant-making. Their paper is available on request, and I will not summarize it here. I will, however, note a few themes:

- We do not expect to underwrite the development of new technologies, since we believe that the main challenge at present is to utilize existing hardware and software more effectively. Other funding sources are likely to support new research of a purely technical kind.
• We have decided to focus much of our attention initially on journals because their fate will have decisive effects on the publication of monographs as well as maintaining access to journal literature itself. One type of project in which we are interested involves combining bitmapped images of the full texts of journals with searchable indexes.

• Consistent with the traditional interests of the Foundation, we will want to be sure that the needs of, and the opportunities in, the humanities and related social sciences are taken fully into account. Modes of operation which are successful in the sciences and in professional fields such as law and medicine may not be as appropriate in these other fields.

• In addition to supporting selected demonstration projects, we want to encourage a limited number of more broadly gauged studies on topics such as: the future structure of the scholarly communication “industry;” the implications of various interpretations of the law governing intellectual property rights; improving decision-making (helping institutions to become better informed and more demanding consumers); and aligning social objectives with pricing structures.

We recognize that the resources which we can devote to this area, while significant, are far too limited to pay for full solutions to the problems identified by experts in the field. But our resources can be useful in helping to identify solutions, which may then merit larger investments by commercial and nonprofit entities of various kinds. We are excited by the opportunities which exist to address these fundamental problems, and we look forward to working with others from many sectors in probing the utility of new approaches, testing their practicality and economic feasibility.

University Studies of Foreign Areas and Cultures

A fourth subject considered at length in 1993 was the future of the Foundation’s activities in “area studies.” In thinking about the options and alternatives available to us, staff members were helped by consultations with scholars with specialized knowledge of many regions of the world, from a wide variety of disciplines. Almost no one was very satisfied with the emphasis that continues to
be given (partly because of governmental funding patterns) to the traditional area studies approach, by which we mean studies that divide the world into geographic regions that are larger than a single country and more or less contiguous, and that focus on commonalities within the regions.

Many reasons were given for the growing skepticism about the emphasis placed on area studies over the last 20 to 30 years. First, fragmentation within nations and areas is an increasingly widespread phenomenon, as we see dramatically (and tragically) within the republics comprising the former Soviet Union and what used to be Yugoslavia, as well as in other areas as disparate as South Africa, China, and the United States itself. Cultural groupings—particularly those based on religion and ethnicity—cut across the sociopolitical territories and regions demarcated by most area studies programs. If geography is to be the major defining variable, it is by no means clear how “areas” should be identified. Nor do area studies offer a satisfactory approach to understanding some of the most striking phenomena of recent years, such as the diffusion of values associated with contemporary Western culture, the spread of worldwide markets, and the profound implications of conflicting developments such as the increasing power of fundamentalism, desecularization, and traditionalism in many parts of the world.

In short, work classified under the area studies rubric seems less likely than it once did to provide an optimal framework for many kinds of training and research. Other approaches may be more effective in illuminating the historical and cultural sources of contemporary social and political developments of great consequence. Leading scholars in many of the humanities and related social sciences have become increasingly interested in comparative studies, and especially in those emphasizing the connections among culture, the economy, and society. Such studies seek to understand phenomena of the kinds mentioned above by working with materials from more than one society or region.

These broad intellectual currents led us to recommend to the Trustees the establishment of a new Seminars program, designed to encourage faculty, foreign visitors, postdoctoral fellows, and doctoral candidates to join in addressing themes that resonate in the cultures of several regions. Among many other potential topics,
such themes might include: nationalism and national identities, religious conflict, ethnic rivalries, comparative urban cultures, varieties of democratization, conflict between local and global cultures, the political impact of avant garde movements in art and literature, the extent and nature of corruption, and the roles played by violence in resolving (or exacerbating) disputes. Members of area studies centers might well be involved in such Seminars, but they would participate in them as individual scholars.

Responsibility within the Foundation for launching this new initiative rests with Harriet Zuckerman. By the time this report appears, she will have sent a letter describing the main programmatic and budgetary outlines to an initial list of about 15 universities. An advisory committee will be formed to help in the evaluation of proposals. Grants will be made on a competitive basis. We would expect the Seminars formed as a result of this program to continue for periods of up to three (at most four) years, and then to dissolve, making way for other Seminars and the participation of other universities. One advantage of this approach is that it would allow scholars to focus on problems of wide interest but would not create a new set of semipermanent institutional arrangements that require continued sustenance by hard-pressed universities; nor would it reinforce existing institutional arrangements which perhaps should be rethought in any case.

In organizing such Seminars, we would want universities to view graduate training and the further education of young academics as an important objective. We expect that participating faculty members and graduate students will be drawn from a number of specializations. We also hope that Seminar leaders will want to include, as appropriate, foreign visitors and faculty members from nearby educational institutions, including liberal arts colleges.

While this program will replace much of the support the Foundation has provided for advanced training and research in area studies as traditionally defined, we expect to continue to make a few grants that are regionally oriented. This seems especially likely in the case of the Middle East, where recent political developments may create a number of new opportunities for scholarship and teaching, both in this country and in the region. For this reason, among others, we expect to continue our support of the teaching of
Arabic, Turkish, and Persian. We are also willing to consider the provision of targeted support for leading indigenous institutions, especially if new modes of collaboration can be found within the region and outside it. In addition, we expect to continue to support training in other languages, important to understanding other cultures, for which enrollments in this country are low (such as Czech, Hungarian, Indonesian, and Thai). Another region that continues to be of special interest to the Foundation is Latin America, and we expect to provide additional support for efforts of libraries and research centers in various parts of the hemisphere to make their collections more accessible.

We would not want the establishment of this new set of Seminars to be misinterpreted. Serious scholarly training in many fields must be situated in the disciplines and also geographically and temporally. We agree with those scholars who wrote to us emphasizing the value of a serious grounding in the languages, history, and culture of a particular country or region. We are confident that the strongest area studies centers will continue to do good work, and to attract needed support.

**Encouraging Minority Students to Pursue Doctorates**

Important as it is to review programs, and to modify them as appropriate, it is equally important to “stay the course” when that is required in order to achieve important objectives. In no area is continuity of support more important than in the Foundation’s efforts to make a difference, over the long run, in the ability of colleges and universities to recruit far larger numbers of outstanding members of minority groups to their faculties. Greater diversity is an important educational objective in its own right; in addition, the country is simply not taking full advantage of its pool of talent when so few members of minority groups move into faculty positions.

When I came to the Foundation in January 1988, one of my initial objectives was to see if the Foundation could find more effective ways of encouraging talented undergraduates from minority groups to pursue PhDs in the arts and sciences. Fortunately, I was able to enlist my longtime colleague, Henry Drewry, in this effort.
I want now to introduce Mr. Drewry and the essay which he has contributed to this report, summing up our activities in this area over the last five years and commenting on them. Mr. Drewry's program was the first one at the Foundation for which I took direct personal responsibility, and I want to say here what a privilege it has been to work with Mr. Drewry on behalf of objectives which we have shared so fully.

An accomplished historian and author of several widely admired books, an outstanding teacher of history and social science at both secondary and university levels, and a tested administrator, Mr. Drewry brought to his new assignment long experience in both scholarly pursuits and in working with students from many backgrounds. He also brought a personal history that includes: attendance at Selma High School in Alabama well before the Civil Rights movement in which the town of Selma played such a prominent role; graduation from Talladega College, also in Alabama (where his parents taught); and graduate education at Columbia University. As those who know him will attest, Mr. Drewry's personal qualities and commitments are, if possible, even more exceptional than his wealth of experience and professional skill. The Foundation could not have been better served.

Fortunately, the Foundation is not to be deprived entirely of Mr. Drewry's services following his official retirement on August 31, 1994. He has agreed to continue to serve on a part-time basis, with primary responsibility for reinvigorating the Foundation's long-standing interest in the vitality of colleges that have played such an important role historically in educating African-American students.

In 1993, the Foundation made two grants of a new type to Historically Black Colleges and Universities in support of proposals that each had developed to strengthen its institutional capacities. Talladega College plans to restructure its curriculum to incorporate the liberal arts (particularly the study of cultural values and ethics) more effectively within its preprofessional degree programs. Tougaloo College intends to strengthen the role of student research in its humanities and social sciences offerings by utilizing rich archival materials which it owns but has not used effectively as scholarly resources. We hope that these will be the first of a series of
grants to Historically Black Colleges and Universities which are making determined efforts to become even stronger academically than they are at present.

While Mr. Drewry will also be available to advise the Foundation on the further development of the Mellon Minority Undergraduate Fellowships, this program is so demanding administratively that it must have its own leadership. Because of the Foundation’s strong continuing commitment to it, we have worked hard to identify an outstanding successor to Mr. Drewry. This search, which was led by Harriet Zuckerman, has resulted in the appointment of Jacqueline Looney, who currently serves as assistant dean for graduate recruitment at Duke University. I am confident that all who share our sense of the importance of this program will be as pleased as we are that such an experienced and capable person has agreed to provide new leadership for it.

Mr. Drewry’s discussion of the particular program which he designed and led needs to be seen within the context of the Foundation’s broader interest in enhancing educational opportunities for minorities. Since its inception in 1969, the Foundation has made a wide variety of grants in this area. Historically, the Foundation’s grants have encouraged study in the liberal arts, health-related fields, engineering, library science, teacher education, and theological education. The Historically Black Colleges and Universities have received grants for endowment and for purposes such as library acquisitions in the humanities. In addition, the Foundation has supported a number of projects for pre-college students and institutions. Overall, Foundation appropriations directed specifically at minority education averaged approximately $1.2 million each year during the period 1969 through 1978; $5.1 million per year during the ten years from 1979 through 1988; and $6.1 million per year during the past five years, from 1989 through 1993.

The Foundation’s concern for minority education—unlike programs bearing titles such as “professional education and scholarship,” “science and society,” or “liberal arts colleges”—reflects not the organization and structure of American higher education, but societal realities. Whatever progress we as a nation have made in the past decades—and considerable progress has been made—discrimination and the effects of past histories of discrimination continue to
damage prospects for many Americans. It is widely acknowledged that race matters in America today, over and above its correlation with economic circumstances, the educational attainment of parents, and other significant socioeconomic variables. It is dangerous to suppose that any idealized conception of a "color blind" society has been reached, or will be reached anytime soon. At a fundamental level, this is the rationale for minority-specific efforts to improve educational opportunities—and for many of the particular features embedded in the program which Mr. Drewry will describe.

In addition, the Foundation tries to be sure that individuals from minority groups, as well as institutions which focus their efforts on the generic concerns of minority groups, are included fully in all of its other programs and initiatives. Appropriating funds for programs targeted to the special needs of minorities in no way solves other program officers of the obligation to be sensitive to the problem of race in America.

It is encouraging to see the progress that is being made in increasing the number of potential doctoral candidates from underrepresented minority groups. The data included in Mr. Drewry's report speak for themselves. Also, it is heartening to note the number of students from minority groups who succeed in the demanding national competition for doctoral fellowships which the Foundation itself sponsors and finances (the Andrew W. Mellon Fellowships in Humanistic Studies, a program of portable fellowships awarded on the basis of merit which is directed by Alvin Kernan and administered by the Woodrow Wilson National Fellowship Foundation). One of the long-term consequences, we hope, of the special efforts being made now on behalf of minority education will be a diminished need for targeted programs in the future.

Acceptance of present realities is in no way inconsistent with a deeply held belief in the desirability of reaching a condition in which race would not require special consideration because ordinary norms of individual and institutional behavior could be counted on to produce equitable results. The ultimate goal, surely, is a society in which all that matters is an individual's own abilities, character, and determination. But it would be a serious error to base policies on an idealized vision of a world other than the one we
inhabit. Getting from here to there will require sustained, targeted, unsentimental efforts to improve opportunities for individuals from minority groups that are grossly underrepresented in the academy as in many other spheres of national life.

William G. Bowen
March 1994
THE MELLON MINORITY UNDERGRADUATE FELLOWSHIP PROGRAM

The Mellon Minority Undergraduate Fellowship (MMUF) Program is the centerpiece of the Foundation’s efforts to include members of minority groups as full and equal participants in higher education. The Program has both immediate and longer-term objectives.

- The principal short-term objective is to increase the number of highly qualified candidates for PhDs in core fields within the arts and sciences who come from minority groups that are seriously underrepresented in these fields (African-Americans, Hispanic Americans, and Native Americans).
- The longer-term objective is to increase the diversity of faculties at colleges and universities throughout the country in order to bring a wider range of experiences and perspectives to teaching and scholarly discussion. By providing increased opportunities for all students to work with minority professionals, diversity serves the related goals of structuring a campus environment more conducive to improved racial and ethnic relations and of providing role models for all youth.

The Pipeline Problem

The objectives of the MMUF Program are highly consequential given the exceedingly small numbers of minority students currently earning doctorates in the arts and sciences and the state of race relations in academia. Frequently, the number of “Minority PhDs” is presented as a single figure and not disaggregated by individual groups. The inclusion of certain Asian-American groups under this broad banner can give the appearance of a successful, steady rise in minority representation in higher education when, in fact, other minority groups are seriously underrepresented.

In recent years, for example, African-Americans constituted over 13 percent of the relevant college-age population but earned
less than four percent of all PhDs. Similarly, Hispanics constituted over seven percent of the relevant population but earned only about three percent of all PhDs. By contrast, Asian-Americans constituted less than two percent of the relevant population but earned over five percent of all PhDs. White Americans constituted 78 percent of the population group but earned 88 percent of all PhDs.3

Detailed data on doctorates in individual fields of study, classified by racial/ethnic group (this time using absolute numbers) are even more striking. In 1992 only four African-Americans earned doctorates in mathematics; seven earned doctorates in physics or astronomy, 18 in English and American literature, and 25 in history. The absolute numbers for Hispanics are not appreciably better. Moreover, although the number of doctorates awarded to Hispanics has increased in recent years, the number of doctorates awarded to African-Americans has declined. In fact, 41 fewer doctorates were awarded to African-Americans in 1992 than in 1982.

College presidents frequently cite this general decline in the numbers of minority students earning doctorates in the arts and sciences as the single greatest obstacle to their efforts to recruit more diverse faculties. To cite just one example, in his report for the years 1991–93, Harvard’s president, Neil Rudenstine, notes that there are 3,000 US colleges and universities that compete for new faculty and that Harvard’s faculty of arts and sciences alone makes about 20 tenured appointments a year. “We would need to ‘beat the averages’ considerably just to make tenured appointments of one individual from each of the identified [minority] groups in a given year,” he writes. Rudenstine continues, “The outlook is further complicated by the fact that many of the PhDs tend to be clustered in a limited number of fields.” Therefore, Rudenstine explains,

3 These data, for US residents only, are from William G. Bowen and Neil L. Rudenstine, In Pursuit of the PhD (Princeton University Press, 1992), pp. 37–40 and Appendix Tables G.2–2 and G.2–3. The figures for PhDs awarded are for 1988, whereas the data for college-age populations are from the 1980 Census. Because of the long time lag between entering college and earning a PhD, it is necessary to align the data in this way. As a result of trends in birth rates and in immigration, population data for more recent years are different for some groups (especially Hispanics). Similarly, the percentage distribution of doctorates is slightly different today from what it was in 1988.
"The distribution among fields—and not just the aggregate number of PhDs awarded—is such a critical factor in assessing the overall outlook."

Several causes are often cited to explain the dearth of minority students enrolling in doctoral programs in the arts and sciences. Most basic is the small number of minority students at the earlier stages of the education pipeline: the underrepresented minority groups start out behind, in that significantly smaller percentages of them go to college and earn BAs—in part because of attrition at earlier stages in the educational process. The shares of all BAs earned by both African-Americans and Hispanics are less than half their corresponding shares of the college-age population. Statistics such as these justify major efforts to address the underlying problems that have affected minority groups at all levels of educational attainment. While the Foundation has made some grants with these objectives in mind, other funders have concentrated their resources much more heavily on precollegiate education. Accordingly, our focus, especially in recent years, has been on students who attend college.

At the college level, many of the most talented minority undergraduates, who come disproportionately from economically disadvantaged backgrounds, have opted for careers in business, law, or medicine. These professions offer better income prospects and also are seen by many as offering clearer opportunities for upward mobility. Moreover, minority students find few role models on arts and science faculties, and they are also less likely to have grown up knowing academicians as members of their families or communities.

Program Features

As we considered how best to build a program that would encourage talented minority undergraduates to enter graduate programs in the arts and sciences, we tried to think comprehensively about the factors that influence an undergraduate’s decision to attend graduate school. It seemed clear to us, from the start, that we would need to find ways to interest talented undergraduates in academic careers well before graduation—in their sophomore or junior
years, when they still had decisions to make concerning programs of study and summer work opportunities. We also knew that, to be effective, we would need the active support of undergraduate institutions and, especially, of key faculty members. Our starting assumption was that able undergraduates from minority groups would be successful in competing for admission and financial aid from leading graduate programs once they were in the pool of candidates for doctoral programs. Our objective was to increase the depth and quality of this pool.

The program that evolved has features that pertain to both the undergraduate institutions and the students themselves. We begin this description of the program by identifying the elements directed at the students; we then discuss the key roles played by the undergraduate institutions.

Students selected as Mellon Minority Undergraduate Fellows are entitled to receive four basic forms of support:

1. Continuing attention and advice from a carefully chosen faculty mentor as well as the program’s coordinator. Many institutions have law school advisors and medical school advisors, but most institutions do not have graduate school advisors, because they assume that graduate school advising is done by all faculty members and available to all students. This assumption, unfortunately, does not always hold true.

2. Modest term-time compensation (approximately $1,500 per year) for assignments related to the academic interests of the students, with the understanding that such academic assignments will replace financial aid work assignments. (We did not offer larger term-time stipends because we did not want to seem to be bribing students to participate in the program; also, we were aware of the importance many of the participating institutions attach to adhering strictly to need-based standards of financial aid.) Fellows engage in a variety of projects under the supervision of a faculty mentor. For example, in her senior year at Dartmouth College, Jodi Archambault wrote: “I have completed the project entitled ‘Political Processes in Medicine Root District: Mobilization through Lakota Tradition’ which I was able to research last summer and this academic year through the Mellon Fellowship I received.” She then explained how she was helped in formulating her questions and
shaping her research design by Professors Colin Calloway and Lynn Mathers. Professor Mathers reported, "Jodi . . . examined two case studies of recent conflict in the district and applied her theory of political, economic and cultural forces to explain the events that occurred." Jodi proudly concluded her statement: "I basically did much of the work independently."

3. The opportunity to participate in summer research programs with similar objectives, carrying stipends of $3,000. Whereas the term-time projects typically involve library or laboratory research on campus, the summer activities may occur away from campus. For example, Niambi Walker, a junior at Washington University in St. Louis who is majoring in Persian language and literature, will spend the summer of 1994 in Iran in order to improve her facility in Persian. While studying in Iran, Walker will live with the family of her mentor, Professor Fatemeh Keshavarz.

4. Fellows entering PhD programs in any of the core Mellon fields  also are eligible for repayment of undergraduate student loans up to $10,000 as they pursue doctoral degrees. The idea behind this reimbursement policy is to allow students to contemplate academic careers without having to worry about how to repay undergraduate debt from the modest salaries that they may ultimately earn as academics. Such a concern is real. The MMUF fellows enrolled in the qualifying PhD programs have an average undergraduate debt burden of $9,261—which is 61 percent higher than the national average for all graduate students.

Although the MMUF Program has financial components, it cannot be viewed in the context of regular financial aid programs at either the undergraduate or graduate level, since its emphasis is on the transition from undergraduate to graduate study. We chose to focus on this critical juncture because we believed that increasing the pool of applicants from underrepresented minority groups was more critical, at the moment, than increasing the funds available to minority students for graduate study. Fellowships of many kinds

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4 Defined to include the humanities, selected social sciences, mathematics, physics, astrophysics, the earth sciences, and ecology. These fields were chosen by applying two criteria: (1) the extent of underrepresentation; and (2) the proportion of doctoral recipients who pursue academic careers.
are available for strong applicants to PhD programs, and the success the first cohorts of MMUF fellows have had in securing support bears out our assumption. Needless to say, this is an assumption which we will continue to monitor as we track the progress of MMUF students through graduate study.

**Participating Institutions**

In order to increase the national pool of doctoral candidates from underrepresented groups, we decided to work with selected colleges and universities that attract significant numbers of talented minority students from all parts of the country. Institutions invited to participate in the Program were identified according to the size of their minority student populations and the percentage of their undergraduates who go on to graduate school. Efforts were also made to discern the extent to which each institution demonstrated a commitment to addressing underrepresentation and related issues on campus and, therefore, might be expected to bring the same energies to bear on behalf of the MMUF Program. In short, the goal has been to find strong institutions already working in this area, in hopes of sustaining and expanding their efforts.

Individual colleges and universities were invited to apply for grants. At present, 12 colleges and 12 universities receive direct grants. Of these institutions, 17 are located in the Northeast, four in the Midwest, one in Texas, and two in the West. Twenty are private institutions and four, all located in New York City, are public. Two are women’s colleges. (Lists of participating institutions appear on pp. 36–37.)

An additional 19 institutions participate through a grant made to the United Negro College Fund (UNCF). UNCF institutions were, until the 1960s, the leading undergraduate institutions from which African-American PhD recipients graduated. They still enroll a large share of African-American students who major in the humanities, and they are the home institutions of the largest number, by far, of minority students who study with faculties comprised predominantly of minority scholars. All the UNCF institutions are located in the Southeast and all are private. Included in the group of schools that have fellows are 16 coed institutions and three single-sex institutions.
The institutions chosen to participate in the MMUF Program receive and administer the fellowships. Thus, in contrast to portable fellowships, eligibility is limited to students attending participating colleges and universities. The major rationale for limiting eligibility in this way is to assure that proper attention is given to individual fellows and that communities of fellows can be established at each institution, or, in the case of the UNCF component, at a group of institutions. To this end, each of the colleges and universities participating directly in the Program is guaranteed funding sufficient to cover participation of up to five fellows per year.

**Coordinators**

Thirty-nine coordinators direct the campus MMUF programs and serve as the principal liaisons with the Foundation. These coordinators have primary responsibility for the structure and integrity of local programs, for the selection of participants, and for the identification of mentors. The coordinator position is occupied by a single person at 11 institutions and shared by two or three people at the rest. Coordinators have a wide range of responsibilities in their institutions: just over half are faculty members, one-third have academic administration as their primary charge, and the remainder hold non-academic administrative positions.

The UNCF component, organized in a slightly different manner because the institutions are smaller and do not all have fellows each year, is centrally administered by William Scott, professor of history at Lehigh University and former dean of the undergraduate college at Clark Atlanta University. Scott, with the full cooperation of Lehigh University, devotes half his time to the UNCF program and is assisted by an advisory committee. In addition, within the last year, the six UNCF colleges which have the largest numbers of participants have assigned faculty members or administrators as coordinators.

It is clear that the leadership provided by the MMUF coordinators is the most critical determinant of the success of the campus programs. All efforts to assess why some institutions have fared better than others point to the quality of the coordinators. One aspect of good leadership is the identification of able mentors and the
ability to secure their commitment to the Program. Valarie Swain-Cade McCoullum, at the University of Pennsylvania, is one of many outstanding coordinators who has established an intra-institutional network which includes present fellows, senior and junior faculty members, and minority graduate students.

Another essential responsibility of the coordinators is the selection of students. The selection of qualified students is complicated by the fact that standard measures of achievement, such as SAT scores and GPAs, often fail to identify students who will perform excellently with the advice, counsel, and support provided by the MMUF Program. The recommendations of faculty members and the students' own motivation—two necessarily subjective factors—seem to be the key indicators of students' ability to take important entry steps toward graduate study. The selection of fellows is also confounded by the fact that the Program does not intend to redirect the career choices of undergraduates, only to assure that those students interested in academic life receive the full support necessary to achieve what is, for all doctoral candidates, a very challenging goal.

The final aspect of a coordinator's role is the development of programs that bring campus fellows together as a group to provide support, reinforcement, and opportunities for intellectual exchange. Fellows who participate in activities that foster a sense of group identity are more likely to enter PhD programs than their colleagues in other MMUF programs. Indeed, the eight institutions that have sent the highest fractions of their graduates on to study in qualifying doctoral programs all engage in activities aimed at establishing a fellowship community among participants. An excellent example of the success of this approach is New York's Queens College which has sent over 60 percent of its MMUF graduates to PhD programs, the highest percentage among all participating institutions. Professor Barbara Bowen and Dean Elaine Maimon, the two coordinators at Queens, have gone to great lengths to build a supportive community which includes not only the fellowship recipients but also their immediate families, because they understand that the fellows need the support of everyone close to them if they are to complete their PhD studies successfully.
Preliminary Results

By the fall of 1993, five cohorts of students totaling 537 individuals had been admitted to the Program. Of these students, 272—almost all from the first three cohorts—had received bachelor’s degrees. Of the remaining 241 students, all but 24 are still enrolled as undergraduates and remain in the Program. In other words, less than five percent of the participants have dropped out prior to receiving their BAs.

Of those students who have received BAs, we find that, thus far, 34 percent have entered PhD programs in the designated Mellon fields within the arts and sciences. Another five percent are pursuing PhDs in other arts and sciences fields; eight percent have enrolled in professional schools; and ten percent are in master’s programs in non-professional fields.

These percentages will change. Significant numbers of students elect to take time off—and are counseled to do so—between completion of their undergraduate degrees and enrollment in graduate school. Others, now in master’s programs, may move into PhD programs in the future. Conversely, some who have started in PhD programs may shift to other types of graduate study or leave graduate school altogether. Because of the complex flow of students into and out of programs, it will take quite some time before we can know with confidence how many MMUF participants have elected to pursue PhDs in the core fields we have identified—and then how many complete PhDs. The road is a long one, marked by detours and routes to other vocations.

At this time, 77 of the 118 BAs not now in graduate school plan to enroll in a PhD program in a Mellon field in the future, and another 18 say that they intend to pursue doctorates in other fields or some other type of graduate study. If all of these fellows eventually enroll in graduate programs, 92 percent of the first cohorts of MMUF students to earn their BAs will have embarked on graduate studies, with 62 percent in the targeted Mellon fields. This is an upper bound. If half of these fellows follow through with their present plans (a more realistic assumption), the percentage going to graduate school would be 60 percent, and the percentage entering doctoral programs in Mellon fields would be 48 percent.
It is hard to know what criteria to use in deciding how to define “success.” All we can say at this juncture is that these percentages seem to be very encouraging, especially given the difficult job market that confronts aspiring academics these days. We also believe that the Program has value for those students who elect to pursue other educational and vocational goals. A number of them will have benefited, we hope, from the research programs which they undertook as undergraduates and from their more intensive contacts with faculty members. It is undoubtedly healthy that some students made other choices (they are hardly to be regarded as “failures”), and we certainly never expected that all participants would pursue doctoral study.

Even though it is much too early to judge the long-term effects of the Program, it is instructive to review briefly the fields of study chosen by the 92 known entrants to PhD programs in the targeted fields. English (with 25 students), history (14), mathematics (10), and anthropology (7) are the leading fields of graduate study for the fellows on whom we have reliable information. These fields are followed by comparative literature and Romance languages (with 6 each), physics (4), classics (4), and African-American studies (3). Given the exceedingly small numbers of minority students now earning PhDs in these fields, if reasonable numbers of these MMUF Program participants go on to earn their degrees, then the Program will have had a very substantial impact on minority representation among faculty in these disciplines. Some MMUF PhD students will undoubtedly drop out or transfer to other fields before completing their doctoral degrees, yet to date only one PhD student in the Program has left graduate school. This statistic is especially encouraging when one considers the high levels of attrition that characterize so many PhD programs.

From the start of the MMUF Program, the Foundation committed itself to assembling comprehensive information about both the individual and institutional participants, and in time it will be possible to report the results of a number of statistical studies which should provide new insights into the factors affecting decisions by minority students to pursue PhDs in various fields. For example, it will be possible to examine relationships between test scores and grades, differences in results obtained by students at colleges (and
at different types of colleges) versus students at universities, and the influence of family background and gender. Some provisional findings are available now, but the cell sizes are still too small to allow us to generalize with confidence.

Profiles of Fellows

Although statistics are important in assessing the results achieved by the MMUF Program, as important—and in some ways more compelling—are stories of the individual fellows. The following are brief profiles of four successful fellowship recipients, three of whom are in graduate school and one of whom will begin graduate studies as a Marshall Scholar in the fall of 1994.

**Travis Jackson**—Travis spent his pre-college years attending both public and private school in Tennessee. He performed well on the Scholastic Aptitude and several Advanced Placement exams. However, his erratic academic record during his first four terms as an undergraduate at the University of Pennsylvania seemed inconsistent with his success on standardized tests. Good grades in the humanities were offset by poorer grades in mathematics and science.

Selected as a Mellon Fellow in the spring of 1990, Travis focused more on courses in the humanities during his junior and senior years. He also took part in the campus theater arts program, coordinated a jazz festival, and won awards for poetry and leadership. He wrote his senior thesis on the extended works of Duke Ellington, addressing jazz scholar Gunther Schuller's assessment of the merits of those works. With his Mellon support, Travis was able to take advantage of the recently opened jazz collections at the Smithsonian.

Now in his third year in the ethnomusicology program at Columbia University, Travis is a recipient of a Ford Foundation Pre-Doctoral Fellowship and is working on several entries for the *Encyclopedia of African-American History and Culture* to be published by Macmillan.

**Valerie Matthews Bickham**—Valerie attended public school in Mississippi. She identified business as her primary career interest when she entered a predominantly Black public university. After one semester, she transferred to Tougaloo College in Mississippi.

A Presidential Scholar, Valerie compiled a strong academic record. She entered the Mellon program in the fall of 1990, while serving as managing editor of the campus newspaper, and during her senior
year made a presentation at the College Language Association conference in Tennessee. Valerie reported that the MMUF Program’s greatest benefit to her was the UNCF/Mellon Summer Institute, which helped her develop research skills and choose a graduate program.

Valerie is now in the second year of a PhD program in literature and literary criticism at the University of North Carolina at Chapel Hill. She has served as graduate assistant for the UNCF/Mellon Summer Institute and reports that she has learned a great deal in her roles as advisor and instructor for current MMUF undergraduates.

Corey Olds—Corey lived with his grandmother in northern Ohio from age 10. When he entered Oberlin, he identified his primary career interests as law and business. His freshman and sophomore coursework in literature, mathematics, Latin, Greek, and philosophy produced an unimpressive GPA, but his abilities were seen as sufficiently promising that a professor recommended his admission to the MMUF Program in the fall of 1990.

One faculty member describes him as having “abilities that are most valuable in the professional study and teaching of literature.” Corey pursued research at Howard University and subsequently prepared two articles for publication on literary and historical aspects of his two-and-a-half year research on Juan Latino and Valarez Spratlin. As Corey recalls: “Discussing the ins and outs of my research topic with [my mentor] provided me with great insight into the nature of research itself as well as the peculiarities of literature and the Humanities. My mentor helped to bring my mind to life.”

Corey earned the Helping Hand Award for outstanding youth achievement from the Association for Better Community Development for founding a summer academic skills program for Black children in his hometown of Canton, Ohio. After graduating from Oberlin, he entered a PhD program in French at Stanford University with full financial support for four years.

Mariza Rosado—Mariza entered the MMUF Program in the fall of 1993 as a senior at the University of Chicago. She is a native of Brooklyn, New York where she attended public schools. Mariza’s performance on the SAT was not a good indicator of her ability. Her experiences as an undergraduate offer a much more compelling statement of her potential as a student and scholar. A professor of political science wrote that what he found most striking about Mariza’s work is her ability to “grasp difficult analytical points and reduce them to clear and comprehensive language.”

A classics major, she spent her junior year at the University of
Bristol in England. In addition to the guidance that she received from her mentor at the University of Chicago, Mariza also developed close working relationships with two professors during her time in England and was able to join the Sepphoris excavation in Israel. Throughout her stay in England she maintained close contact with her mentor at Chicago. She describes him as “supportive not only in my project at Sepphoris but also in my preparation for graduate school. He has made suggestions of graduate programs in classics, has written recommendations for me, and has given me advice towards formulating a more defined area of intellectual inquiry which I might propose to pursue in my application to a graduate program in classics.”

She was chosen to be one of 37 recipients of a Marshall Scholarship and will be studying classics at Oxford University in England.

*Future Directions*

While we regard the preliminary results and student profiles as both interesting and encouraging, we must reiterate the danger of making too much of too little data, especially when the ultimate success of the Program can only be determined after some years. The Foundation takes most seriously its obligation to maintain its current efforts to gather and evaluate information that bears on the Program’s effectiveness. In particular, we will continue to track meticulously the progress of institutional programs and of individual participants. Special studies will also be conducted. For example, during the 1993–94 academic year we are exploring what is to be learned from the experiences of the participating institutions about the effectiveness of different approaches to the selection of fellows.

We also intend to give further thought to the question of how we can maintain contact with the MMUF fellows once they have earned their BAs and are no longer enrolled in the participating institutions. The fact that the Foundation will be financing the repayment of loans for those with undergraduate debt who do pursue doctoral programs in the designated Mellon fields ensures continuing contact in these cases. (One interesting feature of the Program is that it will automatically require larger amounts of funding from the Foundation for debt repayment the more successful it is.) Our objective, however, is to maintain contact with all of our fellows,
including those who elected not to go on to graduate school and those who have enrolled in graduate programs but are not eligible for debt repayment.

One clear conclusion about the Program is that its comprehensive approach—which addresses undergraduates’ needs for direct experience with sustained academic inquiry, for academic guidance and personal nurturing, and for a measure of freedom from worries over the financial consequences of having borrowed as undergraduates—offers sufficient promise to merit the Foundation’s continuing commitment to it. As previously mentioned, if even a modest fraction of the participants complete doctoral studies, the Program will have a considerable impact on the number of doctorates earned annually by minority students, and thus on the diversity of holders of PhDs, the diversity of faculties nationwide, and the educational environment in which students of all races study and learn.

Henry N. Drewry
March 1994
INSTITUTIONS PARTICIPATING IN MMUF PROGRAM

Institutions That Have Received Direct Grants

Bowdoin College
Brooklyn College
Brown University
Bryn Mawr College
Carleton College
City College (NY)
Cornell University
Dartmouth College
Harvard University
Hunter College
Oberlin College
Princeton University
Queens College (NY)
Stanford University
Rice University
Swarthmore College
University of Chicago
University of Pennsylvania
University of Southern California
Washington University (Saint Louis)
Wellesley College
Wesleyan University
Williams College
Yale University
Institutions in the UNCF Part of the Program

Benedict College
Bennett College
Bethune-Cookman College
Clark Atlanta University
Dillard University
Fisk University
Jarvis Christian College
Johnson C. Smith University
Morehouse College
Morris College
Morris Brown College
Oakwood College
Saint Augustine’s College
Saint Paul’s College
Shaw University
Spelman College
Talladega College
Tougaloo College
Wilberforce University
## Summary of Grants and Contributions, 1993

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* Restated to reflect cancellation in 1993 of an appropriation in the amount of $333,000.
The Andrew W. Mellon Foundation

Classification of Grants

CONSERVATION AND
THE ENVIRONMENT

Brooklyn Botanic Garden,
Brooklyn, New York:

Toward costs of programs of plant conservation
research ........................................... $ 150,000

Carnegie Institution of Washington,
Washington, D.C.:

Matching endowment to support the research
programs of its Department of Plant Biology .......... 1,500,000

Center for Plant Conservation, Inc.,
St. Louis, Missouri:

For general support .................................... 750,000

Clemson University,
Clemson, South Carolina:

Toward costs of programs of ecological research and
training .................................................. 130,000

Cornell University,
Ithaca, New York:

Toward costs of a program of research on ecological
processes ............................................. 188,000

Toward costs of programs of research and training in
the ecology of soils ........................................ 140,000

Toward costs of programs of research on the global
nitrogen cycle ...................................... 95,000
CONSERVATION AND THE ENVIRONMENT (continued)

Appropriated

Corporacion Para El Desarrollo De Las Ciencias Vegetales En America Latina, Santiago, Chile:

For use toward continuing support of the Latin American Plant Sciences Network .......................... 300,000

Council on the Environment of New York City, New York, New York:

Toward costs of its Office Waste Prevention and Recycling Service .................................................. 90,000

Environmental Data Research Institute, Rochester, New York:

Toward costs of producing and distributing the second edition of Environmental Grantmaking Foundations ........................................ 50,000

Harvard University, Cambridge, Massachusetts:

Toward costs of programs of ecological research and training ...................................................... 420,000

Toward costs of a program for minority students in ecological research .......................................... 84,000

Institute of Ecosystem Studies, Millbrook, New York:

Toward costs of a program of ecological research and training ...................................................... 250,000

Johns Hopkins University, Baltimore, Maryland:

Toward costs of programs of ecological research and training ...................................................... 60,000

Marine Biological Laboratory, Woods Hole, Massachusetts:

Toward costs of a program of ecological research ................................................................. 600,000
CONSERVATION AND
THE ENVIRONMENT
(continued)  

Appropriated

Michigan State University,
East Lansing, Michigan:

Toward costs of botanical research ...................... 320,000
Toward costs of programs of ecological research and training ........................................ 170,000

New England Wild Flower Society,
Framingham, Massachusetts:

Toward costs of programs of plant conservation research ........................................ 100,000

Pennsylvania State University,
University Park, Pennsylvania:

Toward costs of programs of ecological research ..... 187,000

Scripps Institution of Oceanography,
La Jolla, California:

Toward costs of programs of research on coastal processes ........................................ 720,000

Smithsonian Institution,
Washington, D.C.:

Toward costs of a program of ecological research .... 900,000

Syracuse University,
Syracuse, New York:

Toward costs of a program of ecological research .... 125,000

United Negro College Fund, Inc.,
New York, New York:

Toward costs of programs for minority students in ecological research .................................. 100,000
CONSERVATION AND
THE ENVIRONMENT
(continued)

Universidad de Chile,
Santiago, Chile:
  Toward costs of botanical research .......... 170,000

University of California at Santa Barbara,
Santa Barbara, California:
  Toward costs of a program of ecological research .... 250,000

University of Maryland at College Park,
College Park, Maryland:
  Toward costs of programs of research on coastal
  processes ........................................... 720,000

University of Pennsylvania,
Philadelphia, Pennsylvania:
  Toward costs of botanical research ............. 380,000

University of Vermont,
Burlington, Vermont:
  Toward costs of programs of ecological research .... 327,000

University of Wisconsin at Madison,
Madison, Wisconsin:
  Toward costs of a program of ecological research .... 100,000

Yale University,
New Haven, Connecticut:
  Toward costs of programs of research on components
  of ecosystems ..................................... 230,000
  Toward costs of a program of research in soils
  ecology ............................................ 175,000
  Toward costs of a program of ecological research at the
  Hubbard Brook Ecosystem Study .................. 160,000
  Toward costs of a program of research on ecological
  processes .......................................... 138,000

Total—Conservation and the Environment $10,079,000
CULTURAL PROGRAMS

Appropriated

Actors Theatre of Louisville, Inc.,
Louisville, Kentucky

To strengthen specific aspects of the theater within a
selective program to assist American theaters .......... $ 150,000

American Conservatory Theatre Foundation, Inc.,
San Francisco, California

For use by its Conservatory to initiate changes in the
faculty, curriculum, and administrative structure .... 250,000

To strengthen specific aspects of the theater within a
selective program to assist American theaters .......... 200,000

American Public Radio Associates,
Minneapolis, Minnesota:

Toward costs of reorganizing and enhancing cultural
programs .......................................................... 250,000

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

For use by its Institute for Advanced Theatre Training
to initiate changes in the faculty, curriculum, and
administrative structure ........................................ 300,000

To strengthen specific aspects of the theater within a
selective program to assist American theaters .......... 300,000

American Symphony Orchestra League,
Vienna, Virginia:

Toward costs of a program of data collection and
analysis in partnership with individual symphony
orchestras .......................................................... 250,000

Appalshop, Incorporated,
Whitesburg, Kentucky:

To strengthen specific aspects of the theater within a
selective program to assist American theaters .......... 125,000
CULTURAL PROGRAMS
(continued)  

Art Institute of Chicago,  
Chicago, Illinois:  

Matching grant for networking computer resources and cataloguing in the Ryerson and Burnham Libraries ............................... 750,000

Asphodel Press, Inc.,  
Wakefield, Rhode Island:  

To support costs of producing and distributing a directory of American poetry books published in 1993 and 1994 ........................................ 50,000

CSC Repertory LTD,  
(Classic Stage Company)  
New York, New York:  

To strengthen specific aspects of the theater within a selective program to assist American theaters .......... 100,000

Carlisle Project,  
Carlisle, Pennsylvania:  

In support of its Choreographer-Composer Collaboration Project .................................................. 50,000

Center Stage Associates, Inc.,  
Baltimore, Maryland:  

To strengthen specific aspects of the theater within a selective program to assist American theaters .......... 225,000

Chicago Theatre Group,  
Chicago, Illinois:  

To strengthen specific aspects of the theater within a selective program to assist American theaters .......... 300,000

Contemporary Arts Educational Project, Inc.,  
Los Angeles, California:  

To improve its publishing operations and organizational capacity .................................................. 100,000
CULTURAL PROGRAMS
(continued) Appropriated

Copper Canyon Press,
Port Townsend, Washington:
To improve its publishing operations and organizational capacity ........................................... 65,000

Cornell University,
Ithaca, New York:
For use by its art museum to enhance the educational role of the collections and programs ............ 190,000

Council of Literary Magazines and Presses,
New York, New York:
For institutional development and to improve the Council's capacity to gather, analyze, and distribute information related to nonprofit literary organizations .................................................. 300,000

Crossroads, Inc.,
New Brunswick, New Jersey:
To strengthen specific aspects of the theater within a selective program to assist American theaters ........ 150,000

Emory University,
Atlanta, Georgia:
For use by its art museum to enhance the educational role of the collections and programs ............... 195,000

Frick Collection,
New York, New York:
Matching endowment for use by the Frick Art Reference Library in support of its cataloguing activities .. 1,500,000

George Coates Performance Co.,
San Francisco, California:
To strengthen specific aspects of the theater within a selective program to assist American theaters ........ 210,000
CULTURAL PROGRAMS
(continued)  

Appropriated

Glimmerglass Opera,  
Cooperstown, New York:
Toward costs of improving specific aspects of its operations .................................................. 180,000

Guthrie Theater Foundation,  
Minneapolis, Minnesota:
To strengthen specific aspects of the theater within a selective program to assist American theaters .......... 390,000

Hartford Stage Company, Inc.,  
Hartford, Connecticut:
To strengthen specific aspects of the theater within a selective program to assist American theaters .......... 175,000

Harvard University,  
Cambridge, Massachusetts:
To preserve dance materials .............................................. 150,000
For use by its Department of Music toward costs of a three-city tour of contemporary chamber music ..... 50,000

Juilliard School,  
New York, New York:
For use by its Drama Division to initiate changes in the faculty, curriculum, and administrative structure .... 250,000

Junebug Productions, Inc.,  
Austin, Texas:
In support of its institutional development plan ...... 50,000

Kentucky Opera Association, Inc.,  
Louisville, Kentucky:
Toward costs of improving specific aspects of its operations .................................................. 180,000
CULTURAL PROGRAMS (continued)

Lincoln Center for the Performing Arts, New York, New York:
For use as bridge funding .................................. 300,000

Lower East Side Tenement Museum, New York, New York:
Toward costs of organizing the Museum’s archives .. 35,000

McCarter Theatre Company, Princeton, New Jersey:
To strengthen specific aspects of the theater within a selective program to assist American theaters ........... 150,000

Meet The Composer, Inc. New York, New York:
Toward costs of an institutional assessment ............. 50,000

Menil Collection, Houston, Texas:
To support costs of a conservation internship ........... 24,000

Minneapolis Society of Fine Arts, Minneapolis, Minnesota:
Matching endowment of small scholarly exhibitions ........................................... 300,000

Minnesota Opera Company, Minneapolis, Minnesota:
Toward costs of improving specific aspects of its operations .......................................... 300,000

Museum of Modern Art, New York, New York:
Matching grant for cataloguing its library and archival backlog, to survey collections and reference materials, to retain the services of a paper conservator, and to implement an online public-access catalog ............ 750,000
CULTURAL PROGRAMS
(continued) Appropriated

Music-Theatre Group, Inc.,
New York, New York:

To strengthen specific aspects of the theater within a selective program to assist American theaters ........ 150,000

New York Public Library,
New York, New York:

To preserve dance materials ...................................... 200,000

Oberlin College,
Oberlin, Ohio:

For use by its art museum to enhance the educational role of the collections and programs .................... 193,000

Opera America, Inc.,
Washington, D.C.:

Toward support of a program of services for trustees and volunteers of opera companies and to explore the possibility of merging the organization with that of Opera Guilds International ........................................... 200,000

Opera Colorado,
Denver, Colorado:

Toward costs of improving specific aspects of its operations ................................................................. 170,000

Opera Delaware, Inc.,
Wilmington, Delaware:

Toward costs of improving specific aspects of its operations ................................................................. 100,000

Opera Theatre of St. Louis,
St. Louis, Missouri:

Toward costs of improving specific aspects of its operations ................................................................. 300,000
CULTURAL PROGRAMS
(continued)

Perseverance Theatre, Inc.,
Douglas, Alaska:

To strengthen specific aspects of the theater within a selective program to assist American theaters ........... 80,000

Preserve, Inc.,
Lee, Massachusetts:

Toward costs of providing information and technical assistance in the area of documentation and preservation of dance ................................................................. 40,000

Sarasota Opera Association, Inc.,
Sarasota, Florida:

Toward costs of improving specific aspects of its operations ................................................................. 150,000

Shakespeare Theatre at the Folger Library,
Washington, D.C.:

To strengthen specific aspects of the theater within a selective program to assist American theaters ........... 250,000

Skylight Opera Theatre,
Milwaukee, Wisconsin:

Toward costs of improving specific aspects of its operations ................................................................. 150,000

Smith College,
Northampton, Massachusetts:

For use by its art museum to enhance the educational role of the collections and programs .................... 172,000

Spanish Theater Repertory Company,
New York, New York:

To strengthen specific aspects of the theater within a selective program to assist American theaters ........... 210,000
CULTURAL PROGRAMS
(continued) Appropriated

Stanford University,
Stanford, California:

For completion and electronic conversion of the archive-library of electronic music and installation at the Stanford Archive of Recorded Sound ............... 75,000

Theatre Communications Group,
New York, New York:

To strengthen specific aspects of the theater within a selective program to assist American theaters ........... 300,000

Theatre and Arts Foundation of San Diego County,
La Jolla, California:

To strengthen specific aspects of the theater within a selective program to assist American theaters ........... 160,000

Theatre de la Jeune Lune,
Minneapolis, Minnesota:

To strengthen specific aspects of the theater within a selective program to assist American theaters ........... 125,000

Theatre For a New Audience,
New York, New York:

To strengthen specific aspects of the theater within a selective program to assist American theaters ........... 120,000

University of Southern California,
Los Angeles, California:

For use by the Arnold Schoenberg Institute toward support of archival and fundraising activities ........... 45,000

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

To strengthen specific aspects of the theater within a selective program to assist American theaters ........... 230,000
CULTURAL PROGRAMS
(continued)  

Yale University,
New Haven, Connecticut:

For use by the School of Drama and the Repertory
Theatre to initiate changes in the faculty, curriculum,
and administrative structure  .....................................  450,000

YWCA of the USA, National Board,
New York, New York:

Toward support of specific aspects of an exhibition
and related publications  .............................................  20,000

Total—Cultural Programs  $13,234,000
Higher Education and Scholarship

American Academy in Rome, New York, New York:

Matching endowment for two senior positions ........ $ 1,500,000

American Academy of Arts and Sciences, Cambridge, Massachusetts:

For a study of "American Academic Culture in Transformation: The Past Fifty Years" ......................... 120,000

For use by its Western Center toward support of a conference on the impact on universities of their relations with industry ........................................... 41,500

American Association for the Advancement of Slavic Studies, Stanford, California:

Toward costs of a directory of Russian scholars in the humanities and social sciences who are experts on the former Soviet Union and Eastern Europe ............ 14,520

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

Toward costs of the Darwin Correspondence Project ................................................................. 350,000

To establish a database for the humanities and to support studies of these disciplines ......................... 300,000

Toward costs of publishing and distributing a summary of a conference co-sponsored with the Getty Art Information Program, the Council on Library Resources, the Research Libraries Group, and the Coalition for Networked Information ........................................... 25,000

American Philosophical Society, Philadelphia, Pennsylvania:

To support the archiving of documents in twentieth-century science and a program of training of archivists and graduate students in the history of recent science and technology .................................................. 285,000
HIGHER EDUCATION
AND SCHOLARSHIP

(continued)

Appropriated

American School of Classical Studies at Athens,
New York, New York:

Matching endowment for the Directorship of the
Gennadius Library in Athens, Greece .................. 600,000

Appalachian College Association,
Berea, Kentucky:

In support of professional development for faculty
members at participating institutions, collaborative
research between faculty and students, and data col-
lection .................................................. 2,700,000

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

In support of efforts to identify new areas of collabo-
ration among member institutions ...................... 46,500

Association of American Universities,
Washington, D.C.:

To support the AAU/ARL Research Libraries
Project .................................................... 50,000

Barnard College,
New York, New York:

To advance educational effectiveness and financial
efficiencies ............................................. 300,000

British Library,
London, England:

Toward costs of the Library’s April 1994 conference
on scholarly communication and technology in the
humanities .............................................. 25,000

Brown University,
Providence, Rhode Island:

Matching endowment for the position of Director and
Librarian of the John Carter Brown Library .......... 500,000
HIGHER EDUCATION
AND SCHOLARSHIP
(continued)  Appropriated

Bryn Mawr College,
Bryn Mawr, Pennsylvania:

For a collaborative project with Haverford and
Swarthmore Colleges to advance educational effec-
tiveness and financial efficiencies ..................... 750,000

In support of planning efforts at the College ........... 50,000

Carnegie Institution of Washington,
Washington, D.C.:

Toward support of studies of the role of science and
technology in education and other areas of national
policymaking ........................................... 150,000

Center for Advanced Study in the Behavioral
Sciences,
Stanford, California:

In support of fellowships for humanists ................ 900,000

College Board,
New York, New York:

For use by its Advanced Placement Program to pro-
vide, for teachers in high schools serving minority stu-
dents, fellowships in the Program’s Summer Teaching
Institutes .............................................. 250,000

Columbia University,
New York, New York:

For use by the Society of Senior Scholars in support of
teaching appointments and for matching endow-
ment ....................................................... 750,000

Commission on Preservation and Access,
Washington, D.C.:

Toward costs of its International Program ............. 800,000
Connecticut College, New London, Connecticut:

In support of a project to expand the ways in which technology can strengthen instruction in several fields of study .......................................................... 50,000

Cornell University, Ithaca, New York:

For use by six universities in support of the Minority Summer Research Exchange Program .................. 366,000

Critical Languages and Area Studies Consortium, Peacham, Vermont:

To support the teaching of Arabic language and Middle Eastern culture among high school students ...... 275,000

Davidson College, Davidson, North Carolina:

To advance educational effectiveness and financial efficiencies ................................. 220,000

Duke University, Durham, North Carolina:

Toward costs of a conference on the development of electronic networks of scholarly communication and library resources in the field of Latin American studies .......................... 37,000

Eleutherian Mills-Hagley Foundation, Wilmington, Delaware:

Matching endowment in support of core functions of its library ........................................... 600,000

Five Colleges, Inc., Amherst, Massachusetts:

To improve educational effectiveness and efficiency through curricular or administrative consolidation .. 400,000
HIGHER EDUCATION
AND SCHOLARSHIP
(continued)  

Appropriated

Foxfire Fund, Inc.,
Mountain City, Georgia:

In support of the Foxfire Teacher Outreach
Program .................................................. 47,000

Franklin and Marshall College,
Lancaster, Pennsylvania:

For a collaborative project with Gettysburg and Dickinson Colleges to advance educational effectiveness and financial efficiencies .................................. 465,000

Harvard University,
Cambridge, Massachusetts:

Matching endowment of the fellowship program at its Center for Italian Renaissance Studies at Villa I Tatti in Florence, Italy .................................................. 750,000

For use by its Center for Italian Renaissance Studies (Villa I Tatti) toward development of a consortium of libraries in Florence, Italy ........................................ 435,000

In support of a teaching and research project on the professional conduct of university professors ........ 150,000

Historical Society of Western Pennsylvania,
Pittsburgh, Pennsylvania:

Matching endowment in support of core functions of its library ........................................... 500,000

Institute for Electrical and Electronics Engineers Foundation,
New Brunswick, New Jersey:

For use by its Center for the History of Electrical Engineering in support of archiving activities and research on the history of electrical technology .......... 100,000
HIGHER EDUCATION
AND SCHOLARSHIP
(continued) Appropriated

Johns Hopkins University,
Baltimore, Maryland:

For use by its School of Advanced International Studies in support of fellowships for language-training at the Center for Arabic Study Abroad in Cairo, Egypt ........................................ 275,000

In support of a seminar for graduate students preparing to write their dissertations .................... 42,000

Lehigh University,
Bethlehem, Pennsylvania:

Toward costs of A Manual of the Writings in Middle English, 1050–1500 ........................................ 5,000

Library Company of Philadelphia,
Philadelphia, Pennsylvania:

Matching endowment in support of core functions of its library .................................................. 400,000

Library of Congress,
Washington, D.C.:

Toward costs of evaluating the Library’s collections of African-American, Hispanic and Hispanic-American, and environmental policy materials ......................... 45,000

Massachusetts Historical Society,
Boston, Massachusetts:

Matching endowment in support of core functions of its library .................................................. 600,000
Massachusetts Institute of Technology, Cambridge, Massachusetts:

For use by the Program in Science, Technology and Society for training in the history and social study of the life sciences ........................................ 240,000

For use by MIT Press toward expenses of a special double issue of Design Book Review on Latin American architecture ........................................ 10,000

Middlebury College, Middlebury, Vermont:

Matching grant to establish a presidential discretionary fund ........................................ 200,000

Missouri Botanical Garden, St. Louis, Missouri:

Toward costs of integrating the library and herbarium collections ........................................ 350,000

Mount Holyoke College, South Hadley, Massachusetts:

To improve educational effectiveness and efficiency through curricular and administrative consolidation ........................................ 250,000

National Archives Trust Fund Board, Washington, D.C.:

Toward costs of Latin American participation in a seminar on international standards for archival description, held in conjunction with the International Conference of the Round Table on Archives ........ 12,000

New York Botanical Garden, Bronx, New York:

Toward costs of integrating the library and herbarium collections ........................................ 900,000
HIGHER EDUCATION
AND SCHOLARSHIP
(continued)

Appropriated

New York University,
New York, New York:

For use, in cooperation with The New-York Historical Society, toward costs of an inventory of the Society’s collections, preparation of bibliographic records, processing of manuscript collections, and a demonstration digitization project .............................. 1,250,000

Northeast Document Conservation Center,
Andover, Massachusetts:

For support of its Field Service Program .............. 130,000

Occidental College,
Los Angeles, California:

To advance educational effectiveness and financial efficiencies ........................................ 300,000

Organization of American Historians,
Bloomington, Indiana:

To support a pilot study of humanities data sets ...... 3,500

Princeton University,
Princeton, New Jersey:

Toward support of a research project on the economics of the electronic library of the future .............. 210,000

In support of a series of East-West Seminars to promote intellectual exchange between scholars from Eastern Europe and the West ............................. 182,000

Pugwash Conferences on Science and World Affairs,
Rome, Italy:

To support the preparation of the Pugwash Conferences files for archiving and transfer to optical disk ................................................................. 25,000
HIGHER EDUCATION
AND SCHOLARSHIP
(continued)

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

Toward costs of the Database of Classical Bibliogra-
phy .................................................. 24,000

Research Libraries Group, Inc.,
Mountain View, California:

In support of its Archive and Museum Information
System project ..................................... 50,000

Rockefeller University,
New York, New York:

For use by the Molecular Genetics and Informatics
Laboratory toward support of a visiting fellow in the
history and philosophy of science ..................... 25,000

St. John’s College,
Annapolis, Maryland:

Matching grant to establish a presidential discretion-
ary fund ............................................. 100,000

Scientists’ Institute for Public Information,
New York, New York:

For a program of information services on Science and
Technology Policy ................................... 375,000

Sheldon Jackson College,
Sitka, Alaska:

In support of a study of the College’s alumni ......... 42,700

Southern Education Foundation,
Atlanta, Georgia:

In support of a program to strengthen the libraries of
leading private Black colleges ........................ 4,000,000
Stanford University, Stanford, California:

To improve the effectiveness of graduate education in selected departments of the humanities and related social sciences .................................................. 473,000

Talladega College, Talladega, Alabama:

To support the initial phases of curricular change and more efficient use of human and financial resources .................................................. 100,000

Tougaloo College, Tougaloo, Mississippi:

To support the initial phases of curriculum change and more efficient use of human and financial resources .................................................. 100,000

Universidad Centroamericana José Simeón Cañas, San Salvador, El Salvador:

Toward the development of its library .................. 335,000

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

In support of a seminar for graduate students preparing to write their dissertations .................................................. 81,000

University of California at Riverside, Riverside, California:

In support of editorial costs of the *English Short-Title Catalogue* .................................................. 325,000

University of Chicago, Chicago, Illinois:

Matching endowment to support training, research, and policy analysis at its Irving B. Harris Graduate School of Public Policy .................. 1,500,000
HIGHER EDUCATION AND SCHOLARSHIP (continued)

University of Houston, Houston, Texas:

In support of its U.S. Hispanic Literary Heritage Project ........................................ 400,000

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

For use by the Committee on Institutional Cooperation in support of graduate fellowships in the humanities for underrepresented minority students within its Predoctoral Fellowship Program ....................... 800,000

In support of a training program for Central American academic and research librarians .................. 180,000

For use by the Committee on Institutional Cooperation in support of its Summer Research Opportunities Program ...................................... 50,000

University of Michigan, Ann Arbor, Michigan:

For use by the Program for Inter-Institutional Collaboration in Area Studies to improve undergraduate instruction in non-Western cultures and languages at liberal arts colleges ........................................ 250,000

For use by the Inter-University Consortium for Political and Social Research to provide technical training to faculty members from historically Black colleges and universities ........................................ 100,000

University of Oklahoma, Norman, Oklahoma:

In support of postdoctoral fellowships, research, and teaching in the history and social studies of modern science ...................................................... 215,000
HIGHER EDUCATION
AND SCHOLARSHIP
(continued) Appropriated

University of Puget Sound,
Tacoma, Washington:

To improve educational effectiveness and efficiency through curricular and administrative consolida-
tion ............................................................ 250,000

Vassar College,
Poughkeepsie, New York:

To improve educational effectiveness and efficiency through curricular and administrative consolida-
tion ............................................................ 170,000

Virginia Historical Society,
Richmond, Virginia:

Matching endowment in support of core functions of its library .................................................. 600,000

Woodrow Wilson National Fellowship Foundation,
Princeton, New Jersey:

In support of the programs of Mellon Fellowships .. 6,280,000

Yale University,
New Haven, Connecticut:

Toward editorial costs of The Works of Jonathan Edwards ......................................................... 40,000

Total—Higher Education and Scholarship $37,197,720
American University in Cairo, New York, New York:

For use by its Social Research Centre toward costs of acquisition and storage of demographic data sets …… $ 5,000

Australian National University, Canberra, Australia:

For use by its Department of Demography and its Health Transition Centre in support of postdoctoral fellowships in anthropological demography ……… 250,000

Baylor College of Medicine, Houston, Texas:

In support of young investigators in reproductive sciences, for collaboration with centers of reproductive biology in developing countries, and to provide seed money for research relevant to contraceptive development …………………………………………………………… 600,000

Boston Women’s Health Book Collective, Somerville, Massachusetts:

In support of activities related to contraceptive development …………………………………………………………………….. 35,000

Brown University, Providence, Rhode Island:

For use by the Department of Anthropology and by the Population Studies and Training Center in support of two visiting fellowships in anthropological demography …………………………………………………………… 100,000

City University of New York, New York, New York:

For use by the PhD Program in Anthropology in support of a visiting fellowship in anthropological demography ……………………………………………….. 50,000
Columbia University, New York, New York:

For use by the Center for Population and Family Health, in support of a project entitled "Women and Law in the Muslim World" ........................................ 300,000

In support of young investigators in reproductive sciences, for collaboration with centers of reproductive biology in developing countries, and to provide seed money for research relevant to contraceptive development ........................................ 50,000

Family Health International, Research Triangle Park, North Carolina:

In support of activities related to contraceptive development ........................................ 25,000

George Mason University, Fairfax, Virginia:

In support of activities related to establishing connectivity across international networks for a number of reproductive-biology and demographic centers in developing countries ........................................ 50,000

Independent Commission on Population and Quality of Life, Paris, France:

In support of research and policy analysis in preparation for the 1994 United Nations International Conference on Population and Development ........................................ 250,000

Indiana University, Bloomington, Indiana:

For use by the Department of Anthropology in support of a visiting fellowship in anthropological demography ........................................ 50,000
International Rescue Committee, Inc.,
New York, New York:

For use by its Women’s Commission for Refugee
Women and Children in support of a feasibility study
to examine the provision of family-planning services
in refugee settings ........................................ 80,000

International Union for the Scientific Study of
Population,
Liège, Belgium:

For use by its Committee on Anthropology and De-
mography .................................................. 75,000
In support of travel grants for scholars from devel-
oping countries ........................................... 50,000

Medical College of Hampton Roads,
Norfolk, Virginia:

In support of young investigators in reproductive sci-
ences, for collaboration with centers of reproductive
biology in developing countries, and to provide seed
money for research relevant to contraceptive develop-
ment .......................................................... 600,000

For use by the CONRAD program in support of ac-
tivities related to contraceptive development .......... 165,000

National Academy of Sciences,
Washington, D.C.:

For use by its Committee on Population toward costs
of research on problems of population ....................... 400,000
For use by the Institute of Medicine in support of ac-
tivities related to contraceptive development ............. 150,000
For use by its Committee on Population toward costs
of research on problems of population ....................... 50,000
Overseas Development Council, Washington, D.C.:
In support of research and policy analysis in preparation for the 1994 United Nations International Conference on Population and Development .................. 35,000

Pennsylvania State University, University Park, Pennsylvania:
For use by the Population Research Institute in support of a visiting fellowship in anthropological demography ........................................... 40,000

In support of population policy activities with special reference to developing countries ....................... 450,000

Population Association of America, Washington, D.C.:
In support of population policy activities with special reference to developing countries .................. 150,000

Population Council, New York, New York:
In support of activities related to contraceptive development ......................................................... 1,200,000
In support of its social science fellowship program ................................................................. 750,000
In support of young investigators in reproductive sciences, for collaboration with centers of reproductive biology in developing countries, and to provide seed money for research relevant to contraceptive development ........................................... 400,000
For use by its South and East Asia Office in support of population studies in Vietnam ..................... 200,000
POPULATION (continued)  

* Appropriated

Population Council,  
New York, New York:  
(continued)

For use by its West Asia and North Africa office in support of research and policy analysis in preparation for the 1994 United Nations International Conference on Population and Development .................. 65,000

Population Resource Center,  
Washington, D.C.:  

In support of population policy activities with special reference to developing countries .................. 150,000

Program for the Introduction and Adaptation of Contraceptive Technology,  
Seattle, Washington:

For a program of small grants to increase the availability, acceptance, and use of contraceptive methods in developing countries .................................. 500,000

René Dubos Center for Human Environments, Inc.,  
New York, New York:

To enable scholars from developing countries to attend the Center’s Forum on Population, Environment and Development .................. 10,000

University of California at Davis,  
Davis, California:

In support of young investigators in reproductive sciences, for collaboration with centers of reproductive biology in developing countries, and to provide seed money for research relevant to contraceptive development .................................. 450,000

University of California at San Francisco,  
San Francisco, California:  

In support of activities related to contraceptive development .................................. 30,000
University of Connecticut, Storrs, Connecticut:

In support of young investigators in reproductive sciences, for collaboration with centers of reproductive biology in developing countries, and to provide seed money for research relevant to contraceptive development ................................................................. 175,000

University of Michigan, Ann Arbor, Michigan:

In support of research and training related to the population dynamics of developing countries ............... 100,000

University of North Carolina, Chapel Hill, North Carolina:

In support of young investigators in reproductive sciences, for collaboration with centers of reproductive biology in developing countries, and to provide seed money for research relevant to contraceptive development ................................................................. 600,000

For use by the Carolina Population Center in support of research to evaluate the impact of family planning programs in developing countries ............................... 200,000

In support of research and training related to the population dynamics of developing countries ............... 100,000

University of Pennsylvania, Philadelphia, Pennsylvania:

In support of research and training related to the population dynamics of developing countries ............... 100,000

University of Virginia, Charlottesville, Virginia:

In support of young investigators in reproductive sciences, for collaboration with centers of reproductive biology in developing countries, and to provide seed money for research relevant to contraceptive development ................................................................. 400,000
POPULATION  
(continued)  

University of Washington,  
Seattle, Washington:  

In support of young investigators in reproductive sciences, for collaboration with centers of reproductive biology in developing countries, and to provide seed money for research relevant to contraceptive development ................................ 600,000  

Total—Population ........................................  $10,040,000
American Assembly of Collegiate Schools of Business, St. Louis, Missouri:

In support of a visit to the United States of two representatives of the Task Force on Training and Human Resources in Warsaw ........................................ $ 5,000

American Czech-and-Slovak Education Fund, Somerset, New Jersey:

Toward costs of book and journal donations to institutions in Eastern Europe ........................................ 100,000

American Society of International Law, Washington, D.C.:

Toward costs of a project on the changing role of international institutions in legal solutions to the problems of the environment and development ........................................ 45,000

Americas Society, New York, New York:

For use by its Latin American Affairs Program ........ 200,000

Autonomy Foundation, Budapest, Hungary:

Toward costs of entrepreneurship training .............. 170,000

Brown University, Providence, Rhode Island:

For use by the New England Superintendents' Leadership Council in support of activities for language-minority students ........................................ 50,000

California State University at Long Beach, Long Beach, California:

Toward costs of planning programs in immigrant education ........................................ 50,000
PUBLIC AFFAIRS
(continued)

Appropriated

California Tomorrow,
San Francisco, California:

Toward costs of planning programs in immigrant edu-
cation .......................................................... 50,000

Center for Applied Linguistics,
Washington, D.C.:

In support of the Adult Immigrant Education Pro-
gram .......................................................... 600,000

In support of the Precollegiate Immigrant Education Pro-
gram .......................................................... 350,000

In support of planning for the Precollegiate Immi-
grant Education Program ................................ 50,000

Center for Strategic and International Studies,
Washington, D.C.:

For use by its Americas Program ......................... 575,000

In support of continuing research on Haiti .......... 49,000

Central Europe Institute,
Washington, D.C.:

Toward costs of entrepreneurship training ............ 200,000

For use by its Central Europe Entrepreneurship Pro-
gram .......................................................... 50,000

Centro de Estudios de Estado y Sociedad,
Buenos Aires, Argentina:

To support research activities ............................. 175,000

Centro de Investigación Económica para el Caribe,
Santo Domingo, Dominican Republic:

For its project “Liberalization, Adjustment, and
Industrial Restructuring in the Dominican Re-
public” ........................................................ 41,000
<table>
<thead>
<tr>
<th>Institution</th>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Charles University, Prague, Czechoslovakia:</td>
<td>Toward costs of continued operation of the Center for Economic Research and Graduate Education</td>
<td>300,000</td>
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<tr>
<td>Charter Seventy-Seven Foundation, New York, New York:</td>
<td>For general support</td>
<td>25,000</td>
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<tr>
<td>City University of New York, New York, New York:</td>
<td>Toward support of an evaluation of a market-logistics management workshop held in Prague, Czech Republic</td>
<td>12,000</td>
</tr>
<tr>
<td>College of Commerce and Hotel Management, Budapest, Hungary:</td>
<td>Toward costs of library improvements and a new college information system</td>
<td>200,000</td>
</tr>
<tr>
<td>Cornell University, Ithaca, New York:</td>
<td>Toward costs of establishing a master’s program in agricultural economics and management at the University of Agriculture at Nitra, Slovakia</td>
<td>491,000</td>
</tr>
<tr>
<td></td>
<td>Toward costs of assisting educational institutions in the Czech Republic and in Slovakia in efforts to teach human resource management and industrial relations in a market context</td>
<td>440,000</td>
</tr>
<tr>
<td>Corporación de Investigaciones Económicas para Latinoamérica, Santiago, Chile:</td>
<td>In support of its project “Analysis of the Competitiveness of the Chilean Economy”</td>
<td>290,000</td>
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<tr>
<td>Institution</td>
<td>Appropriated Amount</td>
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<td>-----------------------------------------------------------------</td>
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<tr>
<td><strong>Council of American Overseas Research Centers, Washington, D.C.:</strong></td>
<td></td>
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<tr>
<td>In support of a program of short-term research residencies for Czech, Hungarian, Polish, and Slovak scholars of the humanities at institutes of advanced study located in Western Europe</td>
<td>1,500,000</td>
<td></td>
</tr>
<tr>
<td><strong>Council on Foreign Relations, Inc., New York, New York:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>For use by its Latin American Program</td>
<td>275,000</td>
<td></td>
</tr>
<tr>
<td><strong>Educational Testing Service, Princeton, New Jersey:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Toward costs of a manual based on the results of a study of “Immigrant Education in New Jersey: Programs, Services, and Policies”</td>
<td>15,000</td>
<td></td>
</tr>
<tr>
<td><strong>Eötvös Lóránd University, Budapest, Hungary:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Toward costs of completing high-speed computer connections among academic institutions in Budapest</td>
<td>75,000</td>
<td></td>
</tr>
<tr>
<td><strong>Facultad Latinoamericana de Ciencias Sociales, Buenos Aires, Argentina:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>To support research activities</td>
<td>130,000</td>
<td></td>
</tr>
<tr>
<td><strong>Facultad Latinoamericana de Ciencias Sociales, Santiago, Chile:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>To support research activities</td>
<td>130,000</td>
<td></td>
</tr>
<tr>
<td><strong>Florida International University, Miami, Florida:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>In support of research by its Latin American and Caribbean Center on U.S.—Mexico relations</td>
<td>195,000</td>
<td></td>
</tr>
</tbody>
</table>
PUBLIC AFFAIRS
(continued) 

Forum for Intercultural Communication, Inc.,
Washington, D.C.:

Toward costs of training women business owners in Poland and of assisting the formation of self-help organizations for women entrepreneurs .................. 33,500

Foundation for Teaching Economics,
Davis, California:

To support its program of workshops for high-school teachers of economics and a select group of students ........................................ 50,000

George Mason University,
Fairfax, Virginia:

For use by its Department of Public and International Affairs toward costs of a program of economic and management reform in municipal government in the Czech Republic ....................................... 560,000

Toward support of the program for Economic and Management Reform in the Czech Republic ........... 50,000

Georgetown University,
Washington, D.C.:

Toward continued support of the summer business consulting program run by the Students for East European Development .......................................... 25,000

Grupo de Análisis para el Desarrollo,
Lima, Peru:

For its study “Democratic Governance in Peru” ...... 180,000

Heifer Project International,
Little Rock, Arkansas:

Toward costs of a rabbit-farming project in southeastern Poland .................................................. 133,000
Hungarian Academy of Sciences, Budapest, Hungary:

Toward costs of completing the high-speed computer connection of academic institutions in Budapest 35,000

Independent Sector, Washington, D.C.:

For use by the National Taxonomy of Exempt Entities project 260,000

Toward costs of completing the coding and classification of organizations in the NTEE Verification Project 50,000

Institute for EastWest Studies, Inc., New York, New York:

Toward costs of its Banking Finance Assistance Center in Budapest 146,000

Institute for International Economics, Washington, D.C.:

For research on Latin America 400,000

Institute of International Education, New York, New York:

For use by its East Central European Information Exchange 15,000

Instituto de Estudos Econômicos, Sociais e Políticos de São Paulo, São Paulo, Brazil:

To support research activities 175,000

Instituto Latinoamericano de Doctrina y Estudios Sociales, Santiago, Chile:

To support research activities 115,000
PUBLIC AFFAIRS
(continued)

Instituto Universitário de Pesquisas do Rio de Janeiro, Rio de Janeiro, Brazil:

To support research activities ........................................ 175,000

Instituto Venezolano de Estudios Sociales y Políticos, Caracas, Venezuela:

In support of its study “Democratic Stability in Colombia and Venezuela” ........................................ 92,000

Inter-American Dialogue, Washington, D.C.:

To strengthen its research program .................................. 575,000

Intercultural Development Research Association, San Antonio, Texas:

Toward costs of planning programs in immigrant education ........................................ 50,000

International Executive Service Corps, Stamford, Connecticut:

Toward costs of a project designed to convert Polish poultry farmers to use of rye rather than more expensive grains for poultry feed ........................................ 38,000

International Management Center Foundation, Budapest, Hungary:

Toward costs of developing a 24-episode television series on farm and village tourism .................. 248,000

International Research & Exchanges Board, Inc., Washington, D.C.:

Toward costs of providing technical assistance to ministries and agencies of the Czech Republic ....... 25,000
PUBLIC AFFAIRS
(continued)

Appropriated

Johns Hopkins University,
Baltimore, Maryland:

For research on the adaptation of children of recent
immigrants .................................................. 80,000

Joint Center for Political and Economic Studies,
Washington, D.C.:

In support of a project on the participation of minori-
ties in international affairs ......................... 48,000

Marie Curie Sklodowska University,
Lublin, Poland:

Toward costs of automating the libraries of the Lublin
Consortium, the other members of which are Cath-
olic University of Lublin, the Academy of Agricul-
ture, and Lublin Polytechnic University ............ 951,000

National Association of Latino Elected & Appointed
Officials Educational Fund,
Washington, D.C.:

In support of its project “Profile of the New Hispanic
Immigrants” .................................................. 257,000

National Bureau of Economic Research,
Cambridge, Massachusetts:

For continuation of a study of the costs of higher edu-
cation .......................................................... 295,000

In support of a study of trends in the costs of higher
education ..................................................... 36,350

National Conference of State Legislatures,
Denver, Colorado:

In support of its Immigrant Policy Project ........... 300,000

Toward support of conferences on immigrant pol-
icy ............................................................... 25,000
PUBLIC AFFAIRS
(continued)  

Appropriated

National Immigration Forum, Inc.,  
Washington, D.C.:

In support of its Public Policy Project ........................... 200,000

National Library of Poland,  
Warsaw, Poland:

Supplementary grant for its modernization programs and telecommunications costs .................................. 3,000

National Széchényi Library,  
Budapest, Hungary:

Toward costs of developing the Hungarian-Slovak Library Network .................................................. 425,000

New School for Social Research,  
New York, New York:

Toward costs of book and journal donations to institutions in Eastern Europe ................................. 75,000

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

Toward costs of a study of instances when Attorneys General of the states of Connecticut, Massachusetts, and New York have exercised jurisdiction over the management of nonprofit organizations .................. 25,000

Northwestern University,  
Evanston, Illinois:

For use by its Center for Urban Affairs and Policy Research in support of a study of the causes and consequences of the growth of commercial activity on the part of nonprofit organizations .......................... 370,000

Pannon Agricultural University,  
Kaposvár, Hungary:

For use by the Animal Science Faculty for improvements to its library ................................................. 40,000
PUBLIC AFFAIRS
(continued)

Appropriated

Public Education Institute,
New Brunswick, New Jersey:
In support of its activities to promote education reform in New Jersey ..................................... 60,000

Purdue University,
West Lafayette, Indiana:
In support of cooperative programs with three Polish institutions: The Agricultural Academy of Krakow, the Agricultural Academy of Poznan, and the Agricultural University of Warsaw .................. 178,000
In support of a joint seminar with the Budapest University of Economic Sciences, for faculty and managers, in agribusiness marketing .................. 48,000

Sabre Foundation,
New York, New York:
Toward costs of book and journal donations to institutions in Eastern Europe .................. 250,000

Small Enterprise Economic Development Foundation,
Budapest, Hungary:
Toward costs of a training program for family business development and a business incubator training program .......................... 85,000

Smithsonian Institution,
Washington, D.C.:
Toward costs of its Commission on the Future ...... 100,000
In support of its Commission on the Future ...... 50,000

Social Science Research Council,
New York, New York:
In support of a program of research and training on international migration and its impact on American society ............................................. 1,300,000
PUBLIC AFFAIRS
(continued)

**Appropriated**

South Africa Free Elections Fund, New York, New York:

In support of Non-Partisan Voter Education Initiatives for Democratic Elections in South Africa ....... 125,000

State University of New York at Albany, Albany, New York:

Toward costs of seminar programs designed to strengthen management of higher education in the Czech Republic and in Poland ......................... 98,000

Talent Foundation, Szeged, Hungary:

To create a mechanism for fostering direct export-import relations between American and Hungarian business enterprises ........................................... 49,000

Teachers College, Columbia University, New York, New York:

For use by the National Center for Restructuring Education, Schools, and Teaching toward costs of its program “Diversity and Excellence in Public Education” .............................................. 325,000

For use by the National Center for Restructuring Education, Schools, and Teaching for planning a project on diversity and excellence in public education ........ 33,000

For use by the National Center for Restructuring Education, Schools, and Teaching toward additional costs of its program “Diversity and Excellence in Public Education” ................................................. 20,000

Twenty-First Century Foundation, Washington, D.C.:

Toward the costs of opening and operating an office in Bratislava ......................................................... 50,000
PUBLIC AFFAIRS
(continued)  

Appropriated

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

In support of the project “Ethnic Los Angeles” ....... 55,000

University of Chicago,
Chicago, Illinois:

For use by its Irving B. Harris Graduate School of
Public Policy Studies for a study of the economic and
academic value of the General Educational Develop-
ment examination ........................................ 205,000

University of Economics in Poznan,
Poznan, Poland:

Toward costs of completing its university-wide elec-
tronic network ........................................... 125,000

University of Hartford,
West Hartford, Connecticut:

Toward further costs of the Krakow Management Ed-
ucation Project ........................................... 150,000

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

For completion of a project with the University of
Warsaw to establish an MBA program .......... 187,000

For the purpose of conducting a three-week work-
shop/training course for bank legal officials from
Czechoslovakia, Hungary, and Poland .......... 44,000

University of Iowa,
Iowa City, Iowa:

In support of the Emerging Free Market Economy
Program .................................................. 20,000
PUBLIC AFFAIRS
(continued)         Appropriated

University of Maryland at Baltimore County,
Baltimore, Maryland:
    Toward costs of planning programs in immigrant edu-
cation ........................................ 50,000

University of Minnesota,
St. Paul, Minnesota:
    Toward costs of developing an MBA program at the
    Warsaw School of Economics ..................... 344,000

University of North Carolina,
Chapel Hill, North Carolina:
    Toward costs of continuing the program of the MBA
    Enterprise Corps .................................. 200,000

University of Pittsburgh,
Pittsburgh, Pennsylvania:
    Toward costs of continued operation of the Center for
    Economic Research and Graduate Education ....... 150,000

University of Warsaw,
Warsaw, Poland:
    For development of the University’s International
    Management Center ............................... 30,000
    For use by the University’s International Manage-
    ment Center for purchase of a copier and for subscrip-
    tions to business journals ....................... 9,000

Urban Institute,
Washington, D.C.:
    To endow a senior position in policy analysis ........ 1,000,000
    Total—Public Affairs ................................ $18,738,850
<table>
<thead>
<tr>
<th>Organization</th>
<th>Appropriated Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Eastside Improvement Society, Inc., New York, New York</td>
<td>$10,000</td>
</tr>
<tr>
<td>Foundation Center, New York, New York</td>
<td>$30,000</td>
</tr>
<tr>
<td>National Center for Nonprofit Boards, Washington, D.C.</td>
<td>$20,000</td>
</tr>
<tr>
<td>National Charities Information Bureau, New York, New York</td>
<td>$12,500</td>
</tr>
<tr>
<td>New York City School Volunteer Program, New York, New York</td>
<td>$30,000</td>
</tr>
<tr>
<td>Nonprofit Coordinating Committee of New York, New York</td>
<td>$30,000</td>
</tr>
<tr>
<td><strong>Total—Contributions</strong></td>
<td><strong>$132,500</strong></td>
</tr>
<tr>
<td><strong>Grand Total</strong></td>
<td><strong>$89,422,070</strong></td>
</tr>
</tbody>
</table>
Financial Statements
REPORT OF INDEPENDENT ACCOUNTANTS

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

In our opinion, the accompanying balance sheet and the related statement of income, expenses and changes in principal balance present fairly, in all material respects, the financial position of The Andrew W. Mellon Foundation at December 31, 1993 and 1992, and its income, expenses and changes in principal balance for the years then ended, in conformity with generally accepted accounting principles. 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 generally accepted auditing standards which 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 the opinion expressed above.

As discussed in Note 2 to the financial statements, the Foundation changed its method of investment valuation in the year ended December 31, 1993.

Price Waterhouse
New York, New York
April 28, 1994
The Andrew W. Mellon Foundation

Balance Sheet

<table>
<thead>
<tr>
<th>ASSETS</th>
<th>December 31,</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1993</td>
</tr>
<tr>
<td>(in thousands)</td>
<td></td>
</tr>
<tr>
<td>Investments:</td>
<td></td>
</tr>
<tr>
<td>Marketable securities</td>
<td>$2,003,206</td>
</tr>
<tr>
<td>Interest in coal properties</td>
<td>106,000</td>
</tr>
<tr>
<td>Limited liquidity investments</td>
<td>150,549</td>
</tr>
<tr>
<td>Cash</td>
<td>801</td>
</tr>
<tr>
<td>Dividend and interest income receivable</td>
<td>11,856</td>
</tr>
<tr>
<td>Coal property income receivable</td>
<td>569</td>
</tr>
<tr>
<td>Receivable from unsettled securities sales</td>
<td>18,817</td>
</tr>
<tr>
<td>Federal tax refund receivable</td>
<td>4,229</td>
</tr>
<tr>
<td>Property, at cost less accumulated depreciation of $1,162 and $799 at December 31, 1993 and 1992, respectively</td>
<td>9,358</td>
</tr>
<tr>
<td>Total assets</td>
<td>$2,305,385</td>
</tr>
</tbody>
</table>

| LIABILITIES AND PRINCIPAL BALANCE | | |
| Grants payable | $ 41,401 | $ 46,301 |
| Federal excise tax: | | |
| Current | | 419 |
| Deferred | 5,308 | | |
| Payable from unsettled securities purchases | 24,979 | 61,842 |
| Accrued expenses | 2,327 | 1,802 |
| Total liabilities | 74,015 | 110,364 |
| Principal balance | 2,231,370 | 1,739,531 |
| Total liabilities and principal balance | $2,305,385 | $1,849,895 |

The accompanying notes are an integral part of these financial statements.
The Andrew W. Mellon Foundation

**Statement of Income, Expenses and Changes in Principal Balance**

For the year ended December 31, 1993

<table>
<thead>
<tr>
<th>Income from investments:</th>
<th>1993</th>
<th>1992</th>
</tr>
</thead>
<tbody>
<tr>
<td>Interest</td>
<td>$39,929</td>
<td>$39,872</td>
</tr>
<tr>
<td>Dividends</td>
<td>31,267</td>
<td>32,486</td>
</tr>
<tr>
<td>Income from coal properties</td>
<td>6,729</td>
<td>13,960</td>
</tr>
<tr>
<td>Income from limited liquidity investments</td>
<td>2,644</td>
<td>2,246</td>
</tr>
<tr>
<td></td>
<td>80,569</td>
<td>88,564</td>
</tr>
<tr>
<td>Less: Investment expenses</td>
<td>(7,579)</td>
<td>(7,345)</td>
</tr>
<tr>
<td>Depletion of coal properties</td>
<td>(5,000)</td>
<td>(47)</td>
</tr>
<tr>
<td></td>
<td>67,990</td>
<td>81,172</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Expenses:</th>
<th>1993</th>
<th>1992</th>
</tr>
</thead>
<tbody>
<tr>
<td>Program grants and contributions</td>
<td>89,061</td>
<td>93,077</td>
</tr>
<tr>
<td>Salaries and pensions</td>
<td>3,697</td>
<td>3,831</td>
</tr>
<tr>
<td>Other administrative and office expenses</td>
<td>3,128</td>
<td>3,175</td>
</tr>
<tr>
<td>Provision for federal excise tax</td>
<td>(1,857)</td>
<td>4,240</td>
</tr>
<tr>
<td></td>
<td>94,029</td>
<td>104,323</td>
</tr>
</tbody>
</table>

| Deficit of income over expenses | (26,039) | (23,151) |
| Net gain realized on sales of investments | 147,767 | 133,615 |
| Increase in unrealized appreciation of investments, net of deferred federal excise tax of $1,054 in 1993 | 51,644 | |
| Cumulative effect of change in accounting method for investments, net of taxes | 318,467 | |
| Change in principal balance | 491,839 | 110,464 |
| Principal balance at beginning of year | 1,739,531 | 1,629,067 |
| Principal balance at end of year | $2,231,370 | $1,739,531 |

The accompanying notes are an integral part of these financial statements.
The Andrew W. Mellon Foundation

NOTES TO FINANCIAL STATEMENTS

NOTE 1—SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES:

The financial statements of The Andrew W. Mellon Foundation (the Foundation) have been prepared on an accrual basis. Certain prior year amounts have been reclassified to conform with current year presentation. The significant accounting policies followed are described below.

Investments:

Investments in marketable securities and interest in coal properties are stated at market value for the year ended December 31, 1993, and at the lower of aggregate cost or market value for the year ended December 31, 1992. This change in accounting policy is more fully described in Note 2. Market value is determined using daily closing last trade prices, where available for all tradeable instruments on any global stock exchange. Realized gains and losses on investments in marketable securities are calculated based on the first-in, first-out identification method.

The value of the coal properties, which were last appraised in 1991, was determined based on an estimate of the expected remaining coal reserves and anticipated future incomes. The cost of these properties, adjusted for accumulated depletion, was $946 thousand on December 31, 1993 and $961 thousand on December 31, 1992.

Limited liquidity investments, which were carried at cost, are primarily made under agreements to participate in limited partnerships. Due to their nature, the market value of these investments is not readily determinable.

Grants:

The Foundation records grants in full as expenses when approved by the Trustees.

Federal Excise Tax:

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 taxes on net appreciation (both realized and unrealized) on investments. The deferred federal excise tax in the accompanying financial statements represents taxes provided on net unrealized appreciation on investments.

Property:

Property is primarily buildings which are depreciated over their useful lives, generally 25 years.

Expenses:

Investment expenses are the costs of portfolio management, including fees for investment management, custody and advisory services. Other administrative and office expenses include all costs of operating the Foundation offices, including maintenance and depreciation.
NOTE 2—CHANGE IN ACCOUNTING PRINCIPLE:

In 1993 the Foundation changed its method of accounting for investments in marketable securities and its interest in coal properties from the cost basis to the market value basis.

The market value of the coal properties, which were last appraised in 1991, was determined based on an estimate of the expected remaining coal reserves and anticipated future incomes. The estimated current value of these properties at December 31, 1993 and 1992 was $106 million and $111 million, respectively. The cumulative effect of changing the method of accounting for the coal properties is to recognize a gain of approximately $110 million.

The market value of investments in marketable securities was approximately $2,003 million and $1,803 million at December 31, 1993 and 1992, respectively. The cumulative effect of changing the method of accounting for these investments is to recognize an unrealized gain of approximately $212.7 million, less estimated taxes, provided at 2 percent, of approximately $4.3 million.

The cumulative effect of these changes reflected in the Statement of Income, Expenses and Changes in Principal Balance for the year ended December 31, 1993, comprises:

<table>
<thead>
<tr>
<th>Amount (in thousands)</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Change in accounting for coal properties</td>
<td>$110,039</td>
</tr>
<tr>
<td>Change in accounting for marketable securities, net of deferred federal excise taxes of $4,254</td>
<td>$208,428</td>
</tr>
<tr>
<td></td>
<td>$318,467</td>
</tr>
</tbody>
</table>
NOTE 3—INVESTMENTS:

 Marketable securities held at December 31, 1993 and 1992 are summarized as follows:

<table>
<thead>
<tr>
<th></th>
<th>December 31, 1993</th>
<th></th>
<th>December 31, 1992</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Market Value</td>
<td>Cost</td>
<td>Market Value</td>
</tr>
<tr>
<td></td>
<td>(in thousands)</td>
<td>(in thousands)</td>
<td>(in thousands)</td>
</tr>
<tr>
<td>Equities</td>
<td>$1,256,824</td>
<td>$1,017,387</td>
<td>$1,101,444</td>
</tr>
<tr>
<td>Fixed income</td>
<td>548,199</td>
<td>523,381</td>
<td>531,043</td>
</tr>
<tr>
<td>Short term</td>
<td>195,996</td>
<td>195,908</td>
<td>166,790</td>
</tr>
<tr>
<td>Other</td>
<td>2,187</td>
<td>1,149</td>
<td>3,908</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$2,003,206</strong></td>
<td><strong>$1,737,825</strong></td>
<td><strong>$1,803,185</strong></td>
</tr>
</tbody>
</table>

Pursuant to its limited partnership agreements, the Foundation is committed to contribute approximately $127 million as of December 31, 1993 in additional capital over the next ten years. Unpaid commitments at December 31, 1992 were $108 million.

As a result of its investing strategies, the Foundation is a party to a variety of off-balance-sheet financial instruments. These financial instruments include equity, fixed income and foreign currency futures and options contracts, foreign currency forwards, and interest rate cap and floor contracts. Much of the Foundation’s off-balance-sheet exposure represents strategies that are designed to reduce the interest rate and market risk inherent in portions of the Foundation’s investment program. Changes in the market values of these financial instruments are recognized currently in the Statement of Income, Expenses and Changes in Principal Balance.

Off-balance-sheet financial instruments 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 off-balance-sheet financial instruments. Credit risk represents the maximum potential loss the Foundation faces due to possible non-performance by obligors and counterparties of 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 Statement of Income, Expenses and Changes in Principal Balance of the Foundation.

Through a securities lending program managed by its investment custodian, the Foundation loans certain stocks and bonds included in its investment portfolio. The Foundation’s investment custodian has indemnified the program. The Foundation’s gross securities loaned to certain borrowers at December 31, 1993 were approximately $596 million.

A change in investment managers resulted in a large volume of security transactions in process at December 31, 1992. The receivable from unsettled sales of securities was approximately $122 million at December 31, 1992, only partially offset by the payable from unsettled purchases of securities of approximately $62 million.
NOTE 4—FEDERAL EXCISE TAX:

The Internal Revenue Code imposes an excise tax on private foundations equal to 2 percent of net investment income (principally interest, dividends, and net realized capital gains, less expenses incurred in the production of investment income). This tax is reduced to 1 percent when a foundation meets certain distribution requirements under Section 4940(e) of the Internal Revenue Code.

The provision for federal excise tax consists of a current provision on net investment income. The increase in unrealized appreciation reflected on the Statement of Income, Expenses and Changes in Principal Balance includes a provision for deferred taxes based on net unrealized appreciation on investments in 1993. The liability for deferred federal excise tax includes taxes provided on the unrealized appreciation of investments included in the cumulative effect of the change in accounting method and on the current year’s increase in unrealized appreciation.

For 1993, the Foundation qualified for the reduced tax rate and taxes have been provided on net investment income at 1 percent. Estimated taxes were paid during the year at the normal 2 percent rate, resulting in a 1993 refund receivable of approximately $2.3 million.

The Foundation qualified for the 1 percent tax rate in 1992 and 1991 and in 1993 filed for refund of taxes which had been paid and provided at the 2 percent rate. The 1992 refund has been received and the balance sheet reflects the receivable for the 1991 refund requested.

The federal excise tax in 1993 comprises:

<table>
<thead>
<tr>
<th>Amount (in thousands)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reduction of 1992 and 1991 taxes</td>
</tr>
<tr>
<td>Current provision</td>
</tr>
<tr>
<td><strong>Total</strong></td>
</tr>
</tbody>
</table>
NOTE 5—GRANTS AND CONTRIBUTIONS:
Activity by major program areas is presented below.

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>(in thousands)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Conservation and the Environment</td>
<td>$ 1,022</td>
<td>$10,079</td>
<td>$9,213</td>
<td>$ 1,888</td>
</tr>
<tr>
<td>Cultural Programs</td>
<td>9,115</td>
<td>13,234</td>
<td>14,411</td>
<td>7,938</td>
</tr>
<tr>
<td>Higher Education and Scholarship</td>
<td>29,264</td>
<td>37,198</td>
<td>40,386</td>
<td>26,076</td>
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<tr>
<td>Population</td>
<td>650</td>
<td>10,040</td>
<td>10,055</td>
<td>635</td>
</tr>
<tr>
<td>Public Affairs</td>
<td>5,867</td>
<td>18,739</td>
<td>19,742</td>
<td>4,864</td>
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<tr>
<td>Other</td>
<td>50</td>
<td>50</td>
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<td></td>
</tr>
<tr>
<td>Grant Totals</td>
<td>$45,968</td>
<td>$89,290</td>
<td>$93,857</td>
<td>$41,401</td>
</tr>
<tr>
<td>Contributions</td>
<td>133</td>
<td>133</td>
<td>133</td>
<td></td>
</tr>
<tr>
<td>Totals</td>
<td>$45,968</td>
<td>$89,423</td>
<td>$93,990</td>
<td>$41,401</td>
</tr>
</tbody>
</table>

Prior-year grants refunded or cancelled were approximately $362 thousand in 1993 and $200 thousand in 1992. Unpaid grants at January 1, 1993 are restated to reflect the cancellation of unpaid grants.