

The Andrew W. Mellon Foundation

Summary of Grants and Contributions, 2003

	<i>Payable and Committed at</i>	<i>2003 Grants and Commitments</i>		<i>Payable and Committed at</i>
	<i>Dec. 31, 2002*</i>	<i>Appropriated</i>	<i>Paid</i>	<i>Dec. 31, 2003</i>
Conservation and the Environment	\$ 250,000	12,213,000	9,833,000	2,630,000
Museums and Art Conservation	13,773,356	15,836,000	13,299,188	16,310,168
Performing Arts	2,192,577	16,540,000	15,532,577	3,200,000
Higher Education and Scholarship	35,563,207	132,231,975	134,453,108	33,342,074
Population	3,627,884	3,620,000	4,731,203	2,516,681
Public Affairs	292,438	1,050,000	1,050,000	292,438
Program Grants and Commitments—Totals . . .	\$55,699,462	181,490,975	178,899,076	58,291,361
Contributions	5,000	255,000	260,000	—
Totals:	<u>\$55,704,462</u>	<u>\$181,745,975</u>	<u>\$179,159,076</u>	<u>\$58,291,361</u>

*Restated. Reflects three cancellations of commitments totaling \$444,017.

The Andrew W. Mellon Foundation

Classification of Grants

CONSERVATION AND THE ENVIRONMENT

Appropriated

California State University at Fullerton, Fullerton, California:

To support ecological research and training programs led by junior faculty scientists	\$ 320,000
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Cornell University, Ithaca, New York:

To support a digital library of animal behavior	300,000
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Ecological Society of America, Inc., Washington, DC:

To support the expansion of JSTOR's collection of titles in ecology and biology	300,000
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To support volunteer committee members' travel to meetings to assess the field and prepare a report on research needs and opportunities for ecological sciences	20,000
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Free University of Berlin, Berlin, Germany:

To support the creation of a coordinated digital data- base of images and information on African plants	197,000
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Institute of Ecosystem Studies, Inc., Millbrook, New York:

To continue support for coordinated ecological research and training programs in Kruger National Park, South Africa	370,000
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To support a program to encourage minority participation in ecological research and training	66,000
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CONSERVATION AND THE ENVIRONMENT

Appropriated

(continued)

Marine Biological Laboratory, Woods Hole, Massachusetts:

To support the Semester in Environmental Science program	500,000
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Michigan State University, East Lansing, Michigan:

To support a program of summer science institutes in mathematics and ecology	250,000
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Missouri Botanical Garden, St. Louis, Missouri:

To complete the Foundation's support of plant research in South America	200,000
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To support the creation of a coordinated digital data- base of images and information on African plants	180,000
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Museum National d'Histoire Naturelle, Paris, France:

To support the creation of a coordinated digital data- base of images and information on African plants	300,000
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Legal Personality of the National Botanic Garden of Belgium, Meise, Belgium:

To support the creation of a coordinated digital data- base of images and information on African plants	164,000
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National Botanical Institute, Cape Town, South Africa:

To support the creation of a coordinated digital data- base of images and information on African plants	350,000
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To support the development of a project that will coordinate the efforts of botanic gardens and herbaria in Africa, the US, and Europe to create a digital resource of information on the plant resources of Africa	15,000
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CONSERVATION AND THE ENVIRONMENT

Appropriated

(continued)

The National Herbarium, Addis Ababa, Ethiopia:

To support the creation of a coordinated digital data- base of images and information on African plants	50,000
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National Park Foundation, Washington, DC:

To continue support for a program of postdoctoral fellowships for research in national parks	1,500,000
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The Natural History Museum, London, United Kingdom:

To digitize rare botanical reference works and make high quality images available to scholars and others using the Internet	170,000
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To support the digitization of the Alfred Wallace Russel Collection	90,000
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New York Botanical Garden, Bronx, New York:

To support the computerization of its collections	350,000
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Oregon State University, Corvallis, Oregon:

To support coordinated ecological research and training programs on coastal ecosystems	330,000
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To support an exploration for expanding a Foundation-supported research consortium in South Africa	25,000
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Resources for the Future, Inc., Washington, DC:

To support a fellowship program of scholarly research on the implementation and effects of environmental regulation	200,000
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CONSERVATION AND THE ENVIRONMENT

Appropriated

(continued)

Royal Botanic Gardens, Kew, Richmond, United Kingdom:

To support the creation of a coordinated digital data- base of images and information on African plants	450,000
To support the digitization of rare botanic materials . .	250,000
To support the development of a project that will coordinate the efforts of botanic gardens and herbaria in Africa, the US, and Europe to create a digital resource of information on the plant resources of Africa	15,000

South African National Parks, Pretoria, South Africa:

To support coordinated ecological research and training programs in Kruger National Park, South Africa	425,000
To support a competitive research fellowship program	190,000
To support coordinated ecological research and training programs in Kruger National Park, South Africa	130,000
To support the development of data management and dissemination systems for Kruger National Park	65,000

Trust for Public Land, San Francisco, California:

To provide general support	1,000,000
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Université Montpellier II, Montpellier, France:

To support the creation of a coordinated digital data- base of images and information on African plants	150,000
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CONSERVATION AND THE ENVIRONMENT

Appropriated

(continued)

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

To support coordinated ecological research and training programs on coastal ecosystems	360,000
To support ecological research and training programs led by junior faculty scientists	310,000
To support a program of research and training in plant and soils ecology in Kruger National Park, South Africa	200,000
To support the development of data management and dissemination systems for Kruger National Park	37,000

University of Cape Town, Cape Town, South Africa:

To support the upgrading of its stable isotope research facility	200,000
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University of Colorado at Boulder, Boulder, Colorado:

To support ecological research and training programs led by junior faculty scientists	290,000
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The University of Fort Hare, Alice, South Africa:

To support a program of ecosystems research and training	34,000
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University of San Francisco, San Francisco, California:

To support coordinated ecological research and training programs in Kruger National Park, South Africa	400,000
To support coordinated ecological research and training programs in Kruger National Park, South Africa	355,000

CONSERVATION AND
THE ENVIRONMENT
(continued)

Appropriated

University of the Witwatersrand,
Johannesburg, South Africa:

To support a program of ecosystems research and
training in Kruger National Park 355,000

University of Washington,
Seattle, Washington:

To support coordinated ecological research and
training programs in Kruger National Park,
South Africa 395,000

To support ecological research and training programs
led by junior faculty scientists 290,000

To support archiving and developing access
to ecological research data from Tatoosh Island,
Washington 65,000

Total—Conservation and the Environment \$12,213,000

MUSEUMS AND
ART CONSERVATION

Appropriated

Barnes Foundation,
Merion, Pennsylvania:

To support a program of collection assessment,
research, and preservation of the permanent
collection \$ 500,000

To support the acquisition of software and training . . 22,000

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

To support a professorship in conservation science
and the purchase of essential scientific equipment . . . 995,000

Carnegie Mellon University,
Pittsburgh, Pennsylvania:

To support the Research Center for the Materials
of the Artist and the Conservator 3,385,000

To support the development of an approach for
sponsorship of the field of conservation science 50,000

Cleveland Museum of Art,
Cleveland, Ohio:

To support a program to introduce Chinese museum
professionals to American museum practices 20,500

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

To support planning for the endowment of scholarly
exhibitions 50,000

Metropolitan Museum of Art,
New York, New York:

To support a program to introduce Chinese museum
professionals to American museum practices 9,500

MUSEUMS AND
ART CONSERVATION

Appropriated

(continued)

Philadelphia Museum of Art,
Philadelphia, Pennsylvania:

To establish a permanent endowment for the Senior
Curatorship of Costume and Textiles; to establish a
permanent endowment for the Associate Curatorship
of Arms and Armor; and to support the Associate
Curatorship of Arms and Armor while endowment
funds are raised 2,175,000

The Pierpont Morgan Library,
New York, New York:

To endow the Department of Medieval and
Renaissance Manuscripts 2,250,000

Smithsonian Institution,
Washington, DC:

To establish a permanent endowment for a senior
scientist, and to partially support two research
scientists at the Freer Gallery of Art/
Arthur M. Sackler Gallery 1,755,000

To support the continuation of advanced training
opportunities in archeological and ethnographic
conservation at the National Museum of the
American Indian 1,000,000

To support a program to introduce Chinese museum
professionals to American museum practices at the
Freer Gallery of Art/Arthur M. Sackler Gallery 172,000

University of Delaware,
Newark, Delaware:

To establish a permanent endowment for a
professorship in conservation science, to support the
professorship while endowment funds are raised,
and to purchase essential scientific equipment 1,330,000

MUSEUMS AND
ART CONSERVATION
(continued)

Appropriated

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

To establish a permanent endowment for the conservation
department, and to partially support the director of
conservation and the associate conservator while
endowment funds are raised 1,850,000

Worcester Art Museum,
Worcester, Massachusetts:

To support a position for a conservator-scientist 272,000

Total—Museums and Art Conservation \$15,836,000

PERFORMING ARTS

*Appropriated*Alabama Shakespeare Festival, Inc.,
Montgomery, Alabama:

To support artistic initiatives and organizational development	\$ 250,000
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Albany Symphony Orchestra, Inc.,
Albany, New York:

To support the Orchestra's American Music Festival . .	20,000
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Alliance of Resident Theatres,
New York, New York:

To support the Foundation's New York Theater Program and ongoing services to the field	1,400,000
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Alvin Ailey Dance Foundation, Inc.,
New York, New York:

To endow the New Works Fund	1,000,000
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American Conservatory Theatre Foundation,
San Francisco, California:

To support artistic initiatives and organizational development	300,000
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American Music Center, Inc.,
New York, New York:

To support services to the field of contemporary American music	200,000
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American Symphony Orchestra League,
New York, New York:

To endow leadership training programs	1,450,000
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To support a postgraduate training program for American conductors	1,000,000
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Ballet Tech Foundation, Inc.,
New York, New York:

To support the Ballet Tech School	20,000
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PERFORMING ARTS

Appropriated

(continued)

Baltimore Symphony Orchestra, Inc.,
Baltimore, Maryland:

To support organizational and artistic development . . . 850,000

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

To endow opera and music theater programs 1,000,000

Byrd Hoffman Water Mill Foundation,
New York, New York:

To support the Robert Wilson photo archive
digitization project 35,000

Center Stage Associates, Inc.,
Baltimore, Maryland:

To support artistic initiatives and organizational
development 225,000

Dance Exchange, Inc.,
Tacoma Park, Maryland:

To support artistic work and a leadership transition . . . 300,000

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

To support New York City performances 20,000

Guthrie Theatre Foundation,
Minneapolis, Minnesota:

To support artistic initiatives and organizational
development 250,000

Hispanic Culture Foundation,
Albuquerque, New Mexico:

To support the Barelas Neighborhood project
in collaboration with the New Mexico Symphony 20,000

PERFORMING ARTS

Appropriated

(continued)

Intiman Theatre,
Seattle, Washington:

To support artistic initiatives and organizational development	150,000
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Jacob's Pillow Dance Festival, Inc.,
Lee, Massachusetts:

To provide endowment support	750,000
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Los Angeles Philharmonic Association,
Los Angeles, California:

To support a new concert series called <i>First Nights: An Introduction to the Great Works</i>	50,000
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The Louisiana Philharmonic Orchestra,
New Orleans, Louisiana:

To support organizational and artistic development . .	800,000
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McCarter Theatre Company,
Princeton, New Jersey:

To support artistic initiatives and organizational development	175,000
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Metropolitan Opera Association, Inc.,
New York, New York:

To support a production of Hector Berlioz's <i>Benvenuto Cellini</i>	750,000
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Music at the Anthology Inc.,
Brooklyn, New York:

To support its festival for emerging composers	5,000
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New Mexico Symphony Orchestra,
Albuquerque, New Mexico:

To support organizational and artistic development . .	600,000
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New York City Ballet, Inc.,
New York, New York:

To support the Balanchine centennial season	400,000
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PERFORMING ARTS

Appropriated

(continued)

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

To support artistic initiatives and organizational
development 225,000

Nikolais Louis Foundation for Dance, Inc.,
New York, New York:

To support the reconstruction of seven dances by
choreographer Alwin Nikolais 10,000

Philadelphia Orchestra Association,
Philadelphia, Pennsylvania:

To support organizational and artistic development . . 400,000

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

To support artistic initiatives and organizational
development 225,000

Richmond Symphony,
Richmond, Virginia:

To support organizational and artistic development . . 700,000

Saint Paul Chamber Orchestra Society,
St. Paul, Minnesota:

To support strategic planning 40,000

The Santa Fe Opera,
Santa Fe, New Mexico:

To support the company's world premiere of
Bright Sheng's *Madame Mao* 25,000

Saratoga International Theater Institute, Inc.,
New York, New York:

To support the development of three new works:
systems/layers; *A Midsummer Night's Dream*; and
Death and the Ploughman 25,000

PERFORMING ARTS

Appropriated

(continued)

Seattle Symphony Orchestra, Inc.,
Seattle, Washington:

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

The Shakespeare Theatre,
Washington, DC:To support artistic initiatives and organizational
development 275,000Spanish Theatre Repertory Company, Ltd.,
New York, New York:To support artistic initiatives and organizational
development 225,000St. Luke's Chamber Ensemble, Inc.,
New York, New York:

To support organizational and artistic development . . . 600,000

Sundance Institute,
Salt Lake City, Utah:To support artistic initiatives and organizational
development 200,000Theatre de la Jeune Lune,
Minneapolis, Minnesota:To support artistic initiatives and organizational
development 150,000Theatre for a New Audience, Inc.,
New York, New York:To support artistic initiatives and organizational
development 225,000Trinity Repertory Company,
Providence, Rhode Island:To support artistic initiatives and organizational
development 225,000

PERFORMING ARTS

(continued)

Appropriated

Utah Opera Company, Salt Lake City, Utah:	
To support activities facilitating the merger of the Utah Symphony and the Utah Opera	20,000
Yale University, New Haven, Connecticut:	
To support artistic initiatives and organizational development	150,000
Total—Performing Arts	<u><u>\$16,540,000</u></u>

HIGHER EDUCATION AND SCHOLARSHIP

Appropriated

The After-School Corporation, New York, New York:

To support a teacher recruitment program to encourage men of color to enter the teaching profession in New York City public schools \$ 50,000

Allegheny College, Meadville, Pennsylvania:

To support programs to strengthen faculty advising . . 215,000

American Academy in Rome, New York, New York:

To support planning to expand access to the American Academy in Rome's scholarly resources . . . 10,000

American Anthropological Association, Arlington, Virginia:

To support an online scholarly portal called AnthroSource 756,000

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

To support the Charles A. Ryskamp Research Fellowship program for advanced junior faculty members in the humanities and humanistic social sciences 4,318,000

To support the Frederick Burkhardt Residential Fellowships for Recently Tenured Scholars 963,000

To support costs associated with organizational transition 90,000

To support the creation of a commission to report on the prospects of advancing digitally-based scholarship in the humanities 35,000

To support the planning of a report on the prospects of advancing digitally-based scholarship in the humanities 5,700

HIGHER EDUCATION AND SCHOLARSHIP

Appropriated

(continued)

American Folklore Society, Inc., Columbus, Ohio:

To support work on an ethnographic thesaurus 484,000

American Indian College Fund, Denver, Colorado:

To support efforts to increase the number of doctoral recipients among faculty members at four-year institutions that are members of AICF, and to provide additional teaching and learning opportunities for faculty members at these institutions 450,000

American Philological Association, Inc., Philadelphia, Pennsylvania:

To support innovations and improvements
in *l'Année philologique* 256,000

American Philosophical Society, Philadelphia, Pennsylvania:

To support plans to reconfigure the space in its library 50,000

American School of Classical Studies at Athens, Princeton, New Jersey:

To support a plan for an integrated library and information system 32,300

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

To support new curricular initiatives for undergraduate students 350,000

To support programs to redesign and strengthen library services 145,000

HIGHER EDUCATION AND SCHOLARSHIP

Appropriated

(continued)

Antioch University, Yellow Springs, Ohio:

To support an Antioch College Web site designed to enhance its admissions, public relations, and development offices	50,000
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Appalachian College Association, Berea, Kentucky:

To support collaborative projects that provide additional career opportunities to faculty and staff at member colleges	355,000
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To support the faculty fellowship program	150,000
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To support inter-institutional collaborative projects that enhance the academic programs at member colleges	95,000
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ARTstor Inc., New York, New York:

To support a fund for ongoing operating expenses . . .	5,000,000
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To support collection development	2,485,000
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To support various small-scale content development projects	1,000,000
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Asian University for Women Support Foundation, New York, New York:

To support planning for the Asian University for Women	100,000
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Associated Colleges of the Midwest, Inc., Chicago, Illinois:

To support faculty career enhancement	45,000
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HIGHER EDUCATION AND SCHOLARSHIP

Appropriated

(continued)

Association of Black Foundation Executives, Inc., New York, New York:

To support professional development programs for Association members to enhance their skills in the field of philanthropy	15,000
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Atlanta University Center, Inc., Atlanta, Georgia:

To support the Robert W. Woodruff Library	75,000
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Austin College, Sherman, Texas:

To support student faculty collaborative research in the social sciences and humanities	150,000
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Balboa Art Conservation Center, San Diego, California:

To support the implementation of services and activities that improve preservation field service programs	150,000
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Bard College, Annandale-on-Hudson, New York:

To support an interdisciplinary collaborative program in human rights, sponsored by seven Southern African universities and seven United States liberal arts colleges	420,000
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Barnard College, New York, New York:

To support a postdoctoral fellowship program in the humanities	500,000
To support the further development of its media center	150,000

Bennett College, Greensboro, North Carolina:

To support curricular and archival work	300,000
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HIGHER EDUCATION AND SCHOLARSHIP

Appropriated

(continued)

Bennington College, Bennington, Vermont:

To support faculty career enhancement 200,000

Boston University, Boston, Massachusetts:

To support the development of a bibliographic
database for East Asian archaeology 140,000

Bowdoin College, Brunswick, Maine:

To support strengthening selected aspects of its
programs 50,000

Bridgewater State College, Bridgewater, Massachusetts:

To support the president's discretionary fund 3,000

The British Library, London, United Kingdom:

To support the conservation, digitization, and
documentation of scrolls held by the Institute of
Oriental Studies to be represented in the Mellon
International Dunhuang Archive 237,000

To support the digitization and documentation of
images to be included in ARTstor 182,000

Brown University, Providence, Rhode Island:

To support residential fellowships at the
John Carter Brown Library 1,415,000

To support workshops for graduate students and
faculty members in the humanities and humanistic
social sciences 225,000

HIGHER EDUCATION AND SCHOLARSHIP

Appropriated

(continued)

Bryn Mawr College, Bryn Mawr, Pennsylvania:

To support a permanent endowment for the Hanna
Holborn Gray Undergraduate Research Program
in the Humanities and Humanistic Social Sciences . . . 1,500,000

To support core programs in the humanities 570,000

California Institute of Technology, Pasadena, California:

To support research and teaching activities in the
humanities 593,000

To support dissertation seminars in the humanities . . . 131,000

Canadian Centre for Architecture, Montreal, Canada:

To support visiting fellowships for senior scholars . . . 244,000

Cape Higher Education Consortium, Rondebosch, South Africa:

To support the establishment of South African-based
Higher Education Resource Services (HERS-South
Africa) to serve a consortium of five higher education
institutions in the Western Cape (University of Cape
Town, University of the Western Cape, Stellenbosch
University, Cape Technikon, and the Peninsula
Technikon) 79,000

Carleton College, Northfield, Minnesota:

To support programs to redesign and strengthen
library services 49,000

Carnegie Mellon University, Pittsburgh, Pennsylvania:

To support a New Directions Fellowship 142,000

To support the creation of a summer program in informa-
tion science and technology for historically black colleges
and universities' undergraduates and faculty members . 43,000

HIGHER EDUCATION AND SCHOLARSHIP

Appropriated

(continued)

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

To support fellowships for humanists 1,610,000

Colby College, Waterville, Maine:

To support academic programs being developed in
public affairs and civic engagement 300,000

Colgate University, Hamilton, New York:

To support the establishment of an institute to foster
understanding of the relationship of a liberal arts
education to the workings of democracy 50,000

Colorado College, Colorado Springs, Colorado:

To support strengthening selected aspects of its
programs 50,000

Columbia University, New York, New York:

To support the retrospective conversion of library
card catalogs to electronic format 811,000

To support improved access to library special
collections 205,000

To support initiatives at the Heyman Center for the
Humanities aimed at strengthening its role in the
instructional and scholarly activities of the University 80,000

To support the production and dissemination of
educational materials on the role of affirmative
action in higher education 50,000

To support the development of a prototype database
of images, measurements, and descriptions of
Romanesque churches for the detailed study of
architectural practice in late medieval France 50,000

HIGHER EDUCATION AND SCHOLARSHIP

Appropriated

(continued)

To support initial work on a study of the conception and treatment of archives under copyright, tort, and contract laws	41,000
Connecticut College, New London, Connecticut:	
To support a strategic planning process to promote educational effectiveness	50,000
Connecticut Independent College and University Institute for Research and Public Service, Inc., West Hartford, Connecticut:	
To support the development of a business plan for an administrative services collaboration among the 16 independent institutions in Connecticut	15,000
Conservation Center for Art and Historic Artifacts, Philadelphia, Pennsylvania:	
To support the implementation of services and activities that would improve preservation field service programs	150,000
Cornell University, Ithaca, New York:	
To support the development of a collaborative program in digital librarianship with Clark Atlanta University . .	75,000
Council on Library and Information Resources, Washington, DC:	
To support a fellowship program for archival research for graduate students in the humanities	778,000
To provide general operational support	750,000
To support programs to redesign and strengthen library services	600,000
To support the development of library programs in liberal arts colleges	49,000

HIGHER EDUCATION AND SCHOLARSHIP

Appropriated

(continued)

To support the development of functional requirements for the interaction between digital libraries and learning management systems	36,000
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Dance Heritage Coalition, Inc., Washington, DC:

To support an experimental study to determine the most appropriate methods of preserving analog videotapes by transferring them to digital format	141,000
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Dartmouth College, Hanover, New Hampshire:

To support an Emeritus Fellowship	55,000
To support an Emeritus Fellowship	50,000

Davidson College, Davidson, North Carolina:

To support programs designed to increase faculty involvement in residential life	130,000
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Denison University, Granville, Ohio:

To support faculty career enhancement	650,000
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DePauw University, Greencastle, Indiana:

To support faculty career enhancement	2,500,000
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Dillard University, New Orleans, Louisiana:

To support the Archives and Special Collections department	265,000
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HIGHER EDUCATION AND SCHOLARSHIP

Appropriated

(continued)

Duke University, Durham, North Carolina:

To support postdoctoral fellowships in the humanities and humanistic social sciences	1,800,000
To support the Summer Research Opportunities Program	275,000
To support costs associated with the American Economic Association Summer Program	50,000

Emory University, Atlanta, Georgia:

To support the development of computational linguistic techniques for retrieving information from large, disparate aggregations of scholarly materials . . .	435,000
To support a fellowship program in collaboration with Agnes Scott College, Clark Atlanta University, Dillard University, Morehouse College, and Spelman College, for advanced graduate students at Emory to teach at these institutions	247,000
To support the planning of a project that would use computational linguistic tools to enhance the results of metadata harvesting	12,000

Five Colleges, Inc. Amherst, Massachusetts:

To support language offerings for independent learners at the five colleges	535,000
To support new cooperative efforts in administrative areas	275,000
To support a program for mid-career scholars of Africa	50,000

Folger Shakespeare Library, Washington, DC:

To support residential fellowships	1,250,000
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HIGHER EDUCATION AND SCHOLARSHIP

Appropriated

(continued)

The Foundation of Tertiary Institutions of the Northern Metropolis, Braamfontein, Johannesburg, South Africa:

To manage the purchase and implementation of a new integrated library management system at the University of Namibia and to include the University's library in FOTIM's Gauteng and Environs Library and Information Consortium	500,000
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Franklin & Marshall College, Lancaster, Pennsylvania:

To support strengthening selected aspects of its programs	50,000
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Furman University, Greenville, South Carolina:

To support research and internship opportunities for students	150,000
To support a program that integrates technology with multidisciplinary collaborative teaching	25,500

The Gehua Center for Chinese Antiquities, Beijing, China:

To support the planning of an Education and Exhibition Center for World Art History in Beijing . . .	25,500
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Graduate School and University Center, City University of New York, New York, New York:

To support initiatives at the Center for the Humanities aimed at strengthening its role in the instructional and scholarly activities of the University	358,000
To support an Emeritus Fellowship	46,000
To support an Emeritus Fellowship	46,000
To support a study comparing the outcomes of open admissions at CUNY with national data on the effects of a college education	30,000

HIGHER EDUCATION AND SCHOLARSHIP

Appropriated

(continued)

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

To support strengthening the Midwest Instructional Technology Center	408,000
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Grinnell College, Grinnell, Iowa:

To support strengthening and expanding the Consortium for a Strong Minority Presence	40,000
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Hampshire College, Amherst, Massachusetts:

To support the Pathways to College program	50,000
To support the development of a plan to restructure Division II work	30,000

Harvard University, Cambridge, Massachusetts:

To support a Distinguished Achievement Award	1,500,000
To support a program of assistance to Latin American libraries and archives	1,130,000
To support doctoral training in the history of Latin America	500,000
To support international scholarly collaboration on the history of the Sino-Japanese War of 1937-45	140,000
To support the digitization and documentation of images to be included in ARTstor	105,000
To support research on the effects of multicultural programs on the racial climate of colleges and universities	50,000
To support an Emeritus Fellowship	50,000

Harvey Mudd College, Claremont, California:

To support faculty career enhancement	650,000
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HIGHER EDUCATION AND SCHOLARSHIP

Appropriated

(continued)

Haverford College, Haverford, Pennsylvania:

To support programs designed to increase faculty involvement in residential life	100,000
To support research fellowships for retired faculty members in the humanities and humanistic social sciences .	50,000
To support a conference with peer institutions on effective bridge programs for entering first-year students who have weak high school preparation in key curricular areas	30,000

The IHR Trust, London, United Kingdom:

To support the completion of a biography of Andrew W. Mellon, and related activities	453,000
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Indiana University, Bloomington, Indiana:

To support the development of a suite of open source electronic portfolio tools that serve institutions of higher education	518,000
To support the development of a Digital Library of the Commons, and a series of planning studies that would define an agenda for research on the role of information in scholarly communications	425,000

Institute for Advanced Study, Princeton, New Jersey:

To support the fellowship program at the School of Historical Studies	25,000
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HIGHER EDUCATION AND SCHOLARSHIP

Appropriated

(continued)

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

To support a discretionary capital fund	6,000,000
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To support a study of the attitudes of faculty toward electronic scholarly resources	260,000
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James Madison University, Harrisonburg, Virginia:

To support the development of an online content delivery system for digitized images compatible with the ARTstor database	50,000
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Johns Hopkins University, Baltimore, Maryland:

To support postdoctoral fellowships in the humanities and humanistic social sciences	439,000
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To support the development of a plan to integrate the University's digital library initiatives more effectively with the library's core operations	50,000
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Johnson C. Smith University, Charlotte, North Carolina:

To support strategic planning activities	325,000
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Kalamazoo College, Kalamazoo, Michigan:

To support initiatives recommended in a recent planning process and to establish a presidential discretionary fund to enable timely support for faculty and staff initiatives	150,000
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Knox College, Galesburg, Illinois:

To strengthen curricular programs and faculty career enhancement	200,000
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HIGHER EDUCATION AND SCHOLARSHIP

Appropriated

(continued)

Lafayette College, Easton, Pennsylvania:

To strengthen curricular programs and faculty career enhancement	200,000
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Lake Forest College, Lake Forest, Illinois:

To support programs to strengthen library services . . .	200,000
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Lehigh University, Bethlehem, Pennsylvania:

To support planning for substantial curricular revision and enhancement	140,000
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Library Company of Philadelphia, Philadelphia, Pennsylvania:

To support the establishment of the Society of Historians of the Early American Republic in Philadelphia	37,500
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Macalester College, St. Paul, Minnesota:

To support the appointment of new junior or intermediate faculty members in the humanities and social sciences in advance of faculty retirements	800,000
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Massachusetts Historical Society, Boston, Massachusetts:

To support fellowships offered through the New England Regional Fellowship Consortium	135,000
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Massachusetts Institute of Technology, Cambridge, Massachusetts:

To partially support the first year of Phase Two of MIT's OpenCourseWare project, a large-scale Web-based initiative to provide free worldwide access to the educational content of all courses taught throughout the institution	3,000,000
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HIGHER EDUCATION AND SCHOLARSHIP

Appropriated

(continued)

To support the Forum for the Future of Higher Education	300,000
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To support the expansion of Project Interphase	36,000
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To support two projects: Tufts Visual Understanding Environment, and Stanford Assignment and Assessment Manager	25,000
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McDaniel College, Westminster, Maryland:

To support curriculum review and faculty career enhancement	48,000
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Middlebury College, Middlebury, Vermont:

To support strengthening programs in educational technology	720,000
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To support the development of computational linguistic techniques for retrieving information from large, disparate aggregations of scholarly materials . . .	596,000
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To support a regional center in educational technology	400,000
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Mills College, Oakland, California:

To support a curricular planning process to enhance the academic excellence of its liberal arts program . . .	45,000
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Morehouse College, Atlanta, Georgia:

To support curricular revisions	300,000
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To support the Atlanta University Center/University of Minnesota honors program	37,000
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HIGHER EDUCATION AND SCHOLARSHIP

Appropriated

(continued)

Mount Holyoke College, South Hadley, Massachusetts:

To support new curricular initiatives for under-graduate students	250,000
To support collaboration between the College and its Alumnae Association	150,000
To support programs designed to increase faculty involvement in residential life	100,000
To support the presidential discretionary fund	5,000

Mystic Seaport Museum, Inc., Mystic, Connecticut:

To support a survey and analysis of scholarly research needs for museum and library resources in the field of American maritime history	45,000
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National Academy of Sciences, Washington, DC:

To partially support a study of research-doctorate programs in the United States	700,000
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National Association of College and University Business Officers, Washington, DC:

To support the exploration of the feasibility of an open source financial system for higher education	45,000
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National Collegiate Athletic Association, Indianapolis, Indiana:

To support a study on capital expenses in athletics . . .	50,000
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National Humanities Center, Research Triangle Park, North Carolina:

To support the Center's core fellowship program	400,000
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HIGHER EDUCATION AND SCHOLARSHIP

Appropriated

(continued)

The Needham Research Institute, Cambridge, United Kingdom:

To support archiving the papers of Joseph Needham and access to JSTOR	210,000
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New England Association of Schools & Colleges, Inc., Bedford, Massachusetts:

To support a pilot project to develop better assessment methodology for teaching and learning at member colleges	40,000
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New Jersey Historical Society, Newark, New Jersey:

To support the retrospective conversion of library card catalogs to electronic format	461,000
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New School University, New York, New York:

To support new curricular initiatives for under- graduate students	185,000
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New York Public Library, New York, New York:

To support a study of the restructuring and integration of the Library's divisions so as to achieve economies and improve services	375,000
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New York University, New York, New York:

To support graduate training in the history of Latin American art	244,000
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To support a New Directions Fellowship	128,000
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HIGHER EDUCATION AND SCHOLARSHIP

Appropriated

(continued)

Newberry Library, Chicago, Illinois:

To support residential fellowships	1,450,000
To support the retrospective conversion of library card catalogs to electronic format	750,000

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

To improve access to library special collections	464,000
To support the development of a documentary film, entitled <i>Objects and Memory</i>	20,000

Northeast Document Conservation Center, Andover, Massachusetts:

To support the implementation of services and activities that would improve preservation field service programs	150,000
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Northwestern University, Evanston, Illinois:

To support postdoctoral fellowships in the humanities and humanistic social sciences	1,000,000
To support the development of electronic tools for the study and analysis of literary texts	213,000

Oberlin College, Oberlin, Ohio:

To achieve a more suitable faculty-student ratio in the College of Arts and Sciences, and to meet important curricular goals	500,000
To launch the initial phase of a planned collaborative program that would recruit undergraduate students to the library profession	500,000

HIGHER EDUCATION AND SCHOLARSHIP

Appropriated

(continued)

Ohio State University, Columbus, Ohio:

To support continued work on the selection, documentation, and digitization of images of Asian art and architecture to be incorporated in ARTstor's Image Gallery	35,000
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Omohundro Institute of Early American History and Culture, Williamsburg, Virginia:

To support postdoctoral fellowships	300,000
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Open Source Applications Foundation, San Francisco, California:

To support the development of a next generation, open source personal information manager designed for use in higher education	1,500,000
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To develop a design specification, schedule, and budget outline to modify Chandler, an open source personal information manager technology geared to the needs of higher education	98,000
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The Open University, Milton Keynes, United Kingdom:

To support an evaluation study of the use of instructional technologies in distance learning	140,000
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Pennsylvania State University, University Park, Pennsylvania:

To support the development and deployment of a peer-to-peer network infrastructure for academic purposes	1,171,000
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To support additional meetings of a Sawyer Seminar on the historical and cultural source of significant contemporary developments: "Contact and Cultural Transmission in the 'Axial Age' Mediterranean"	11,000
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HIGHER EDUCATION AND SCHOLARSHIP

Appropriated

(continued)

Phi Beta Kappa Society, Washington, DC:

To support the launch of a new visiting scholars program	100,000
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Pitzer College, Claremont, California:

To support the design of new models of foreign study for undergraduate students	300,000
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To support strengthening selected aspects of its programs	50,000
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Princeton University, Princeton, New Jersey:

To support a Distinguished Achievement Award	1,500,000
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To support data collection and management for the Foundation's Graduate Education Initiative	741,000
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To support core activities of the University's Survey Research Center	500,000
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To support a study of college enrollments in Texas before and after the <i>Hopwood v. Texas</i> decision	200,000
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To support planning for the presidential series of <i>The Papers of Thomas Jefferson</i>	133,000
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To support a dissertation seminar	120,000
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To support an Emeritus Fellowship	55,000
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To support an Emeritus Fellowship	55,000
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To support an Emeritus Fellowship	55,000
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Recorded Anthology of American Music, Inc., New York, New York:

To support further development of the Database of Recorded American Music	675,000
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HIGHER EDUCATION AND SCHOLARSHIP

Appropriated

(continued)

Reed College, Portland, Oregon:

To support strengthening selected aspects of its programs	50,000
To support planning for the Orbis-Cascade Consortium	35,000

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

To support the implementation of a Web-based interface for its union database of library catalogs	700,000
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Rhodes College, Memphis, Tennessee:

To support faculty career enhancement	650,000
To support a student labor program	200,000

Rochester Institute of Technology, Rochester, New York:

To support a study that would establish benchmarks for the quality of digital imaging	164,000
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Royal Holloway and Bedford New College, Egham, United Kingdom:

To support the development of digital tools and resources for the distribution and study of medieval music transcripts	190,000
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The Royal Society, London, United Kingdom:

To support the cataloging of archival special collections	300,000
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Rutgers, The State University of New Jersey, New Brunswick, New Jersey:

To support a New Directions Fellowship	121,000
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HIGHER EDUCATION AND SCHOLARSHIP

Appropriated

(continued)

Saint Augustine's College, Raleigh, North Carolina:

To strengthen curricular programs and provide career enhancement opportunities for faculty	475,000
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Sarah Lawrence College, Bronxville, New York:

To support programs designed to increase faculty involvement in residential life	100,000
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School of American Research, Santa Fe, New Mexico:

To support the development of a Center for Digital Archaeology	71,000
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Skidmore College, Saratoga Springs, New York:

To support faculty career enhancement	600,000
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Smith College, Northampton, Massachusetts:

To support programs designed to increase faculty involvement in residential life	130,000
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To support the presidential discretionary fund	5,000
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South African National Parks, Pretoria, South Africa:

To support strengthening the library and archival functions of South African National Parks	60,300
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HIGHER EDUCATION AND SCHOLARSHIP

Appropriated

(continued)

Southeastern Library Network, Inc., Atlanta, Georgia:

To support strengthening libraries and archives at private, historically black colleges and universities	160,000
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To support the implementation of services and activities that would improve preservation field service programs	50,000
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Southern Education Foundation, Inc., Atlanta, Georgia:

To support the Instructional Technology Assistance Project	489,000
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Southwestern University, Georgetown, Texas:

To support planning for curricular revision and enhancement	42,000
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Spelman College, Atlanta, Georgia:

To support programs designed to increase faculty involvement in residential life	100,000
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St. Lawrence University, Canton, New York:

To support programs to strengthen library services . . .	250,000
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St. Mary's College of Maryland, St. Mary's City, Maryland:

To support new curricular initiatives for undergraduate students	150,000
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To support the design of new models of foreign study for undergraduate students	100,000
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HIGHER EDUCATION AND SCHOLARSHIP

Appropriated

(continued)

Stanford University, Stanford, California:

To support the further development and
implementation of a distributed system for
the long-term archiving of electronic journals 1,000,000

To support research workshops for faculty members
and advanced graduate students 1,000,000

To support the retrospective conversion of library
card catalogs to electronic format 800,000

To support an Emeritus Fellowship 55,000

To support the development of a prototype database
and workspace for the discovery, display, and study
of medieval manuscripts 49,000

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

To support work on the Image of France database
of 19th-century prints 40,000

State University of New York at Stony Brook, Stony Brook, New York:

To support the travel of a team of archaeologists who
would assist staff at the Iraq Museum in creating an
inventory of looted materials 12,500

Stellenbosch University, Matieland, South Africa:

To support graduate and postdoctoral fellowships
in the humanities, social sciences, and sciences for
students from disadvantaged backgrounds 1,000,000

Swarthmore College, Swarthmore, Pennsylvania:

To support strengthening selected aspects of its
programs 250,000

HIGHER EDUCATION AND SCHOLARSHIP

Appropriated

(continued)

Technical University of Łódź, Łódź, Poland:

To support the acquisition of software and hardware which will strengthen the library consortium in Łódź .	53,000
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The Textile Museum of DC, Washington, DC:

To support the retrospective conversion of library catalog records to modern electronic formats	171,000
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Tougaloo College, Tougaloo, Mississippi:

To support the development of an information literacy program	100,000
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Trinity College, Hartford, Connecticut:

To support strengthening selected aspects of its programs	50,000
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Tufts University, Medford, Massachusetts:

To support postdoctoral fellowships in the humanities and humanistic social sciences	992,000
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Tulane University, New Orleans, Louisiana:

To support the summer transition program	200,000
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Union College, Schenectady, New York:

To support the implementation of the consorial post-retirement medical insurance entity	1,300,000
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HIGHER EDUCATION
AND SCHOLARSHIP

Appropriated

(continued)

To support continuing work on the retiree health insurance consortium for liberal arts colleges and, more broadly, for private higher education and education-related not-for-profit organizations 175,000

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

To support efforts to increase the number of doctoral recipients among faculty members at four-year institutions that are members of UNCF, and to provide additional teaching and learning opportunities for faculty members at these institutions 1,600,000

University of California at Berkeley,
Berkeley, California:

To support postdoctoral fellowships in the humanities and humanistic social sciences 1,668,000

To support the implementation of a program to enhance undergraduate student research and information skills 749,000

To support initiatives at the Doreen B. Townsend Center for the Humanities aimed at strengthening its role in the instructional and scholarly activities of the University 306,000

To support an evaluation study of the use of freely-available digital scholarly collections in humanities and social sciences undergraduate instruction 250,000

To support an Emeritus Fellowship 55,000

To support the development of software needed to translate electronic resources from one format to another 49,000

HIGHER EDUCATION AND SCHOLARSHIP

Appropriated

(continued)

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

To support research on factors affecting minority high school students' decisions to attend college and on the effects of recent rulings barring the use of race in college admissions decisions	50,000
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To support a study to test the feasibility of developing a large-scale virtual reality model of a medieval monastery as specified in the St. Gall architectural plan . . .	24,000
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University of California at San Diego, La Jolla, California:

To support continued development of a prototype union catalog for art images	612,000
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To support the production of digitized images to be included in ARTstor's Image Gallery	46,000
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To support quality control work on images digitized from the University's art history slide collection	33,500
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University of California at Santa Barbara, Santa Barbara, California:

To support a dissertation seminar in the humanities . .	181,000
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University of Cambridge, Cambridge, United Kingdom:

To support the conservation of archival collections at the Churchill Archives Centre	80,000
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University of Cape Town, Cape Town, South Africa:

To support the appointment of 23 new black faculty members in the Faculty of Humanities	1,000,000
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HIGHER EDUCATION AND SCHOLARSHIP

Appropriated

(continued)

To provide fellowships for a third cohort of faculty in the humanities section in the University Science, Humanities and Engineering Partnerships in Africa program and to provide small grants that will enable graduates to continue their research at their home institutions	530,000
To support research on higher education in South Africa	300,000
To support the digitization of the Bleek and Lloyd Archive	50,000
To support planning meetings to evaluate instructional technologies developed at an American university for use in teaching population statistics in a South African university	48,500
To support the digitization of archives at the Center for Popular Memory	33,000

University of Chicago, Chicago, Illinois:

To provide permanent endowment funding for the Hanna Holborn Gray Advanced Graduate Fellowships in the Humanities and Humanistic Social Sciences . . .	3,000,000
To support a Distinguished Achievement Award	1,500,000
To further support the development of short-run digital printing services	1,252,000
To support doctoral training in the history of Latin America	1,000,000
To support an initiative to improve the teaching and learning of modern foreign languages	250,000
To support a New Directions Fellowship	163,000
To support a New Directions Fellowship	122,000

HIGHER EDUCATION AND SCHOLARSHIP

Appropriated

(continued)

To support an Emeritus Fellowship	54,000
To support an Emeritus Fellowship	53,000
To support an Emeritus Fellowship	18,000
To support the institutional subvention provided in a New Directions Fellowship, which was erroneously omitted from the original budget request	10,000

University of Durban-Westville, Durban, South Africa:

To support the preservation of oral history in the Kwa-Zulu Natal region of the South African Indian (South Asian) minority	33,000
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The University of Fort Hare, Alice, South Africa:

To support a merger office to facilitate the incorpora- tion of the East London campus of Rhodes University into The University of Fort Hare	100,000
To cover the costs of a study tour to Japan to conduct research on higher education in Africa	6,400

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

To support the development of a testbed that would stimulate research in the field of music information retrieval	390,000
To support institutes on governance for presidents of public colleges and universities	150,000
To support a plan for the development of software tools for the analysis of humanities content in digital libraries	56,000
To support a preliminary survey of the role of scholarly publishing in the tenure process in selected research institutions	50,000

HIGHER EDUCATION AND SCHOLARSHIP

Appropriated

(continued)

University of London, London, United Kingdom:

To support a fellowship program for archival research for graduate students in the humanities	553,000
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University of Maryland, Adelphi, Maryland:

To support collaborative research with Appalachian colleges	400,000
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To support a study of the use of digital rights management systems and their effects on institutions of higher education	130,000
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University of Massachusetts at Amherst, Amherst, Massachusetts:

To support general operations related to the Five Colleges consortium	3,000
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University of Michigan, Ann Arbor, Michigan:

To support the development of an open source course management system that would serve institutions of higher education	2,400,000
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To support a study of the structure of research university faculties	309,000
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To support the completion of the Detroit Arab-American Study	75,000
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To support the development of standardized metrics for assessing the use of primary source materials in libraries and archives	71,000
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University of Minnesota, Minneapolis, Minnesota:

To support planning for the development of a set of online scholarly resources related to the theme <i>Struggles for Freedom in Southern Africa</i>	36,000
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HIGHER EDUCATION AND SCHOLARSHIP

Appropriated

(continued)

University of Natal, Durban, South Africa:

To support completing the second phase of a national project to create a digital archive of scholarly materials related to the theme *Struggles for Freedom in Southern Africa* 1,150,000

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

To support a Distinguished Achievement Award 1,500,000

University of Oxford, Oxford, United Kingdom:

To support the retrospective conversion of library catalog records to modern electronic formats 1,140,000

To support further development of the Electronic Enlightenment database 801,000

To support a study of portraiture as historical evidence and to extend the research links between the Oxford Dictionary of National Biography, Oxford University, and the National Portrait Gallery 50,000

University of Pennsylvania, Philadelphia, Pennsylvania:

To support postdoctoral fellowships at the McNeil Center for Early American Studies 260,000

To support a New Directions Fellowship 168,000

To support an Emeritus Fellowship 45,000

University of Pittsburgh, Pittsburgh, Pennsylvania:

To support an evaluation of instructional technologies that use peer assessment to promote writing skills among undergraduates 350,000

HIGHER EDUCATION AND SCHOLARSHIP

Appropriated

(continued)

To support preliminary work on a meta-analysis of Foundation-funded studies of the use of electronic resources	15,000
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University of Puget Sound, Tacoma, Washington:

To support editorial costs for the preparation of the Greater London volumes of the <i>Records of Early English Drama</i> series	500,000
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To support programs designed to increase faculty involvement in residential life	67,000
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University of Rhode Island, Kingston, Rhode Island:

To support the development of a complete set of functional and resource requirements for an open source academic portfolio system	49,225
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University of Rochester, Rochester, New York:

To support the compilation of a comprehensive profile of member institutions of the National Collegiate Athletic Association's Division III	4,550
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University of Southern California, Los Angeles, California:

To support research and graduate training in early modern studies	629,000
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HIGHER EDUCATION AND SCHOLARSHIP

Appropriated

(continued)

To support the Mellon Minority Undergraduate Fellowship Program's Academic Support Project, which aims to improve the academic support and research skills of students	250,000
To support the organization and archival disposition of the papers of William O. Baker, and selected publication of his work	203,000
University of Texas at Austin, Austin, Texas:	
To improve access to library special collections	340,000
University of the South, Sewanee, Tennessee:	
To support a collaborative project that would improve academic advising at five liberal arts colleges	15,000
University of the Witwatersrand, Johannesburg, South Africa:	
To support the creation of a digital archive of South African rock art	560,000
To support the University of the Witwatersrand's Rock Art Research Institute work to create the South Africa Rock Art Digital Archive	19,000
University of Toronto, Toronto, Canada:	
To support increased operating expenses for "La Correspondence de Madame de Graffigny"	19,500
University of Virginia, Charlottesville, Virginia:	
To support a Distinguished Achievement Award	1,500,000
To support the development of digital resources in archaeology	683,000

HIGHER EDUCATION AND SCHOLARSHIP

Appropriated

(continued)

To support research and training in the economics of higher education	244,000
To support a New Directions Fellowship	127,000
To support a dissertation seminar	50,000

University of Washington, Seattle, Washington:

To support a study of the role race and ethnic inequality play in students' transitions from high school to college and of the impact of the Washington State Initiative 200 ballot referendum on minority college attendance	400,000
To support the participation of Mellon alumni at the Friday Harbor Laboratories Centennial Symposium . .	15,000

University of Wisconsin at Madison, Madison, Wisconsin:

To support editorial costs for the <i>Dictionary of American Regional English</i>	500,000
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Vassar College, Poughkeepsie, New York:

To support faculty career enhancement	650,000
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Wellesley College, Wellesley, Massachusetts:

To support programs designed to increase faculty involvement in residential life	69,000
To support the presidential discretionary fund	5,000

Wesleyan University, Middletown, Connecticut:

To support programs designed to increase faculty involvement in residential life	100,000
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HIGHER EDUCATION AND SCHOLARSHIP

Appropriated

(continued)

West Virginia Wesleyan College, Buckhannon, West Virginia:

To support curricular work	45,000
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Western Cape Tertiary Institutions Trust, Cape Town, South Africa:

To support the Aleph library system used by the Cape Library Consortium in the Western Cape of South Africa	42,000
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Whitman College, Walla Walla, Washington:

To support the development of library programs in liberal arts colleges	110,000
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Woodrow Wilson National Fellowship Foundation, Princeton, New Jersey:

To support The Andrew W. Mellon Foundation Fellowships in Humanistic Studies	4,600,000
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To renew fellowships for junior faculty who are preparing for tenure review	2,700,000
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Xavier University of Louisiana, New Orleans, Louisiana:

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

To support improvements in foreign language instruction	770,000
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To support doctoral training in the history of Latin America	750,000
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HIGHER EDUCATION AND SCHOLARSHIP		<i>Appropriated</i>
(continued)		
To support a New Directions Fellowship	230,000	
To support a New Directions Fellowship	152,000	
To support an Emeritus Fellowship	55,000	
To support the “Study of JSTOR Applications”	<u>35,000</u>	
Total—Higher Education and Scholarship	<u>\$132,231,975</u>	

POPULATION

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

To support research and training in the field of forced migration	\$ 900,000
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Georgetown University,
Washington, DC:

To support research and training in the field of forced migration	300,000
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Harvard University,
Cambridge, Massachusetts:

To support research and training programs in the field of forced migration	450,000
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International Rescue Committee, Inc.,
New York, New York:

To support the establishment of a policy research unit	600,000
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To support planning for the establishment of a policy research unit	25,000
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Massachusetts Institute of Technology,
Cambridge, Massachusetts:

To support research and training programs in the field of forced migration	360,000
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University of Pennsylvania,
Philadelphia, Pennsylvania:

To support research and training in the field of forced migration	625,000
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University of the Witwatersrand,
Johannesburg, South Africa:

To support research and training in the field of forced migration	<u>360,000</u>
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Total—Population	<u><u>\$ 3,620,000</u></u>
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PUBLIC AFFAIRS

Appropriated

The Aspen Institute, Inc.,
Washington, DC:

To support educational forums on public policy
issues for Members of Congress \$ 1,000,000

Harvard University,
Cambridge, Massachusetts:

To support a study by the Kennedy School of
Government of the economics of bandwidth and
information technology policies in developing
nations and a course to be based on this study 50,000

Total—Public Affairs \$ 1,050,000

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 support its Waste Prevention
and Recycling Service 30,000

Eviction Intervention Services,
New York, New York:

To provide general support 40,000

Foundation Center,
New York, New York:

To provide general support 30,000

Grantmakers in the Arts,
Seattle, Washington:

To support information services 10,000

Marymount Manhattan College,
New York, New York:

To support the Marymount Manhattan
Experience program 45,000

Mercy College,
Dobbs Ferry, New York:

To support improvements in career services 30,000

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

To provide general support 35,000

Total—Contributions \$ 255,000

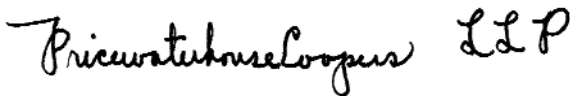
Grand Totals \$181,745,975

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, 2003 and 2002, and the change 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.

A handwritten signature in black ink that reads "PricewaterhouseCoopers LLP". The signature is written in a cursive, flowing style.

PricewaterhouseCoopers LLP
New York, New York
May 14, 2004

The Andrew W. Mellon Foundation

Balance Sheets

At December 31, 2003 and 2002

	<u>December 31,</u>	
	<u>2003</u>	<u>2002</u>
	<i>(in thousands)</i>	
ASSETS		
Investments:		
Marketable securities	\$2,972,487	\$2,532,039
Limited liquidity investments	1,089,089	935,119
Other	63,200	73,500
	<u>4,124,776</u>	<u>3,540,658</u>
Cash	2,269	2,764
Collateral under securities loan agreement	536,760	278,867
Investment and other income receivable	12,653	6,370
Receivable from unsettled securities sales	3,263	10,067
Tax refunds receivable	6,196	7,805
Other assets	347	225
Property, at cost less accumulated depreciation of \$4,978 and \$4,457 at December 31, 2003 and 2002, respectively	<u>33,382</u>	<u>32,731</u>
Total assets	<u>\$4,719,646</u>	<u>\$3,879,487</u>
LIABILITIES AND NET ASSETS		
Grants payable	\$ 6,533	\$ 8,130
Payable from unsettled securities purchases	2,158	23,598
Payable under securities loan agreement	536,760	278,867
Accrued expenses	4,561	2,710
Deferred federal excise tax	11,000	—
Long term debt	<u>28,500</u>	<u>28,500</u>
Total liabilities	589,512	341,805
Net assets (unrestricted)	<u>4,130,134</u>	<u>3,537,682</u>
Total liabilities and net assets	<u>\$4,719,646</u>	<u>\$3,879,487</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, 2003 and 2002

	<u>2003</u>	<u>2002</u>
	<i>(in thousands)</i>	
INVESTMENT RETURN:		
Gain (Loss) on investments:		
Realized	\$ 77,731	\$ (74,975)
Unrealized, net	672,827	(258,761)
Interest	21,301	26,268
Dividends	28,001	48,940
Other income	9,401	13,253
	809,261	(245,275)
Less: Investment management expenses	<u>(11,854)</u>	<u>(12,848)</u>
Net investment return	<u>797,407</u>	<u>(258,123)</u>
EXPENSES:		
Program grants and contributions, net	177,393	213,912
Grantmaking operations	9,378	8,507
Direct charitable activities:		
Digital initiatives—ARTstor and Ithaka	11,543	6,486
Research	1,410	1,401
Investment operations	2,678	2,672
Current provision for taxes	2,172	689
Other expenses	381	577
	<u>204,955</u>	<u>234,244</u>
Change in net assets	592,452	(492,367)
Net assets (unrestricted) at beginning of year	<u>3,537,682</u>	<u>4,030,049</u>
Net assets (unrestricted) at end of year	<u>\$4,130,134</u>	<u>\$3,537,682</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, 2003 and 2002

	<u>2003</u>	<u>2002</u>
	<i>(in thousands)</i>	
Cash flow from investment income and operations:		
Interest and dividends received	\$ 43,902	\$ 80,297
Other income received	9,618	13,203
Grant refunds received	169	1,004
Federal tax refund received	—	8
Grants and contributions paid	(179,159)	(222,663)
Investment expenses paid	(11,163)	(13,157)
Salaries and other operating expenses paid	(23,709)	(18,843)
Taxes paid	<u>(564)</u>	<u>(2,300)</u>
Net cash used by investment income and operations	<u>(160,906)</u>	<u>(162,451)</u>
Cash flow from investing activities:		
Proceeds from sales of marketable securities:		
Short-term	15,854,301	2,739,529
Other	4,124,504	3,212,604
Receipts from limited liquidity investments	237,243	86,364
Capital gain distributions received	3,943	16,874
Net returns on financial instruments	8,839	5,307
Purchases of marketable securities:		
Short-term	(16,062,253)	(2,626,398)
Other	(3,768,904)	(3,127,357)
Purchases of limited liquidity investments	(235,812)	(155,594)
Net additions to property and other assets	<u>(1,450)</u>	<u>(22,456)</u>
Net cash provided by investing activities	<u>160,411</u>	<u>128,873</u>
Cash flow from financing activities:		
Bond proceeds	—	28,500
Net decrease in cash	(495)	(5,078)
Cash at beginning of year	2,764	7,842
Cash at end of year	<u>\$ 2,269</u>	<u>\$ 2,764</u>
<i>Supplemental Disclosure of Noncash Investing Activities:</i>		
Distributions of securities received from limited liquidity investments	<u>\$ 13,237</u>	<u>\$ 7,949</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, 2003 and 2002

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

	<u>2003</u>	<u>2002</u>
	<i>(in thousands)</i>	
Change in net assets	<u>\$ 592,452</u>	<u>\$(492,367)</u>
Adjustments to reconcile change in unrestricted net assets to net cash used by investment income and operations:		
Realized (gain)loss on investments	(77,731)	74,975
(Increase) decrease in unrealized appreciation of investments	(683,827)	260,126
(Increase) decrease in income receivable	(6,283)	5,260
Decrease in grants payable	(1,597)	(7,747)
Increase in accrued expenses	1,851	—
Depreciation and amortization expense	521	491
Increase (decrease) in deferred federal excise tax payable	11,000	(1,365)
Decrease (increase) in tax refunds receivable	1,609	(1,604)
Net effect of bond amortization/accretion	<u>1,099</u>	<u>(220)</u>
Total adjustments	<u>(753,358)</u>	<u>329,916</u>
Net cash used by investment income and operations	<u><u>\$(160,906)</u></u>	<u><u>\$(162,451)</u></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”), 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 established 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 four core program areas: higher education; museums and art conservation; performing arts; 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. In 2003 and 2002, the Foundation provided major start-up support for two digital initiatives (ARTstor Inc. and Ithaka Harbors, Inc.) which became independent not-for-profit entities in 2003.

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.

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 historical cost, 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.

The other investment is the Foundation’s 100 percent interest in a trust which owns property from which the Foundation receives the net income. Other income is principally the

income from this trust, derived from royalties from coal mining, with minor amounts of income from timbering and oil and gas wells. The value of the Foundation's investment is determined based on an estimate of the discounted value of the anticipated future income from the remaining mineral reserves and of the value of the standing timber. The properties are recorded at an estimated current value of \$63.2 million at December 31, 2003 and \$73.5 million at December 31, 2002.

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, 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.

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" includes all costs related to appropriating, paying and administering grants. "Direct charitable activities" are the active programs conducted by the Foundation. "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

Notes to Financial Statements, (continued)

expenses of distribution for tax purposes as contrasted with the accrual basis used in preparing the accompanying financial statements.

The administrative expenses of distribution, including direct charitable activities, were \$22.3 million (12.6% of grants made) in 2003 compared to \$16.4 million (7.7% of grants made) in 2002. The increases in 2003 are primarily due to increases in expenditures for “direct charitable activities,” and especially to increases in expenditures for the Foundation’s digital initiatives (ARTstor Inc. and Ithaka Harbors, Inc.).

“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 2003 and 2002

	<u>2003</u>	<u>2002</u>
	<i>(in thousands)</i>	
Program grants and contributions, net	\$177,393	\$213,912
Salaries, pensions and benefits	13,533	11,134
Other operating expenses	11,857	8,509
Taxes	2,172	689
	<u>\$204,955</u>	<u>\$234,244</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 period. Actual results could differ from those estimates.

Reclassifications

Certain 2002 amounts have been reclassified to conform to the 2003 presentation.

NOTE 2—INVESTMENTS:

Marketable securities held at December 31, 2003 and 2002 are summarized as follows:

	<u>December 31, 2003</u>		<u>December 31, 2002</u>	
	<u>Market Value</u>	<u>Cost</u>	<u>Market Value</u>	<u>Cost</u>
	<i>(in thousands)</i>		<i>(in thousands)</i>	
Equities	\$2,128,673	\$1,759,512	\$1,680,824	\$1,851,523
Fixed income	435,816	434,567	634,799	636,306
Short-term	408,937	408,768	217,702	217,720
Derivative financial instruments	(939)	(1,793)	(1,286)	(1,500)
Total	<u>\$2,972,487</u>	<u>\$2,601,054</u>	<u>\$2,532,039</u>	<u>\$2,704,049</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. Much of the Foundation’s off-balance-sheet exposure represents strategies that are designed to reduce the interest rate and market risk inherent in portions of the Foundation’s investment program. Changes in the market values of these financial instruments are recognized currently in the Statement of 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, 2003 and 2002, the Foundation had forward currency contracts with notional amounts totaling \$1.2 million and \$5.9 million, respectively. At December 31, 2003, approximately \$1.2 million in assets and \$1.2 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, 2003 and 2002 amounted to approximately \$522 million and \$272 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 of the terms of their contracts.

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

Pursuant to its limited partnership agreements, the Foundation is committed to contribute approximately \$368 million as of December 31, 2003 in additional capital over the next ten years. Unpaid commitments at December 31, 2002 were \$470 million.

NOTE 3—BONDS PAYABLE:

In December 2002, the Foundation issued \$28.5 million in taxable term bonds with a final maturity of December 1, 2032 (The Andrew W. Mellon Foundation Series 2002 Bonds (the "Bonds")). The proceeds from the Bonds were used in 2002 for the acquisition of facilities owned by the Foundation in New York City and in 2003 for the improvement and rehabilitation of such facilities. The Bonds bear interest, payable monthly, based upon results of monthly auction procedures. The average interest rate applicable in 2003, was 1.25%. 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 2003 was \$357 thousand of which \$232 thousand was capitalized in connection with the project.

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 qualified for the 1 percent tax rate in 2003 and 2002. Certain income defined as unrelated business income by the Code may be subject to tax at ordinary corporate rates.

The provision for taxes consists of a current provision for the federal excise taxes on net investment income and federal and state taxes on unrelated business income and a deferred provision on the change in unrealized appreciation of investments. The current tax provision for 2003 comprises \$1.9 million of federal excise tax on net investment income and \$294 thousand in federal and state taxes on unrelated business income. The current provision in 2002 was \$203 thousand of federal excise tax on net investment income and \$486

Notes to Financial Statements, (continued)

thousand in federal and state taxes on unrelated business income. 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 in 2003 resulted in an increase of the deferred federal excise tax liability of \$11.0 million. In 2002, the deferred federal excise tax liability decreased by \$1.4 million.

NOTE 5—GRANTS, CONTRIBUTIONS, AND COMMITMENTS:

The following table of grant activity by major program area includes all grant appropriations approved during 2003. The grants payable and committed at December 31, 2002 have been restated to reflect cancellations of \$444 thousand.

	<i>Payable and Committed</i>	2003 <i>Grants and Commitments</i>		<i>Payable and Committed</i>
	<i>Dec. 31, 2002</i>	<i>Appropriated</i>	<i>Paid</i>	<i>Dec. 31, 2003</i>
		<i>(in thousands)</i>		
Conservation and the Environment	\$ 250	\$ 12,213	\$ 9,833	\$ 2,630
Museums and Art Conservation	13,773	15,836	13,299	16,310
Performing Arts	2,193	16,540	15,533	3,200
Higher Education and Scholarship	35,563	132,232	134,453	33,342
Population	3,628	3,620	4,731	2,517
Public Affairs	<u>292</u>	<u>1,050</u>	<u>1,050</u>	<u>292</u>
Program Grants and Commitments—Totals	\$55,699	\$181,491	\$178,899	\$58,291
Contributions	<u>5</u>	<u>255</u>	<u>260</u>	<u>—</u>
Totals	<u>\$55,704</u>	<u>\$181,746</u>	<u>\$179,159</u>	<u>\$58,291</u>

Grant and grant commitment activity is summarized below.

	<i>2003</i>	<i>2002</i>
	<i>(in thousands)</i>	
Grants Payable:		
Grants payable at January 1	\$ 8,130	\$ 15,877
Grant expense	177,562	214,916
Less grants paid	(179,159)	(222,663)
Grants payable at December 31	<u>\$ 6,533</u>	<u>\$ 8,130</u>
Net Grant Expense:		
Unconditional grants	141,148	\$ 192,703
Conditional grants meeting conditions for payment . .	36,414	22,213
	177,562	214,916
Less grant refunds	(169)	(1,004)
Totals	<u>\$177,393</u>	<u>\$ 213,912</u>

Net grant expense in 2002 included \$41.9 million of special grants made to assist New York City cultural and performing arts organizations that were directly affected by the events of September 11, 2001.

	<u>2003</u>	<u>2002</u>
	<i>(in thousands)</i>	
Grant Commitments:		
Grant commitments at January 1	\$ 48,018	\$ 39,542
Less commitments cancelled	(444)	(250)
Conditional grants appropriated	40,598	30,939
Less grants meeting conditions for payment	<u>(36,414)</u>	<u>(22,213)</u>
Grant commitments at December 31	<u>\$ 51,758</u>	<u>\$ 48,018</u>

NOTE 6—MASTER SERVICES AND LEASE AGREEMENT:

Effective January 1, 2004, the Foundation entered into a Master Services and Lease Agreement (the “Agreement”) with JSTOR, Ithaka Harbors, Inc. and ARTstor Inc. (collectively the “Affiliates”), pursuant to which the following services and arrangements will be provided:

1. Ithaka Harbors, Inc. (“Ithaka”) will provide information technology services to the Foundation and to the other Affiliates. Ithaka will also manage certain office facilities located in Princeton, New Jersey on behalf of the Foundation and the other Affiliates. Costs and expenses incurred by Ithaka in providing these services will be allocated and charged to the Foundation and to the other Affiliates.
2. The Foundation will provide office space, free of charge, to Ithaka and ARTstor Inc. 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 termination provisions.
3. The Foundation will provide human resource services to the Affiliates. Costs and expenses incurred by the Foundation in providing these services will be allocated and charged to the Affiliates. The Foundation will also provide, free of charge, certain investment services and legal advice to the Affiliates.

The Agreement provides that either the recipient of a service or the provider of a service may terminate the service with notice ranging from 60 days to 10 months depending on the type of service terminated.

