

# The Andrew W. Mellon Foundation

*Report*  
*from January 1, 2006*  
*through December 31, 2006*

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*As of December 31, 2006*

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

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

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

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

## PRESIDENT'S REPORT

It is difficult  
to get the news from poems  
yet men die miserably every day  
for lack  
of what is found there.

William Carlos Williams

In these lines, the word “poems” could reasonably be thought to stand for all of the arts and humanities. And interpreted in this way, Williams’ lines capture what, at its core, The Andrew W. Mellon Foundation stands for. In a world ravaged by war, disease, poverty, and hunger, the arts and the humanities still tell us what it means to be a human being, why one might want to be a human being, and how one might be a better human being. And men and women who die without a meaningful experience of the humanities and the arts do indeed die miserably.

If the news, or novelty for its own sake, which seems to drive much about the world we inhabit, is taken to be less important ultimately than what one finds in the humanities and the arts, other pursuits may also be called into question. In the foundation world, impact, evaluation, and assessment are much spoken about. Yet these, in the end, often come down to the pursuit of novelty—how to bring about admirable things that have not been brought about before. The discussion these days is particularly intense in the wake of the creation of a good many new foundations, some of them extraordinarily rich. The question widely posed is how to have impact in this new environment.

Impact is of course a function of the definition of the size of the pond as well as the size of the frog, and small ponds also deserve their day. One might well decide, furthermore, that affecting a number of small ponds was better than affecting one big one. Similarly, evaluation and assessment depend on the criteria to be applied, and one would be bound to admit that there are no very good criteria for evaluating or assessing some of the most important things in human life. If a strategic plan were required that guaranteed impact and crite-

ria for evaluation and assessment, no one would ever fall in love. How would one evaluate or assess the effects of reading *The Nicomachean Ethics* and having a good discussion of it? That this book has been read by thousands of people before over thousands of years hardly constitutes a reason not to urge and support that activity in the future. Some things are inherently worth doing, and they do not necessarily change much over time. Similarly some things are inherently worth thinking about. Human beings have thought about them for a long time, and human beings, against certain odds, ought to be encouraged to continue to think about those same things. That kind of thinking ought also to find expression in works of scholarship and in the arts of all kinds.

It is a sad fact that the United States is a country with a profound anti-intellectual streak. The origins of this streak constitute an interesting subject of study that has been explored by distinguished scholars, and its manifestations in popular culture and politics powerfully affect our daily lives. Could the Mellon Foundation, or any other, transform the national culture? Not likely. Does that mean that there is no impact to be had in this domain and that it is therefore not worth supporting resistance to that culture in small ways? Surely not. Many small institutions struggle daily with this relentless anti-intellectual force. Even if we cannot globally overcome this force, we ought to want as many of these institutions as possible to survive the struggle, which has no single fixed goal but is undertaken for the sake of the struggle itself. This is the instinct of the teacher or the parent. Minds—or souls—are saved and enriched one at a time, and every one is worth the effort. The more the better, to be sure. But the first and most powerful impact is on the individual life. May the sum of these lives affect the quality of life in society generally! Absent small impacts, however, there will certainly be no larger one.

Where does the Mellon Foundation stand in all of this? Its commitment is to the continuing support of the humanities and the arts because of their enduring value to the human condition. This will entail supporting activities that do not readily make good newspaper copy. The truly big news on every college and university campus ought daily to be that thousands of young people had their minds stretched by an idea that they had not previously encountered, whether new or old. Investing in that activity, in a wide variety of ways, is as important as any investment could be. Yet it will be hard to claim that the investment is novel or that its consequences can be readily evaluated and assessed. We should not be deterred by the

fact that the contribution to the gross domestic product, though real, will be rather indirect and hard to quantify.

Although the impact of the humanities and the arts on the quality of individual human lives is truly profound in ways that are not easily measurable, there are a few comparisons that might provide a context for judging the Mellon Foundation's role at least in relative terms. Here we might better speak simply of contribution rather than impact, since impact is not to be judged only in financial terms. In the calendar year 2007 the Foundation's grantmaking budget will be \$230 million. This exceeds the grantmaking budgets of the National Endowment for the Humanities (\$116 million) and the National Endowment for the Arts (\$100 million) *combined*. This is of course a stinging indictment of the country. But it suggests that the Mellon Foundation plays an important role in the country's intellectual and cultural life, and in the life of the City of New York. For this reason Mellon will not swerve from its long-standing commitments for the sake of novelty. Its values are clear, and we must strive to make them clearer still.

How then to answer the recurring question about strategic plans? The question often seems to invite a response of the type that announces a fundamental change of direction in the corporate world. Our strategy must instead be to remain focused on what we know best, what we do best, and what matters most as an embodiment of our values.

There is another crucial point about values. Ours must be expressed not only in terms of the particular kinds of grants that we make. They must also be expressed in the way we carry on our activities both as colleagues within the Mellon Foundation and in our relation to the people and organizations with which we interact. The world of foundations is now the subject of greater and greater scrutiny, which is in principle perfectly appropriate. We are fortunate to live in a country with a tradition of philanthropy not to be found anywhere else in the world. This tradition is in the first instance the product of individual generosity. But the tradition has also been steadily reinforced by a legal framework. Both individuals and foundations thus enjoy a public trust that must not be violated. We must remain free to contribute to the public good according to our own lights and without political constraints, but we must forever remember that we are answerable for that freedom. In the case of the Mellon Foundation and most others like it, those of us who do this work must remember that it is not our money. We have merely been entrusted with the use of it by generous people who came before

us and by the public, which might well have taxed it away for other purposes.

There is much talk of the need for greater transparency in the world of foundations. The term hints at but does not capture what is fundamental. It certainly cannot mean that everything about the grantmaking process will become public and that a private foundation will have an obligation to explain why it has made a grant to one institution and not to another. But it does mean that every grant we make ought to be capable of withstanding public scrutiny. We should be able to claim with absolute certainty that every grant derives from our values rather than from personal intrigue or self-interest in whatever form, let alone from the pursuit of personal gain, whether or not strictly monetary, by anyone at any level. On this point I return to what can be found in poems. Richard Wilbur's poem "Clearness" begins with the following lines:

There is a poignancy in all things clear,  
In the stare of the deer, in the ring of a hammer  
    in the morning.  
Seeing a bucket of perfectly lucid water  
We fall to imagining prodigious honesties.

Let us be guided always by prodigious honesties—in our work with one another and in our work with those we hope to help with the resources over which we have temporary stewardship.

All of that said, will absolutely nothing change at the Mellon Foundation? Of course there will be change. For one thing, to support the humanities and the arts is not merely to seek to canonize them as they have long been known. We will certainly support new ways of finding and creating meaning in the humanities and the arts as well as work that helps to preserve and give greater access to the legacy of the humanities and the arts in a range of cultural contexts. But the impulse behind that question these days inevitably reflects a curiosity about how things might change simply as a function of my having succeeded my distinguished predecessor, William G. Bowen.

Clearly our interests and abilities differ in important ways. We both have quite wide-ranging interests. He is of course a very distinguished economist who continues to produce an important body of research that has been closely associated with the Foundation. I am a music historian whose scholarly work has engaged foreign languages and cultures, literature, history, and other humanistic fields. Inevitably, then, even though the Foundation will continue to support studies of the kind that Mr. Bowen has done and continues to do, as for example on access

to higher education, these inquiries will not be as close to the center of the Foundation's activities as they were during his presidency.

Similarly, Mr. Bowen, with enormous imagination and energy, created a number of entities such as JSTOR, ARTstor, and Ithaca Harbors that have now achieved legal independence from the Foundation, though they will continue to benefit from the Foundation's support. As these entities have become more independent and continue to gain in strength, the substantial resources flowing to them in recent years will naturally decline. I expect that the resources thus released will be reinvested in the Foundation's long-standing programs as they continue to evolve.

Other transitions in the Foundation's leadership are taking place as well. After an extraordinary period as vice president leading the Foundation's efforts in relation to liberal arts colleges and overseeing a range of other programs as well, Mary Patterson McPherson retires to take on yet another responsibility in her very distinguished career, that of executive officer of the American Philosophical Society. Foundation colleagues and grantees alike owe her enormous gratitude for her service. She is succeeded by Philip E. Lewis, a leading scholar of French literature educated at Davidson College and Yale University, a long-time member of the Cornell University faculty, and a former dean of the College of Arts and Sciences at Cornell.

With the arrival of 2007, Susan Feder assumed the position of program officer in the performing arts. Trained in music at Princeton and Berkeley, she brings valuable experience to the Foundation from her work at the San Francisco Symphony, the Grove dictionaries of music, and the music publisher G. Schirmer.

Our ability to change, in the context of a continuity of programs, gains much from the small size of our staff. We have the good fortune to be able readily to talk with one another and be stimulated by one another. We are well known for our support of research universities and scholarship in the humanities as well as for the support of liberal arts undergraduate colleges. These efforts may very well come to interact with one another more closely, since after all, the people trained in the graduate institutions become the faculty of the undergraduate institutions. Similarly, the liberal education that we support in undergraduate institutions ought certainly to form part of the core of the graduate research institutions as well. Specifically, the two program areas are giving thought to a joint program of post-doctoral teaching opportunities that would aid undergraduate colleges in developing cross-departmental programs and opportunities



for undergraduate research that undergraduate institutions might not otherwise be able to pursue. Undergraduate institutions might also benefit from participation in Foundation-sponsored efforts in research universities to rethink the current state of academic disciplines and their relationship to one another.

We support symphony orchestras, opera companies, dance companies, theaters, museums, libraries, and institutions of higher education. The potential for greater interaction among all of these kinds of institutions remains enormous. The peril to be insured against here is that cultural institutions become divorced from one another and thus divorced from the experience of life itself, which does not respect the boundaries that often define institutions, and thus become intellectually irrelevant. The several arts and the humanities cannot be allowed to be the separate pastimes of the well-to-do, after the real work of the day is done. If they matter, as they do, it is because they are parts of the whole of life and engage in their different ways one and the same human experience. In that sense, the arts have everything to say to one another, and the institutions that promote them could be more meaningfully engaged with one another. For example, concert halls and museums might consider a broader range of concrete implications of the fact that many of the works that they now house in almost complete isolation from one another were not created or originally experienced in that kind of isolation.

Other initiatives or changes in emphasis that may occur largely within the framework of the Foundation's existing programs include the following:

- Scholarly publishing is widely thought to be in a crisis intimately bound up with the means by which younger scholars establish their careers. The programs in higher education and scholarship and in scholarly communications are collaborating to explore remedies.
- The nation's symphony orchestras continue to face economic challenges that bear on their ability to fulfill their artistic aspirations. The Foundation has had a long-standing program in support of developing institutional strength in orchestras throughout the country. The program in performing arts will look to support more directly the creation of the artistic work itself, making these institutions more intellectually engaging and relevant. Similarly, opera companies will be supported to produce work that engages a broader audience interested in the arts more generally.

- The Foundation's support for dance has concentrated on the work of single-choreographer dance companies. Increased attention will be given to repertory companies that both create new work and preserve significant works of the past.

- The Foundation has in recent years been closely associated with projects in information technology. These have ranged from specific scholarly undertakings within the program on scholarly communications to broader efforts to support access to advanced information technology for administrative as well as scholarly and instructional applications in both small colleges and large research universities. Although robust and economical administrative systems contribute at least indirectly to the strength of the humanities and the arts in both small and large institutions, increasing focus will be given to those technology projects that more directly support the humanities and the arts. Continuing emphasis will be placed on the needs of libraries as well as on the digitization of appropriate materials. New opportunities will be sought to harness the much advanced power of computing, which only now begins to enable its application to the study of important and subtle topics in the humanities and the arts.

- The program in museums and art conservation has greatly advanced the efforts of leading museums to conserve the works in their care, in part by advancing the basic science that must underlie conservation. While this effort continues, increasing emphasis will be given to strengthening the scholarly aspect of the work of curators. This will necessarily entail collaboration with the Foundation's work in scholarly publishing and in support for graduate education.

- The program in conservation and the environment remains the one program at the Foundation engaged in science per se, principally botany with special attention to field botany and its place in ecology. In addition to its support for training scientists in the early stages of their careers, it has led a very successful international collaboration to document the plants of Africa and to make available that documentation on the Web. It has now embarked on a similar effort in relation to the plants of Latin America. The Foundation expects to continue its work in this domain.

- Historically black colleges and universities and Appalachian colleges have long received support from the Foundation. This effort has a clear relationship to the Foundation's concern for

broader access to higher education throughout American society. As an ever greater concern for the nation at large, it will remain central to our efforts, as will the education of a more diverse faculty for institutions of higher education generally.

Focusing as I have on possibilities for the Foundation's future work in no way implies that our current programs have been static. Rather, innovation and renewal are regular occurrences within the general outlines of each program's mandate. These are often though not always responses to changing circumstances, new opportunities in the fields with which we are concerned, and ongoing conversations with grantees, as the following brief review of the Foundation's most noteworthy activities in 2006 attests.

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### *Higher Education: Research Universities and the Humanities*

While continuing an array of initiatives that aim to support outstanding research by scholars in the humanities and the institutions that sustain it, the program in research universities and the humanities was reconfigured in two major areas last year: first, in how we provide financial assistance for graduate students and second, in electing to give large grants to selected research universities that seek to make significant improvements in the humanities. As last year's *Annual Report* indicated, Harriet Zuckerman and Joseph S. Meisel, who oversee this program, have been taking stock of our programs for graduate study in the humanities and humanistic social sciences in light of the major systemic changes in recruitment of graduate students and the provision of financial aid that have taken place over the last decade. These included reductions in admissions by the leading graduate schools and their decision to fund nearly all of their students in the humanities during the early years of their doctoral programs. At the same time, support for the later stages of doctoral work—when students are doing intensive research and writing—remains both insufficient and uneven.

As a result of such changes, the Foundation decided to discontinue The Andrew W. Mellon Fellowships in Humanistic Studies, a long-running program of portable awards for the first year of graduate study that was administered by the Woodrow Wilson National Fellowship Foundation. Our Trustees emphasized that going forward, the Mellon Foundation's commitment to assisting graduate students must remain undiminished and that these

resources should be redirected to meet current needs, which are abundant.

Under this mandate, two new large-scale initiatives were launched in 2006, and an existing one revised and expanded.<sup>1</sup> With the Foundation's help, the American Council of Learned Societies (ACLS) instituted a program of two closely linked awards, one for students writing their dissertations and the other for those who have just earned their doctoral degrees.<sup>2</sup> In the former, 65 advanced graduate students are selected annually through open competition to receive dissertation completion fellowships. Subsequently, these fellows as well as the alternates selected in the competition, and recipients of similar assistance through other programs, would be eligible to apply for 25 postdoctoral fellowships that are also available.

The second new initiative, run by the Social Science Research Council (SSRC), attends to the needs of students somewhat earlier in the process of doctoral training. Each year, SSRC will award 60 summer fellowships for preliminary research or additional specialized training. Fellows will be selected in five broad fields of research (which may span disciplines and geographical areas) and, apart from winning research support, will also participate in intensive workshops aimed at helping them develop their nascent ideas for dissertation topics into a set of well-formulated research questions and a feasible project design.<sup>3</sup> SSRC and the Foundation also agreed to rethink the focus and organization of the International Dissertation Research Fellowship program, established in 1996. Going forward, SSRC will extend the reach and impact of these

<sup>1</sup> Underscoring Mellon's broader commitment to assisting graduate students beyond a small number of large programs, several smaller and more targeted programs were either renewed or initiated in 2006, including: dissertation and pre-dissertation fellowships at the University of London's Institute of Historical Research, for students in all the humanities who need to use the rich archives in the London area and the UK more broadly (<http://www.history.ac.uk/awards/#mellon>); predissertation fellowships offered through the Council for European Studies (<http://www.ces.columbia.edu/awards/awards.html>); a program located at Columbia University to provide training in social science methods ([http://www.iserp.columbia.edu/education/graduate\\_fellowships/](http://www.iserp.columbia.edu/education/graduate_fellowships/)); and a summer institute at George Washington University on conducting archival research (<http://www.gwu.edu/~ieresgwu/students/sicar.cfm>). Another important program for graduate students, overseen by the Council for Library and Information Resources, provides fellowships for dissertation research in "original sources," broadly defined (<http://www.clir.org/fellowships/mellon/mellon.html>).

<sup>2</sup> For more information, see ACLS's Web site: <http://www.acls.org/ecfguide.htm>.

<sup>3</sup> For more information, see SSRC's Web site: <http://programs.ssrc.org/dpdf/>.

much sought-after fellowships by creating a set of distinctive tracks in the competition it runs based in the main on different categories of source materials (such as archives, ethnographies, and visual media) that the fellows would use in their research, and by increasing the number of awards from 50 to 75.<sup>4</sup>

Program staff also keep close track of the needs of research universities and the environment in which they function. Here, disparities in wealth and resources have increased in the last decade or so between the richest four or five American universities and other excellent institutions which have been among the strongest academically for a century but do not have the level of resources of some of their wealthier counterparts. Such disparities distort beneficial competition among universities of exceptional quality, while also making it difficult for many to pursue their distinctive missions and preserve their structures, traditions, and regional leanings. In 2006, we commenced a series of grants, likely to be awarded over the next several years, to assist a limited number of universities undertaking programs they deem central and likely to increase their contributions to the humanities. The first recipients, each of which received \$2.5 million, were Duke University, which will reconfigure and enhance research and teaching in “visual studies”; the University of California at Los Angeles, to grapple with intellectual and generational changes in its large and important departments of history, English, and comparative literature; and the University of Pennsylvania, for drawing together and building upon its multiple strengths relating the study of citizenship, constitutionalism, and democracy.

In addition to putting these new initiatives in place, the universities and humanities program continued to support higher learning through existing initiatives such as the following. Four new Distinguished Achievement Award recipients were selected: T. J. Clark, an art historian at Berkeley; Thomas Nagel, a philosopher at New York University; Stephen Owen, an expert on Chinese literature at Harvard; and Joseph Roach, who works on the history of theater and performance at Yale. The selection of additional cohorts of New Directions Fellows (scholars whose research requires them to gain systematic training in a new field) and of Emeritus Fellows (retired scholars who have active research programs in train) continues to address the needs of outstanding humanists in

<sup>4</sup> For more information, see SSRC’s Web site: <http://www.ssrc.org/programs/idrfl>.

a wide range of pursuits at different stages of the academic career.<sup>5</sup> Another round of the Foundation's periodic competitions for John E. Sawyer Seminars on the Comparative Study of Cultures funded a diverse set of projects for collective scholarly investigation of the historical and cultural sources of contemporary developments.<sup>6</sup> And we continued to support the production of superb scholarly editions and similar resources with grants for the I Tatti Renaissance Library series, the *Dictionary of Old English*, and the *Catalogus Translationum et Commentariorum*.

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

The liberal arts colleges program, led by Mary Patterson McPherson with Eugene M. Tobin and Danielle Carr Ramdath, continued to offer broad-ranging support to the many institutions it serves. Recent *Annual Reports* have chronicled the evolution of the National Institute for Technology and Liberal Education (NITLE) from a loosely organized association of grant-funded regional technology centers into a participant-based, fee-supported, national organization. NITLE currently provides faculty and staff at more than 100 liberal arts colleges with professional development and training in the uses of instructional technologies. For the long term, its aim is to assist these institutions with the selection and management of emerging technologies in areas such as repository and digital assets management, learning or course management, and multipoint video, enabling them to make optimal choices and to benefit from economies of scale.

<sup>5</sup> Lists of the recipients of both these fellowship programs since their inception are available on the Foundation's Web site at: [http://www.mellon.org/grant\\_programs/higher-education-and-scholarship/researchuniversities](http://www.mellon.org/grant_programs/higher-education-and-scholarship/researchuniversities).

<sup>6</sup> From 38 proposals submitted in response to our invitation, the program's demanding advisory panel selected eight: "Social Movements and Regime Change in Latin America and Post-Communist Eurasia" (Cornell University); "The Dynamics of Inequality" (Stanford University); "The First Great Divergence: China and Europe, 500-800 CE" (Stanford University); "Dilemmas of Judicial Power: Constitutional Courts, Politics, and Society" (University of California at Berkeley); "Disputation: Ways of Arguing In and Out of the University" (University of California at Los Angeles); "Humanitarianisms and World Orders" (University of Minnesota); "The Changing Nature(s) of Land: Property, Peasants, and Agricultural Production in a Global World" (University of North Carolina at Chapel Hill); and "Power Sharing in Deeply Divided Places" (University of Pennsylvania).

Another program, Emeriti Retirement Health Solutions (“Emeriti”), grew out of a Foundation study of faculty attitudes about retirement prospects and the ability of colleges and universities to sustain postretirement health care benefits.<sup>7</sup> An independent, not-for-profit organization, Emeriti provides such retiree medical coverage to more than 40 colleges. It ended 2006 strongly, having exceeded its goal of 10,000 active and retired participants and received from the William and Flora Hewlett Foundation a commitment of \$1 million over the next three years to support its educational and operating costs.

Continuing its efforts to strengthen individual institutions, the liberal arts colleges program invited 16 excellent but “underendowed” colleges to compete for matching grants to address major educational and financial priorities. Following a review of grant requests by an independent panel, seven awards were recommended. In December 2006, Sarah Lawrence and Trinity Colleges were each granted \$3 million, to be matched on a three-to-one basis. Sarah Lawrence will use the grant and matching funds to create a restricted endowment fund whose growth will periodically endow existing faculty positions, thereby providing significant budget support for years to come. Trinity will integrate urban and global studies into a coherent curriculum including its Community Learning Initiative and its Global Learning Sites.

In the programs to support Appalachian colleges and historically black colleges and universities, for which Ms. Carr Ramdath has responsibility, the Foundation has continued funding for individual and interinstitutional programs in the areas of faculty career enhancement, libraries, and curriculum development.

### *Mellon Mays Undergraduate Fellowships and Diversity Initiatives*

The Mellon Mays Undergraduate Fellowship program (MMUF) seeks to foster the diversification of the faculty at American

<sup>7</sup> Recent surveys confirm that when there is no access to retiree health care or only minimal financial commitments to it, retirement decisions are often postponed, creating significant opportunity costs for institutional renewal. The centerpiece of the Emeriti program is the use of a prefunded defined contribution approach that maximizes budgetary predictability, uses the leveraging effect of a consorial entity to control costs, offers faculty and staff opportunities to contribute to their own savings, guarantees access to nationally available health insurance options coordinating with Medicare, and allows for tax-free reimbursement of other qualifying medical expenses.

colleges and universities by supporting talented underrepresented students and others with a demonstrated commitment to diversity and the goals of MMUF in the pursuit of doctoral degrees. Directed by Lydia L. English and renewed through the 2009-10 academic year, the program is active in more than 70 institutions, including 39 historically black colleges and universities. The 200th PhD earned by MMUF fellows was awarded in 2006; of these degree-holders, 17 have already been awarded tenure, and the current count of PhDs in progress exceeds 500. Other important initiatives to promote academic diversity include a collaborative program with the American Indian College Fund designed to increase the number of faculty members with PhDs in the Tribal College system and programs for graduate students and junior faculty administered by, respectively, the United Negro College Fund, SSRC, and the Woodrow Wilson National Fellowship Foundation.<sup>8</sup>

### *Libraries and Scholarly Communication*

Donald J. Waters and Suzanne M. Lodato continue to staff the Foundation's program in libraries and scholarly communications. As part of the program's ongoing special collections initiative, the University of Chicago received funds for an innovative effort in which graduate students, in consultation with faculty members and librarians, help to process and catalog primary source materials from special collections and archives held by the University and by institutions elsewhere in the city. The grant will preserve unique materials whose future is otherwise uncertain while also increasing students' archival skills. In addition, under an initiative to support growing scholarly interest in audio and moving image materials, two institutions received grants to add content to significant electronic repositories and begin making these databases available to subscribers: the Anthology of Recorded Music (formerly the Recorded Anthology of American Music) for its Database of Recorded American Music, and Indiana University for the Ethnomusicological Video for Instruction and Analysis Digital Archive.

<sup>8</sup> Programs to encourage and support diverse groups of students and faculty to pursue the PhD also include the Institute for Recruitment of Teachers at Phillips Academy-Andover, the Future of Minority Studies at Cornell University, the Moore Undergraduate Research Assistant Program at the University of North Carolina at Chapel Hill, a field environmental study program at the Organization of Tropical Studies in Costa Rica, and a summer humanities program at the Schomburg Center for Research in Black Culture.



Through the scholarly communications program in 2006, the Foundation also awarded support to ARTstor Inc. to add nearly 370,000 images to its database and to assist in its efforts to raise funds from other philanthropic sources. In related grants, the Foundation awarded funds to: the Rochester Institute of Technology for a research project that would improve the accurate representation of color in digital images; the Canadian Centre for Architecture to process archival collections of several important 20th-century architects; and the Frick Collection for a collaboration with the Museum of Modern Art and the Brooklyn Museum to implement a shared, integrated library system. It also provided funds to the Society of Architectural Historians for developing an electronic version of the *Journal of the Society of Architectural Historians* and the new Visual Resources Network, and to New York University for planning a consortium of scholarly societies with the aim of sharing a common platform for their publications in the fields of art and architectural history.

### *Museums and Art Conservation*

The program for museums and art conservation, under Angelica Z. Rudenstine's leadership, has continued its various historical areas of support while focusing especially on two directions: first, in intensive efforts to strengthen the science within art conservation (through training and through the creation of new positions); second, in fostering interdisciplinary collaboration among art historian/curators, conservators, and scientists to develop deeper understanding and new methodologies to preserve works of art for future generations. Notable activities in 2006 have included a convening of museum directors, curators, conservators, and scientists from 12 leading UK and US institutions to discuss the ways in which digital conservation records should be created, managed, and disseminated; the issues surrounding professional and public access to such records; and the advantages of digital management as a preservation strategy.<sup>9</sup> The Foundation has funded an initial set of pilot projects at the British Museum, The National Gallery, London, and the Metropolitan Museum, with the aim of advancing the agenda that emerged from this meeting, and expects to support additional pilots along the same lines in 2007.

<sup>9</sup> A list of participants, and the materials generated from this meeting, may be found on the program's extranet: <http://mac.mellon.org>.

Following a 25-year campaign of restoration, two years of funding was awarded to support the preparation of an international workshop on Ghiberti's *Porta del Paradiso* in Florence, as well as the ensuing publication of its scholarly findings. A grant to The Tate Gallery, London, will support a two-year multidisciplinary research program on material changes in 20th-century sculpture in plastic, to be undertaken by an international group of art historians, conservators, scientists, and others. Building on the Foundation's decade of investment in developing the relatively new field of photograph conservation, the program is, for the first time, extending this work overseas by helping to establish a department at the Hermitage Museum in St. Petersburg dedicated to preservation of the Museum's large and important photography collection as well as Russia's rich photographic heritage more generally.

The Barnes Foundation received another in a series of grants made over the last five years to create and sustain a professional staff with the requisite expertise to undertake fundamental management, curatorial, and conservation tasks required by a collection of its extraordinary quality. This has laid a strong foundation for serious scholarly work, and the task of documenting and protecting the Barnes collections and associated archival materials is far advanced. The Foundation awarded a \$5 million challenge grant in 2006 to assist the Barnes in its ambitious goal of raising \$20 million in endowment to sustain such curatorial and conservation activities at the highest level.

### *The Performing Arts*

The Foundation's efforts in the performing arts in 2006 were led by Diane Ragsdale and Catherine Maciariello (who served as a senior advisor). We partnered with the Doris Duke Charitable Foundation to launch a pilot program for funding long-recognized leaders of the American ensemble theater movement (companies that work with a common core of artistic personnel over an extended period of time to create productions in a collaborative fashion).<sup>10</sup> Substantial one-time grants for important initiatives in dance were awarded to Ballet Theatre Foundation, Inc. (American Ballet

<sup>10</sup> Ensemble theaters that were awarded funds included: Pregones Touring Puerto Rican Theatre Collection, Inc., Theatre de la Jeune Lune, The Wooster Group, Inc., Saratoga International Theater Institute, Inc. (SITI Company), and Fiji Theater Company, Inc. (Ping Chong & Company).

Theatre/ABT) to support its transformation from a touring company to working in residence in four regions of the country, and to New York City Center, Inc. to support the *Fall for Dance Festival*, which through ambitious programming and low ticket prices has broadened and diversified City Center's audiences and created a cadre of new dance enthusiasts. An award to the Dance Notation Bureau will support the preservation of dances created by legendary choreographer Martha Graham as well as planning for an online searchable catalog of the Bureau's 750 scores and 10,000 other items.

A significant grant to the Metropolitan Opera Association, Inc. is supporting a series of initiatives under the Opera's new leadership designed to build on the company's historic strengths while connecting it in new ways to a broader public. An award to the Santa Fe Opera will help it launch a new project to commission operas by US composers who have not yet written major works for the stage.

The Foundation's assistance to symphony orchestras over the last decade has been concentrated on the Orchestra Forum, a long-term project involving a group of orchestras.<sup>11</sup> It has sought to help the participating orchestras become more distinctive and more artistically vital; to develop collaborative leadership among trustees, musicians, and management; and to improve professional and organizational practices, thereby setting examples for others in the field. As the Forum winds down and final grants are made to its member orchestras, we will shift our focus to supporting new artistic initiatives, leadership training, and other kinds of targeted support to a larger spectrum of orchestras, including those leading orchestras that regularly set high artistic standards for the field.

### *Conservation and the Environment*

The Foundation's conservation and the environment program, directed by William Robertson IV, continued its efforts begun in 2003 to help a consortium of 60 herbaria from 23 countries develop a coordinated digital database of information and images on the plants of the African continent. The core of the African Plants Initiative is the high-quality digital images of Type Specimens (the original specimens used to identify species). The Type images are augmented by reference works, photographs, and botanical art.

<sup>11</sup> Between 12 and 14 symphony orchestras have been central participants in the Forum over its lifetime, but additional orchestras made use of courses and other programs provided by the Forum.

The database was made public at a meeting of African botanists held in Cameroon in February 2007 and is available for a test period through JSTOR ([www.jstor.org](http://www.jstor.org)) and Aluka ([www.aluka.org](http://www.aluka.org)). The Foundation is completing its work on the African database and has begun to support a similar effort for the plants of Latin America. The program also continues to assist universities in launching research groups working toward basic understandings of plant ecosystems led by junior scientists in their first tenure-track positions and to expand the collaborative work between research groups at US and South African universities, particularly those that strengthen research in South African National Parks.

### *Research in Information Technology*

The research in information technology program, overseen by Ira H. Fuchs with Christopher J. Mackie, initiated the Mellon Awards for Technology Collaboration (MATC) to honor not-for-profit institutions that have furthered the development of open-source software that benefits Mellon's traditional constituencies. Three awards of \$100,000 each and seven of \$50,000 each were given to outstanding institutions in the US, Canada, UK, and Spain, selected from more than 300 nominations from around the globe.<sup>12</sup> The first version of the open-source Kuali Financial System was released in 2006 and adopted more quickly than expected by institutions in the US and in the developing world, while support continued for the Kuali Research Administration system for grants management. The

<sup>12</sup> The \$100,000 awards were conferred on the Internet Archive (San Francisco, CA) for work on the Heritrix Web Crawler ([crawler.archive.org](http://crawler.archive.org)); the University of Washington for the development and support of IMAP/PINE email tools ([www.washington.edu/imap](http://www.washington.edu/imap); [www.washington.edu/pine](http://www.washington.edu/pine)); and Humboldt State University for work supporting the Moodle course management system (<http://moodle.org>). The \$50,000 awards went to the Rensselaer Polytechnic Institute for the Bedework event calendar server ([www.bedework.org](http://www.bedework.org)); the Open University (UK) for work on the Moodle course management system ([www.moodle.org](http://www.moodle.org)); the Universitat de Lleida (Spain) for work on the Sakai course management system ([www.sakaiproject.org](http://www.sakaiproject.org)); Yale University for the development and contribution of the Central Authentication Service ([www.ja-sig.org/products/cas](http://www.ja-sig.org/products/cas)); Plymouth State University for the development of the WPOPAC online public access catalog (<http://wpopac.blogs.plymouth.edu>); Virginia Polytechnic Institute and State University (<http://www.edtech.vt.edu/ocs/scholar/index.shtml>) for the development of a lab notebook tool in Sakai; and the University of British Columbia for the development and contribution of the Public Knowledge Project (<http://pkp.sfu.ca>).

Foundation also supported a joint project between George Mason University and Utah State University to build tools (Zotero and Didily) that enhance scholarly productivity in Web-based research, and it supported an initiative by the Institute for the Future of the Book to develop a multimedia authoring environment (Sophie) designed for use by the large majority of faculty and students who have no specialized training in creating the kind of multimedia projects that are of increasing interest in pedagogy and scholarship.

### *Special International Emphases: South Africa*

The Foundation's principal work (though not its only work) abroad is in South Africa, where it has in the main supported institutions and programs of the kind it supports in the US. Under Stuart Saunders' guidance, the Foundation's South Africa program has continued to support institutions of higher education in South Africa and activities designed to build much-needed social capacity in the region. Ongoing support for graduate studies and post-doctoral fellowships at several universities promotes scholarship and research and is intended to build the intellectual life of the new democracy. Support was also renewed for the Public Policy Partnership, which will enable the 107 students from disadvantaged backgrounds currently in the program to complete their training and obtain their master's degrees in public policy. Thus far, 40 graduates are already working full time in the public sector, and it is anticipated that the government will fund the scheme in the future. To strengthen networks of scholars in Africa, the African Mathematics Millennium Science Initiative encourages exchanges among African mathematicians, and the South African Institute for Advanced Constitutional Public, Human Rights, and International Law Trust allows legal scholars from South Africa and from the rest of the continent to do research at the Constitutional Court. A new program of Senior Research Scholars is assisting the University of Cape Town and the University of the Witwatersrand with recruiting recently retired academics—many from outside South Africa but having some past connection to the country—to spend a period in residence mentoring younger scholars and helping to strengthen and diversify the universities' research culture more generally.

Finally, it should be noted that the Foundation continued its support of institutions powerfully affected by Hurricanes Katrina and

Rita. Flowing through several of the Foundation's programs, these grants in 2006 totaled \$921,000.

The pages that follow summarize the Foundation's grants in the calendar year 2006. They may serve as a guide to many of the Foundation's interests. These interests will gradually evolve but, for the most part, entail variations on well-established themes. I am deeply grateful to play a role in this important work and look forward to continuing collaborations with my remarkable colleagues at the Foundation and with the institutions to whose success we hope to contribute.

Don M. Randel  
February 2007

# The Andrew W. Mellon Foundation

## *Summary of Grants and Contributions, 2006*

	<i>Payable and Committed at Dec. 31, 2005</i>	<i>2006 Grants and Commitments</i>		<i>Payable and Committed at Dec. 31, 2006</i>
		<i>Appropriated</i>	<i>Paid</i>	
Conservation and the Environment . . . . .	\$ 4,813,496	\$ 11,291,400	\$ 11,873,976	\$ 4,230,920
Museums and Art Conservation . . . . .	23,612,070	20,311,100	12,516,655	31,406,515
Performing Arts . . . . .	6,405,909	25,498,100	18,166,199	13,737,810
Higher Education and Scholarship . . . . .	33,838,632	118,357,675	103,885,990	48,310,317
Libraries and Scholarly Communication . . . . .	4,264,030	37,102,600	28,316,630	13,050,000
Population . . . . .	1,153,553	—	1,150,719	2,834
Other . . . . .	—	931,000	931,000	—
Program Grants & Commitments — Totals . . .	74,087,690	213,491,875	176,841,169	110,738,396
Contributions & Matching Gifts . . . . .	—	386,728	386,728	—
Totals . . . . .	<u>\$74,087,690</u>	<u>\$213,878,603</u>	<u>\$177,227,897</u>	<u>\$110,738,396</u>

# The Andrew W. Mellon Foundation

## *Classification of Grants*

### CONSERVATION AND THE ENVIRONMENT

*Appropriated*

Botanische Staatssammlung München,  
Munich, Germany:

To continue support of the development of a coordinated digital database of images and information on African plants . . . . .	\$	71,000
To support the travel of African Plants Initiative partners to the 2007 annual meeting . . . . .		28,700

Center for Resource Economics,  
Washington, DC:

To support an operating reserve fund and the publications program of Island Press . . . . .		1,000,000
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Clemson University,  
Clemson, South Carolina:

To support an ecological research and training program led by a junior faculty scientist . . . . .		177,000
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Conservatoire et Jardin Botaniques,  
Geneva, Switzerland:

To support the development of a coordinated digital database of images and information on Latin American plants . . . . .		100,000
To continue support of the development of a coordinated digital database of images and information on African plants . . . . .		44,000
To support the travel of African Plants Initiative partners to the 2007 annual meeting . . . . .		5,700



CONSERVATION AND  
THE ENVIRONMENT

(continued)

*Appropriated*

Field Museum of Natural History,  
Chicago, Illinois:

To support an endowment for a senior conservation ecology position . . . . .	1,000,000
To support the development of a coordinated digital database of images and information on Latin American plants . . . . .	169,000
To support a training program for Latin American scientists . . . . .	150,000

Forestry Research Institute of Nigeria,  
Ibadan, Nigeria:

To support the travel of African Plants Initiative partners to the 2007 annual meeting . . . . .	6,500
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Free University of Berlin,  
Berlin, Germany:

To support the development of a coordinated digital database of images and information on Latin American plants . . . . .	178,000
To support the travel of African Plants Initiative partners to the 2007 annual meeting . . . . .	6,500

Harvard University,  
Cambridge, Massachusetts:

To support the development of a coordinated digital database of images and information on Latin American Plants . . . . .	102,000
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Instituto de Botánica Darwinion,  
Buenos Aires, Argentina:

To support the development of a coordinated digital database of images and information on Latin American plants . . . . .	35,000
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CONSERVATION AND  
THE ENVIRONMENT

(continued)

*Appropriated*

Instituto de Botánica del Nordeste,  
Corrientes, Argentina:

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

Instituto de Investigação Científica Tropical,  
Lisbon, Portugal:

To continue support of the development of a  
coordinated digital database of images and  
information on African plants and to begin a  
similar effort in Latin America . . . . . 50,000

To support the travel of African Plants Initiative  
partners to the 2007 annual meeting . . . . . 6,500

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

To support the development of a coordinated  
digital database of images and information on  
Latin American plants . . . . . 44,200

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

To continue support of the development of  
a coordinated digital database of images and  
information on African plants . . . . . 107,000

To support the travel of African Plants Initiative  
partners to the 2007 annual meeting . . . . . 6,500

Makerere University,  
Kampala, Uganda:

To support the development of a coordinated  
digital database of images and information on  
African plants . . . . . 13,000

To support the travel of African Plants Initiative  
partners to the 2007 annual meeting . . . . . 6,300

CONSERVATION AND  
THE ENVIRONMENT

(continued)

*Appropriated*

Missouri Botanical Garden,  
St. Louis, Missouri:

To support the development of a coordinated digital database of images and information on Latin American plants . . . . .	572,000
To support the travel of African Plants Initiative partners to the 2007 annual meeting . . . . .	7,300
To support travel for Latin American scientists to participate in the IX Latin American Botanical Congress . . . . .	6,200

Museo di Storia Naturale,  
Florence, Italy:

To support the development of a coordinated digital database of images and information on African plants . . . . .	49,000
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Muséum national d'Histoire naturelle,  
Paris, France:

To continue support of the development of a coordinated digital database of images and information on African plants . . . . .	150,000
To support the travel of African Plants Initiative partners to the 2007 annual meeting . . . . .	6,500

National Herbarium and Botanic Garden,  
Harare, Zimbabwe:

To support the travel of African Plants Initiative partners to the 2007 annual meeting . . . . .	3,900
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The National Herbarium,  
Addis Ababa, Ethiopia:

To support the travel of African Plants Initiative partners to the 2007 annual meeting . . . . .	6,500
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CONSERVATION AND  
THE ENVIRONMENT

(continued)

*Appropriated*

National Museums of Kenya,  
Nairobi, Kenya:

To support the travel of African Plants Initiative partners to the 2007 annual meeting . . . . .	6,500
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The Natural History Museum,  
London, United Kingdom:

To continue support of the development of a coordinated digital database of images and information on African plants . . . . .	150,000
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To continue support of the development of a coordinated digital database of images and information on African plants and to begin a similar effort in Latin America . . . . .	95,000
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To continue support of the development of a coordinated digital database of images and information on Latin American plants . . . . .	80,000
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To support the travel of African Plants Initiative partners to the 2007 annual meeting . . . . .	2,800
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Naturhistorisches Museum Wien,  
Vienna, Austria:

To support the travel of African Plants Initiative partners to the 2007 annual meeting . . . . .	13,000
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New York Botanical Garden,  
Bronx, New York:

To support the development of a coordinated digital database of images and information on Latin American plants . . . . .	482,000
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To support the purchase and distribution of color standards for the African and Latin American Plants Initiatives . . . . .	11,500
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CONSERVATION AND  
THE ENVIRONMENT

(continued)

*Appropriated*

Princeton University,  
Princeton, New Jersey:

To support a program of ecosystem research and training . . . . .	15,900
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Rhodes University,  
Grahamstown, South Africa:

To support the travel of African Plants Initiative partners to the 2007 annual meeting . . . . .	6,500
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The Royal Botanic Garden Edinburgh,  
Edinburgh, United Kingdom:

To support the development of a coordinated digital database of images and information on African plants . . . . .	34,000
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To support the travel of African Plants Initiative partners to the 2007 annual meeting . . . . .	6,500
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Royal Botanic Gardens, Kew,  
Richmond, United Kingdom:

To continue support of the development of a coordinated digital database of images and information on African plants and to begin a similar effort in Latin America . . . . .	676,000
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To continue support of the development of a coordinated digital database of images and information on Latin American plants . . . . .	661,000
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To continue support of the development of a coordinated digital database of images and information on African plants . . . . .	98,000
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To continue support of the development of a coordinated digital database of images and information on Latin American plants . . . . .	41,000
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To continue support of the development of a coordinated digital database of images and information on African plants . . . . .	40,000
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CONSERVATION AND  
THE ENVIRONMENT

(continued)

*Appropriated*

Smithsonian Institution,  
Washington, DC:

To support an endowment for the Center for Tropical Forest Science . . . . .	1,000,000
To support the development of a coordinated digital database of images and information on Latin American plants . . . . .	234,000
To support a training program for Latin American scientists at the National Museum of Natural History . . . . .	150,000
To support the development of a coordinated digital database of images and information on Latin American plants . . . . .	110,000

South African National Biodiversity Institute,  
Cape Town, South Africa:

To continue support of the development of a coordinated digital database of images and information on African plants . . . . .	70,000
To support the travel of African Plants Initiative partners to the 2007 annual meeting . . . . .	19,500

South African National Parks,  
Pretoria, South Africa:

To support an ecological research and training program . . . . .	377,000
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Southern Illinois University,  
Carbondale, Illinois:

To support an ecological research and training program led by a junior faculty scientist . . . . .	286,000
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Stanford University,  
Stanford, California:

To support programs of research and training to enhance professional development and capacity building in South Africa and at Stanford . . . . .	85,000
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CONSERVATION AND  
THE ENVIRONMENT

(continued)

*Appropriated*

Swedish Museum of Natural History,  
Stockholm, Sweden:

To support the travel of African Plants Initiative  
partners to the 2007 annual meeting . . . . . 2,800

Tropical Pesticides Research Institute,  
Arusha, Tanzania:

To support the travel of African Plants Initiative  
partners to the 2007 annual meeting . . . . . 6,100

Universidad Nacional de Colombia,  
Bogota, Columbia:

To support the development of a coordinated  
digital database of images and information on  
Latin American plants . . . . . 70,000

Universidade de São Paulo,  
São Paulo, Brazil:

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

Université Montpellier II,  
Montpellier, France:

To support the travel of African Plants Initiative  
partners to the 2007 annual meeting . . . . . 6,500

University of California at Berkeley,  
Berkeley, California:

To support an ecological research and training  
program . . . . . 290,000

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

To support an ecological research and training  
program . . . . . 250,000

CONSERVATION AND  
THE ENVIRONMENT

(continued)

*Appropriated*

University of Cape Town,  
Cape Town, South Africa:

To support an ecological research and training program . . . . .	328,000
To support the travel of African Plants Initiative partners to the 2007 annual meeting . . . . .	6,500

University of Dublin, Trinity College,  
Dublin, Ireland:

To support the development of a coordinated digital database of images and information on Latin American plants . . . . .	139,000
To support the travel of African Plants Initiative partners to the 2007 annual meeting . . . . .	5,460

University of Florida,  
Gainesville, Florida:

To support a program of ecological research and training led by a junior faculty scientist . . . . .	300,000
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University of Ghana,  
Accra, Ghana:

To support the travel of African Plants Initiative partners to the 2007 annual meeting . . . . .	6,400
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University of Göttingen,  
Göttingen, Germany:

To support the development of a coordinated digital database of images and information on Latin American plants . . . . .	76,000
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University of Hamburg,  
Hamburg, Germany:

To continue support of the development of a coordinated digital database of images and information on African plants . . . . .	140,000
To support the travel of African Plants Initiative partners to the 2007 annual meeting . . . . .	5,420



CONSERVATION AND  
THE ENVIRONMENT

(continued)

*Appropriated*

University of KwaZulu-Natal,  
Durban, South Africa:

To support the travel of African Plants Initiative  
partners to the 2007 annual meeting . . . . . 4,620

University of Michigan,  
Ann Arbor, Michigan:

To support the development of a coordinated  
digital database of images and information on  
Latin American plants . . . . . 84,000

University of Montana,  
Missoula, Montana:

To support programs of research and training  
among research ecologists working on high altitude  
ecosystems . . . . . 60,000

University of the Witwatersrand,  
Johannesburg, South Africa:

To support an ecological research and training  
program . . . . . 356,000

Utah State University,  
Logan, Utah:

To support a program of ecological research and  
training led by a junior faculty scientist . . . . . 213,000

To support travel for research staff to attend the  
Scientific Networking meeting in Kruger  
National Park . . . . . 8,600

Wageningen University, Department of Plant Sciences  
Wageningen, Netherlands:

To support the travel of African Plants Initiative  
partners to the 2007 annual meeting . . . . . 6,500

Total—Conservation and the Environment \$11,291,400

MUSEUMS AND  
ART CONSERVATION

*Appropriated*

American Friends of The State Hermitage  
Museum, Inc.,  
New York, New York:

To support advancement of the field of photograph  
conservation in Russia in collaboration with the  
George Eastman House . . . . . \$ 45,000

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

To endow the position of chief conservator and to  
support research, travel, and the purchase of  
essential equipment . . . . . 1,500,000

Barnes Foundation,  
Merion, Pennsylvania:

To establish an endowment in support of scholarly  
activities connected with the art collection and  
the archives . . . . . 5,000,000

To continue support for a program of collection  
assessment, research, and preservation of the  
permanent collection . . . . . 650,000

The British Museum,  
London, United Kingdom:

To support two postdoctoral fellowships for scientists  
in the Department of Conservation, Documentation  
and Science . . . . . 572,000

To support a pilot project for conservation  
documentation in digital form . . . . . 161,000

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

To endow the position of a professor in conservation  
science; to support annual travel and research for  
scientists in the Art Conservation Department; and  
to purchase essential scientific equipment . . . . . 1,650,000

MUSEUMS AND  
ART CONSERVATION

(continued)

*Appropriated*

Courtauld Institute of Art,  
London, United Kingdom:

To support a pilot project for conservation  
documentation in digital form . . . . . 28,800

The Detroit Institute of Arts,  
Detroit, Michigan:

To endow the position of senior conservation  
scientist, and to support the purchase of essential  
scientific equipment . . . . . 1,800,000

To provide partial support for the salary, benefits,  
and equipment needs of a second conservation  
scientist while matching funds are raised to endow  
the existing senior scientist position . . . . . 200,000

Frick Collection,  
New York, New York:

To continue support for the predoctoral curatorial  
fellowship program . . . . . 712,000

George Eastman House,  
Rochester, New York:

To support a two-part initiative to advance the field  
of photograph conservation in Russia in  
collaboration with the American Friends of  
The State Hermitage Museum . . . . . 378,000

Harvard University,  
Cambridge, Massachusetts:

To continue support for two postdoctoral fellowships  
for scientists at the Straus Center for Conservation . . 476,000

Metropolitan Museum of Art,  
New York, New York:

To endow a position for a research scholar in  
photograph conservation . . . . . 630,000

MUSEUMS AND  
ART CONSERVATION

(continued)

*Appropriated*

To support an international conference in Beijing on the principles and practices of American art museums and their potential application in China . . . . .	190,000
To support a pilot project for conservation documentation in digital form . . . . .	50,000
The Museum of Fine Arts, Houston, Houston, Texas:	
To support the position of a scientist to work in collaboration with the Department of Chemistry at Rice University and The Menil Collection . . . . .	500,000
Museum of Modern Art, New York, New York:	
To endow the position of senior conservation scientist and to support the salary and benefits of an associate scientist . . . . .	1,500,000
The National Gallery, London, United Kingdom:	
To support a pilot project for conservation documentation in digital form . . . . .	240,800
National Gallery of Art, Washington, DC:	
To support the establishment of a position for an imaging scientist in the Department of Scientific Research . . . . .	750,000
North Carolina Museum of Art Foundation, Inc., Raleigh, North Carolina:	
To endow a fund for curatorial and conservation research and travel . . . . .	1,500,000

MUSEUMS AND  
ART CONSERVATION

(continued)

*Appropriated*

Philadelphia Museum of Art,  
Philadelphia, Pennsylvania:

To support three temporary conservation positions  
associated with the move of the Museum's costume  
and textiles collection . . . . . 160,000

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

To support the publication of *The Gates of Paradise:  
Lorenzo Ghiberti's Renaissance Masterpiece* . . . . . 127,500

Smithsonian Institution,  
Washington, DC:

To endow the position of objects conservator and  
to support essential equipment purchases at the  
Cooper-Hewitt National Design Museum . . . . . 1,100,000

The Tate Gallery,  
London, United Kingdom:

To support a multidisciplinary research program on  
material changes in 20th-century sculpture . . . . . 245,000

To support the planning phase for a research project  
on the deterioration and restoration of 20th-century  
sculpture . . . . . 50,000

University of Delaware,  
Newark, Delaware:

To support a workshop in New York City on the  
technology and preservation of digital print  
media . . . . . 95,000

Total—Museums and Art Conservation \$20,311,100

## PERFORMING ARTS

*Appropriated*

Alabama Shakespeare Festival Inc.,  
Montgomery, Alabama:

To support the Southern Writers' Project . . . . . \$ 150,000

American Academy in Rome,  
New York, New York:

To support planning for strengthening programs  
in the performing arts . . . . . 15,000

American Conservatory Theatre Foundation,  
San Francisco, California:

To support new large scale works, and *Words on  
Plays* dramaturgical publications . . . . . 200,000

American Dance Festival, Inc.,  
Durham, North Carolina:

To support new commissions, and revivals and  
reconstructions of classic works . . . . . 150,000

Association of Performing Arts Presenters Inc.,  
Washington, DC:

To support *Under the Radar* and related activities . . 375,000

Ballet Memphis Corporation,  
Memphis, Tennessee:

To support planning, research, field interviews,  
and convening . . . . . 60,000

Ballet Theatre Foundation, Inc.,  
New York, New York:

To support the National Residency Program . . . . . 5,000,000

Brooklyn Academy of Music, Inc.,  
Brooklyn, New York:

To support two major opera presentations . . . . . 500,000

## PERFORMING ARTS

(continued)

*Appropriated*

Center Stage Associates, Inc.,  
Baltimore, Maryland:

To support commissions, play development, and  
productions of new works . . . . . 225,000

Chicago Theatre Group, Inc.,  
Chicago, Illinois:

To support expansion of the *New Stages Series* and  
the production of new works . . . . . 225,000

Children's Theatre Company and School,  
Minneapolis, Minnesota:

To support programming for teenagers . . . . . 200,000

Circuit Network,  
San Francisco, California:

To support the artistic initiatives and organizational  
development of the ensemble theater company  
Culture Clash . . . . . 40,000

Clarion Music Society, Inc.,  
New York, New York:

To support two concerts in the inaugural season  
of the newly revived concert series . . . . . 30,000

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

To support the *Justice Cycle*, summer training  
institute, and Artistic Director Discretionary Fund . . . . . 200,000

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

To support a joint effort by the Cunningham Dance  
Foundation and the OpenEnded Group to preserve  
a signature solo dance by Cunningham and the  
digital artwork derived from it . . . . . 40,000

**PERFORMING ARTS**

(continued)

*Appropriated*

The Dance Exchange, Inc.,  
Takoma Park, Maryland:

To support artistic initiatives and organizational  
development . . . . . 100,000

Dance Heritage Coalition, Inc.,  
Washington, DC:

To support fellowships in dance documentation  
and preservation, and other services to the field . . . 355,000

Dance New Amsterdam, Inc.,  
New York, New York:

To support an expansion of the Artist in Residence  
Program . . . . . 60,000

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

To support the preservation and notation of dances  
choreographed by Martha Graham, and planning  
related to the creation of an online searchable catalog  
of scores and other archival materials . . . . . 150,000

Dance Theater Workshop, Inc.,  
New York, New York:

To support artistic initiatives and organizational  
development . . . . . 250,000

Dance USA,  
Washington, DC:

To support services to the New York City dance  
community and to the national field . . . . . 250,000

Danspace Project, Inc.,  
New York, New York:

To support the planning phase of a capital campaign,  
and new commissions . . . . . 75,000



## PERFORMING ARTS

(continued)

*Appropriated*

Dell-Arte, Inc.,  
Blue Lake, California:

To support artistic initiatives and organizational  
development . . . . . 30,000

Evidence, Inc.,  
Brooklyn, New York:

To support the development of new work . . . . . 20,000

Fiji Theater Company, Inc.,  
New York, New York:

To support artistic initiatives and organizational  
development . . . . . 40,000

Future of Music Coalition, Inc.,  
Washington, DC:

To support research and education . . . . . 25,000

Glimmerglass Opera, Inc.,  
Cooperstown, New York:

To support new artistic initiatives . . . . . 200,000

Heifetz International Music, Inc.,  
Ellicott City, Maryland:

To support the summer institute . . . . . 10,000

Hubbard Street Dance Chicago, Inc.,  
Chicago, Illinois:

To support new commissions, a national  
choreographer competition, and strategic planning . . 200,000

Intiman Theatre,  
Seattle, Washington:

To support the last years of the *American Cycle*,  
and planning and development for new artistic  
projects . . . . . 210,000

## PERFORMING ARTS

(continued)

*Appropriated*

Jacob's Pillow Dance Festival, Inc.,

Becket, Massachusetts:

To support a residency program, artist commissions, and special anniversary presentations and exhibits . . .	250,000
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Joyce Theater Foundation, Inc.,

New York, New York:

To support the Joyce SoHo Residency Program and artist commissions . . . . .	100,000
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The Louisiana Philharmonic Orchestra,

New Orleans, Louisiana:

To support artistic initiatives and organizational development . . . . .	800,000
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Massachusetts Museum of Contemporary

Art Foundation, Inc.,

North Adams, Massachusetts:

To support production residencies for two projects: <i>Truth and Reconciliation Commission Cantata</i> , and <i>Of All The People In All The World</i> . . . . .	35,000
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Mayi Filipino Theatre Ensemble, Inc.,

New York, New York:

To support the travel for a delegation of US theater artists, leaders, and scholars to participate in the 2007 World Social Forum . . . . .	25,000
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McCarter Theater,

Princeton, New Jersey:

To support play development activities, including the establishment of an annual festival of new plays .	100,000
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Meet the Composer, Inc.,

New York, New York:

To support a new commissioning program aimed at works of the African diaspora . . . . .	60,000
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## PERFORMING ARTS

(continued)

*Appropriated*

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

To support new strategic initiatives . . . . . 2,000,000

National Arts Strategies, Inc.,  
Washington, DC:

To support planning and services to the field . . . . . 275,000

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

To support an expansion of the Center for Creative  
Research, and an increase in national dance touring  
grants . . . . . 500,000

New Mexico Symphony Orchestra,  
Albuquerque, New Mexico:

To support artistic initiatives and organizational  
development . . . . . 450,000

New York City Center, Inc.,  
New York, New York:

To endow and support the *Fall for Dance Festival* . . . 3,500,000

To support the *Fall for Dance Festival* . . . . . 150,000

New York Theatre Workshop, Inc.,  
New York, New York:

To support collaborations with international artists,  
and new presentation formats and programs . . . . . 150,000

On the Boards,  
Seattle, Washington:

To support dance programs, and video and audio  
archiving of artist interviews and performances . . . . . 20,000

## PERFORMING ARTS

(continued)

*Appropriated*Opera Theatre of Saint Louis,  
St. Louis, Missouri:

To support the first phase of the development of a  
new performing edition of John Corigliano's opera  
*Ghosts of Versailles* . . . . . 35,000

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

To support new strategic initiatives aimed at  
artistic growth, audience development, and  
financial stability . . . . . 1,000,000

Pittsburgh Symphony Society,  
Pittsburgh, Pennsylvania:

To support artistic initiatives and organizational  
development . . . . . 400,000

Playwrights' Center, Inc.,  
Minneapolis, Minnesota:

To support a new US/Japan playwright exchange  
and translation program . . . . . 20,000

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

To support an increase in the number of  
performances of new plays in the studio theater . . . 100,000

Pregones Touring Puerto Rican Theatre Collection Inc.,  
Bronx, New York:

To support artistic initiatives and organizational  
development . . . . . 70,000

Richmond Symphony,  
Richmond, Virginia:

To support artistic initiatives and organizational  
development . . . . . 800,000

## PERFORMING ARTS

(continued)

*Appropriated*Saint Louis Symphony Orchestra,  
St. Louis, Missouri:

To support artistic initiatives and organizational development . . . . .	700,000
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The Santa Fe Opera,  
Santa Fe, New Mexico:

To support the New American Works Commissioning Project . . . . .	200,000
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Saratoga International Theater Institute Inc.,  
New York, New York:

To support artistic initiatives and organizational development . . . . .	40,000
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Seattle Repertory Theatre,  
Seattle, Washington:

To support the implementation of Tessitura by five Seattle theaters, research on the theaters' audiences, and a case study on the project . . . . .	150,000
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Seattle Symphony Orchestra, Inc.,  
Seattle, Washington:

To support artistic initiatives and organizational development . . . . .	600,000
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The Shakespeare Theatre,  
Washington, DC:

To support plays produced in rotating repertory, collaborations with arts and cultural organizations, and expanded and thematic programming . . . . .	250,000
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Spanish Theatre Repertory Company, Ltd.,  
New York, New York:

To support new play development . . . . .	80,000
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## PERFORMING ARTS

(continued)

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

To support artistic initiatives and organizational development . . . . .	650,000
To support planning for an orchestra rehearsal facility in New York City . . . . .	150,000

Sundance Institute,  
Park City, Utah:

To support a year-round new work development program for playwrights, and a commissioning fund . . . . .	75,000
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Theatre and Arts Foundation of San Diego County,  
La Jolla, California:

To support transition planning . . . . .	20,000
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Theatre Communications Group, Inc.,  
New York, New York:

To support the seventh and eighth rounds of <i>New Generations</i> , and a pilot program of international partnerships . . . . .	1,550,000
To support professional development programs and services to the field . . . . .	250,000
To support transition planning and research . . . . .	48,100

Theatre de la Jeune Lune,  
Minneapolis, Minnesota:

To support artistic initiatives and organizational development . . . . .	70,000
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Theatre for a New Audience, Inc.,  
New York, New York:

To support productions of <i>The Merchant of Venice</i> , <i>The Jew of Malta</i> , and <i>Oroonoko</i> . . . . .	150,000
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## PERFORMING ARTS

(continued)

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

To support the development of new work . . . . . 15,000

Trinity Repertory Company,  
Providence, Rhode Island:To support stipends for the acting company,  
and a summer play laboratory . . . . . 75,000The University of the Arts,  
Philadelphia, Pennsylvania:To support a convening of newspaper editors  
and arts journalists to address the changing role  
of the critic . . . . . 15,000The Virginia Arts Festival, Inc.,  
Norfolk, Virginia:

To support the John Duffy Composers Institute . . . 10,000

Walker Art Center, Inc.,  
Minneapolis, Minnesota:To support theater and dance commissions,  
residencies, and projects . . . . . 50,000The Wooster Group, Inc.,  
New York, New York:To support artistic initiatives and organizational  
development . . . . . 50,000Yale University,  
New Haven, Connecticut:To support the new play program of the Yale  
Repertory Theatre . . . . . 75,000

Total—Performing Arts

\$25,498,100

HIGHER EDUCATION  
AND SCHOLARSHIP

*Appropriated*

Allegheny College,  
Meadville, Pennsylvania:

To support a faculty career enhancement program . . \$	300,000
To support programs to enhance the diversity of the student body, faculty and staff, and the curriculum . . . . .	200,000

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

To support dissertation completion fellowships for graduate students in the humanities and humanistic social sciences, and portable early career fellowships for recent PhD recipients in these fields . . . . .	3,200,000
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The American Foundation for the University  
of British Columbia,  
Washington, DC:

To support planning for the development of an open source student services system for higher education . .	46,000
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American Indian College Fund,  
Denver, Colorado:

To renew support for the Mellon Faculty Career Enhancement Fellowship Program . . . . .	450,000
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American Political Science Association,  
Washington, DC:

To support planning for an initiative to strengthen political science scholarship in Africa . . . . .	41,800
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American School of Classical Studies at Athens,  
Princeton, New Jersey:

To support implementation of the first phase of a long-term plan for improving the management and dissemination of the School's library and data collections . . . . .	291,000
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HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

American University - Central Asia,  
Bishkek, Kyrgyz Republic:

To support the development of a two-semester  
course sequence in the history and culture of  
Central Asia . . . . . 40,000

American University of Beirut,  
New York, New York:

To support strengthening interdisciplinary  
collaboration among faculty and developing  
outreach programs that affirm the existence of  
career opportunities for humanities graduates . . . . . 18,000

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

To support the development of the American  
International Consortium of Academic Libraries . . . 300,000

To support curricular, faculty, and undergraduate  
programs . . . . . 200,000

To support a conference to foster library and  
information technology collaboration among  
American universities in Europe, the Middle  
East, and Africa . . . . . 50,000

Amherst College,  
Amherst, Massachusetts:

To endow fellowships for scholars in the humanities  
and humanistic social sciences at the Folger  
Shakespeare Library . . . . . 400,000

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

Appalachian College Association,  
Berea, Kentucky:

To endow the position of director of academic  
affairs, and to support faculty career enhancement  
programs . . . . . 3,050,000

To expand the shared online catalog of the  
Central Library . . . . . 600,000

HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

To support a pilot collaborative faculty development program . . . . .	250,000
To support an expansion of the collaborative Watershed Project . . . . .	50,000
Associated Colleges of the Midwest, Inc., Chicago, Illinois:	
To support strategic planning and instructional technology initiatives . . . . .	50,000
Associated Colleges of the South, Inc., Atlanta, Georgia:	
To support the planning of a faculty career enhancement program that addresses the needs of faculty members at the consortium's 16 colleges and universities . . . . .	38,350
Bard College, Annandale-on-Hudson, New York:	
To support the Bard-Smolny Virtual Campus Program . . . . .	250,000
To support the reestablishment of the International Human Rights Exchange program in partnership with the University of the Witwatersrand . . . . .	150,000
Barnard College, New York, New York:	
To support faculty career enhancement programs in collaboration with 22 liberal arts colleges and universities . . . . .	1,090,000
To support the "River Summer" program . . . . .	200,000
To support programs to increase the diversity of the faculty . . . . .	200,000
To support a planning committee that will consider faculty development initiatives at liberal arts colleges . . . . .	5,000

HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

Bennett College,  
Greensboro, North Carolina:

To support revision of the core curriculum . . . . .	200,000
To support transition planning . . . . .	200,000

Bethune-Cookman College,  
Daytona Beach, Florida:

To support revision of the first-year curricula . . . . .	500,000
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Birmingham-Southern College,  
Birmingham, Alabama:

To support programs to promote the scholarly study of human rights . . . . .	50,000
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Bowdoin College,  
Brunswick, Maine:

To support the establishment of a collaborative collection development and management system with Bates and Colby Colleges for their libraries . . .	280,000
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Brandeis University,  
Waltham, Massachusetts:

To support a New Directions Fellowship . . . . .	217,000
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Brooklyn College,  
Brooklyn, New York:

To support the development of a first- and second-year initiative that aims to improve sophomore retention . . . . .	40,000
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Bryn Mawr College,  
Bryn Mawr, Pennsylvania:

To support an Emeritus Fellowship . . . . .	54,000
To support the planning and pilot stage of the Teaching and Learning Initiative . . . . .	50,000
To support a program that would enhance graduate education for women in mathematics . . . . .	50,000

**HIGHER EDUCATION  
AND SCHOLARSHIP**

(continued)

*Appropriated*

Cape Higher Education Consortium,  
Rondebosch, South Africa:

To support the position of system implementation librarian at the Cape Library Consortium . . . . .	110,000
To support the Consortium's administrative costs for recruiting and preparing students for an exchange with the University of North Carolina . . .	20,000

Carleton College,  
Northfield, Minnesota:

To support a New Directions Fellowship . . . . .	195,000
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Carnegie Mellon University,  
Pittsburgh, Pennsylvania:

To support a summer program for faculty members and undergraduate students at historically black colleges and universities . . . . .	225,000
To support the development and implementation of co-curricular programs to improve residential life for a diverse student body . . . . .	50,000

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

To support scholarships for students in the Honors College program . . . . .	750,000
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Clafin University,  
Orangeburg, South Carolina:

To support access to the JSTOR collections . . . . .	45,000
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Colby College,  
Waterville, Maine:

To support programs for curricular enhancement . .	150,000
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Colgate University,  
Hamilton, New York:

To support the environmental studies program . . . .	300,000
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HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

College Entrance Examination Board,  
New York, New York:

To support an exploration of innovative proposals  
for improving the effectiveness of the student  
financial aid system . . . . . 50,000

College of William and Mary,  
Williamsburg, Virginia:

To support curricular revision and enhancement . . . 300,000

College of Wooster,  
Wooster, Ohio:

To support an endowment for a new writing  
program . . . . . 200,000

Colorado College,  
Colorado Springs, Colorado:

To support faculty members in the humanities  
and social sciences in anticipation of faculty  
retirements . . . . . 400,000

Columbia University,  
New York, New York:

To support a fellowship program for graduate  
students in the humanities and social sciences to  
learn social science methods . . . . . 453,000

To support graduate students in the humanities  
and humanistic social sciences . . . . . 250,000

To support a dissertation seminar in the  
humanities . . . . . 115,000

**HIGHER EDUCATION  
AND SCHOLARSHIP**

(continued)

*Appropriated*

Cornell University,  
Ithaca, New York:

To support a New Directions Fellowship . . . . .	195,000
To support a Sawyer Seminar on the historical and cultural sources of significant contemporary developments, entitled "Social Movements and Regime Change in Latin America and Post-Communist Europe" . . . . .	120,000
To support an Emeritus Fellowship . . . . .	52,000

Council for European Studies,  
New York, New York:

To support predissertation research fellowships for graduate students in the humanities and humanistic social sciences . . . . .	300,000
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Council of Independent Colleges,  
Washington, DC:

To support the strengthening of information literacy programs and ensuring the effective use of academic facilities in liberal arts colleges . . . . .	257,000
To support a program that will help new college and university presidents become successful, long-term leaders of their institutions . . . . .	100,000

Denison University,  
Granville, Ohio:

To endow The William G. Bowen Distinguished Professorship and The William G. and Mary Ellen Bowen Research Scholarships . . . . .	3,000,000
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Doane College,  
Crete, Nebraska:

To support a strategic planning process . . . . .	30,000
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HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

Drew University,  
Madison, New Jersey:

To support a reexamination of liberal arts education  
at the University . . . . . 50,000

Duke University,  
Durham, North Carolina:

To support the University's Visual Studies  
Initiative . . . . . 2,500,000

Education Conservancy,  
Portland, Oregon:

To support organizational development and activities  
aimed at the alignment of college admissions  
practices with educational principles . . . . . 100,000

Elizabethtown College,  
Elizabethtown, Pennsylvania:

To support strengthening of the College's  
international programming . . . . . 25,000

The Emeriti Consortium for Retirement Health  
Solutions,  
New Windsor, New York:

To support ongoing operational costs . . . . . 1,500,000

Five Colleges Incorporated,  
Amherst, Massachusetts:

To support the expansion of language offerings  
for independent learners at its five member  
institutions . . . . . 600,000

Franklin & Marshall College,  
Lancaster, Pennsylvania:

To support the integration of students' international  
study experiences into the college curriculum . . . . . 100,000

**HIGHER EDUCATION  
AND SCHOLARSHIP**

(continued)

*Appropriated*

Furman University,  
Greenville, South Carolina:

To support planning and programs related to the  
implementation of environmental initiatives for  
Furman's new and renovated science facilities . . . . . 200,000

George Mason University,  
Fairfax, Virginia:

To support the development of version 2 of Zotero,  
a scholarly tool for Web-based research, including  
the development of Zotero Server . . . . . 890,000

George Washington University,  
Washington, DC:

To support the planning of workshops for liberal  
arts college faculty to enhance their knowledge of  
constitutional studies . . . . . 50,000

To support summer archival training institutes for  
graduate students in the humanities and humanistic  
social sciences . . . . . 50,000

Georgia State University,  
Atlanta, Georgia:

To support a study of the effects of access to  
information technology on disparities in academic  
productivity among tiers of institutions and between  
men and women . . . . . 203,000

Goucher College,  
Baltimore, Maryland:

To support curricular planning for study-abroad  
programs . . . . . 50,000

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

To support initiatives aimed at strengthening the  
role the Center for the Humanities plays in the  
instruction and scholarly activities of the University . . . 431,000

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



HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

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

To support a faculty career enhancement program for the Association's member institutions . . . . .	600,000
To support the development of an international liberal arts college alliance . . . . .	47,000

Grinnell College,  
Grinnell, Iowa:

To endow a postdoctoral fellowship program . . . . .	1,500,000
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Hamilton College,  
Clinton, New York:

To support the third phase of the longitudinal assessment program . . . . .	200,000
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Hampshire College,  
Amherst, Massachusetts:

To support an assessment of campus administrative systems . . . . .	50,000
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Hartwick College,  
Oneonta, New York:

To support strategic planning initiatives with special attention to assessment, exploration of collaborative relationships, and program development . . . . .	40,000
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Harvard University,  
Cambridge, Massachusetts:

To support a Distinguished Achievement Award . . .	1,500,000
To support the editorial and research costs of the ITatti Renaissance Library series . . . . .	1,200,000
To support the International Seminar on the History of the Atlantic World, 1500-1825 and related activities . . . . .	800,000

**HIGHER EDUCATION  
AND SCHOLARSHIP**

(continued)

*Appropriated*

To support the Mandela Fellowships Program at the W.E.B. Du Bois Institute . . . . .	500,000
To support initiatives aimed at strengthening the role the Humanities Center in the Faculty of Arts and Sciences plays in the instruction and scholarly activities of the University . . . . .	350,000
To support graduate students in the humanities and humanistic social sciences . . . . .	250,000
To support international scholarly collaboration on the history of the Sino-Japanese War of 1937-45 . . .	46,000
To support a study of the effects of college counseling on high-achieving, low-income students .	33,000
To support a survey and analysis of precollegiate enrichment and access programs . . . . .	12,675
<b>Hobart and William Smith Colleges, Geneva, New York:</b>	
To support the environmental studies program . . . .	200,000
To support programs to improve student services and to further engage the Colleges in the Geneva community . . . . .	150,000
<b>Humanity in Action, Inc., New York, New York:</b>	
To support programs of foreign study . . . . .	200,000
<b>Humboldt State University, Arcata, California:</b>	
To support a Mellon Award for Technology Collaboration . . . . .	100,000
<b>The Ifa Lethu Foundation, Pretoria, South Africa:</b>	
To support planning meetings and workshops on the repatriation of South African artworks . . . . .	16,000

HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

Indiana University,  
Bloomington, Indiana:

To support the Kualu Research Administration project .....	1,500,000
To support an Emeritus Fellowship .....	55,000
To support a feasibility study regarding the development of an open source student services system .....	38,000

Institute for Advanced Study,  
Princeton, New Jersey:

To support the Science Initiative Group .....	550,000
To support senior visiting members at the School of Historical Studies .....	497,000
To support the African Mathematics Millennium Science Initiative .....	250,000

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

To support a competitive grants process subsequent to the Frontiers of Knowledge University Leaders' Forum .....	50,000
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Internet Archive,  
San Francisco, California:

To support a Mellon Award for Technology Collaboration .....	100,000
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Ithaca Harbors, Inc.,  
New York, New York:

To support the integration of 12 selective West Coast liberal arts colleges into the activities and programming of the National Institute for Technology and Liberal Education .....	2,500,000
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**HIGHER EDUCATION  
AND SCHOLARSHIP**

(continued)

*Appropriated*

To support operating and transitional expenses for the National Institute for Technology and Liberal Education . . . . .	2,000,000
Johns Hopkins University, Baltimore, Maryland:	
To support an Emeritus Fellowship . . . . .	38,000
Johnson C. Smith University, Charlotte, North Carolina:	
To support the University's information literacy institute . . . . .	150,000
Kalamazoo College, Kalamazoo, Michigan:	
To support a planning process for attracting and retaining a more diverse faculty and student body . . . . .	50,000
Kenyon College, Gambier, Ohio:	
To support a pilot program of intensive preorientation writing workshops for entering students . . . . .	49,000
Lake Forest College, Lake Forest, Illinois:	
To support curricular revision and enhancement . . .	500,000
Lewis and Clark College, Portland, Oregon:	
To support environmental studies . . . . .	300,000
Marine Biological Laboratory, Woods Hole, Massachusetts:	
To support the Semester in Environmental Science program . . . . .	40,000

HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

McDaniel College,

Westminster, Maryland:

To support faculty career enhancement programs . . . 200,000

Michigan State University,

East Lansing, Michigan:

To support a study of the principal impact and  
outcomes of the Foundation's faculty career  
enhancement program . . . . . 15,000

Middlebury College,

Middlebury, Vermont:

To support a New Directions Fellowship . . . . . 181,000

To support the creation and operation of a secure  
Web-based interface for receiving and storing  
data files from institutions participating in the  
College Sports Project . . . . . 150,000

To support curricular review . . . . . 50,000

To support an Emeritus Fellowship . . . . . 28,000

Morehouse College,

Atlanta, Georgia:

To support the College's intensive Spanish  
language programs . . . . . 330,000

To support transition planning . . . . . 210,000

To support an archivist and curator to manage  
and handle the books and papers of  
Dr. Martin Luther King, Jr. . . . . 50,000

Mount Holyoke College,

South Hadley, Massachusetts:

To support the work of information officers in  
enhancing effective library management . . . . . 490,000

To support innovative programming and a new  
position aimed at strengthening the academic  
achievement of first-generation college students  
and members of disadvantaged groups . . . . . 200,000

**HIGHER EDUCATION  
AND SCHOLARSHIP**

(continued)

*Appropriated*

Muhlenberg College,  
Allentown, Pennsylvania:

To support a pilot program for curricular revision  
and improvement . . . . . 75,000

National Academy of Sciences,  
Washington, DC:

To support planning, the commissioning of  
background papers, and other organizing activities  
for the Frontiers of Knowledge University  
Leaders' Forum . . . . . 30,000

The Needham Research Institute,  
Cambridge, United Kingdom:

To support fellowship programs for Chinese and  
US-based scholars in the humanities and  
humanistic social sciences . . . . . 598,300

New York Public Library,  
New York, New York:

To endow and support fellowships for scholars  
at the Dorothy and Lewis B. Cullman Center  
for Scholars and Writers . . . . . 1,800,000

New York University,  
New York, New York:

To support a Distinguished Achievement Award . . . 1,500,000  
To support the New York office of the Partnership  
for Higher Education in Africa . . . . . 200,000

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

To support completion of the documentary film  
*Objects and Memory* . . . . . 40,000

HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

Northwestern University,  
Evanston, Illinois:

To support an Emeritus Fellowship . . . . . 45,000

Oberlin College,  
Oberlin, Ohio:

To support a collaborative program to recruit  
undergraduate students to the library profession . . . 575,000

Omohundro Institute of Early American History  
and Culture,  
Williamsburg, Virginia:

To support the participation of African scholars  
and graduate students at a conference in Ghana  
on the domestic and international consequences  
of the first governmental efforts to abolish the  
Atlantic slave trade . . . . . 50,000

The Open University,  
Milton Keynes, United Kingdom:

To support a Mellon Award for Technology  
Collaboration . . . . . 50,000

Opera di Santa Maria del Fiore,  
Florence, Italy:

To support completion of an electronic archive  
of documents relating to the planning and  
construction of the dome of the cathedral of  
Florence from 1417 to 1436 . . . . . 50,000

Organization for Tropical Studies, Inc.,  
Durham, North Carolina:

To support undergraduate programs and  
particularly the participation of liberal arts  
college students and faculty . . . . . 600,000

**HIGHER EDUCATION  
AND SCHOLARSHIP**

(continued)

*Appropriated*

Pitzer College,  
Claremont, California:

To support the establishment of an endowment for a faculty director for the Center for the Study of Global Communities . . . . .	300,000
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Plymouth State University,  
Plymouth, New Hampshire:

To support a Mellon Award for Technology Collaboration . . . . .	50,000
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Pomona College,  
Claremont, California:

To support a postdoctoral fellowship program . . . . .	1,800,000
To support a New Directions Fellowship . . . . .	195,000
To support an Emeritus Fellowship . . . . .	39,000

Pontifical Institute of Mediaeval Studies,  
Toronto, Canada:

To endow fellowships for scholars in the humanities and humanistic social sciences . . . . .	1,250,000
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Princeton University,  
Princeton, New Jersey:

To support research on undergraduate attrition at public universities . . . . .	1,280,000
To support graduate students in the humanities and humanistic social sciences . . . . .	250,000
To support an Emeritus Fellowship . . . . .	55,000
To support an Emeritus Fellowship . . . . .	53,000
To support an Emeritus Fellowship . . . . .	42,000

Public Policy Partnership,  
Cape Town, South Africa:

To support the completion fellowships of the current fellows . . . . .	1,600,000
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HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

Randolph-Macon College,  
Ashland, Virginia:

To support curricular revision . . . . . 300,000

Rensselaer Polytechnic Institute,  
Troy, New York:

To support a Mellon Award for Technology  
Collaboration . . . . . 50,000

Rhodes College,  
Memphis, Tennessee:

To support the development of a pilot project for  
a digital archive of the civil rights era . . . . . 50,000

Rhodes University,  
Grahamstown, South Africa:

To support honors fellowships in the humanities . . . 400,000

To support postdoctoral fellowships in the  
humanities . . . . . 200,000

Rice University,  
Houston, Texas:

To support an Emeritus Fellowship . . . . . 54,000

Ripon College,  
Ripon, Wisconsin:

To support faculty development . . . . . 25,000

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

To support a strategic plan for the member  
archives . . . . . 150,000

Saint Augustine's College,  
Raleigh, North Carolina:

To support tutorial and advising programs . . . . . 250,000

**HIGHER EDUCATION  
AND SCHOLARSHIP**

(continued)

*Appropriated*

Sarah Lawrence College,  
Bronxville, New York:

To support the building of the College's  
endowment while simultaneously providing  
immediate budgetary relief . . . . . 3,000,000

Skidmore College,  
Saratoga Springs, New York:

To support the environmental studies program . . . . . 300,000

To support substantial curricular revision and  
enhancement . . . . . 200,000

Smith College,  
Northampton, Massachusetts:

To support a postdoctoral fellowship program . . . . . 1,800,000

To support faculty career enhancement programs . . . 1,500,000

Social Science Research Council,  
New York, New York:

To support the International Dissertation Research  
Fellowship program and related activities . . . . . 4,357,000

To support predissertation fellowships and  
related workshops for graduate students in the  
humanities and humanistic social sciences . . . . . 2,000,000

To support the administration of the  
SSRC-Predoctoral Grant Program for Mellon  
Mays graduate students . . . . . 1,000,000

To support the participation of US-based scholars  
in a series of summer institutes exploring  
approaches to scholarship about Islam in the  
Eurasian region, and related activities . . . . . 50,000

Society for Historians of the Early American Republic,  
Philadelphia, Pennsylvania:

To continue support of an undergraduate American  
history seminar for students of the early republic . . . 85,300

HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

South African Bibliographic and Information  
Network,  
Centurion, South Africa:

To support a program to enroll higher education  
institutions in JSTOR . . . . . 20,000

South African Institute for Advanced Constitutional,  
Public, Human Rights and International Law Trust,  
Johannesburg, South Africa:

To support research fellowships for judges,  
academics, and doctoral fellows, and associated  
administrative costs . . . . . 500,000

South African National Biodiversity Institute,  
Cape Town, South Africa:

To support the development of a doctoral  
program for scientists who are members of  
previously disadvantaged groups . . . . . 290,000

Southeastern Library Network, Inc.,  
Atlanta, Georgia:

To support the Historically Black Colleges  
and Universities Library Leadership program . . . . . 600,000

To support workshops on redesigning work flows  
at libraries in liberal arts colleges and historically  
black institutions . . . . . 20,650

To support an internship program for  
associate-level librarians at historically black  
colleges and universities to visit research libraries  
in the Southeast . . . . . 20,000

Southern Education Foundation, Inc.,  
Atlanta, Georgia:

To establish an endowment to support programs  
that would strengthen historically black colleges  
and universities . . . . . 3,000,000

**HIGHER EDUCATION  
AND SCHOLARSHIP**

(continued)

*Appropriated*

Southwestern University,  
Georgetown, Texas:

To support a collaborative faculty exchange  
program . . . . . 150,000

Spelman College,  
Atlanta, Georgia:

To support the electronic portfolio project . . . . . 66,700

To support a program that would enhance graduate  
education for women in mathematics . . . . . 50,000

To support an internal review of the general  
education curriculum . . . . . 35,000

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

To support improvement of student recruitment  
and admissions practices . . . . . 50,000

St. Lawrence University,  
Canton, New York:

To support curricular initiatives and institutional  
research . . . . . 200,000

Stanford University,  
Stanford, California:

To support a Sawyer Seminar on the historical  
and cultural sources of significant contemporary  
developments, entitled "The Dynamics of  
Inequality" . . . . . 120,000

To support a Sawyer Seminar on the historical and  
cultural sources of significant contemporary  
developments, entitled "The First Great Divergence:  
China and Europe, 500-800 CE" . . . . . 120,000

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

HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

Syracuse University,  
Syracuse, New York:

To support natural language processing technology  
for JSTOR and other scholarly repositories . . . . . 40,000

Thurgood Marshall Scholarship Fund,  
New York, New York:

To support the publication of a scholarly volume  
with the working title *HBCUs Models of Success:  
Supporting Achievement & Retention of  
Black Males* . . . . . 45,000

Trinity College,  
Hartford, Connecticut:

To support a curricular restructuring in order to  
emphasize Trinity's special interests in and focus  
on urban and global education . . . . . 3,000,000

Trust for African Rock Art,  
Chicago, Illinois:

To complete the documentation of digitized  
slides of African rock art . . . . . 50,000

Union College,  
Schenectady, New York:

To support programs designed to increase faculty  
involvement in residential life . . . . . 100,000

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

To support a faculty career enhancement program  
that provides opportunities to improve teaching  
and learning and advances faculty research . . . . . 1,600,000

Universitat de Lleida,  
Lleida, Spain:

To support a Mellon Award for Technology  
Collaboration . . . . . 50,000

**HIGHER EDUCATION  
AND SCHOLARSHIP**

(continued)

*Appropriated*

University of British Columbia,  
Vancouver, Canada:

To support a Mellon Award for Technology Collaboration . . . . .	50,000
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The Regents of the University of California,  
Oakland, California:

To support an expansion of the availability and use of the Higher Education Research Institute data sets for research purposes . . . . .	50,000
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University of California at Berkeley,  
Berkeley, California:

To support a Distinguished Achievement Award . . .	1,500,000
To support graduate students in the humanities and humanistic social sciences . . . . .	250,000
To support a study of the parallel development of historical and scientific thought . . . . .	150,000
To support a Sawyer Seminar on the historical and cultural sources of significant contemporary developments, entitled "The Dilemmas of Judicial Power: Constitutional Courts, Politics, and Society" . . . . .	120,000
To support an Emeritus Fellowship . . . . .	31,000

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

To support departmental initiatives in English, history, and comparative literature . . . . .	2,500,000
To support a New Directions Fellowship . . . . .	172,000
To support a Sawyer Seminar on the historical and cultural sources of significant contemporary developments, entitled "Disputation: Ways of Arguing In and Out of the University" . . . . .	120,000

HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

University of California at Riverside,  
Riverside, California:

To support graduate research workshops in the humanities . . . . .	75,000
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University of Cape Town,  
Cape Town, South Africa:

To support the strengthening of the University's research culture through the engagement of senior research scholars . . . . .	500,000
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To support a project designed to assess and improve the quality of public data in South Africa . . . . .	370,000
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To support the database project on African cultural heritage sites and landscapes . . . . .	120,000
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To support two visiting dancers at the School of Dance . . . . .	30,000
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To support the inaugural Frontiers of Knowledge University Leaders' Forum . . . . .	30,000
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To support the completion of a guide to Black Sash archival collections in South Africa and to expand and make more searchable the guide's online database . . . . .	30,000
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To support a symposium on postgraduate support activities . . . . .	21,000
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University of Chicago,  
Chicago, Illinois:

To support postdoctoral fellowships in the humanities and humanistic social sciences . . . . .	1,389,000
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To support graduate students in the humanities and humanistic social sciences . . . . .	250,000
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To support a New Directions Fellowship . . . . .	248,000
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To support an Emeritus Fellowship . . . . .	55,000
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HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

University of London,  
London, United Kingdom:

To support research fellowships at the Institute  
of Historical Research for graduate students in the  
humanities from North American universities . . . . . 729,900

University of Massachusetts at Amherst,  
Amherst, Massachusetts:

To support the development of an institution-wide  
mentoring initiative for new and underrepresented  
faculty . . . . . 47,000

University of Michigan,  
Ann Arbor, Michigan:

To support postdoctoral fellowships in the  
humanities and humanistic social sciences . . . . . 1,973,000

To support initiatives aimed at strengthening  
the role the Institute for the Humanities plays  
in the instruction and scholarly activities of  
the University . . . . . 336,000

To support graduate students in the humanities  
and humanistic social sciences . . . . . 250,000

University of Minnesota,  
Minneapolis, Minnesota:

To support a Sawyer Seminar on the historical  
and cultural sources of significant contemporary  
developments, entitled "Humanitarianisms and  
World Orders" . . . . . 120,000

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

To support a Sawyer Seminar on the historical  
and cultural sources of significant contemporary  
developments, entitled "The Changing Nature(s)  
of Land: Property, Peasants, and Agricultural  
Productions in the Global World" . . . . . 120,000



HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)	<i>Appropriated</i>
To support an Emeritus Fellowship . . . . .	55,000
To support a forum on fostering greater inclusion of low-income students in higher education, entitled "Politics of Inclusion: Higher Education at a Crossroad" . . . . .	50,000
University of Oxford, Oxford, United Kingdom:	
To provide supplementary support for a Sawyer Seminar on the historical and cultural sources of significant contemporary developments, entitled "Violence and Empire" . . . . .	30,000
University of Pennsylvania, Philadelphia, Pennsylvania:	
To support a program on "Democracy, Citizenship, and Constitutionalism" . . . . .	2,500,000
To support postdoctoral fellowships in the humanities and humanistic social sciences . . . . .	1,750,000
To support a New Directions Fellowship . . . . .	233,000
To support a Sawyer Seminar on the historical and cultural sources of significant contemporary developments, entitled "Power-Sharing in Deeply Divided Places" . . . . .	120,000
University of Puget Sound, Tacoma, Washington:	
To support a first-year residential seminar program .	100,000
University of Southern California, Los Angeles, California:	
To support postdoctoral fellowships in the humanities and humanistic social sciences . . . . .	872,000
To support research and graduate training in early modern studies . . . . .	650,000
To support the Sophie project . . . . .	470,000

HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

To support the organization and archival disposition of the papers of William O. Baker, and selected publication of his work . . . . .	226,000
To support a New Directions Fellowship . . . . .	208,000
To support the Academic Support Project . . . . .	30,000
University of St. Michael's College, Toronto, Canada:	
To support the research and editorial costs of the <i>Catalogus Translationum et Commentariorum</i> . . . . .	520,000
University of the South, Sewanee, Tennessee:	
To support faculty members in the humanities and social sciences in anticipation of faculty retirements . . . . .	400,000
University of the Western Cape, Bellville, South Africa:	
To support postdoctoral fellowships in the humanities . . . . .	200,000
University of the Witwatersrand, Johannesburg, South Africa:	
To support a postgraduate mentoring program . . . . .	1,250,000
To support the doctoral fellowships program in the Wits Institute for Social and Economic Research . . . . .	500,000
To support strengthening of the University's research culture through the engagement of senior research scholars . . . . .	500,000
To support postdoctoral fellowships in the humanities . . . . .	200,000
University of Toronto, Toronto, Canada:	
To support editorial costs of the <i>Dictionary of Old English</i> . . . . .	500,000

HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

University of Washington,  
Seattle, Washington:

To support a Mellon Award for Technology Collaboration . . . . .	100,000
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University of Wisconsin at Madison,  
Madison, Wisconsin:

To support studies of students' family income, the economic returns of college-going, and the factors affecting the prevalence of low-income students at the University . . . . .	289,000
To support an Emeritus Fellowship . . . . .	55,000
To support an Emeritus Fellowship . . . . .	45,000

Utah State University,  
Logan, Utah:

To support the development of a suite of tools, MOCSL/Didily, that would allow users to benefit more from Open Courseware, research, and teaching-oriented Web sites . . . . .	410,000
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Vassar College,  
Poughkeepsie, New York:

To support an Emeritus Fellowship . . . . .	45,000
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Virginia Polytechnic Institute and State University,  
Blacksburg, Virginia:

To support a Mellon Award for Technology Collaboration . . . . .	50,000
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Voorhees College,  
Denmark, South Carolina:

To support the expansion of the Learning Communities Project . . . . .	200,000
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HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

Wake Forest University, Winston-Salem, North Carolina:		
To support institutional strategic planning . . . . .		50,000
Washington College, Chestertown, Maryland:		
To support planning for library renovation and the recruitment of a new librarian . . . . .		185,000
To support library and information technology initiatives and alumni programming . . . . .		50,000
Wesleyan University, Middletown, Connecticut:		
To support the environmental studies program . . . .		300,000
Wheaton College, Norton, Massachusetts:		
To support substantial curricular revision and enhancement . . . . .		200,000
Whitman College, Walla Walla, Washington:		
To support an assessment of student learning . . . . .		50,000
Whittier College, Whittier, California:		
To support efforts to continue to matriculate and maintain a diverse student body . . . . .		50,000
Williams College, Williamstown, Massachusetts:		
To support the restructuring of Williams' library system through course development, research, and training, and an endowment for emerging technologies . . . . .		2,500,000
To endow a postdoctoral fellowship program . . . . .		1,500,000

HIGHER EDUCATION  
AND SCHOLARSHIP

(continued)

*Appropriated*

Woodrow Wilson National Fellowship Foundation,  
Princeton, New Jersey:

To renew fellowships for junior faculty preparing for tenure review . . . . .	2,700,000
To support a research project aimed at strengthening secondary school teacher retention . .	50,000

Yale University,  
New Haven, Connecticut:

To support a Distinguished Achievement Award .	1,500,000
To support graduate students in the humanities and humanistic social sciences . . . . .	250,000
To support a New Directions Fellowship . . . . .	207,000
To support an Emeritus Fellowship . . . . .	55,000
To support a Mellon Award for Technology Collaboration . . . . .	50,000

Total—Higher Education and Scholarship	<u>\$118,357,675</u>
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LIBRARIES AND SCHOLARLY  
COMMUNICATION

*Appropriated*

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

To support planning for the selection and  
development of a collections management  
system for the Egyptian Museum in Cairo . . . . . \$ 49,400

Anthology of Recorded Music, Inc.,  
New York, New York:

To support the expansion and restructuring of  
the Anthology's music database and online  
distribution services . . . . . 3,500,000

Appalachian College Association,  
Berea, Kentucky:

To support a scholarly assessment of field  
recordings in three Appalachian college archives . . . 14,600

ARTstor Inc.,  
New York, New York:

To support collection development . . . . . 8,550,000

Bibliothèque nationale de France,  
Paris, France:

To support completion of the documentation of  
digitized manuscripts and printed scrolls that will  
be included in the Mellon International Dunhuang  
Archive . . . . . 170,000

The British Council,  
London, United Kingdom:

To support a joint online catalog between the  
Russian State Library and the Tolstoy Literary  
Estate . . . . . 350,000

Bundesarchiv,  
Koblenz, Germany:

To support the development of archival tools to  
improve the use of international processing  
standards in German archives . . . . . 121,000

LIBRARIES AND SCHOLARLY  
COMMUNICATION

(continued)

*Appropriated*Canadian Centre for Architecture,  
Montreal, Canada:

To support the cataloging of five major architectural collections from the second half of the 20th century.	406,000
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Colonial Williamsburg Foundation,  
Williamsburg, Virginia:

To support a planning study to determine how three-dimensional computer graphics could be used to model 18th-century Williamsburg . . . . .	50,000
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Columbia University,  
New York, New York:

To support the evaluation of mass deacidification techniques used in German libraries for possible use by US libraries . . . . .	26,600
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Conservation Center for Art and Historic Artifacts,  
Philadelphia, Pennsylvania:

To support the development and presentation of a national training program in the conservation and preservation of audiovisual media . . . . .	60,000
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Cornell University,  
Ithaca, New York:

To support the specification and deployment of a system that supports the digital exchange of complex scholarly information objects . . . . .	524,000
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To support preliminary planning for a study that would assess the impact of open access articles on scholarship and research . . . . .	18,600
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Council of American Overseas Research Centers,  
Washington, DC:

To support payment of the archive capital fee to JSTOR for seven American overseas research centers . . . . .	39,500
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LIBRARIES AND SCHOLARLY  
COMMUNICATION

(continued)

*Appropriated*

Duke University,  
Durham, North Carolina:

To support the design of institutional strategies and policies for managing scholarly and administrative assets in digital form in collaboration with Dartmouth College . . . . .	41,300
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Emory University,  
Atlanta, Georgia:

To support the creation of portal services designed to assist scholars in identifying, locating, and retrieving research materials for the study of the American South . . . . .	617,000
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Frick Collection,  
New York, New York:

To support the implementation of an integrated library system to be shared among three art museum libraries . . . . .	669,000
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Georgia Institute of Technology,  
Atlanta, Georgia:

To support a study that measures the impact of digitization and online availability of journals on citations . . . . .	282,000
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Indiana University,  
Bloomington, Indiana:

To support the continued development and the implementation of an archive of ethnomusicological moving image recordings . . . . .	850,000
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To support the development of a corpus of encoded classical music scores . . . . .	395,000
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To support a summit meeting to develop a common licensing and policy framework for open source collaboration in higher education . . . . .	35,000
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LIBRARIES AND SCHOLARLY  
COMMUNICATION

(continued)

*Appropriated*

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

To transfer from the Foundation to Ithaca Harbors,  
Inc. the title of real property . . . . . 1,100,000

To support the further development of Aluka, an  
online database of scholarly resources from  
developing countries . . . . . 1,000,000

Los Alamos National Security LLC,  
Los Alamos, New Mexico:

To support the development of usage measures for  
online scholarly journals . . . . . 881,000

Museum of Fine Arts, Boston,  
Boston, Massachusetts:

To support the development of digital resources of  
archaeological materials from the Museum's Giza  
collection . . . . . 306,000

New York Public Library,  
New York, New York:

To support the William G. Bowen Endowment for  
Technology and Scholarship, and to support the  
new position of director of technology and  
scholarship and related expenses . . . . . 4,000,000

New York University,  
New York, New York:

To support a study on the feasibility of, and  
planning for, a consortium for art and architectural  
history online . . . . . 112,000

RIPM Consortium Ltd.,  
Annapolis, Maryland:

To support retrospective indexing of music journals. . . . . 150,000

LIBRARIES AND SCHOLARLY  
COMMUNICATION

(continued)

*Appropriated*

Rochester Institute of Technology,  
Rochester, New York:

To support the project entitled "Improving Artwork  
Reproduction through 3D-Spectral Capture and  
Computer Graphics Rendering" . . . . . 855,000

Royal Holloway and Bedford New College,  
Egham, United Kingdom:

To support the continued development of digital  
tools and resources for the distribution and study  
of medieval music transcripts . . . . . 476,700

Society of Architectural Historians,  
Chicago, Illinois:

To support the development of an electronic version  
of the *Journal of the Society of Architectural  
Historians* and to expand the SAH Image Exchange . . . . . 323,000

Tufts University,  
Medford, Massachusetts:

To support an analysis of the potential costs and  
benefits of incorporating advanced digital  
technologies for optical character recognition,  
machine translation, and data mining in  
humanities scholarship . . . . . 50,000

The Regents of the University of California,  
Oakland, California:

To support a workshop on services and standards  
to be used in providing scholarly access to online,  
text-based resources such as Google Library and  
the Open Content Alliance . . . . . 24,000

University of California at Berkeley,  
Berkeley, California:

To support a study of the interaction between  
academic value and reward systems and scholarly  
communication . . . . . 414,000

LIBRARIES AND SCHOLARLY  
COMMUNICATION

(continued)

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

To support the further development and implementation of a suite of software tools for processing archival collections . . . . .	957,000
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University of Cambridge,  
Cambridge, United Kingdom:

To support further development of a database of medieval manuscripts called <i>Parker on the Web</i> . . . . .	1,461,000
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To support the conversion of the catalog records of 19th-century British publications to electronic format . . . . .	1,000,000
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University of Chicago,  
Chicago, Illinois:

To support the development of models of collaboration among faculty, graduate students, and archivists for the processing of collections in Chicago-area archives . . . . .	617,000
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To support the preservation, publication, and distribution of the Persepolis Fortification Archive . . . . .	526,000
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To support surveys of archival collections in the Chicago area by faculty and doctoral students in preparation for the cataloging of these collections . . . . .	49,000
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University of Illinois at Urbana-Champaign,  
Champaign, Illinois:

To support the development of a system for the mining and analysis of large-scale corpuses of digitized text . . . . .	1,000,000
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To support the retrospective conversion and cataloging of the collections in the University's Rare Book and Manuscript Library . . . . .	604,000
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To support a study of faculty use of institutional repositories in various fields . . . . .	49,000
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LIBRARIES AND SCHOLARLY  
COMMUNICATION

(continued)

*Appropriated*

University of Kentucky,  
Lexington, Kentucky:

To support the development of tools to help humanities editors prepare image-based electronic editions . . . . .	50,000
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University of London,  
London, United Kingdom:

To support the further development and implementation of an online library of scholarly resources for the study of British history by the Institute of Historical Research . . . . .	900,000
To support the cataloging of the correspondence of Aby Warburg . . . . .	92,000

University of Michigan,  
Ann Arbor, Michigan:

To support a workshop for university archivists to develop case studies of successful strategies for managing archival records in digital form . . . . .	29,600
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University of North Carolina at Chapel Hill,  
Chapel Hill, North Carolina:

To support the development of a strategy to digitize major documentary collections pertaining to the American South . . . . .	216,000
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University of Oxford,  
Oxford, United Kingdom:

To support continued development of the Electronic Enlightenment project . . . . .	774,300
To support the negotiation and finalization of agreements between the University and publishers participating in the Electronic Enlightenment project . . . . .	50,000

LIBRARIES AND SCHOLARLY  
COMMUNICATION

(continued)

*Appropriated*

University of Rochester,  
Rochester, New York:

To support the development of an open source  
public access catalog system for research and  
college libraries . . . . . 283,000

University of Southern California,  
Los Angeles, California:

To support an exploration of the feasibility of  
establishing an inter-university consortium for the  
use and further development of InscriptiFact, a  
database of ancient near-Eastern inscriptions . . . . . 50,000

University of Virginia,  
Charlottesville, Virginia:

To support the development of a suite of digital  
tools for humanities scholars and editors . . . . . 798,000

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

WGBH Educational Foundation,  
Boston, Massachusetts:

To support an assessment of WGBH's audio and  
moving image archives for scholarly and educational  
uses . . . . . 386,000

Total—Libraries and Scholarly Communication \$37,102,600

## CONTRIBUTIONS

*Appropriated*

Association of Governing Boards of Universities  
and Colleges,  
Washington, DC:

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

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

To provide general support . . . . . 30,000

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

To support the Ready, Willing and Able and  
associated programs . . . . . 40,000

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

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

Foundation Center,  
New York, New York:

To provide general support . . . . . 30,000

Independent Sector,  
Washington, DC:

To provide general support . . . . . 25,000

Iona College,  
New Rochelle, New York:

To support the enhancement of its library services . . . 15,000

Marymount Manhattan College,  
New York, New York:

To support continuation of the summer program . . . 45,000

## CONTRIBUTIONS

(continued)

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

To provide general support . . . . .	35,000
Total—Contributions	<u><u>\$295,000</u></u>

## OTHER

*Appropriated*InterRelations Collaborative, Inc.,  
Hamden, Connecticut:

To support the development of a commemorative quilt for the fifth anniversary of September 11, 2001	\$ 10,000
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National Trust for Historic Preservation in the  
United States,  
Washington, DC:

To support a conference on the state of recovery of New Orleans in the context of historic and cultural heritage . . . . .	25,000
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Southeastern Library Network, Inc.,  
Atlanta, Georgia:

To provide assistance to academic libraries damaged by Hurricanes Katrina and Rita . . . . .	896,000
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Total—Other	\$ 931,000
Matching Gifts	\$ 91,728
Grand Total	<u>\$213,878,603</u>



*Financial Statements*

## REPORT OF INDEPENDENT AUDITORS

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

In our opinion, the accompanying balance sheets and the related statements of activities and cash flows present fairly, in all material respects, the financial position of The Andrew W. Mellon Foundation (the "Foundation") at December 31, 2006 and 2005 and the changes in its net assets and its cash flows for the years then ended in conformity with accounting principles generally accepted in the United States of America. These financial statements are the responsibility of the Foundation's management; our responsibility is to express an opinion on these financial statements based on our audits. We conducted our audits of these statements in accordance with auditing standards generally accepted in the United States of America, which require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatements. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements, assessing the accounting principles used and significant estimates made by management, and evaluating the overall financial statement presentation. We believe that our audits provide a reasonable basis for our opinion.

*PricewaterhouseCoopers LLP*

May 18, 2007

# The Andrew W. Mellon Foundation

## Balance Sheets

At December 31, 2006 and 2005

	<u>December 31</u>	
	<u>2006</u>	<u>2005</u>
	<i>(In thousands)</i>	
<b>ASSETS</b>		
Investments:		
Marketable securities . . . . .	\$ 3,542,133	\$ 3,399,682
Limited liquidity investments . . . . .	2,145,404	1,402,941
Other . . . . .	—	106,820
	<u>5,687,537</u>	<u>4,909,443</u>
Payable from unsettled securities purchases, net . . . . .	(148,940)	(38,580)
	<u>5,538,597</u>	<u>4,870,863</u>
Cash . . . . .	772	2,325
Collateral under securities loan agreement . . . . .	524,382	576,732
Investment and other income receivable . . . . .	10,405	8,968
Other assets . . . . .	1,060	1,556
Property, at cost, less accumulated depreciation of \$10,630 and \$8,368 at December 31, 2006 and 2005, respectively . . . . .	55,632	56,191
Total assets . . . . .	<u>\$ 6,130,848</u>	<u>\$ 5,516,635</u>
<b>LIABILITIES AND NET ASSETS</b>		
Grants payable . . . . .	\$ 11,360	\$ 6,465
Accrued expenses . . . . .	6,609	6,471
Payable under securities loan agreement . . . . .	524,382	576,732
Deferred federal excise tax . . . . .	22,200	18,600
Taxes payable . . . . .	3,754	1,096
Long-term debt . . . . .	<u>44,000</u>	<u>44,000</u>
Total liabilities . . . . .	612,305	653,364
Net assets (unrestricted) . . . . .	<u>5,518,543</u>	<u>4,863,271</u>
Total liabilities and net assets . . . . .	<u>\$ 6,130,848</u>	<u>\$ 5,516,635</u>

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

# The Andrew W. Mellon Foundation

## *Statements of Activities*

*For the years ended December 31, 2006 and 2005*

	<u>2006</u>	<u>2005</u>
	<i>(In thousands)</i>	
<b>INVESTMENT RETURN:</b>		
Gain on investments:		
Realized . . . . .	\$ 644,582	\$ 405,365
Unrealized, net . . . . .	172,290	54,184
Interest . . . . .	18,231	25,317
Dividends . . . . .	42,154	36,356
Other income . . . . .	18,872	20,897
	<u>896,129</u>	<u>542,119</u>
Less: Investment management expenses . . . . .	(19,152)	(18,387)
Net investment return . . . . .	<u>876,977</u>	<u>523,732</u>
<b>EXPENSES:</b>		
Program grants and contributions, net . . . . .	180,803	201,791
Grantmaking operations . . . . .	13,487	12,457
Direct charitable activities . . . . .	6,803	6,309
Investment operations . . . . .	5,134	4,595
Current provision for taxes . . . . .	15,163	9,207
Other expenses . . . . .	315	304
	<u>221,705</u>	<u>234,663</u>
Change in net assets . . . . .	655,272	289,069
Net assets (unrestricted) at beginning of year . . . . .	4,863,271	4,574,202
Net assets (unrestricted) at end of year . . . . .	<u>\$ 5,518,543</u>	<u>\$ 4,863,271</u>

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

# The Andrew W. Mellon Foundation

## Statements of Cash Flows

For the years ended December 31, 2006 and 2005

	<u>2006</u>	<u>2005</u>
	<i>(In thousands)</i>	
Cash flow from investment income and operations:		
Interest and dividends received . . . . .	\$ 67,997	\$ 63,960
Other income received . . . . .	18,766	19,873
Grant refunds received . . . . .	1,321	829
Federal tax refund received . . . . .	—	17
Grants and contributions paid . . . . .	(176,129)	(199,340)
Investment expenses paid . . . . .	(19,475)	(17,373)
Salaries and other operating expenses paid . . . . .	(22,153)	(20,989)
Taxes paid . . . . .	<u>(12,500)</u>	<u>(9,710)</u>
Net cash used by investment income and operations . . . . .	<u>(142,173)</u>	<u>(162,733)</u>
Cash flow from investing activities:		
Proceeds from sales of marketable securities:		
Short-term . . . . .	1,642,024	2,392,202
Other . . . . .	4,164,170	3,651,188
Receipts from limited liquidity investments . . . . .	332,153	301,009
Capital gain distributions received . . . . .	30,820	23,001
Net returns on financial instruments . . . . .	(773)	(154)
Purchases of marketable securities:		
Short-term . . . . .	(1,583,543)	(2,287,429)
Other . . . . .	(3,707,158)	(3,590,690)
Purchases of limited liquidity investments . . . . .	(734,845)	(318,820)
Additions to property . . . . .	<u>(2,228)</u>	<u>(9,176)</u>
Net cash provided by investing activities . . . . .	<u>140,620</u>	<u>161,131</u>
Net decrease in cash . . . . .	<u>(1,553)</u>	<u>(1,602)</u>
Cash at beginning of year . . . . .	2,325	3,927
Cash at end of year . . . . .	<u>\$ 772</u>	<u>\$ 2,325</u>
<i>Supplemental disclosure of noncash investing activities:</i>		
Distributions of securities received from limited liquidity investments . . . . .	<u>\$ 27,835</u>	<u>\$ 47,410</u>

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

# The Andrew W. Mellon Foundation

## *Statements of Cash Flows, (continued)*

*For the years ended December 31, 2006 and 2005*

### Reconciliation of Change in Net Assets to Net Cash Used by Investment Income and Operations:

	<u>2006</u>	<u>2005</u>
	<i>(In thousands)</i>	
Change in net assets . . . . .	\$ 655,272	\$ 289,069
Adjustments to reconcile change in unrestricted net assets to net cash used by investment income and operations:		
Realized gain on investments . . . . .	(643,641)	(405,365)
Unrealized appreciation of investments . . . . .	(175,890)	(55,184)
Increase in income receivable . . . . .	(1,437)	(1,268)
Decrease (increase) in other assets . . . . .	496	(190)
Increase in grants payable . . . . .	4,895	3,280
Increase in accrued expenses . . . . .	138	1,424
Depreciation and amortization expense . . . . .	2,630	2,455
Increase in deferred federal excise tax payable . . . . .	3,600	1,000
Increase (decrease) in tax payable . . . . .	2,658	(631)
Net effect of bond amortization/accretion . . . . .	<u>9,106</u>	<u>2,677</u>
Total adjustments . . . . .	<u>(797,445)</u>	<u>(451,802)</u>
Net cash used by investment income and operations . . . . .	<u>\$ (142,173)</u>	<u>\$ (162,733)</u>

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

# The Andrew W. Mellon Foundation

## NOTES TO FINANCIAL STATEMENTS

### NOTE 1—ORGANIZATION AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES:

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

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

#### *Investments*

Investments in marketable securities are stated at market value. 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 securities are calculated based on the first-in, first-out identification method. Included in payable from unsettled securities purchases in the accompanying Balance Sheets are receivables from unsettled securities sales of \$24.0 million and \$30.9 million at December 31, 2006 and 2005, respectively.

Limited liquidity investments are stated at estimated fair value. Limited liquidity investments are primarily made under agreements to participate in limited partnerships and are generally subject to certain withdrawal restrictions. These investments are valued on the basis of the Foundation’s equity in the net assets of such partnerships. Values for these partnerships, which may include investments in both nonmarketable and market-traded securities, are provided by the general partner and may be based on appraisals, market values discounted for concentration of ownership, or other estimates. Because of the inherent uncertainty of valuing the investments in such partnerships and certain of the underlying investments held by the partnerships, the Foundation’s estimate of fair value may differ significantly from the values that would have been used had a ready market for the investments existed. The financial statements of the limited partnerships are audited annually by independent auditing firms.

At December 31, 2005, other investments in the accompanying Balance Sheet represent the Foundation’s 100% interest in a trust which owned property from which the Foundation received the net income. Other income is principally the income from this trust, derived primarily from coal mining royalties. On December 1, 2006, the Foundation’s interest in the trust was sold to Natural Resource Partners, LP, for cash of \$110.0 million. The sale resulted in a pre-tax gain of \$107.2 million which is included in realized gain on investments in the accompanying Statement of Activities.

### *Grants*

Grant appropriations include both conditional and unconditional grants. Unconditional grants are expensed when appropriated. Certain grants are approved by the Trustees subject to the grantee fulfilling specific conditions, most frequently that all or a portion of the grant funds be matched in a specified ratio. Such conditional grants are considered commitments and are not recorded as expense until the conditions of the grant are met. Substantially all grants payable are due within one year and are recorded at face value.

### *Taxes*

The Foundation qualifies as a tax-exempt organization under Section 501(c)(3) of the Internal Revenue Code and, accordingly, is not subject to federal income taxes. However, the Foundation is subject to a federal excise tax. The Foundation follows the policy of providing for federal excise tax on the net appreciation (both realized and unrealized) of investments. The deferred federal excise tax in the accompanying financial statements represents tax provided on the net unrealized appreciation of investments. The Foundation is subject to income tax at corporate rates on certain income that is considered unrelated business income under the Internal Revenue Code.

### *Property*

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

### *Investment Return*

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

### *Expenses*

Grantmaking operations include all costs related to appropriating, paying and administering grants. Direct charitable activities are the active programs conducted by the Foundation or supported by it and include expenditures for two digital initiatives, ARTstor Inc. ("ARTstor") and Ithaca Harbors, Inc. ("Ithaka"), which are independent not-for-profit entities, and expenditures for research. Investment operations include the costs of supervising the Foundation's investment portfolio. Current provision for taxes includes federal and state taxes. Other expenses include certain expenses that the Foundation is not permitted to report either as an expense of distribution or an expense of earning income.

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

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



*Notes to Financial Statements, (continued)*

The administrative expenses of distribution, including direct charitable activities, were \$20.3 million (9.5% of appropriated program grants) in 2006 compared to \$18.8 million (8.9% of appropriated program grants) in 2005. The increase in administrative expenses in 2006 is primarily due to increased bond interest costs as well as higher salary and benefit expenses. Excluding direct charitable activities and investment expenses, the Foundation's grantmaking expenses in 2006 were \$13.5 million (6.3% of appropriated program grants), compared to \$12.5 million (5.9% of appropriated program grants) in 2005.

Investment management expenses are the direct costs of portfolio management, including fees for investment management, custody, and advisory services.

The Foundation's expenses by natural classification are as follows for 2006 and 2005:

	<u>2006</u>	<u>2005</u>
	<i>(In thousands)</i>	
Program grants and contributions, net . . .	\$180,803	\$201,791
Salaries, pensions and benefits . . . . .	12,836	11,385
Other operating expenses . . . . .	12,903	12,280
Taxes . . . . .	15,163	9,207
	<u>\$221,705</u>	<u>\$234,663</u>

*Use of Estimates*

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

*Reclassifications*

Certain 2005 amounts have been reclassified to conform to the 2006 presentation.

NOTE 2—INVESTMENTS:

Marketable securities held at December 31, 2006 and 2005 are summarized as follows:

	<u>December 31, 2006</u>		<u>December 31, 2005</u>	
	<u>Market Value</u>	<u>Cost</u>	<u>Market Value</u>	<u>Cost</u>
	<i>(In thousands)</i>		<i>(In thousands)</i>	
Equities . . . . .	\$2,519,470	\$1,868,287	\$2,502,565	\$1,929,322
Fixed income . . . . .	790,301	780,387	722,904	720,780
Short-term . . . . .	231,808	228,152	172,798	172,519
Derivative financial instruments . . . . .	554	1,108	1,415	838
	<u>\$3,542,133</u>	<u>\$2,877,934</u>	<u>\$3,399,682</u>	<u>\$2,823,459</u>

As a result of its investing strategies, the Foundation is a party to a variety of financial instruments. These financial instruments may include equity, fixed income, and foreign currency futures and options contracts, foreign currency forwards, and interest rate cap and floor

contracts, which are designed, in part, 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 Activities.

Through certain investment managers, the Foundation purchases and sells forward currency contracts whereby the Foundation agrees to exchange one currency for another on an agreed-upon date at an agreed-upon exchange rate to minimize the exposure of certain of its marketable securities to adverse fluctuations in financial and currency markets. As of December 31, 2006 and 2005, the Foundation had forward currency contracts with notional amounts totaling \$32.3 million and \$15.6 million, respectively. At December 31, 2006, approximately \$32.3 million in assets and \$32.4 million in liabilities related to open foreign currency contracts, at market value, are included in derivative financial instruments.

Through a securities lending program managed by its investment custodian, the Foundation loans certain stocks and bonds included in its investment portfolio to qualified investors. The custodian maintains collateral in excess of the value of the securities on loan. The Foundation's investment custodian has indemnified the program against counterparty risk. The Foundation's gross securities loaned to certain investors at December 31, 2006 and 2005 amounted to approximately \$508 million and \$560 million, respectively.

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

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

Pursuant to its limited partnership agreements, the Foundation is committed to contribute approximately \$1.1 billion as of December 31, 2006 in additional capital over the next ten years. Unpaid commitments at December 31, 2005 were \$683 million.

#### NOTE 3—BONDS PAYABLE:

At December 31, 2006 and 2005, the Foundation has outstanding \$44.0 million of taxable term bonds ("the Bonds") with a final maturity date of December 1, 2032. The Bonds bear interest, payable monthly, based upon results of monthly auction procedures. The average interest rate applicable in 2006 was 5.1%. Management believes that the market value of the Bonds approximates the book value. The Bonds represent an unsecured general obligation of the Foundation. The Bonds are rated Aaa by Moody's Investor Services and AAA by Standard & Poor's Rating Services. Interest incurred in 2006 and 2005 was \$2.2 million and \$1.5 million, respectively.

#### NOTE 4—TAXES:

The Internal Revenue Code imposes an excise tax on private foundations equal to 2 percent of net investment income (principally interest, dividends, and net realized capital gains, less expenses incurred in the production of investment income). This tax is reduced to 1 percent when a foundation meets certain distribution requirements under Section 4940(e) of the Internal Revenue Code. The Foundation was subject to the 2% rate in 2006 and 2005. Certain income defined as unrelated business income by the Code may be subject to tax at ordinary corporate rates.

*Notes to Financial Statements, (continued)*

The provision for taxes consists of a current provision for the federal excise taxes on net investment income and federal and state taxes on unrelated business income and a deferred provision on the change in unrealized appreciation of investments. The current tax provision for 2006 comprises \$14.7 million of federal excise tax on net investment income and \$495 thousand in federal and state taxes on unrelated business income. The current provision in 2005 was \$9.2 million of federal excise tax on net investment income. Federal and state taxes on unrelated business income were immaterial in 2005. The change in unrealized appreciation reflected on the Statement of Activities includes a provision for deferred taxes based on net unrealized appreciation of investments at 2 percent. The increase in unrealized appreciation resulted in an increase of the deferred federal excise tax liability of \$3.6 million and \$1.0 million in 2006 and 2005, respectively.

NOTE 5—GRANTS, CONTRIBUTIONS, AND COMMITMENTS:

The following table of grant activity by major program area includes all grant appropriations approved during 2006.

	<i>Payable and Committed December 31, 2005</i>	<i>2006 Grants and Commitments</i>		<i>Payable and Committed December 31, 2006</i>
		<i>Appropriated</i>	<i>Paid</i>	
		<i>(In thousands)</i>		
Conservation and the environment . . . . .	\$ 4,813	\$ 11,291	\$ 11,874	\$ 4,230
Museums and art conservation . . . . .	23,612	20,311	12,516	31,407
Performing arts . . . . .	6,406	25,498	18,166	13,738
Higher education and scholarship . . . . .	33,839	118,358	103,887	48,310
Libraries and scholarly communication . . . . .	4,264	37,103	28,317	13,050
Population . . . . .	1,154	—	1,151	3
Other (1) . . . . .	—	931	931	—
Program grants and commitments - totals . . . . .	74,088	213,492	176,842	110,738
Contributions and matching gifts . . . . .	—	387	387	—
	<u>\$74,088</u>	<u>\$213,879</u>	<u>\$177,229</u>	<u>\$110,738</u>

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

Grant and grant commitment activity is summarized below.

	<u>2006</u>	<u>2005</u>
	<i>(In thousands)</i>	
Grants payable:		
Grants payable at January 1 . . . . .	\$ 6,465	\$ 3,185
Grant expense . . . . .	182,124	202,620
Less grants paid . . . . .	<u>(177,229)</u>	<u>(199,340)</u>
Grants payable at December 31 . . . . .	<u>\$ 11,360</u>	<u>\$ 6,465</u>
Net grant expense:		
Unconditional grants . . . . .	\$ 150,381	\$ 170,985
Less grants cancelled . . . . .	(300)	—
Conditional grants meeting conditions for payment . . . . .	<u>32,043</u>	<u>31,635</u>
	182,124	202,620
Less grant refunds . . . . .	<u>(1,321)</u>	<u>(829)</u>
Net grant expense at December 31 . . .	<u>\$ 180,803</u>	<u>\$ 201,791</u>
Grant commitments:		
Grant commitments at January 1 . . . . .	\$ 67,623	\$ 59,708
Less commitments cancelled . . . . .	—	(45)
Conditional grants appropriated . . . . .	63,798	39,595
Less grants meeting conditions for payment . . . . .	<u>(32,043)</u>	<u>(31,635)</u>
Grant commitments at December 31 . .	<u>\$ 99,378</u>	<u>\$ 67,623</u>

NOTE 6—OTHER SERVICES:

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

- Ithaka provides information technology and software development services to the Foundation. In 2006 and 2005, Ithaka charged \$815 thousand and \$775 thousand, respectively, to the Foundation for these services. Included in the 2006 and 2005 amounts are pass-through expenses of \$31 thousand and \$134 thousand, respectively.
- Ithaka provided human resource services to the Foundation in 2006 and 2005, and charged \$263 thousand and \$247 thousand, respectively, to the Foundation for these services. Beginning March 2007, the Foundation engaged its own human resource staff and, accordingly, Ithaka no longer provides this service.
- The Foundation provided, free of charge, certain investment services and legal advice to Ithaka and ARTstor. The value of these contributed services has not been recorded due to immateriality. Effective April 30, 2007, the Foundation no longer provides these investment services.
- Commencing January 1, 2005, the Foundation provides office space, free of charge, to Ithaka and ARTstor in a building owned by the Foundation in New York City. The office space will be provided for a period of five years, subject to certain ongoing termination provisions.