

Return of Organization Exempt From Income Tax

2000

Open to Public Inspection

Under section 501(c) of the Internal Revenue Code (except black lung benefit trust or private foundation) or section 4947(a)(1) nonexempt charitable trust

Department of the Treasury Internal Revenue Service

The organization may have to use a copy of this return to satisfy state reporting requirements

A For the 2000 calendar year, OR tax year period beginning 07/01, 2000, and ending 06/30/2001

B Check if applicable: Change of address, Change of name, Final return, Amend return. C Name of organization: NEW YORK ACADEMY OF SCIENCES. D Employer identification number: 13-1773640. E Telephone number: (212) 838-0230. F Check if application pending.

G Organization type (check only one): X 501(c)(03) (Insert no) 527 OR 4947(a)(1). Note (H and I are not applicable to section 527 orgs). H(a) Is this a group return for affiliates? Yes No X. H(b) If "Yes" enter number of affiliates. H(c) Are all affiliates included? (If "No" attach a list See inst) Yes No X. H(d) Is this a separate return filed by an organization covered by a group ruling? Yes No X. I Enter 4-digit group exemption no (GEN). L Check this box if the organization is not required to attach Schedule B (Form 990 or 990 EZ).

Part I Revenue, Expenses, and Changes in Net Assets or Fund Balances (See Specific Instructions on page 16)

Table with 21 rows and 4 columns: Description, Sub-description, Amount, and Total. Includes Revenue (lines 1-11), Expenses (lines 13-17), and Net Assets (lines 18-21). Total revenue: 8,801,076. Total expenses: 8,848,619. Net assets at end of year: 4,338,004.

ENVELOPE POSTMARK DATE JAN 17 2003

CANNED JAN 27 2003

RECEIVED JAN 29 2003 OGDEN UT

Part II Statement of Functional Expenses

All organizations must complete column (A). Columns (B), (C), and (D) are required for section 501(c)(3) and (4) organizations and section 4947(a)(1) nonexempt charitable trusts but optional for others. (See Specific Instructions on page 20.)

Do not include amounts reported on line 6b, 8b, 9b, 10b or 16 of Part I	(A) Total	(B) Program services	(C) Management and general	(D) Fundraising
22 Grants and allocations (attach schedule) (cash \$ _____ noncash \$ _____)	22			
23 Specific assistance to individuals (attach schedule)	23			
24 Benefits paid to or for members (attach schedule)	24			
25 Compensation of officers, directors, etc	25 332,500.		332,500.	
26 Other salaries and wages	26 3,573,290.	2,159,792.	1,139,846.	273,652.
27 Pension plan contributions	27 341,509.		341,509.	
28 Other employee benefits	28 1,319,825.	481,708.	769,062.	69,055.
29 Payroll taxes	29 291,779.		291,779.	
30 Professional fundraising fees	30			
31 Accounting fees	31 43,142.		43,142.	
32 Legal fees	32 1,986.		1,986.	
33 Supplies	33 185,244.	123,604.	50,780.	10,860.
34 Telephone	34 77,569.	3,724.	73,845.	
35 Postage and shipping	35 473,163.	410,076.	34,923.	28,164.
36 Occupancy	36 329,933.		329,933.	
37 Equipment rental and maintenance	37 191,012.	98,887.	92,125.	
38 Printing and publications	38 753,539.	623,827.	69,159.	60,553.
39 Travel	39 123,732.	116,666.	5,145.	1,921.
40 Conferences, conventions, and meetings	40 59,632.	18,532.	33,214.	7,886.
41 Interest	41			
42 Depreciation depletion etc (attach schedule)	42 583,084.	STATEMENT 10	583,084.	
43 Other expenses (itemize) a STMT 4	43a 167,680.	3,618,832.	-3,947,667.	496,515.
b	43b			
c	43c			
d	43d			
e	43e			
44 Total functional expenses (add lines 22 through 43) Organizations completing columns (B)-(D), carry these totals to lines 13-15	44 8,848,619.	7,655,648.	244,365.	948,606.

Reporting of Joint Costs Did you report in column (B) (Program services) any joint costs from a combined educational campaign and fundraising solicitation? Yes No
 If "Yes," enter (i) the aggregate amount of these joint costs \$ _____ (ii) the amount allocated to Program services \$ _____
 (iii) the amount allocated to Management and general \$ _____ and (iv) the amount allocated to Fundraising \$ _____

Part III Statement of Program Service Accomplishments (See Specific Instructions on page 23)

What is the organization's primary exempt purpose? SEE STATEMENT 8	Program Service Expenses (Required for 501(c)(3) and (4) orgs and 4947(a)(1) trusts but optional for others)
a MEMBERSHIP - SEE STATEMENT 9	
(Grants and allocations \$ _____)	1,692,916.
b SCIENCE AND TECHNOLOGY MEETINGS - SEE STATEMENT 9	
(Grants and allocations \$ _____)	1,294,590.
c PRE-COLLEGE SCIENCE EDUCATION - SEE STATEMENT 9	
(Grants and allocations \$ _____)	717,619.
d SPECIAL PROGRAMS - SCIENCE AND TECHNOLOGY POLICY PROGRAMS, HUMAN RIGHTS, SECTIONS, ACADEMY ONLINE - SEE STATEMENT 9	
(Grants and allocations \$ _____)	3,950,523.
e Other program services (attach schedule) (Grants and allocations \$ _____)	
f Total of Program Service Expenses (should equal line 44, column (B), Program services)	7,655,648.

Part IV Balance Sheets (See Specific Instructions on page 23)

Note		(A)		(B)	
Where required, attached schedules and amounts within the description column should be for end-of-year amounts only		Beginning of year		End of year	
Assets	45	Cash - non-interest-bearing	354,635.	45	692,600.
	46	Savings and temporary cash investments	1,146,218.	46	1,170,491.
	47a	Accounts receivable	47a 652,784.		
	b	Less allowance for doubtful accounts	47b 54,876.	47c	597,908.
	48a	Pledges receivable	48a		
	b	Less allowance for doubtful accounts	48b	48c	
	49	Grants receivable	1,430,000.	49	1,415,863.
	50	Receivables from officers, directors, trustees, and key employees (attach schedule)		50	
	51a	Other notes and loans receivable (attach schedule)	51a		
	b	Less allowance for doubtful accounts	51b	51c	
	52	Inventories for sale or use		52	
	53	Prepaid expenses and deferred charges	69,336.	53	62,317.
	54	Investments - securities (attach schedule) STMT 5 <input type="checkbox"/> Cost <input checked="" type="checkbox"/> FMV	1,818,548.	54	1,597,405.
	55a	Investments - land, buildings, and equipment basis	55a		
	b	Less accumulated depreciation (attach schedule)	55b	55c	
56	Investments - other (attach schedule)		56		
57a	Land, buildings, and equipment basis	57a 6,231,962.			
b	Less accumulated depreciation (attach schedule) STATEMENT 10	57b 3,560,694.	2,959,378.	57c	2,671,268.
58	Other assets (describe ▶)		58		
59	Total assets (add lines 45 through 58) (must equal line 74)	8,410,115.	59	8,207,852.	
Liabilities	60	Accounts payable and accrued expenses	1,178,000.	60	1,165,171.
	61	Grants payable		61	
	62	Deferred revenue	2,707,568.	62	2,704,677.
	63	Loans from officers, directors, trustees, and key employees (attach schedule)		63	
	64a	Tax-exempt bond liabilities (attach schedule)		64a	
	b	Mortgages and other notes payable (attach schedule)		64b	
65	Other liabilities (describe ▶)		65		
66	Total liabilities (add lines 60 through 65)	3,885,568.	66	3,869,848.	
Net Assets or Fund Balances	Organizations that follow SFAS 117, check here <input checked="" type="checkbox"/> and complete lines 67 through 69 and lines 73 and 74				
	67	Unrestricted	1,490,547.	67	1,525,429.
	68	Temporarily restricted	1,378,000.	68	1,156,912.
	69	Permanently restricted	1,656,000.	69	1,655,663.
	Organizations that do not follow SFAS 117, check here <input type="checkbox"/> and complete lines 70 through 74				
	70	Capital stock, trust principal, or current funds		70	
	71	Paid-in or capital surplus, or land, building, and equipment fund		71	
	72	Retained earnings, endowment, accumulated income, or other funds		72	
73	Total net assets or fund balances (add lines 67 through 69 OR lines 70 through 72, column (A) must equal line 19 and column (B) must equal line 21)	4,524,547.	73	4,338,004.	
74	Total liabilities and net assets/fund balances (add lines 66 and 73)	8,410,115.	74	8,207,852.	

Form 990 is available for public inspection and, for some people, serves as the primary or sole source of information about a particular organization. How the public perceives an organization in such cases may be determined by the information presented on its return. Therefore, please make sure the return is complete and accurate and fully describes, in Part III, the organization's programs and accomplishments.

Part VI Other Information (See Specific Instructions on page 26)

76 Did the organization engage in any activity not previously reported to the IRS? If "Yes," attach a detailed description of each activity
77 Were any changes made in the organizing or governing documents but not reported to the IRS?
78 a Did the organization have unrelated business gross income of \$1,000 or more during the year covered by this return?
79 Was there a liquidation, dissolution, termination, or substantial contraction during the year?
80 a Is the organization related (other than by association with a statewide or nationwide organization) through common membership governing bodies, trustees, officers, etc. to any other exempt or nonexempt organization?
81 a Enter the amount of political expenditures, direct or indirect, as described in the instructions for line 81
82 a Did the organization receive donated services or the use of materials, equipment, or facilities at no charge or at substantially less than fair rental value?
83 a Did the organization comply with the public inspection requirements for returns and exemption applications?
84 a Did the organization solicit any contributions or gifts that were not tax deductible?
85 501(c)(4), (5), or (6) organizations, a Were substantially all dues nondeductible by members?
86 501(c)(7) orgs Enter a Initiation fees and capital contributions included on line 12
87 501(c)(12) orgs Enter a Gross income from members or shareholders
88 At any time during the year did the organization own a 50% or greater interest in a taxable corporation or partnership or an entity disregarded as separate from the organization under Regulations sections 301.7701-2 and 301.7701-3?
89 a 501(c)(3) organizations Enter Amount of tax imposed on the organization during the year under section 4911
89 b 501(c)(3) and 501(c)(4) orgs Did the organization engage in any section 4958 excess benefit transaction during the year or did it become aware of an excess benefit transaction from a prior year?
90 a List the states with which a copy of this return is filed
91 The books are in care of
92 Section 4947(a)(1) nonexempt charitable trusts filing Form 990 in lieu of Form 1041 - Check here and enter the amount of tax-exempt interest received or accrued during the tax year

Part VII Analysis of Income-Producing Activities (See Specific Instructions on page 30)

	Unrelated business income		Excluded by section 512, 513, or 514		(E) Related or exempt function income
	(A) Business code	(B) Amount	(C) Exclusion code	(D) Amount	
93 Program service revenue					
a SCIENCES MAGAZINE	511120	37,990.			
b CONFERENCES					715,891.
c SPECIAL PROGRAMS					418,847.
d EDUCATION					51,125.
e LIST SALES	541900	67,116.			
f Medicare/Medicaid payments					
g Fees and contracts from government agencies					
94 Membership dues and assessments					2,258,873
95 Interest on savings and temporary cash investments					
96 Dividends and interest from securities			14	77,047.	
97 Net rental income or (loss) from real estate					
a debt-financed property					
b not debt-financed property					
98 Net rental income or (loss) from personal property					
99 Other investment income					
100 Gain or (loss) from sales of assets other than inventory			18	4,323.	
101 Net income or (loss) from special events					
102 Gross profit or (loss) from sales of inventory					1,041,413.
103 Other revenue					
b ROYALTIES			15	154,933.	
c					
d					
e					
104 Subtotal (add columns (B), (D) and (E))		105,106.		236,303.	4,486,149.
105 Total (add line 104, columns (B), (D), and (E))					4,827,558.

Note Line 105 plus line 1d Part I should equal the amount on line 12, Part I

Part VIII Relationship of Activities to the Accomplishment of Exempt Purposes (See Specific Instructions on page 31)

Line No	Explain how each activity for which income is reported in column (E) of Part VII contributed importantly to the accomplishment of the organization's exempt purposes (other than by providing funds for such purposes)
▼	SEE STATEMENT 7

Part IX Information Regarding Taxable Subsidiaries and Disregarded Entities (See Specific Instructions on page 31)

(A) Name, address and EIN of corporation partnership, or disregarded entity	(B) Percentage of ownership interest	(C) Nature of activities	(D) Total income	(E) End-of-year assets
	%			
	%			
	%			
	%			

Part X Information Regarding Transfers Associated with Personal Benefit Contracts (See Specific Instructions on page 31)

- (a) Did the organization, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? Yes No
- (b) Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract? Yes No

Note If "Yes" to (b), file Form 9870 and Form 4720 (see instructions)

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than officer) is based on all information of which preparer has any knowledge.

Date: 1/15/03
 Type or print name and title: Thomas Kelly, Vice Pres

Date: _____ Check if _____ Preparer's SSN or PTIN _____

SCHEDULE A
(Form 990 or 990-EZ)

Organization Exempt Under Section 501(c)(3)

OMB No 1545 0047

(Except Private Foundation) and Section 501(e), 501(f), 501(k),
501(n), or Section 4947(a)(1) Nonexempt Charitable Trust

2000

Department of the Treasury
Internal Revenue Service

▶ **MUST be completed by the above organizations and attached to their Form 990 or 990-EZ**

Name of the organization

Employer identification number

NEW YORK ACADEMY OF SCIENCES

13-1773640

Part I Compensation of the Five Highest Paid Employees Other Than Officers, Directors, and Trustees
(See page 1 of the instructions List each one If there are none, enter "None ")

(a) Name and address of each employee paid more than \$50,000	(b) Title and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans & deferred compensation	(e) Expense account and other allowances
NANCY EISENBERG C/O THE ORGANIZATION	EXEC DIR-DEVELOPMENT 35 HRS/WK	115,111.	29,600.	NONE
RASHID SHAIKH C/O THE ORGANIZATION	DIR-SCI&TECH MTGS 35 HRS/WK	107,784.	23,600.	NONE
ROBERT FALLON C/O THE ORGANIZATION	DIR-INFO SERVICES 35 HRS/WK	104,077.	23,600.	NONE
BARBARA GOLDMAN C/O THE ORGANIZATION	EXEC ANNALS DIRECTOR 35 HRS/WK	101,500.	23,300.	NONE
KATHERINE GOLDRING C/O THE ORGANIZATION	DIR-MRTG&MEMBERSHIP 35 HRS/WK	94,000.	23,300.	NONE
Total number of other employees paid over \$50,000	▶ 27			

Part II Compensation of the Five Highest Paid Independent Contractors for Professional Services
(See page 1 of the instructions List each one (whether individuals or firms) If there are none, enter "None ")

(a) Name and address of each independent contractor paid more than \$50,000	(b) Type of service	(c) Compensation
LANE PRESS, INC. P.O. BOX 130, BURLINGTON, VT 05402	PRINTING SERVICES	304,799.
NORTHERN INTERNATIONAL P.O. BOX 1263, UNION, NJ 07083	MAILING SERVICES	237,315.
HERMINE WARREN ASSOCIATES, INC. 225 EAST 79TH ST, NEW YORK, NY 10021	PRINTING SERVICES	161,865.
PORT CITY PRESS, INC. P.O. BOX 751899, CHARLOTTE, NC 28275	PRINTING SERVICES	155,936.
BOOK-MART PRESS, INC. 2001 42ND ST, NORTH BERGEN, NJ 07047	PRINTING SERVICES	144,809.
Total number of others receiving over \$50,000 for professional services	▶ 11	

For Paperwork Reduction Act Notice, see page 1 of the Instructions for Form 990 and Form 990-EZ.

Schedule A (Form 990 or 990-EZ) 2000

Part III Statements About Activities

Table with 3 columns: Question, Yes, No. Rows include: 1. During the year has the organization attempted to influence national state or local legislation... 2. During the year, has the organization either directly or indirectly, engaged in any of the following acts... 3. Does the organization make grants for scholarships, fellowships, student loans, etc? 4a. Do you have a section 403(b) annuity plan for your employees?

Part IV Reason for Non-Private Foundation Status (See pages 2 through 5 of the instructions)

The organization is not a private foundation because it is (Please check only ONE applicable box)

- 5. A church, convention of churches, or association of churches...
6. A school...
7. A hospital or a cooperative hospital service organization...
8. A Federal, state, or local government or governmental unit...
9. A medical research organization operated in conjunction with a hospital...
10. An organization operated for the benefit of a college or university...
11a. An organization that normally receives a substantial part of its support from a governmental unit...
11b. A community trust...
12. [X] An organization that normally receives (1) more than 33 1/3% of its support from contributions, membership fees, and gross receipts...
13. An organization that is not controlled by any disqualified persons...

Provide the following information about the supported organizations (See page 5 of the instructions)

Table with 2 columns: (a) Name(s) of supported organization(s), (b) Line number from above. Multiple empty rows for data entry.

14. An organization organized and operated to test for public safety, Section 509(a)(4) (See page 5 of the instructions)

Part IV-A Support Schedule (Complete only if you checked a box on line 10, 11 or 12) *Use cash method of accounting*

Note You may use the worksheet in the instructions for converting from the accrual to the cash method of accounting

Calendar year (or fiscal year beginning in)	(a) 1999	(b) 1998	(c) 1997	(d) 1996	(e) Total
15 Gifts, grants, and contributions received (Do not include unusual grants. See line 28)	2,827,060.	4,138,430.	3,096,756.	2,775,000.	12837246.
16 Membership fees received	2,876,879.	3,445,891.	3,924,951.	4,127,000.	14374721.
17 Gross receipts from admissions merchandise sold or services performed or furnishing of facilities in any activity that is not a business unrelated to the organization's charitable, etc. purpose	4,060,230	3,638,513.	3,578,632.	3,638,000.	14915375.
18 Gross income from interest, dividends, amounts received from payments on securities loans (section 512(a)(5)) rents, royalties, and unrelated business taxable income (less section 511 taxes) from businesses acquired by the organization after June 30, 1975	15,830.	46,890.	153,692.	256,000.	472,412.
19 Net income from unrelated business activities not included in line 18	135,831.	553,813.	410,812.	417,000.	1,517,456.
20 Tax revenues levied for the organization's benefit and either paid to it or expended on its behalf					
21 The value of services or facilities furnished to the organization by a governmental unit without charge. Do not include the value of services or facilities generally furnished to the public without charge					
22 Other income. Attach a schedule. Do not include gain or (loss) from sale of capital assets					
23 Total of lines 15 through 22	9,915,830.	11823537.	11164843.	11213000.	44117210.
24 Line 23 minus line 17	5,855,600.	8,185,024.	7,586,211.	7,575,000.	29201835.
25 Enter 1% of line 23	99,158.	118,235.	111,648.	112,130.	
26 Organizations described in lines 10 or 11	a Enter 2% of amount in column (e) line 24 NOT APPLICABLE				26a
b Attach a list (which is not open to public inspection) showing the name of and amount contributed by each person (other than a governmental unit or publicly supported organization) whose total gifts for 1996 through 1999 exceeded the amount shown in line 26a. Enter the sum of all these excess amounts					26b
c Total support for section 509(a)(1) test. Enter line 24, column (e)					26c
d Add Amounts from column (e) for lines 18, 19, 22, 26b					26d
e Public support (line 26c minus line 26d total)					26e
f Public support percentage (line 26e (numerator) divided by line 26c (denominator))					26f %
27 Organizations described on line 12	a For amounts included in lines 15, 16, and 17 that were received from a "disqualified person" attach a list (which is not open to public inspection) to show the name of, and total amounts received in each year from, each "disqualified person." Enter the sum of such amounts for each year				
	(1999)	(1998)	(1997)	(1996)	
b For any amount included in line 17 that was received from a nondisqualified person, attach a list to show the name of and amount received for each year that was more than the larger of (1) the amount on line 25 for the year or (2) \$5,000. (Include in the list organizations described in lines 5 through 11, as well as individuals.) After computing the difference between the amount received and the larger amount described in (1) or (2), enter the sum of these differences (the excess amounts) for each year	(1999)	(1998)	(1997)	(1996)	
c Add Amounts from column (e) for lines 15, 16, 17, 20, 21	12837246.	14374721.			27c 42127342.
d Add Line 27a total and line 27b total					27d
e Public support (line 27c total minus line 27d total)					27e 42127342.
f Total support for section 509(a)(2) test. Enter amount on line 23, column (e)					27f 44117210.
g Public support percentage (line 27e (numerator) divided by line 27f (denominator))					27g 95.4896 %
h Investment income percentage (line 18, column (e) (numerator) divided by line 27f (denominator))					27h 1.0708 %
28 Unusual Grants. For an organization described in line 10, 11, or 12 that received any unusual grants during 1996 through 1999 attach a list (which is not open to public inspection) for each year showing the name of the contributor, the date and amount of the grant, and a brief description of the nature of the grant. Do not include these grants in line 15. (See page 5 of the instructions.)					

Part V Private School Questionnaire (See page 5 of the instructions)

(To be completed ONLY by schools that checked the box on line 6 in Part IV)

NOT APPLICABLE

		Yes	No
29	Does the organization have a racially nondiscriminatory policy toward students by statement in its charter, bylaws, other governing instrument, or in a resolution of its governing body?		
30	Does the organization include a statement of its racially nondiscriminatory policy toward students in all its brochures, catalogues, and other written communications with the public dealing with student admissions, programs, and scholarships?		
31	Has the organization publicized its racially nondiscriminatory policy through newspaper or broadcast media during the period of solicitation for students, or during the registration period if it has no solicitation program, in a way that makes the policy known to all parts of the general community it serves? If "Yes," please describe, if "No," please explain (If you need more space, attach a separate statement) ----- ----- -----		
32	Does the organization maintain the following		
a	Records indicating the racial composition of the student body, faculty, and administrative staff?		
b	Records documenting that scholarships and other financial assistance are awarded on a racially nondiscriminatory basis?		
c	Copies of all catalogues, brochures, announcements, and other written communications to the public dealing with student admissions, programs, and scholarships?		
d	Copies of all material used by the organization or on its behalf to solicit contributions?		
	If you answered "No" to any of the above, please explain (If you need more space, attach a separate statement) ----- -----		
33	Does the organization discriminate by race in any way with respect to		
a	Students' rights or privileges?		
b	Admissions policies?		
c	Employment of faculty or administrative staff?		
d	Scholarships or other financial assistance?		
e	Educational policies?		
f	Use of facilities?		
g	Athletic programs?		
h	Other extracurricular activities?		
	If you answered "Yes" to any of the above, please explain (If you need more space, attach a separate statement) ----- -----		
34a	Does the organization receive any financial aid or assistance from a governmental agency?		
b	Has the organization's right to such aid ever been revoked or suspended? If you answered "Yes" to either 34a or b, please explain using an attached statement		
35	Does the organization certify that it has complied with the applicable requirements of sections 4 01 through 4 05 of Rev Proc 75-50, 1975-2 C B 587, covering racial nondiscrimination? If "No," attach an explanation		

Part VI-A Lobbying Expenditures by Electing Public Charities (See page 7 of the instructions)

(To be completed **ONLY** by an eligible organization that filed Form 5768)

NOT APPLICABLE

- Check here a if the organization belongs to an affiliated group
- Check here b if you checked "a" above and "limited control" provisions apply

Limits on Lobbying Expenditures

(The term "expenditures" means amounts paid or incurred)

	(a) Affiliated group totals	(b) To be completed for ALL electing organizations
36 Total lobbying expenditures to influence public opinion (grassroots lobbying)	36	
37 Total lobbying expenditures to influence a legislative body (direct lobbying)	37	
38 Total lobbying expenditures (add lines 36 and 37)	38	
39 Other exempt purpose expenditures	39	
40 Total exempt purpose expenditures (add lines 38 and 39)	40	
41 Lobbying nontaxable amount Enter the amount from the following table - If the amount on line 40 is - The lobbying nontaxable amount is -	41	
Not over \$500,000 20% of the amount on line 40		
Over \$500,000 but not over \$1,000,000 . . . \$100,000 plus 15% of the excess over \$500,000		
Over \$1,000,000 but not over \$1,500,000 . . \$175,000 plus 10% of the excess over \$1,000,000		
Over \$1,500,000 but not over \$17,000,000 . \$225,000 plus 5% of the excess over \$1,500,000		
Over \$17,000,000 \$1,000,000	42	
42 Grassroots nontaxable amount (enter 25% of line 41)	43	
43 Subtract line 42 from line 36 Enter -0- if line 42 is more than line 36	44	
44 Subtract line 41 from line 38 Enter -0- if line 41 is more than line 38		

Caution If there is an amount on either line 43 or line 44, you must file Form 4720

4-Year Averaging Period Under Section 501(h)

(Some organizations that made a section 501(h) election do not have to complete all of the five columns below)

See the instructions for lines 45 through 50 on page 9 of the instructions

Calendar year (or fiscal year beginning in) ▶	Lobbying Expenditures During 4-Year Averaging Period				
	(a) 2000	(b) 1999	(c) 1998	(d) 1997	(e) Total
45 Lobbying nontaxable amount					
46 Lobbying ceiling amount (150% of line 45(e))					
47 Total lobbying expenditures					
48 Grassroots nontaxable amount					
49 Grassroots ceiling amount (150% of line 48(e))					
50 Grassroots lobbying expenditures					

Part VI-B Lobbying Activity by Nonelecting Public Charities

NOT APPLICABLE

(For reporting only by organizations that did not complete Part VI-A) (See page 9 of the instructions)

During the year did the organization attempt to influence national, state or local legislation, including any attempt to influence public opinion on a legislative matter or referendum, through the use of	Yes	No	Amount
a Volunteers			
b Paid staff or management (Include compensation in expenses reported on lines c through h)			
c Media advertisements			
d Mailings to members, legislators, or the public			
e Publications, or published or broadcast statements			
f Grants to other organizations for lobbying purposes			
g Direct contact with legislators, their staffs, government officials, or a legislative body			
h Rallies, demonstrations, seminars, conventions, speeches, lectures, or any other means			
i Total lobbying expenditures (add lines c through h)			

If "Yes" to any of the above, also attach a statement giving a detailed description of the lobbying activities

NEW YORK ACADEMY OF SCIENCES
EIN: 13-1773640
FYE: JUNE 30, 2001

FORM 990 LINE 8 COLUMN (A) GAIN OR LOSS ON SALE OF SECURITIES

<u>DESCRIPTION</u>	<u>PROCEEDS</u>	<u>COST BASIS</u>	<u>GAIN/(LOSS)</u>
SALES OF MUTUAL FUNDS	<u>2,132,000</u>	<u>2,127,677</u>	<u>4,323</u>
	<u>2,132,000</u>	<u>2,127,677</u>	<u>4,323</u>

NEW YORK ACADEMY OF SCIENCES
EIN: 13-1773640
FYE: JUNE 30, 2001

FORM 990 LINE 10: GROSS PROFIT/(LOSS) FROM SALES OF INVENTORY

<u>DESCRIPTION</u>	<u>GROSS SALES</u>	<u>COST OF GOODS SOLD</u>	<u>GAIN/(LOSS)</u>
INVENTORY SALES	<u>2,571,565</u>	<u>4,067,440</u>	<u>(1,495,875)</u>
	<u>2,571,565</u>	<u>4,067,440</u>	<u>(1,495,875)</u>

FORM 990, PART I - OTHER DECREASES IN FUND BALANCES

DESCRIPTION

AMOUNT

UNREALIZED LOSS ON INVESTMENTS

139,000.

TOTAL

139,000.

FORM 990, PART II - OTHER EXPENSES

DESCRIPTION	TOTAL	PROGRAM SERVICES	MANAGEMENT AND GENERAL	FUNDRAISING
ADVERTISING	82,833.	53,517.	29,316.	
BAD DEBITS	31,020.	31,020.		
BANK & CREDIT CARD FEES	67,565.	62,595.	2,225.	2,745.
CONTRACT LABOR	605,500.	476,009.	71,545.	57,946.
ALLOCATIONS	-1465510.	2,395,490.	-4171143.	310,143.
INSURANCE	46,467.		46,467.	
MISCELLANEOUS	799,805.	600,201.	73,923.	125,681.
TOTALS	167,680.	3,618,832.	-3947667.	496,515.

FORM 990, PART IV - INVESTMENTS - SECURITIES

=====

DESCRIPTION	ENDING BOOK VALUE
-----	-----
SALOMON SMITH BARNEY FIXED INCOME MUTUAL FUNDS	1,597,405.
TOTALS	----- 1,597,405. =====

FORM 990, PART VIII - ACCOMPLISHMENT OF EXEMPT PURPOSES

LINE NO.	EXPLANATION OF HOW EACH ACTIVITY FOR WHICH INCOME IS REPORTED IN COLUMN (E) OF PART VII CONTRIBUTED IMPORTANTLY TO THE ACCOMPLISHMENT OF EXEMPT PURPOSES
93B	SCIENTIFIC CONFERENCES HELD AROUND THE WORLD AND OPEN TO THE PUBLIC.
93C	SPECIAL PROGRAMS BRINGS TOGETHER MEMBERS IN THEIR SPECIAL FIELDS.
93D	EDUCATION BRINGS TOGETHER STUDENTS, TEACHERS & PROFESSIONAL SCIENTISTS.
94	DUES RECEIVED IN EXCHANGE FOR MEMBERSHIP BENEFITS.
102	PUBLICATIONS FOR EDUCATING THE GENERAL PUBLIC ABOUT SCIENCE AND FOR PROFESSIONAL SCIENTISTS.



Approved by Board of Governors on January 12, 1999

Mission Statement and Primary Goals

Table of Contents

	<u>Page</u>
1. Mission Statement	1
2. Primary Goals	1
3. Science Across Disciplines and Nations	2
4. Technology in Economic Progress	4
5. Bridges Between Society and Science	6

Approved by Board of Governors on January 12, 1999

MISSION STATEMENT

The mission of the New York Academy of Sciences, an independent and non-profit organization, is to **advance understanding of science and technology and to lead in using that knowledge to help solve societal problems—within the New York region and around the world.** The Academy

- ◆ Informs and engages its members, the larger scientific and technological community, and the public in examining the frontiers of research and their implications,
- ◆ Analyzes issues that combine a base of emerging science and technology with significant social, economic, and ethical consequences, and
- ◆ Involves leaders in science, engineering, medicine, education, business, law, government, and the media in science-based consensus-building on programs to help achieve major public goals.

PRIMARY GOALS

- ◆ Enhance services to foster dialogue and action-oriented partnerships among diverse and conflicting groups on three fundamental themes:
 - **Science** Across Disciplines and Nations
 - **Technology** in Economic Progress.
 - **Bridges** Between Society and Science.
- ◆ Expand present constituencies—who are primarily in research or related fields—to include growing numbers of decision-makers and interested citizens in industry, education, the media, and the public sector
- ◆ Increase the value of the Academy's products and services to its constituents.
- ◆ Within the Academy's home region of New York, New Jersey, and Connecticut, create effective programs as models to be adapted by communities around the nation and the world
- ◆ Maintain financial stability, and develop the capacity to ensure continued growth of the Academy's resources. Firmly guided by the responsibility of a public trust, manage the most effective use of resources by building alliances with other institutions in order to increase productivity in reaching common goals.

Approved by Board of Governors on January 12, 1999

Science Across Disciplines and Nations

NYAS Program Objective: Focus Academy programs on research that crosses disciplines, spans nations, and possesses significant scientific and societal consequences. Ensure that meetings, studies, and publications examine relevant economic and ethical choices. For leading scientists, members, interested citizens, and policy-making officials, the Academy increasingly will be the convener, publisher, and analyst of choice.

The Opportunity: This is an historic moment in science. Frontiers of discovery push ever deeper into the mystery of life and knowledge of the universe. Scientific understanding is creating new opportunities to conquer diseases, manage mountains of information, and chase human dreams to the stars. Much of this progress flows from inter-disciplinary or multi-disciplinary activity. Entire new lines of inquiry (e.g., computer fields, neuroscience, biotechnology, materials science, environmental science) are the result of collaboration among previously separate scientific and engineering disciplines. These intersections often lead to revolutionary discovery and innovation.

At the same time, the need for complex approaches to inquiry confronts substantial challenges. Initial stages of cross-disciplinary inquiry often fall outside the mission of traditional professional associations and find few convening or publishing outlets. The Academy's strength in spanning all fields can fulfill a growing need. In addition, some inter-disciplinary research requires extremely expensive facilities unaffordable by single nations, research institutions, or companies. Accordingly, cooperation is essential and independent institutions such as the Academy can facilitate cooperation serving mutual interests. For many problems (e.g., oceans, space, environment, disease transmission), research crosses global boundaries and individual national approaches are impossible. Participation fostered by the Academy can serve both U.S. investigators and global goals in which the U.S. has strong stakes. Finally, inter-disciplinary research sometimes poses vexing questions of economic tradeoffs and of ethical dilemmas. These choices about the results of innovation are too seldom raised within the scientific and engineering community, but frame dilemmas for society (as in cloning), and so demand independent forums to explore informed perspectives, as the Academy has begun to do.

Approved by Board of Governors on January 12, 1999

Science Across Disciplines and Nations (continued)

Proposed NYAS Role

Regional	Become <u>the</u> convener/analyst of choice for multi-disciplinary, international S&T issues, linking NY area capacities and problems to global patterns and effects
National	Be at the leading edge of analysis regarding S&T issues that link the national research interests to global trends, partner with other national organizations on these concepts and issues
International	Provide international institutions (both public and private sectors) with a consistently excellent partner for examining new or contentious issues which have high science and technology content and are of significant scientific and societal importance, including human rights.

Consequences for Current Program

- 1) Conferences will be inter-disciplinary and international, will include a focus on possible applications, and will probe next directions of research. NYAS staff will provide added value in structuring topics. Major emphasis will be placed on collaboration with non-science institutions (e.g., March 1998 conference with OECD on the science and policy of xenotransplantation), so that NYAS is seen as bringing indispensable science to the table as well as deeply considering its implications.
- 2) *Annals* will contain inter-disciplinary and international research material, as well as discussion of possible economic and ethical consequences whenever possible.
- 3) Sections will be encouraged strongly to concentrate on inter-disciplinary topics with global implications where the scientific, societal, and economic, and ethical stakes are significant.
- 4) Series of studies and conferences on global research collaboration will be funded, convened and published to further reinforce NYAS's reputation and positive contributions as ground breaker on this issue during past few years.

Approved by Board of Governors on January 12, 1999

Technology in Economic Progress

NYAS Program Objective: Be the New York-based regional center for S&T leadership and data linked to the economy. Be an international resource for strategies that link technology to economic growth and development.

The Opportunity: *Economic progress is increasingly knowledge based. In the United States, between 1993 and 1998, the five fastest growing industrial sectors were technology based. Of the 21 manufacturing industries whose value of shipments grew more than 5% in those years, all but two were S&T based. Similar trends are prominent throughout the world, especially in developing countries. Mastery of technology is key to success and job-creation in the marketplace, and to building products and services that enhance societal and economic prosperity. Developing better ways to master technology is, therefore, a major societal priority for all economies. The benefits from doing so will also strengthen the base of research. Accordingly, the Academy's projects on economic development serve both international and national goals for both economic and research progress. Comparatively few non-profit organizations remain active in global assessments of science-based development.*

The New York region has significant S&T assets, but they are poorly linked to the regional economy. The Tri-State area was the first to go into the 1987 recession, went in deepest, and came out last. It is still not out, at least as measured by job growth. The number of jobs in technology-based industries has declined by 12% since 1988, and payroll is stagnant in real terms, due in large part to a 20% decline in technology-based manufacturing jobs. Technology's role in the regional economy is highly concentrated; the top ten growing technology industries account for three-quarters of all technology jobs with the only consistently robust growth being in computer services. This regional picture is in contrast to the robust technology engines powering much of the rest of the U.S. economy. The Academy is evidently the only organization in the region that is assigning a high priority to improving the economic trends through science and technology.

Proposed NYAS Role:

- Regional:** Center for technology information, data, leadership in support of regional economic policy; producer and purveyor of data for subscription, secretariat to a regional technology council of business and university leaders; forum-of-choice (by private or public sectors) for assessment of and development of solutions for contentious issues which have significant economic implications and dense S&T core.
- National:** Prototype for regional collaboration between S&T and economic leadership, represent the region in national forums.
- International:** Resource to other nations, and international organizations, continuing the studies of "how to" nurture S&T-led economic growth and development.

Approved by Board of Governors on January 12, 1999

Technology in Economic Progress (continued)

Consequences for Current Program:

- 1) The project on Technology and Economic Development in the Tri-State Region (a) will aim to establish a Leadership Network of senior leaders which effectively and coherently creates private, academic, and government advocates for deeper technology investments in the economy and resolution of associated issues, and, (b) will create a widely recognized data capacity via regular data releases to create the information base needed to identify problems and highlight strengths, identifying NYAS as primary source of technology information in the region
- 2) The project on Industrial Ecology and the New York/New Jersey Harbor will create an industry-environment coalition to assess the sources of toxins in the Harbor, with full and complete recognition of public views and priorities. The coalition will identify remediation strategies consistent with continued growth in the region's economy, build public, industrial, and environmental leadership for implementing those solutions, and be seen as intertwined with NYAS problem-solving capacity
- 3) Expand and deepen case studies of U.S. state and international prototypes for developing S&T partnerships linked to economic objectives, and applications in Europe, Africa, Latin America, and Asia (see also "Across Disciplines and Nations.")
- 4) Continue support to national or international efforts to build S&T-economic growth partnerships, e.g., intent to include an international benchmarking workshop as part of Harbor effort in order to compare global experiences with environmental-economic tradeoffs
- 5) Given the importance of the life sciences industry (corporate and academic) to the regional economy, continue present multi-year effort to establish collaborative relationship between managed care firms, academic medical centers, and employers to assess costs and financing options for sustaining the vitality of the region's biomedical research and medical education infrastructure, connect this work with related activities in the U.S., such as through partnership with National Governors' Association

Approved by Board of Governors on January 12, 1999

Bridges Between Society and Science

NYAS Program Objective: Seek out, listen to, interact with, and study the public's concerns about and expectations for science. Serve as a bridge between the best of science and engineering with critical opinion leaders. Rebut junk science and counter antiscientific attitudes. Contribute to the emergence of a discriminating public knowledgeable about reliable sources of information on science and technology.

The Opportunity: The profile of science and technology in society is higher now than at any time since Sputnik. The fruits of laboratories flourish in the marketplace. The pace and wonder of scientific discovery, and the practical embodiment of that discovery—on desktops, in classrooms, in medicine cabinets, on the shop floor—have created a public that is keenly aware of research progress. That attentiveness, however, does not always translate into understanding, particularly where science touches issues of personal belief and where students need science and math education. The Academy's distinguished magazine, along with a series of educational and policy initiatives during the past generation, have created a base for added efforts

Those with S&T knowledge (scientists, physicians, engineers) and those with the ability to form public opinion (politicians, teachers, administrators, the media) communicate poorly with each other, if at all. The result is often confusion at best, and widespread distrust of science at worst. There is a growing divide between science and engineering as disciplines and resources, and opinion-leaders' perceptions of the contributions of research to societal needs and priorities. Bridges must be built. The Academy's independence and reputation for high quality are assets in this complex process.

Proposed NYAS Role: Become a leader in analyzing and understanding the views of the public and of the scientific and engineering community on issues where science intersects societal concerns. Provide accurate and authoritative information in easily accessible forms that link scientific and technological expertise to opinion leaders and public debates.

- | | |
|----------------------|---|
| Regional | Be the regional center for the analysis and understanding of views regarding science and S&T-dense social and economic problems—from the education of students to the public grasp of science-related news. Become the resource-of-choice for providing partnership with the leaders in media, education, and policy. |
| National | Serve in non-partisan advocacy to support science and technology by providing reliable, clear distillations of research trends, risks, and benefits. |
| International | Globally disseminate information on critical issues in the applications of research, on public views of science and technology, and on results of NYAS prototype efforts to include public communication as part of ongoing endeavors. |

Consequences for Current Program: Recognizing that many other institutions are active in pursuing similar goals, the Academy will integrate past and ad hoc activities while beginning carefully assigned new projects (e.g., opinion surveys and media outreach) and experimenting with new products and services. Pursuing this program will require adding the resources to supplement staff capacity over one to three years, as well as re-framing and/or expanding current efforts in

Approved by Board of Governors on January 12, 1999

Bridges Between Society and Science (continued)

Public Perspectives

- 1) Create better understanding of public fears and expectations with respect to science-dense problems by conducting public opinion and communications components in selected Academy projects, in parallel, probe the views of the scientific and engineering community with respect to their sense of major social and economic goals. Communicate the results of such assessments
- 2) Work closely with scientists to craft new approaches to the roles of science in public debate. One example is the "bottom-up" approach to communities involved in the NY/NJ Harbor project. *The Sciences* magazine can also play an active role through gaining more visibility in television and newspapers, the media through which most citizens evidently seek "science news."

Education

- 1) Build on experience with K-12 science education, including the recent focus on Middle School teachers, to explore how best to engage all students to participate in science and math, develop prototype approaches to teacher development, which are then replicated by other organizations
- 2) Provide a clearinghouse for information on enrichment opportunities in science for parents, teachers, and students where the NYAS can serve a unique function and where there is clear demand, examples include extensions of the MasterGuide inventory and EduNet within the New York region
- 3) Serve as a center for the examination of pressing science education issues, an example is the proposed Crossroads effort aimed at combining the scientific literature on adolescent development with practical approaches to improving middle school science and math

Policy Expectations

- 1) Pursue projects to use the best of science to inform contentious public policy where issues have deep science and technology content. This could include issues such as national teacher qualifications, as well as topics such as nuclear power and cloning
- 2) Rebalance NYAS communications toward communicating to both the public and opinion leaders on science issues, e.g., through press backgrounders, a media forum within STPF, Op Ed essays, partnerships to combat "junk science," and quick reactions to policy-urgent problems

Part III Statement of Program Service Accomplishments & Publications

- a **Membership:** Approximately 37,000 members in more than 150 countries around the globe look to the Academy for leadership in advancing science and technology beyond borders, harnessing technology in service to society, and increasing the public understanding of science. The Academy provides a variety of benefits to members, including publications, special access to the Academy's website, and the opportunity to participate in annual elections and meetings.
- b **Science and Technology Meetings:** The Academy sponsors 8-10 major conferences annually in New York and around the world. Conferences focus on interdisciplinary subjects and cover a wide range of leading-edge topics within science and engineering. Proposals for Academy Conferences are peer-reviewed, and the proceedings of these meetings are generally published as volumes of the *Annals of the New York Academy of Sciences*.
- c **Pre-College Science Education.** The Academy conducts a wide variety of programs to improve science education in the New York region. It coordinates student internships, works with middle-school science educators, and acts as a clearinghouse for the city's science-rich organizations. In partnership with the City of New York, the Academy also presents a yearly Science and Technology Expo.
- d **Science and Technology Policy Programs:** The Academy provides an independent forum for assessing and integrating the views of the scientific community, government agencies, and private industry on critical policy choices. Through in-house analysis, publications, and conferences – and often in partnership with major U.S. and international institutions – the Academy examines issues at the nexus of science, technology, and policy. During the past year, the Academy led regional efforts to promote technology-based economic development, undertook a project to develop new approaches to financing biomedical research and education, and a project to apply industrial ecology to solve pressing environmental problems in the NY/NJ Harbor.
- Human Rights:** For 20 years, the Academy has been a leader in actively promoting the human rights of scientists, physicians, engineers, and educators around the world. For example, in 1999, the Academy worked with other leading organizations to achieve the release of Vietnamese geologist Nguyen Thanh Giang, South Korean mathematician Aku-Jae-ku, and Tunisian economist Nizar Chaari. Each year, the Academy presents the Heinz R. Pagels Award for Human Rights to an outstanding individual who has advanced the human rights of scientists around the world. In 1999, the award was presented to Israel Halperin, Professor Emeritus of Mathematics at the University of Toronto.
- Sections.** The Academy's Sections represent 18 different disciplines and are organized by leaders from the scientific, engineering, medical, and educational communities. Approximately 100 lectures and symposia are sponsored by one or more sections. These talks are free of charge and open to the public. In 1999, these meetings addressed a wide variety of subjects, such as the environmental impact of e-commerce, the relationship between climate change and infectious disease, orthopedic engineering, and the technology gender gap.
- Academy Online.** The Academy's website, www.nyas.org, continued to expand in 1999 to take advantage of the communications opportunities offered by the Internet. A webcast of the 1999 Annual Meeting, which featured a seminar on space exploration, was made available for the benefit of members around the world. Members are also able to read transcripts of Science and Technology Policy Forums, features from the Academy newsletter, and *The Sciences*, and reports of Section meetings.
- Annals of the New York Academy of Sciences:** Since 1823, the Academy has published this scholarly series of books that report the proceedings of important conferences and emerging research. More than 600 libraries around the world subscribe to the *Annals*, which ranks among the top two percent of sources cited in scientific publications. In 1999, the full text of the series became available electronically through subscription to Journals@Ovid. *Annals* volumes are also available for purchase online via the Academy website, Amazon.com, and Barnes&Noble.com.
- The Sciences.** Winner of six National Magazine Awards, is published bimonthly by the Academy and has been described as "the cultural magazine of science." It is sent to all members of the Academy as a member benefit, and is also sold to others by subscription and on the newsstand.

NEW YORK ACADEMY OF SCIENCES
EIN. 13-1773640
FYE. JUNE 30, 2001

FORM 990 PART II, LINE 42 & PART IV, LINE 57b

FIXED ASSETS	6,231,962
LESS ACCUMULATED DEPRECIATION	<u>(3,560,694)</u>
NET FIXED ASSETS	<u><u>2,671,268</u></u>
DEPRECIATION EXPENSE FYE 6-30-01	<u><u>583,084</u></u>

Chairman of the Board

Torsten N Wiesel
The Rockefeller University

Vice Chairman

John F Niblack
Pfizer, Inc , Ret

Chief Executive Officer

Rodney Nichols

Treasurer

John T Morgan
International Executive Service Corps

Governors

Eleanor Baum
The Cooper Union

Jacqueline Leo
The Readers Digest

Karen E Burke
Dermatologist

Bruce McEwen
Rockefeller University

Praveen Chaudhari
IBM T J Watson Research Center

Paul Marks
Memorial Sloan-Kettering Cancer Center

R Brian Ferguson
Rutgers University

Ronay Menschel
Phipps Houses

Gerald D Fischbach
Columbia University

Sandra Panem
Cross Atlantic Partners, Inc

Ronald L Graham
University of California, San Diego

Lee G Vance
Goldman, Sachs

Marnie Imhoff
Rockefeller University

Deborah Wiley
John Wiley and Sons, Inc

Honorary Life Governors

William T Golden
American Museum of Natural History

Joshua Lederberg
Rockefeller University

Counsel

Helene L Kaplan
Skadden, Arps, Slate, Meagher & Flom

ALL MEMBERS CAN BE CONTACTED C/O THE ORGANIZATION

FORM 990, PART V - LIST OF OFFICERS, DIRECTORS, AND TRUSTEES

NAME AND ADDRESS	TITLE AND TIME DEVOTED TO POSITION	COMPENSATION	CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS	EXPENSE ACCT AND OTHER ALLOWANCES
RODNEY W. NICHOLS 2 EAST 63RD STREET NEW YORK, NY 10021-7289	PRESIDENT AND CEO 35 HRS/WK	275,000.	50,600.	NONE
THOMAS KELLY (EFFECTIVE 1/23/01) 2 EAST 63RD STREET NEW YORK, NY 10021-7289	VICE PRES AND CFO 35 HRS/WK	57,500.	7,100.	NONE
SEE NEXT PAGE	BOARD OF GOVERNORS < 1 HR/WK	NONE	NONE	NONE
GRAND TOTALS		332,500.	57,700.	NONE