

# Harvard University

Office for Sponsored  
Research

ANNUAL FINANCIAL REPORT - FISCAL 2000

# FINANCIAL REPORT FISCAL 2000

JULY 1, 1999 – JUNE 30, 2000

BUSINESS SCHOOL

DIVINITY SCHOOL

FACULTY OF ARTS & SCIENCES

JFK SCHOOL OF GOVERNMENT

LAW SCHOOL

MEDICAL SCHOOL

RADCLIFFE

SCHOOL OF DENTAL MEDICINE

SCHOOL OF DESIGN

SCHOOL OF EDUCATION

SCHOOL OF PUBLIC HEALTH

Arnold Arboretum  
Center for Hellenic Studies  
Dumbarton Oaks  
Fogg & Sackler Art Museums  
Institute for International Development  
Joint Center for Housing Studies  
Nieman Foundation  
Villa I Tatti

## I. Letter from Director of Sponsored Research

---

Dear Colleagues:

Welcome to the Office for Sponsored Research Fiscal Year 2000 Financial Report. Various sections that comprise the report represent snapshots of the University's sponsored expenditures broken down into the most frequently requested profiles of data and data comparisons.

Similar to Fiscal Year 1999, in FY00 the University experienced an increase of 7.2% in sponsored expenditures for a total of \$431M, an increase we continue to contribute to the recent dramatic surge in funds appropriated to the National Institutes of Health (NIH). Harvard Medical School, up 12.5% from FY99, generated the largest dollar increase. As of this writing we understand that the FY01 federal budget will include a 15% or \$2.7B increase for the NIH budget, which will likely translate into more growth this year.

In contrast to the regulatory trends of recent years which were focused on cost allowability and indirect cost containment, the regulatory challenges of this past year have fallen under the broad category of university oversight of the delivery of research. When the NIH visited the University in July 2000 as one of the ten institutions chosen for a "proactive site visit," the visiting team explained that Congress has asked the NIH and other "grant-making" agencies to review how universities monitor federal funding. The NIH, which delegates oversight of regulatory compliance to their grantees, selected Harvard to ascertain how sponsored funding is managed in a large decentralized environment.

Along these lines of broad monitoring, in June the NIH issued a requirement that Key Personnel performing research involving human subjects receive some fundamental training in this regard. Following the announcement, the Office of Research Integrity of the Public Health Service proposed mandatory instruction on the Responsible Conduct of Research for virtually everyone even peripherally involved with PHS sponsored research projects. While the University is largely in agreement with these compliance measures, they add complexity and cost to an already heavily regulated endeavor. Somewhat in contrast to these measures and currently under discussion at a national level is Public Law 106-107, which calls for a simplification of key areas within grants management through the increased leveraging of technology by May 2002. This onslaught of regulatory proposals, on the one hand pushing for more oversight, while on the other hand searching to do so in a more streamlined fashion, is proving to be a formidable challenge!

We welcome comments or suggestions on this report.

Sincerely,

Elizabeth Mora  
Director of Sponsored Research  
Harvard University

October 26, 2000

**Introduction**

I. Letter from Director of Sponsored Research Page 1

**Summary of Expenditures and Growth**

II. Total Expenditures in Sponsored Projects 2  
III. Growth in Sponsored Projects 2  
IV. Comparative Growth Data with Peer Universities 3

**Departmental Summaries**

V. Departmental Use of Funds 4  
VI. Sponsored Project Expenditures - Departmental Summary 5  
VII. Variation in Sponsored Support By School and Department 6  
VIII. Sponsored Project Expenditures For Salaries, Equipment, Subcontracts - Two Year Comparison 7  
IX. Sponsored Project Expenditures For Salaries, Equipment, Subcontracts, Indirect, Other 8  
X. Sponsored Project Expenditures - Two Year Comparison 9

**Federal Funding**

XI. Sources of Federal Funding 10  
XII. Expenditures Under Federal Sponsors, By Major Agency - Two Year Comparison 11  
XIII. Expenditures Under Federal Sub-Awards, By Source 12  
XIV. Expenditures Under Federal Prime, By Type 13  
XV. Expenditures Under Federal Sub-Awards, By Type 14

## **Non-Federal Funding**

XVI. Sources of Non-Federal Funding	Page 15
XVII. Expenditures Under Non-Federal Sponsors, By Major Sponsor - Two Year Comparison	16
XVIII. Expenditures Under Non-Federal Sponsors, By Major School	17
XIX. Expenditures Under Non-Federal Awards, By Source	18
XX. Expenditures Under Non-Federal Awards, By Type	19

## **Direct and Indirect Cost**

XXI. Direct and Indirect Cost Recovery	20
XXII. Direct and Indirect Under Federal Prime - Two Year Comparison	21
XXIII. Direct and Indirect Under Federal Sub Awards - Two Year Comparison	22
XXIV. Direct and Indirect Under Non-Federal - Two Year Comparison	23

## **Proposals and Obligations**

XXV. Proposals and Obligations	24
XXVI. Proposals (Federal & Non-Federal) - Two Year Comparison	25
XXVII. Obligations (Federal & Non-Federal) - Two Year Comparison	26

---

# Summary of Expenditures and Growth

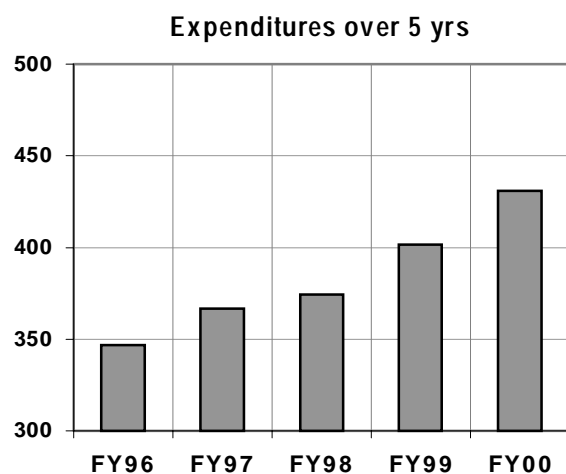
## II. Total Expenditures in Sponsored Projects

Total university sponsored expenditures grew by 7.2 % (\$29 million) during FY00. This increase was reflected in a 6.8 % growth in federal prime awards (up \$18.8 million from FY99, 17.3% (up \$4.6 million from FY99) in federal sub awards. In all, federal funding over the past year rose by 7.7%. Non-federal funding increased 5.7%, rising from \$96.7 million in FY99 to \$102.2 million in FY00. As a percent of university operating expenses, sponsored expenditures accounted for 21.1% of the university total in FY00, down 1.4% from FY 99, up 0.1% from FY98 and down 1.5% from 22.6% in FY96.

Fiscal Year	Sponsored Expenditures (in \$ millions)							Sponsored as % of Univ. Operating Expenses
	Federal Prime Awards (1)	Federal Sub Awards (2)	Total Federal Awards (1+2)	Non Federal Awards (3)	Sponsored Expenditure Total (1+2+3)	University Total Operating Expenses*		
96	244.1	19.2	263.3	83.6	346.9	1,538.1	22.6%	
97	265.0	19.7	284.7	82.0	366.7	1,670.4	22.0%	
98	264.5	24.1	288.6	85.8	374.4	1,779.6	21.0%	
99	278.5	26.6	305.1	96.7	401.9	1,789.7	22.5%	
<b>00</b>	<b>297.3</b>	<b>31.2</b>	<b>328.5</b>	<b>102.2</b>	<b>430.8</b>	<b>2,040.1</b>	<b>21.1%</b>	
% change FY99-00	<b>6.8%</b>	<b>17.3%</b>	<b>7.7%</b>	<b>5.7%</b>	<b>7.2%</b>	<b>14.0%</b>		

\*Source: Harvard University Treasurer's Report.

## III. Growth in Sponsored Projects



Fiscal Year	Sponsored Expenditures (in \$ millions)			
	Expenditures (Actual \$ millions)	% change	Expressed as 2000 \$	% change in 2000 \$
96	346.8	-	380.0	-
97	366.7	5.7%	390.7	2.8%
98	374.4	2.1%	391.9	0.3%
99	401.8	7.3%	413.4	5.5%
<b>00</b>	<b>430.8</b>	<b>7.2%</b>	<b>430.8</b>	<b>4.2%</b>

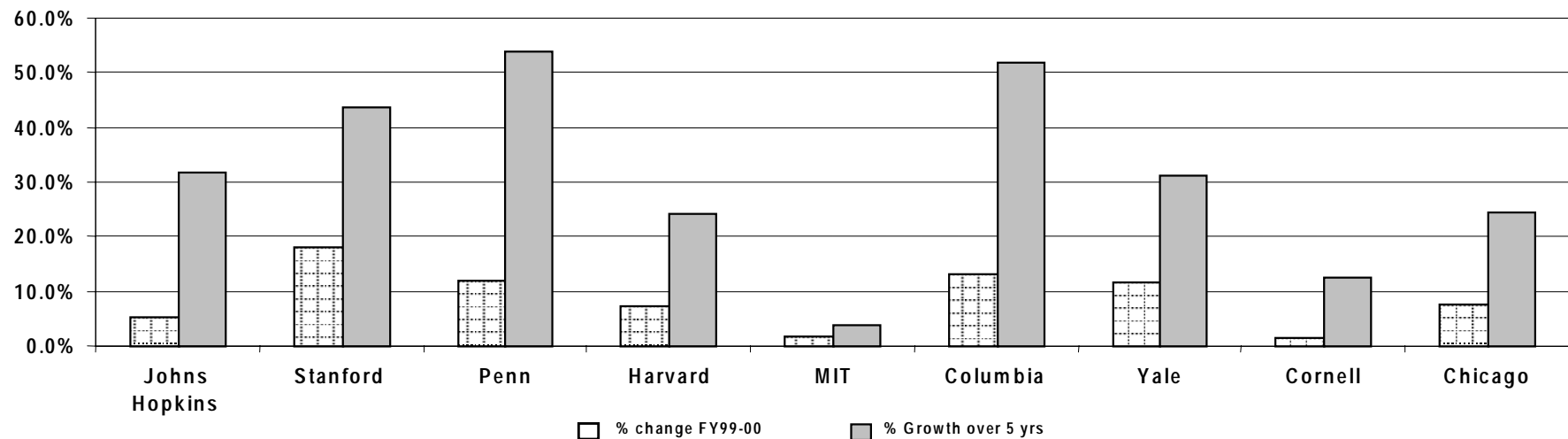
Source: H.U. Budget Office. Prior years inflated to FY00 dollars using the U.S. Consumer Price Index.

#### IV. Comparative Growth Data With Peer Universities

Harvard's continued growth in sponsored research represented the fourth highest sponsored expenditure in absolute dollars among peer institutions in fiscal '00 with an increase of \$28.9 million. This amount was surpassed only by Stanford University with an increase of \$75.3 million, University of Pennsylvania with an increase of \$49.8 million and Johns Hopkins with an increase of \$30.5 million. Cornell and MIT lagged behind this year with increases of \$4.4 million and \$7.1 million respectively.

Peer Universities*	FY96	FY97	FY98	FY99	FY00	% change FY99-00	Average % Growth over 5 yrs
Johns Hopkins	476.6	545.0	557.3	597.1	627.6	5.1%	31.7%
Stanford	342.5	385.5	401.1	417.0	492.3	18.1%	43.7%
Penn	302.4	325.5	364.1	415.9	465.7	12.0%	54.0%
Harvard	<b>346.8</b>	<b>366.7</b>	<b>374.4</b>	<b>401.9</b>	<b>430.8</b>	<b>7.2%</b>	<b>24.2%</b>
MIT	370.3	387.9	386.4	376.8	383.9	1.9%	3.7%
Columbia	279.5	308.1	338.7	375.4	424.1	13.0%	51.7%
Yale	269.2	283.0	299.0	315.9	353.0	11.7%	31.1%
Cornell	267.9	257.5	277.2	297.3	301.7	1.5%	12.6%
Chicago	181.2	189.9	197.1	209.3	225.3	7.6%	24.3%

(Sponsored expenditures in millions of \$)



\* Source: Little XI Annual Survey - FY 00

---

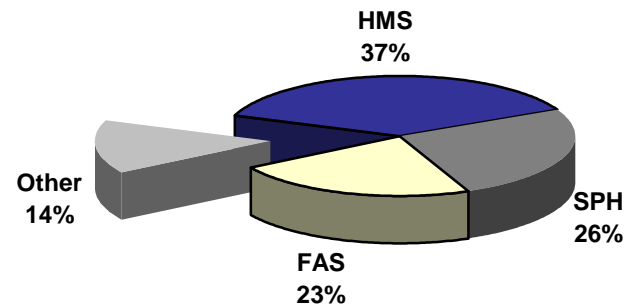
# Departmental Summaries

## V. Departmental Use of Funds

Sponsored research activity at Harvard is concentrated in six units. In percentage terms, the largest one-year growth in sponsored funding was at the Kennedy School of Government which increased by 21.0% (largely due to the transfer of Harvard Institute for International Development awards to KSG), followed by the Harvard Medical School with a 12.5% increase. Sponsored funding in the Harvard Medical School showed the greatest absolute dollar increase, rising \$17.8 million during the one-year period. The university wide increase was offset, however, by the \$5.2 million decrease in sponsored funding in the Harvard Institute for International Development (HIID), which fell 19.3% below FY99 levels.

UNIVERSITY DEPARTMENTS (in \$ millions)	FY96	FY97	FY98	FY99	FY00	% change FY99-00
HMS	114.2	120.9	122.8	142.8	<b>160.6</b>	12.5%
SPH	83.4	92.2	97.3	105.3	<b>110.7</b>	5.1%
FAS	88.7	87.5	88.5	92.0	<b>97.1</b>	5.5%
HIID	38.3	41.4	35.4	27.0	<b>21.8</b>	(19.3%)
KSG	7.3	8.7	11.9	14.3	<b>17.3</b>	21.0%
GSE (Education)	5.7	7.2	9.6	11.4	<b>11.9</b>	4.4%
All others	9.2	8.9	9.0	10.8	<b>11.5</b>	6.5%
<b>TOTAL</b>	<b>346.8</b>	<b>366.7</b>	<b>374.4</b>	<b>401.9</b>	<b>430.8</b>	<b>7.2%</b>

As this following graph shows Harvard Medical School (HMS), School of Public Health (SPH) and Faculty of Arts & Sciences together represented 85.5% of total sponsored expenditures for FY'00.



## VI. Sponsored Project Expenditures - Departmental Summary

TUBS	TUB #	FEDERAL PRIME EXPENDITURES (fund's: 100000-199999)	FEDERAL SUB-AWARD EXPENDITURES (fund's: 100000-199999)	NON-FEDERAL EXPENDITURES (fund's: 200000-299999)	TOTAL SPONSORED PROJECT EXPENDITURES	TUB % OF TOTAL	(1) TOTAL TUB OPERATING EXPENSES	SPONSORED RESEARCH AS % OF TOTAL TUB OPERATING EXPENSES
<b>ACADEMIC TUBS RECEIVING TUITION:</b>								
Faculty of Arts and Sciences								
Faculty of Arts & Sciences	370	55,907.5	3,217.3	11,627.5	70,752.3	16.42%	411,532.1	17.2%
Division of Continuing Education	355	0.0	0.0	0.0	0.0	0.00%	31,661.4	0.0%
Division of Engineering & Applied Sci.	325	19,105.6	3,241.2	1,607.8	23,954.7	5.56%	41,059.3	58.3%
Library	415	126.8	0.0	11.8	138.6	0.03%	55,466.2	0.2%
Museum of Comp. Zoology/Peabody Museum	385	1,835.2	124.6	252.2	2,211.9	0.51%	18,895.5	11.7%
College Life, Athletics, Grad Dorms	310,340,400	0.0	0.0	11.8	11.8	0.00%	73,999.8	0.0%
<b>Total Faculty of Arts &amp; Sciences</b>		<b>76,975.2</b>	<b>6,583.1</b>	<b>13,511.1</b>	<b>97,069.3</b>	<b>22.53%</b>	<b>632,614.3</b>	<b>15.3%</b>
<b>Business School</b>								
Business School	430	0.0	0.0	26.7	26.7	0.01%	240,592.3	0.0%
School of Dental Medicine	550	3,563.9	65.2	536.7	4,165.9	0.97%	20,621.7	20.2%
School of Design	235	329.2	497.7	558.3	1,385.2	0.32%	28,176.1	4.9%
Divinity School	245	0.0	0.0	796.1	796.1	0.18%	20,621.8	3.9%
Graduate School of Education	255	3,466.6	715.7	7,689.7	11,872.0	2.76%	48,463.2	24.5%
JFK School of Government	215	4,026.6	709.1	12,257.6	16,993.3	3.94%	91,202.3	18.6%
Law School	265	158.0	0.0	1,993.6	2,151.7	0.50%	88,223.3	2.4%
Medical School	505,520	114,378.9	10,988.1	35,252.4	160,619.4	37.29%	317,372.9	50.6%
School of Public Health	275	82,778.6	8,181.5	19,730.2	110,690.2	25.70%	160,929.9	68.8%
Radcliffe	285	81.2	0.0	308.8	390.0	0.09%	20,835.6	1.9%
<b>OTHER ACADEMIC TUBS:</b>								
Arnold Arboretum	100	210.6	0.0	0.0	210.6	0.05%	5,656.2	3.7%
Center for Hellenic Studies	115	0.0	0.0	0.0	0.0	0.00%	1,904.3	0.0%
Dumbarton Oaks	110	0.0	0.0	25.1	25.1	0.01%	9,781.2	0.3%
Fogg and Sackler Art Museums	105	157.0	0.0	102.1	259.2	0.06%	17,404.8	1.5%
Harvard Inst. for Int'l Development	120	10,592.7	3,443.8	7,777.6	21,814.0	5.06%	31,007.2	70.4%
Joint Center for Housing Studies	225	0.0	0.0	279.7	279.7	0.06%	1,602.4	17.5%
Nieman Foundation	140	0.0	0.0	101.0	101.0	0.02%	2,288.1	4.4%
Villa I Tatti	145	0.0	0.0	58.6	58.6	0.01%	4,177.4	1.4%
<b>SERVICE TUBS</b>	*	<b>0.0</b>	<b>0.0</b>	<b>469.2</b>	<b>469.2</b>	<b>0.11%</b>	<b>166,483.3</b>	<b>0.3%</b>
<b>CENTRAL ADMINISTRATION</b>								
CENTRAL ADMINISTRATION	**	625.5	32.3	745.7	1,403.5	0.33%	106,861.1	1.3%
Other tubs w/o sponsored expenditures	125,190	0.0	0.0	0.0	0.0	0.00%	23,296.1	0.0%
<b>TOTAL EXPENDITURES</b>		<b>297,344.0</b>	<b>31,216.4</b>	<b>102,220.2</b>	<b>430,780.6</b>	<b>100.00%</b>	<b>2,040,115.6</b>	<b>21.1%</b>

RECONCILIATION :		
Financial Aid Expenditures (fund's: 200000-299999)		2,557.4
Financial Aid Expenditures (fund's: 100000-199999)	11,424.4	142.8
Treasurer's Report (fund's: 100000-199999)	308,768.4	31,359.2
Treasurer's Report (fund's: 200000-299999)		104,777.6

(1) Source: Treasurer's Report (\$ in thousands) including:  
Scholarships applied to student income and "Agency" funds.

\* Service Tubs : 150,155,170,175,180,185,205,295, 580

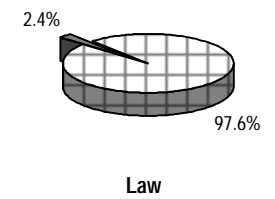
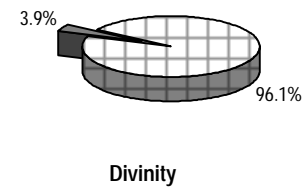
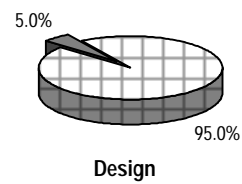
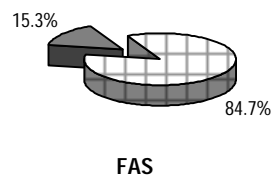
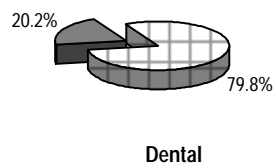
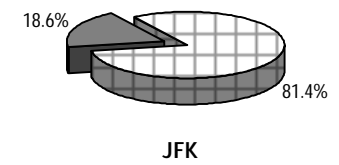
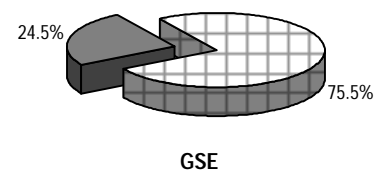
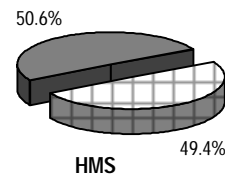
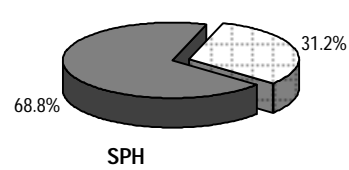
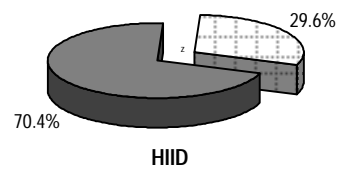
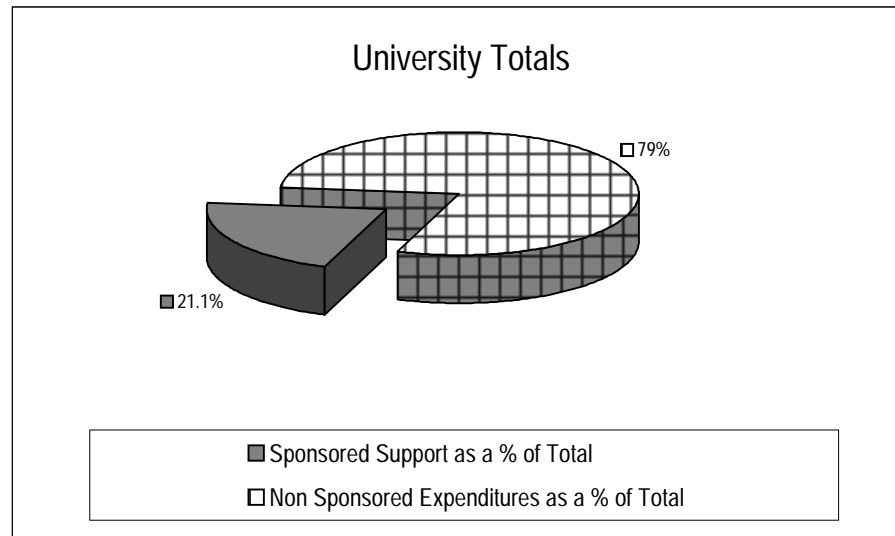
\* Operating Exp. Service Tubs: 150,155,160, 170,175,180, 580

\*\* Central Administration : 195, 610

\*\* Operating Exp. Central Administration: 135, 165, 195, 580, 610, 640, 650, 625

## VII. Variation In Sponsored Support By School and Department

Sponsored versus non-sponsored expenditures as a percent of departmental operating expenses.



VIII. Sponsored Project Expenditures For Salaries, Equipment and Subcontracts - Two Year Comparison

TUB	TUB #	SALARIES***			EQUIPMENT(obj. codes S680)			SUBCONTRACTS (obj. codes S818)		
		FY 00	FY 99	% Change	FY 00	FY 99	% Change	FY 00	FY 99	% Change
<b>ACADEMIC TUBS RECEIVING TUITION:</b>										
Faculty of Arts and Sciences										
Faculty of Arts & Sciences	370	24,155.3	23,577.8	2.4%	4,937.9	4,307.4	14.6%	4,408.0	3,672.7	20.0%
Division of Continuing Education	355	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0	0.0	0.0%
Division of Engineering and Applied Sci.	325	9,512.2	9,496.9	0.2%	2,307.6	2,169.6	6.4%	3,527.1	3,252.7	8.4%
Library	415	53.6	40.6	32.0%	0.0	0.0	0.0%	0.0	0.0	0.0%
Museum of Comp. Zoology/Peabody Museum	385	730.3	399.6	82.8%	146.2	89.8	62.9%	278.1	0.0	n/a
College Life, Athletics, Grad Dorms	310,340,400	0.0	(1.9)	-100.0%	0.0	0.0	0.0%	0.0	0.0	0.0%
<b>Total Faculty of Arts &amp; Sciences</b>		<b>34,451.4</b>	<b>33,513.1</b>	<b>2.8%</b>	<b>7,391.7</b>	<b>6,566.8</b>	<b>12.6%</b>	<b>8,213.2</b>	<b>6,925.4</b>	<b>18.6%</b>
Business School	430	19.2	52.9	-63.8%	0.0	0.0	0.0%	0.0	0.0	0.0%
School of Dental Medicine	550	1,797.3	1,263.4	42.3%	11.8	53.0	-77.7%	306.4	166.0	84.6%
School of Design	235	750.3	120.2	524.3%	(2.5)	13.6	-118.5%	0.0	0.0	0.0%
Divinity School	245	407.0	227.3	79.0%	1.3	1.8	-100.0%	0.0	0.0	0.0%
Graduate School of Education	255	5,406.4	5,051.2	7.0%	49.7	72.1	-31.1%	1,814.9	1,667.9	8.8%
JFK School of Government	215	7,663.2	5,823.7	31.6%	124.9	103.6	20.6%	244.5	748.7	-67.3%
Law School	265	1,083.3	1,251.4	-13.4%	24.0	16.8	43.4%	78.0	57.4	36.0%
Medical School	505,520	48,872.3	41,538.9	17.7%	4,828.4	3,984.9	21.2%	6,341.3	6,627.8	-4.3%
School of Public Health	275	39,457.4	38,940.0	1.3%	1,761.9	1,898.0	-7.2%	19,075.8	17,513.9	8.9%
Radcliffe	285	85.7	0.0	n/a	0.0	0.0	0.0%	0.0	0.0	0.0%
<b>OTHER ACADEMIC TUBS:</b>										
Arnold Arboretum	100	54.2	136.5	-60.3%	0.0	0.0	0.0%	39.0	35.8	8.9%
Center for Hellenic Studies	115	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0	0.0	0.0%
Dumbarton Oaks	110	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0	0.0	0.0%
Fogg and Sackler Art Museums	105	28.7	67.4	-57.4%	48.2	6.4	648.8%	0.0	0.0	0.0%
Harvard Inst. for Int'l Development	120	8,504.4	11,320.4	-24.9%	154.5	209.9	-26.4%	3,374.0	2,823.8	19.5%
Joint Center for Housing Studies	225	108.6	n/a	n/a	0.0	n/a	n/a	0.0	n/a	n/a
Nieman Foundation	140	2.3	0.0	n/a	0.0	0.0	0.0%	0.0	0.0	0.0%
Villa I Tatti	145	13.3	47.2	-71.9%	0.0	0.0	0.0%	0.0	0.0	0.0%
<b>SERVICE TUBS</b>	*	<b>210.2</b>	<b>179.3</b>	<b>17.2%</b>	<b>0.0</b>	<b>11.6</b>	<b>-100.0%</b>	<b>76.3</b>	<b>0.0</b>	<b>n/a</b>
<b>CENTRAL ADMINISTRATION</b>	**	<b>489.3</b>	<b>390.6</b>	<b>25.3%</b>	<b>0.0</b>	<b>9.0</b>	<b>0.0%</b>	<b>0.0</b>	<b>244.4</b>	<b>-100.0%</b>
<b>TOTAL EXPENDITURES</b>		<b>149,404.5</b>	<b>139,923.7</b>	<b>6.8%</b>	<b>14,393.8</b>	<b>12,947.3</b>	<b>11.2%</b>	<b>39,563.4</b>	<b>36,811.1</b>	<b>7.48%</b>

\* Service Tubs : 150,155,170,175,180,185,205,295,580

NOTE: Amounts exclude financial aid processed in acct range 100000-299999

\*\* Central Administration : 195, 610,625

(\$ in thousands)

\*\*\* Includes object codes: G601, G624

## IX. Sponsored Projects Expenditures For Salaries, Equipment, Subcontracts, Indirect, Other

TUB	TUB #	SALARIES***		EQUIPMENT(obj. code S680)		SUBCONTRACTS (obj. code S818)		INDIRECT (obj. codes S839 - S842) ****		OTHER	TOTAL EXPENDITURES FY00
		Expenditures	% of Total Sponsored Expenditures	Expenditures	% of Total Sponsored Expenditures	Expenditures	% of Total Sponsored Expenditures	Expenditures	% of Total Sponsored Expenditures		
<b>ACADEMIC TUBS RECEIVING TUITION:</b>											
<b>Faculty of Arts and Sciences</b>											
Faculty of Arts & Sciences	370	24,155.3	34.1%	4,937.9	7.0%	4,408.0	6.2%	17,970.8	29.3%	19,280.3	70,752.3
Division of Continuing Education	355	0.0	0.0%	0.0	0.0%	0.0	0.0%	0.0	0.0%	0.0	0.0
Division of Engineering & Applied Sci.	325	9,512.2	39.7%	2,307.6	9.6%	3,527.1	14.7%	6,467.3	35.7%	2,140.5	23,954.7
Library	415	53.6	38.7%	0.0	0.0%	0.0	0.0%	8.6	6.2%	76.4	138.6
Museum of Comp. Zoology/Peabody Museum	385	730.3	33.0%	146.2	6.6%	278.1	12.6%	495.2	27.7%	562.1	2,211.9
College Life, Athletics, Grad Dorms	310,340,400	0.0	0.0%	0.0	0.0%	0.0	0.0%	0.9	7.4%	10.9	11.8
<b>Total Faculty of Arts &amp; Sciences</b>		<b>34,451.4</b>	<b>35.5%</b>	<b>7,391.7</b>	<b>7.6%</b>	<b>8,213.2</b>	<b>8.5%</b>	<b>24,942.7</b>	<b>30.6%</b>	<b>22,070.3</b>	<b>97,069.3</b>
Business School	430	19.2	71.9%	0.0	0.0%	0.0	0.0%	0.0	0.0%	7.5	26.7
School of Dental Medicine	550	1,797.3	43.1%	11.8	0.3%	306.4	7.4%	914.6	23.8%	1,135.6	4,165.9
School of Design	235	750.3	54.2%	(2.5)	-0.2%	0.0	0.0%	264.2	19.0%	373.2	1,385.2
Divinity School	245	407.0	51.1%	1.3	0.2%	0.0	0.0%	62.5	7.9%	325.3	796.1
Graduate School of Education	255	5,406.4	45.5%	49.7	0.4%	1,814.9	15.3%	1,291.4	12.9%	3,309.6	11,872.0
JFK School of Government	215	7,663.2	45.1%	124.9	0.7%	244.5	1.4%	2,902.3	17.5%	6,058.5	16,993.3
Law School	265	1,083.3	50.3%	24.0	1.1%	78.0	3.6%	170.8	8.3%	795.5	2,151.7
Medical School	505,520	48,872.3	30.4%	4,828.4	3.0%	6,341.3	3.9%	42,503.7	28.4%	58,073.7	160,619.4
School of Public Health	275	39,457.4	35.6%	1,761.9	1.6%	19,075.8	17.2%	26,967.4	30.0%	23,427.8	110,690.2
Radcliffe	285	85.7	22.0%	0.0	0.0%	0.0	0.0%	18.5	4.8%	285.8	390.0
<b>OTHER ACADEMIC TUBS:</b>											
Arnold Arboretum	100	54.2	25.7%	0.0	0.0%	39.0	18.5%	56.8	33.1%	60.5	210.6
Center for Hellenic Studies	115	0.0	0.0%	0.0	0.0%	0.0	0.0%	0.0	0.0%	0.0	0.0
Dumbarton Oaks	110	0.0	0.0%	0.0	0.0%	0.0	0.0%	0.0	0.0%	25.1	25.1
Fogg and Sackler Art Museums	105	28.7	11.1%	48.2	18.6%	0.0	0.0%	38.5	18.2%	143.8	259.2
Harvard Inst. for Int'l Development	120	8,504.4	39.0%	154.5	0.7%	3,374.0	15.5%	3,677.5	20.1%	6,103.6	21,814.0
Joint Center for Housing Studies	225	108.6	38.8%	0.0	0.0%	0.0	0.0%	0.0	0.0%	171.1	279.7
Nieman Foundation	140	2.3	2.3%	0.0	0.0%	0.0	0.0%	0.0	0.0%	98.7	101.0
Villa I Tatti	145	13.3	22.6%	0.0	0.0%	0.0	0.0%	0.0	0.0%	45.3	58.6
SERVICE TUBS	*	210.2	44.8%	0.0	0.0%	76.3	16.3%	85.4	21.7%	97.3	469.2
CENTRAL ADMINISTRATION	**	489.3	34.9%	0.0	0.0%	0.0	0.0%	198.4	14.1%	715.8	1,403.5
<b>TOTAL EXPENDITURES</b>		<b>149,404.5</b>	<b>34.7%</b>	<b>14,393.8</b>	<b>3.3%</b>	<b>39,563.4</b>	<b>9.2%</b>	<b>104,094.7</b>	<b>27.6%</b>	<b>123,324.1</b>	<b>430,780.6</b>

\*\*\*\* % of total sponsored expenditures excludes Equipment and Subcontracts.

NOTE: Amounts exclude financial aid.

\*\*\* Includes object codes G601 & G624

(\$ in thousands)

\*\* Central Administration : 195, 610, 625

\* Service Tubs : 150,155,170,175,180,185,205,295,580

## X. Sponsored Project Expenditures - Two Year Comparison

TUBS	TUB #	FEDERAL PRIME EXPENDITURES (fund's: 100000-199999)	FEDERAL SUB-AWARD EXPENDITURES (fund's: 100000-199999)	NON-FEDERAL EXPENDITURES (fund's: 200000-299999)	TOTAL FY00 SPONSORED PROJECT EXPENDITURES	TOTAL FY99 SPONSORED PROJECT EXPENDITURES	% CHANGE
<b>ACADEMIC TUBS RECEIVING TUITION:</b>							
<b>Faculty of Arts and Sciences</b>							
Faculty of Arts & Sciences	370	55,907.5	3,217.3	11,627.5	70,752.3	66,811.7	5.9%
Division of Continuing Education	355	0.0	0.0	0.0	0.0	0.5	-100.0%
Division of Engineering & Applied Sci.	325	19,105.6	3,241.2	1,607.8	23,954.7	23,794.8	0.7%
Library	415	126.8	0.0	11.8	138.6	128.2	8.1%
Museum of Comp. Zoology/Peabody Museum	385	1,835.2	124.6	252.2	2,211.9	1,180.7	87.3%
College Life, Athletics, Grad Dorms	310,340,400	0.0	0.0	11.8	11.8	3.1	277.5%
<b>Total Faculty of Arts &amp; Sciences</b>		<b>76,975.2</b>	<b>6,583.1</b>	<b>13,511.1</b>	<b>97,069.3</b>	<b>91,919.1</b>	<b>5.6%</b>
<b>Business School</b>	430	0.0	0.0	26.7	26.7	66.6	-60.0%
<b>School of Dental Medicine</b>	550	3,563.9	65.2	536.7	4,165.9	3,231.2	28.9%
<b>School of Design</b>	235	329.2	497.7	558.3	1,385.2	773.4	79.1%
<b>Divinity School</b>	245	0.0	0.0	796.1	796.1	683.5	16.5%
<b>Graduate School of Education</b>	255	3,466.6	715.7	7,689.7	11,872.0	11,452.2	3.7%
<b>JFK School of Government</b>	215	4,026.6	709.1	12,257.6	16,993.3	14,263.8	19.1%
<b>Law School</b>	265	158.0	0.0	1,993.6	2,151.7	2,137.7	0.7%
<b>Medical School</b>	505,520	114,378.9	10,988.1	35,252.4	160,619.4	142,765.6	12.5%
<b>School of Public Health</b>	275	82,778.6	8,181.5	19,730.2	110,690.2	105,283.2	5.1%
<b>Radcliffe</b>	285	81.2	0.0	308.8	390.0	137.5	183.7%
<b>OTHER ACADEMIC TUBS:</b>							
Arnold Arboretum	100	210.6	0.0	0.0	210.6	292.8	-28.1%
Center for Hellenic Studies	115	0.0	0.0	0.0	0.0	0.0	n/a
Dumbarton Oaks	110	0.0	0.0	25.1	25.1	12.2	106.1%
Fogg and Sackler Art Museums	105	157.0	0.0	102.1	259.2	105.9	144.7%
Harvard Inst. for Int'l Development	120	10,592.7	3,443.8	7,777.6	21,814.0	26,952.4	-19.1%
Joint Center for Housing Studies	225	0.0	0.0	279.7	279.7	n/a	n/a
Nieman Foundation	140	0.0	0.0	101.0	101.0	39.0	159.0%
Villa I Tatti	145	0.0	0.0	58.6	58.6	137.5	-57.4%
<b>SERVICE TUBS</b>	*	0.0	0.0	469.2	469.2	476.3	-1.5%
<b>CENTRAL ADMINISTRATION</b>	**	625.5	32.3	745.7	1,403.5	1,257.3	11.6%
<b>TOTAL EXPENDITURES</b>		<b>297,344.0</b>	<b>31,216.4</b>	<b>102,220.2</b>	<b>430,780.6</b>	<b>401,987.1</b>	<b>7.2%</b>

\* Service Tubs : 150,155,170,175,180,185,205,295,580

NOTE: Amounts exclude financial aid.

\*\* Central Administration : 195, 610, 625

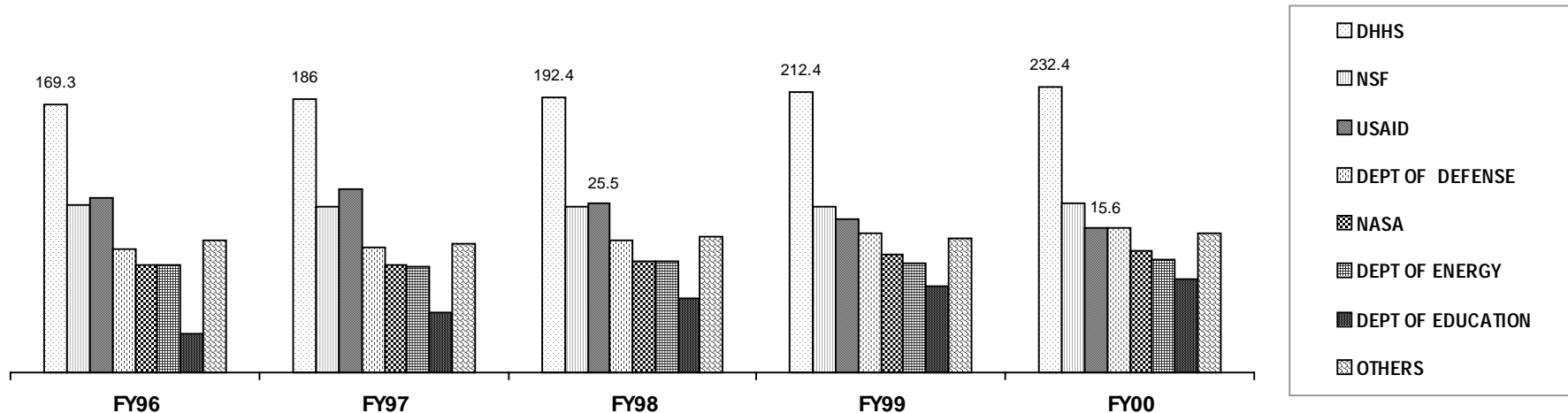
---

# Federal Funding

## XI. Sources of Federal Funding

The Department of Health and Human Services (DHHS) continues to be Harvard's primary source of funding, mainly through the National Institutes of Health (NIH). NIH funding increased by \$20.0 million in FY00 raising total DHHS funding to \$232.4 million (70.7% of federal funding). This represents a five-year growth of DHHS funding of 37.3%. After DHHS, the next three leading sources of federal funding were the National Science Foundation (NSF) with \$25.6 million an increase of 7.1%, the Department of Defense with \$16.0 million an increase of 11.1% and the U.S. Agency for International Development (USAID) with \$15.6 million. USAID funding experienced a decline of 16.1% below FY99 levels.

FEDERAL SPONSORS	Leading Federal Sponsors (in \$ millions)					
	FY96	FY97	FY98	FY99	FY00	% change FY99-00
<b>DHHS</b>	169.3	186.0	192.4	<b>212.4</b>	232.4	9.4%
<b>NSF</b>	24.8	23.9	24.1	<b>23.9</b>	25.6	7.1%
<b>USAID</b>	28.4	33.3	25.5	<b>18.6</b>	15.6	-16.1%
<b>DEPT OF DEFENSE</b>	10.5	11.1	12.6	<b>14.4</b>	16.0	11.1%
<b>NASA</b>	7.8	7.9	8.4	<b>9.5</b>	10.2	7.4%
<b>DEPT OF ENERGY</b>	7.9	7.5	8.3	<b>8.2</b>	8.6	4.9%
<b>DEPT OF EDUCATION</b>	2.1	3.1	4.1	<b>5.2</b>	6.0	15.4%
<b>OTHERS (non-leading)</b>	12.5	11.9	13.2	<b>12.9</b>	14.2	10.1%
<b>TOTAL</b>	<b>263.3</b>	<b>284.7</b>	<b>288.6</b>	<b>305.1</b>	328.6	7.7%



\*In order to represent the variations amongst the leading Federal Sponsors, the above graph has included DHHS not at scale.

XII. Expenditures Under Federal Sponsors, By Major Agency - Two Year Comparison

FEDERAL AGENCY	FY 2000				FY 1999				% CHANGE: FY99-00	
	DIRECT AWARDS	SUB AWARDS	FEDERAL \$ TOTAL	% OF FED \$ TOTAL	DIRECT AWARDS	SUB AWARDS	FEDERAL \$ TOTAL	% OF FED \$ TOTAL	\$ Change	% Change
<b>Department of Health &amp; Human Services:</b>										
National Institute of Health (NIH)	204,901.6	13,235.6	218,137.1	66.39%	188,658.6	11,022.6	199,681.2	65.45%	18,455.9	9.24%
Other DHHS	12,545.1	1,763.3	14,308.4	4.35%	10,857.7	1,846.8	12,704.5	4.16%	1,603.9	12.63%
<b>Total DHHS</b>	<b>217,446.7</b>	<b>14,998.9</b>	<b>232,445.6</b>	<b>70.75%</b>	<b>199,516.3</b>	<b>12,869.5</b>	<b>212,385.7</b>	<b>69.61%</b>	<b>20,059.8</b>	<b>9.45%</b>
National Science Foundation	23,780.3	1,806.5	25,586.8	7.79%	22,967.5	936.9	23,904.4	7.84%	1,682.4	7.04%
<b>Defense Departments:</b>										
Department of the Navy	6,840.0	274.3	7,114.3	2.17%	7,118.6	428.3	7,547.0	2.47%	-432.7	-5.73%
Department of the Army	3,619.2	1,125.6	4,744.8	1.44%	3,302.1	657.2	3,959.4	1.30%	785.4	19.84%
Department of the Air Force	2,454.3	683.9	3,138.2	0.96%	1,027.6	85.9	1,113.6	0.36%	2,024.6	181.82%
Defense Advanced Research Projects Agency	32.0	371.9	404.0	0.12%	634.3	294.2	928.5	0.30%	-524.5	-56.49%
Other - Department of Defense	161.8	399.3	561.1	0.17%	260.0	627.9	887.9	0.29%	-326.8	-36.81%
<b>Total DOD</b>	<b>13,107.3</b>	<b>2,855.1</b>	<b>15,962.4</b>	<b>4.86%</b>	<b>12,342.8</b>	<b>2,093.6</b>	<b>14,436.3</b>	<b>4.73%</b>	<b>1,526.0</b>	<b>10.57%</b>
Agency for International Development	12,090.0	3,559.7	15,649.7	4.76%	13,942.4	4,718.0	18,660.4	6.12%	-3,010.7	-16.13%
Nat'l. Aeronautics & Space Administration	7,663.1	2,583.2	10,246.3	3.12%	8,224.1	1,299.9	9,524.0	3.12%	722.3	7.58%
Department of Energy	7,052.0	1,597.1	8,649.1	2.63%	6,429.6	1,748.1	8,177.8	2.68%	471.3	5.76%
Department of Education	5,292.0	752.6	6,044.6	1.84%	5,144.8	101.2	5,246.0	1.72%	798.6	15.22%
Environmental Protection Agency	3,387.4	1,058.5	4,446.0	1.35%	2,670.1	547.6	3,217.7	1.05%	1,228.2	38.17%
Department of Justice	3,117.6	69.8	3,187.4	0.97%	2,551.3	114.6	2,666.0	0.87%	521.4	19.56%
Nat'l. Endowment for the Humanities	1,212.3	0.0	1,212.3	0.37%	1,263.7	0.0	1,263.7	0.41%	-51.4	-4.07%
U.S. Information Agency	-20.9	822.8	801.8	0.24%	-24.4	861.5	837.0	0.27%	-35.2	-4.21%
Central Intelligence Agency	613.8	0.0	613.8	0.19%	484.3	0.0	484.3	0.16%	129.5	26.74%
Department of Agriculture	860.9	24.6	885.4	0.27%	403.1	0.0	403.1	0.13%	482.3	119.65%
General Services Administration	224.1	0.0	224.1	0.07%	350.7	0.0	350.7	n/a	-126.6	-36.09%
Department of Transportation	18.7	189.0	207.8	0.06%	54.3	237.0	291.3	0.10%	-83.5	-28.68%
Department of Commerce	0.0	101.7	101.7	0.03%	0.0	145.5	145.5	0.05%	-43.8	-30.12%
National Oceanic & Atmospheric Admin.	9.3	33.7	43.0	0.01%	55.1	49.2	104.4	0.03%	-61.4	-58.81%
National Institute of Standards and Technology	280.3	0.0	280.3	0.09%	0.0	0.0	0.0	0.00%	280.3	n/a
National Endowment for the Arts	14.3	19.0	33.3	0.01%	-18.7	0.0	-18.7	-0.01%	14.6	-77.91%
Other Federal Agencies*	1,194.8	744.3	1,939.1	0.59%	2,105.4	911.5	3,016.9	0.99%	-1,077.8	-35.73%
<b>TOTAL EXPENDITURES</b>	<b>297,344.0</b>	<b>31,216.5</b>	<b>328,560.4</b>		<b>278,462.5</b>	<b>26,634.2</b>	<b>305,096.7</b>		<b>23,463.7</b>	<b>7.69%</b>

\*There are 21 Other Federal Agencies

NOTE: Amounts exclude financial aid.  
(\$ in thousands)

XIII. Expenditures Under Federal Sub-Awards, By Source

TUB	TUB #	HOSPITALS & OTHER UNIVERSITIES (14,05)	STATE, LOCAL & FOREIGN GOVERNMENTS (06,07,08)	FOUNDATIONS (03)	CORPORATIONS (02,10)	RESEARCH INSTITUTES (04)	OTHER SOURCES (09-13,15)	TOTAL FY00	TOTAL FY99	% CHANGE 99-00
<b>ACADEMIC TUBS RECEIVING TUITION:</b>										
Faculty of Arts and Sciences										
Faculty of Arts & Sciences	370	1,893.0	(0.0)	17.9	299.0	874.5	132.9	3,217.3	2,519.6	27.7%
Division of Continuing Education	355	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
Division of Engineering & Applied Sci.	325	2,787.0	0.0	0.0	139.4	277.3	37.6	3,241.2	3,176.3	2.0%
Library	415	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
Museum of Comp. Zoology/Peabody Museum	385	124.6	0.0	0.0	0.0	0.0	0.0	124.6	89.7	0.0%
College Life, Athletics, Grad Dorms	310,340,400	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
Total Faculty of Arts & Sciences		4,804.5	(0.0)	17.9	438.4	1,151.8	170.5	6,583.1	5,868.3	12.2%
Business School	430	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
School of Dental Medicine	550	25.4	0.0	0.0	0.0	39.7	0.0	65.2	26.0	n/a
School of Design	235	0.0	0.0	0.0	70.5	427.1	0.0	497.7	261.8	90.1%
Divinity School	245	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
Graduate School of Education	255	495.1	0.0	0.0	133.0	19.0	68.5	715.7	548.6	30.5%
JFK School of Government	215	484.4	0.0	0.0	130.2	15.0	79.6	709.1	480.5	47.6%
Law School	265	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
Medical School	505,520	8,154.7	62.0	0.0	661.5	1,807.3	302.6	10,988.1	6,952.6	58.0%
School of Public Health	275	4,958.0	74.8	0.0	1,570.5	935.0	643.2	8,181.5	8,059.8	1.5%
Radcliffe	285	0.00	0.00	0.00	0.00	0.00	0.00	0.00	n/a	n/a
<b>OTHER ACADEMIC TUBS:</b>										
Arnold Arboretum	100	0.0	0.0	0.0	0.0	0.0	0.0	0.0	(5.9)	n/a
Center for Hellenic Studies	115	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
Dumbarton Oaks	110	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
Fogg and Sackler Art Museums	105	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
Harvard Inst. for Int'l Development	120	97.4	0.0	860.3	513.4	15.0	1,957.7	3,443.8	4,442.4	-22.5%
Nieman Foundation	140	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
Joint Center For Housing Studies	225	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
Villa I Tatti	145	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
SERVICE TUBS	*	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
CENTRAL ADMINISTRATION	**	0.0	0.0	3.3	0.0	29.0	0.0	32.3	0.0	0.0%
<b>TOTAL EXPENDITURES FY00</b>		<b>19,019.5</b>	<b>136.8</b>	<b>881.4</b>	<b>3,517.5</b>	<b>4,439.0</b>	<b>3,222.2</b>	<b>31,216.4</b>		
<b>TOTAL EXPENDITURES FY99</b>		<b>14,670.3</b>	<b>19.3</b>	<b>861.1</b>	<b>3,684.7</b>	<b>2,604.9</b>	<b>2,226.6</b>		<b>26,634.2</b>	
<b>PERCENTAGE CHANGE: FY99-00</b>		<b>29.6%</b>	<b>608.7%</b>	<b>2.4%</b>	<b>-4.5%</b>	<b>70.4%</b>	<b>44.7%</b>	<b>17.2%</b>		<b>17.2%</b>

\* Service Tubs : 150,155,170,175,180,185,205,295,580

\*\* Central Administration : 195, 610, 625

NOTE: Amounts exclude financial aid processed in acct range 100000-199999.

(\$ in thousands)

(#) in headings denotes source code

XIV. Expenditures Under Federal Prime, By Type

TUB	TUB #	RESEARCH & DEVELOPMENT		TRAINING		OTHER		ALL TYPES		TOTAL FY00	TOTAL FY 99	% CHANGE 99.00
		Direct	Indirect	Direct	Indirect	Direct	Indirect	Direct	Indirect			
<b>ACADEMIC TUBS RECEIVING TUITION:</b>												
<b>Faculty of Arts and Sciences</b>												
Faculty of Arts & Sciences	370	34,273.7	16,669.1	2,888.0	74.9	1,799.5	202.4	38,961.1	16,946.4	55,907.5	51,383.0	8.8%
Division of Continuing Education	355	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
Division of Engineering & Applied Sci.	325	13,548.1	5,288.0	105.4	21.94	155.9	(13.6)	13,809.3	5,296.4	19,105.6	20,009.9	-4.5%
Library	415	0.0	0.0	0.0	0.0	118.2	8.6	118.2	8.6	126.8	116.8	8.5%
Museum of Comp. Zoology/Peabody Museum	385	1,109.2	399.9	104.8	1.71	178.6	41.0	1,392.7	442.6	1,835.2	608.7	201.5%
College Life, Athletics, Grad Dorms	310,340,400	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	3.1	-100.0%
<b>Total Faculty of Arts &amp; Sciences</b>		<b>48,930.9</b>	<b>22,356.9</b>	<b>3,098.2</b>	<b>98.6</b>	<b>2,252.2</b>	<b>238.4</b>	<b>54,281.3</b>	<b>22,693.9</b>	<b>76,975.2</b>	<b>72,121.7</b>	<b>6.7%</b>
<b>Business School</b>												
Business School	430	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
School of Dental Medicine	550	1,708.0	700.2	1,091.3	64.5	0.0	0.0	2,799.3	764.7	3,563.9	2,476.5	43.9%
School of Design	235	47.8	30.6	24.7	0.00	176.0	50.0	248.6	80.6	329.2	372.6	-11.6%
Divinity School	245	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
Graduate School of Education	255	2,842.2	595.4	29.3	0.00	(0.2)	(0.1)	2,871.3	595.3	3,466.6	3,621.7	-4.3%
JFK School of Government	215	2,597.3	1,253.4	157.2	1.68	17.0	0.0	2,771.5	1,255.1	4,026.6	2,537.7	58.7%
Law School	265	96.2	61.8	0.0	0.00	0.0	0.0	96.2	61.8	158.0	40.3	292.3%
Medical School	505,520	65,424.3	33,786.0	13,670.3	685.6	812.8	0.0	79,907.4	34,471.5	114,378.9	110,923.8	3.1%
School of Public Health	275	51,581.0	20,634.3	8,046.3	626.32	1,676.6	214.1	61,303.9	21,474.7	82,778.6	74,180.1	11.6%
Radcliffe	285	33.4	11.5	0.0	0.00	39.9	(3.6)	73.3	7.9	81.2	0.0	n/a
<b>OTHER ACADEMIC TUBS:</b>												
Arnold Arboretum	100	141.2	56.5	0.0	0.00	12.5	0.3	153.7	56.8	210.5	298.5	-29.5%
Center for Hellenic Studies	115	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
Dumbarton Oaks	110	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
Fogg and Sackler Art Museums	105	0.0	0.0	0.0	0.0	121.7	35.3	121.7	35.3	157.0	14.7	966.2%
Harvard Inst. for Int'l Development	120	9,111.4	1,462.1	0.0	0.00	15.3	4.0	9,126.7	1,466.1	10,592.8	11,341.5	-6.6%
Nieman Foundation	140	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
Joint Center for Housing Studies	225	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
Villa I Tatti	145	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
<b>SERVICE TUBS</b>	*	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.3	0.0%
<b>CENTRAL ADMINISTRATION</b>	**	0.0	0.0	0.0	0.0	484.9	140.6	484.9	140.6	625.5	528.1	18.4%
<b>TOTAL EXPENDITURES - FY00</b>		<b>182,513.8</b>	<b>80,948.6</b>	<b>26,117.2</b>	<b>1,476.7</b>	<b>5,608.7</b>	<b>679.0</b>	<b>214,239.7</b>	<b>83,104.3</b>	<b>297,344.0</b>		
<b>TOTAL EXPENDITURES - FY99</b>		<b>170,472.1</b>	<b>76,598.9</b>	<b>25,822.0</b>	<b>1,693.4</b>	<b>3,516.2</b>	<b>354.9</b>	<b>199,810.3</b>	<b>78,647.2</b>		<b>278,457.5</b>	
<b>PERCENTAGE CHANGE FY99-00</b>		<b>7.1%</b>	<b>5.7%</b>	<b>1.1%</b>	<b>-12.8%</b>	<b>59.5%</b>	<b>91.3%</b>	<b>7.2%</b>	<b>5.7%</b>			<b>6.8%</b>

\* Service Tubs : 150,155,170,175,180,185,205,295,580

\*\*Central Administration : 195, 610, 625

NOTE: Amounts exclude financial aid processed in fund range 100000-199999 (units in thousands)

XV. Expenditures Under Federal Sub-Awards, By Type

TUB	TUB #	RESEARCH & DEVELOPMENT		TRAINING		OTHER		ALL TYPES		TOTAL FY00
		Direct	Indirect	Direct	Indirect	Direct	Indirect	Direct	Indirect	
<b>ACADEMIC TUBS RECEIVING TUITION:</b>										
Faculty of Arts and Sciences										
Faculty of Arts & Sciences	370	1,944.6	643.7	466.4	29.7	123.3	9.6	2,534.3	683.0	3,217.3
Division of Continuing Education	355	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Division of Engineering & Applied Sci.	325	2,255.2	918.8	61.9	5.3	0.0	0.0	2,317.2	924.1	3,241.2
Library	415	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Museum of Comp. Zoology/Peabody Museum	385	79.1	45.4	0.0	0.0	0.0	0.0	79.1	45.4	124.6
College Life, Athletics, Grad Dorms	310,340,400	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
		0.0	0.0	0.0	0.0	0.0	0.0			
<b>Total Faculty of Arts &amp; Sciences</b>		<b>4,278.9</b>	<b>1,608.0</b>	<b>528.4</b>	<b>34.9</b>	<b>123.3</b>	<b>9.6</b>	<b>4,930.6</b>	<b>1,652.5</b>	<b>6,583.1</b>
		0.0	0.0	0.0	0.0	0.0	0.0			
Business School	430	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
School of Dental Medicine	550	54.5	10.6	0.0	0.0	0.0	0.0	54.5	10.6	65.2
School of Design	235	269.1	129.5	0.0	0.0	78.7	20.5	347.7	149.9	497.7
Divinity School	245	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Graduate School of Education	255	443.9	223.2	0.0	0.0	38.9	9.7	482.8	232.9	715.7
JFK School of Government	215	376.5	202.4	0.0	0.0	106.6	23.5	483.2	225.9	709.1
Law School	265	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Medical School	505,520	6,929.5	3,758.4	287.7	12.6	0.0	0.0	7,217.2	3,770.9	10,988.1
School of Public Health	275	5,420.2	2,631.7	2.1	0.0	97.0	30.4	5,519.3	2,662.1	8,181.5
Radcliffe	285	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
<b>OTHER ACADEMIC TUBS:</b>										
Arnold Arboretum	100	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Center for Hellenic Studies	115	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Dumbarton Oaks	110	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Fogg and Sackler Art Museums	105	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Harvard Inst. for Int'l Development	120	2,054.1	508.4	622.0	144.7	91.0	23.6	2,767.0	676.7	3,443.8
Nieman Foundation	140	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Joint Center For Housing Studies	225	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Villa I Tatti	145	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
SERVICE TUBS	*							0.0	0.0	0.0
CENTRAL ADMINISTRATION	**	30.3	2.0	0.0	0.0	0.0	0.0	30.3	2.0	32.3
<b>TOTAL EXPENDITURES - FY00</b>		<b>19,857.0</b>	<b>9,074.2</b>	<b>1,440.2</b>	<b>192.2</b>	<b>535.5</b>	<b>117.3</b>	<b>21,832.7</b>	<b>9,383.7</b>	<b>31,216.4</b>

\* Service Tubs : 150,155,170,175,180,185,205,295,580

NOTE: Amounts exclude financial aid processed in acct range 100000-199999. (funding type: FSC, FSG, FSO)

\*\* Central Administration : 195, 610, 625

---

# Non-Federal Funding

## XVI. Sources of Non-Federal Funding

Non-federal funding rose by \$5.5 million in FY00, the second highest increase in a five-year period. As in the past, foundations this year accounted for \$56.9 million, well over half of the non-federal funding, while corporations and state governments accounted for almost another third. Of the 565 non-federal sponsors, the leading ten shown below provided over 30.8% of total non-federal funding.

<b>NON-FEDERAL SPONSORS</b> (in \$ millions)	<b>FY96</b>	<b>FY97</b>	<b>FY98</b>	<b>FY99</b>	<b>FY00</b>	<b>%change FY99-00</b>
Foundations	40.7	40.8	41.5	50.2	<b>56.9</b>	13.3%
Corporations	14.8	12.1	12.0	15.0	<b>15.4</b>	2.7%
State, Local, Foreign Governments	15.8	14.5	15.2	11.8	<b>14.0</b>	18.6%
Research Institutes	4.7	4.7	4.9	5.6	<b>4.4</b>	(21.4%)
Universities & Hospitals	1.9	1.8	2.6	1.9	<b>1.6</b>	(15.8%)
Others	5.7	8.1	9.6	12.1	<b>9.9</b>	(18.1%)
<b>TOTAL</b>	<b>83.6</b>	<b>82.0</b>	<b>85.8</b>	<b>96.7</b>	<b>102.2</b>	<b>5.7%</b>

### Leading Non Federal Sponsors (in \$ millions)

<b>NON-FEDERAL SPONSORS</b>	<b>FY98</b>	<b>FY99</b>	<b>FY00</b>	<b>% of funding for FY00</b>	<b>% change FY99-00</b>
Robert Wood Johnson Fdn.	2,391.1	3,519.1	<b>4,824.8</b>	4.72%	37.1%
<b>Ford Foundation</b>	<b>3,117.5</b>	<b>5,354.2</b>	<b>4,554.9</b>	4.46%	(14.9%)
Commonwealth of Mass	2,100.1	2,193.1	<b>4,030.8</b>	3.94%	83.8%
Juvenile Diabetes Foundation	N/A	852.1	<b>3,772.4</b>	3.69%	342.7%
J. & C. MacArthur Foundation	2,321.8	3,470.5	<b>2,679.3</b>	2.62%	(22.8%)
Hoechst Marion Roussel Inc.	N/A	1,177.5	<b>2,578.0</b>	2.52%	118.9%
Merck and Company	168.4	3,054.7	<b>2,354.2</b>	2.30%	(22.9%)
Andrew Mellon Foundation	2,309.2	1,878.0	<b>2,282.7</b>	2.23%	21.5%
John M. Olin Foundation	1,248.6	1,929.7	<b>2,277.4</b>	2.23%	18.0%
Commonwealth Fund	N/A	1,371.3	<b>2,093.0</b>	2.05%	52.6%
<b>Other Sponsors*</b>	<b>72,193.2</b>	<b>71,957.6</b>	<b>70,772.8</b>	69.19%	(1.7%)
<b>TOTAL</b>	<b>\$ 85,849.9</b>	<b>\$ 96,757.8</b>	<b>\$ 102,220.3</b>	<b>100.00%</b>	<b>5.65%</b>

\* Other Sponsors = 555 in this table

XVII. Expenditures Under Non-Federal Sponsors, By Major Sponsor - Two Year Comparison

NON FEDERAL SPONSOR	Source Code	FY 2000				FY 1999				% CHANGE: FY99-00	
		DIRECT COSTS	INDIRECT COSTS	TOTAL COSTS	INDIRECT AS % OF DIRECT	DIRECT COSTS	INDIRECT COSTS	TOTAL COSTS	INDIRECT AS % OF DIRECT	Amount Change	% Change
Robert Wood Johnson Foundation	3	4,544.3	280.6	4,824.8	6.17%	3,304.3	214.8	3,519.1	6.50%	1,305.8	37.11%
Ford Foundation	3	3,989.6	565.3	4,554.9	14.17%	4,449.5	904.7	5,354.2	20.33%	-799.2	-14.93%
Commonwealth of Massachusetts	6	3,733.4	297.3	4,030.8	7.96%	2,060.1	133.0	2,193.1	6.45%	1,837.7	83.80%
Juvenile Diabetes Foundation International	3	3,360.2	412.2	3,772.4	12.27%	802.2	49.9	852.1	6.22%	2,920.3	342.71%
J. & C. MacArthur Foundation	3	2,593.2	86.1	2,679.3	3.32%	3,335.7	134.8	3,470.5	4.04%	-791.2	-22.80%
Hoechst Marion Roussel Inc.	12	1,693.0	884.9	2,578.0	52.27%	846.8	330.6	1,177.5	39.04%	1,400.5	118.94%
L'Association Francaise Contre Les Myopathies/Genetho	8	2,541.1	0.0	2,541.1	0.00%	0.0	0.0	0.0	0.00%	2,541.1	n/a
Merck and Company, Inc	2	1,781.3	572.9	2,354.2	32.16%	2,185.3	869.4	3,054.7	39.79%	-700.5	-22.93%
Andrew Mellon Foundation	3	2,243.1	39.6	2,282.7	1.77%	1,866.3	11.7	1,878.0	0.63%	404.7	21.55%
John M. Olin Foundation	3	2,277.4	0.0	2,277.4	0.00%	1,929.7	0.0	1,929.7	0.00%	347.8	18.02%
Commonwealth Fund	3	1,991.0	102.1	2,093.0	5.13%	1,296.2	75.0	1,371.3	5.79%	721.8	52.63%
Carnegie Corporation	3	1,774.5	248.6	2,023.2	14.01%	2,009.6	268.4	2,278.0	13.35%	-254.8	-11.19%
Merck KGaA	13	1,267.9	672.3	1,940.2	53.03%	0.0	0.0	0.0	0.00%	1,940.2	n/a
Spencer Foundation	3	1,701.2	123.1	1,824.3	7.24%	1,382.2	78.2	1,460.4	5.65%	364.0	24.92%
Government of Indonesia	8	1,314.7	352.3	1,667.0	26.80%	1,730.9	458.0	2,188.9	26.46%	-521.9	-23.84%
Bristol-Myers Squibb Company	2	1,220.0	440.2	1,660.2	36.09%	2,689.8	1,275.7	3,965.5	47.43%	-2,305.2	-58.13%
American Cancer Society	3	1,292.9	187.3	1,480.2	14.49%	1,237.3	206.3	1,443.6	16.67%	36.6	2.53%
Pew Charitable Trusts	3	1,352.4	61.3	1,413.7	4.53%	1,253.0	30.6	1,283.7	2.44%	130.1	10.13%
U.S. Surgical Corporation	2	1,189.3	122.3	1,311.6	10.29%	1,444.8	195.5	1,640.3	13.53%	-328.7	-20.04%
Wyeth-Ayerst Laboratories	2	1,164.2	126.3	1,290.4	10.85%	1,383.8	150.0	1,533.8	10.84%	-243.3	-15.86%
William K. Kellogg Foundation	3	1,281.0	0.0	1,281.0	0.00%	1,318.5	0.0	1,318.5	0.00%	-37.5	-2.84%
Alfred P. Sloan Foundation	3	1,059.8	103.6	1,163.4	9.77%	865.5	104.3	969.8	12.05%	193.6	19.96%
Howard Hughes Medical Institute	4	1,134.7	0.0	1,134.7	0.00%	1,465.2	0.0	1,465.2	0.00%	-330.4	-22.55%
Electric Power Research Institute	4	834.1	293.3	1,127.4	35.17%	581.0	184.2	765.1	31.71%	362.2	47.34%
Smith Richardson Foundation Inc.	3	952.8	70.5	1,023.3	7.40%	1,055.0	74.5	1,129.5	7.07%	-106.2	-9.40%
Government of Mozambique	8	816.0	204.2	1,020.2	25.03%	862.1	215.2	1,077.3	24.96%	-57.1	-5.30%
Cancer Research Fund of the D. Runyon-W. Winchell	3	887.7	0.0	887.7	0.00%	657.1	0.0	657.1	0.00%	230.6	35.10%
Avina Foundation	13	770.9	0.0	770.9	0.00%	512.5	0.0	512.5	0.00%	258.4	50.41%
The Leukemia and Lymphoma Society	3	691.4	17.1	708.5	2.47%	0.0	0.0	0.0	0.00%	708.5	n/a
Giovanni Armenise-Harvard Found for Adv. Scintfc Res.	3	680.9	0.1	680.9	0.01%	217.2	0.0	217.2	0.00%	463.8	213.53%
Other Non-Federal Sponsors*		38,439.7	5,383.2	43,822.8	14.00%	41,837.1	6,214.5	48,051.6	14.85%	-4,228.8	-8.80%
<b>TOTAL EXPENDITURES FY00</b>		<b>90,573.5</b>	<b>11,646.7</b>	<b>102,220.3</b>	<b>12.86%</b>	<b>84,578.5</b>	<b>12,179.3</b>	<b>96,757.8</b>	<b>14.40%</b>	<b>5,462.4</b>	<b>5.65%</b>
<b>ALL NON-FEDERAL SPONSORS</b>											

\*There are 535 Other Non-Federal Sponsors

NOTE: Amounts exclude financial aid.

Source Codes: 2-industry; 3-foundation, 4-research inst, 6-state gov., 8-foreign gov., 12-foreign rearch inst., 13-foreign other

XVIII. Expenditures Under Non-Federal Sponsors, By Major School

NON FEDERAL SPONSOR	Harvard Medical School	School of Public Health	Faculty of Arts & Sciences	Harvard Inst. For Int's Development	JFKennedy school of Government	Law School	School of Education	Other Units
Robert Wood Johnson Foundation	7.9%	79.8%			11.0%	1.1%	0.2%	
Ford Foundation		2.7%	20.2%	2.5%	56.7%	1.6%	2.9%	13.5%
Commonwealth of Massachusetts	99.4%	0.4%	0.1%		0.1%			
Juvenile Diabetes Foundation International	80.5%	15.9%	3.6%					
J. & C. MacArthur Foundation	54.1%	8.6%	16.0%		16.6%	3.2%		1.4%
Hoechst Marion Roussel Inc.	100.0%							
L'Association Francaise Contre Les Myopathies/Genethon	100.0%							
Merck and Company, Inc	83.2%	16.7%	0.2%					
Andrew Mellon Foundation		2.3%	71.6%		12.6%		9.8%	3.7%
John M. Olin Foundation			52.9%			47.1%		
Commonwealth Fund	41.3%	43.0%			15.7%			
Carnegie Corporation	3.5%	3.3%	14.5%		70.2%		4.2%	4.4%
Merck KGaA	100.0%							
Spencer Foundation			8.2%				79.5%	12.3%
Government of Indonesia				100.0%				
Bristol-Myers Squibb Company		100.0%						
American Cancer Society	68.1%	16.7%	15.1%					
Pew Charitable Trusts			0.4%		30.3%		69.3%	
U.S. Surgical Corporation	100.0%							
Wyeth-Ayerst Laboratories		100.0%						
William K. Kellogg Foundation			-1.4%		21.8%		77.4%	2.1%
Alfred P. Sloan Foundation	38.5%	1.3%	51.7%		8.3%	0.3%		
Howard Hughes Medical Institute	85.7%		14.3%					
Electric Power Research Institute		56.0%	44.0%					
Smith Richardson Foundation Inc.			58.0%		36.1%		5.9%	
Government of Mozambique				100.0%				
Cancer Research Fund of the D. Runyon-W. Winchell	48.2%	4.9%	46.9%					
Avina Foundation					100.0%			
The Leukemia and Lymphoma Society	72.5%	18.8%	8.7%					
Giovanni Armenise-Harvard Found for Adv. Scintfc Res.	100.0%							

Expenditures by schools in FY'00 as a percentage of Major Non-Federal Sponsors across the university.

XIX. Expenditures Under Non-Federal Awards, By Source

TUB	TUB #	HOSPITALS & OTHER UNIVERSITIES (14, 05)	STATE, LOCAL & FOREIGN GOVERNMENTS (06,07,08)	FOUNDATIONS (03)	CORPORATIONS (02,10)	RESEARCH INSTITUTES (04)	OTHER SOURCES (09,13,15)	TOTAL FY00	TOTAL FY99	% CHANGE 99-00
<b>ACADEMIC TUBS RECEIVING TUITION:</b>										
<b>Faculty of Arts and Sciences</b>										
Faculty of Arts & Sciences	370	192.5	778.1	9,563.2	169.0	399.9	524.8	11,627.5	12,909.2	-9.9%
Division of Continuing Education	355	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
Division of Engineering & Applied Sci.	325	0.0	0.0	557.2	283.2	496.6	270.8	1,607.8	608.7	164.2%
Library	415	0.0	0.0	11.8	0.0	0.0	0.0	11.8	11.4	4.0%
Museum of Comp. Zoology/Peabody Museum	385	0.0	3.0	185.3	15.3	0.0	48.5	252.2	399.4	100.0%
College Life, Athletics, Grad Dorms	310,340,400	0.0	11.8	0.0	0.0	0.0	0.0	11.8	0.0	0.0%
<b>Total Faculty of Arts &amp; Sciences</b>		<b>192.5</b>	<b>792.9</b>	<b>10,317.6</b>	<b>467.6</b>	<b>896.5</b>	<b>844.1</b>	<b>13,511.0</b>	<b>13,929.0</b>	<b>-3.0%</b>
Business School	430	0.0	0.0	26.7	0.0	0.0	0.0	26.7	66.6	100.0%
School of Dental Medicine	550	0.0	0.0	101.4	450.4	-15.1	0.0	536.7	728.7	-26.3%
School of Design	235	0.0	215.8	7.5	0.0	2.2	332.9	558.3	139.0	301.6%
Divinity School	245	0.0	0.0	796.1	0.0	0.0	0.0	796.1	683.5	16.5%
Graduate School of Education	255	188.5	107.4	6,675.0	12.2	0.0	706.6	7,689.7	7,281.8	5.6%
JFK School of Government	215	50.0	44.0	8,312.4	1,043.4	133.5	2,674.3	12,257.6	11,184.6	9.6%
Law School	265	0.0	0.0	1,649.9	255.4	0.1	88.2	1,993.6	2,158.3	-7.6%
Medical School	505,520	632.6	6,470.2	16,661.9	6,885.8	1,965.2	2,636.7	35,252.4	24,889.2	41.6%
School of Public Health	275	476.6	1,301.4	10,514.0	5,499.5	1,448.1	490.6	19,730.1	23,043.3	-14.4%
Radcliffe	285	0.0	0.0	304.1	4.7	0.0	0.0	308.8	n/a	n/a
<b>OTHER ACADEMIC TUBS:</b>										
Arnold Arboretum	100	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.1	-100.0%
Center for Hellenic Studies	115	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
Dumbarton Oaks	110	0.0	0.0	25.1	0.0	0.0	0.0	25.1	12.2	106.1%
Fogg and Sackler Art Museums	105	0.0	15.0	87.1	0.0	0.0	0.0	102.1	91.2	12.0%
Harvard Inst. for Int'l Development	120	38.8	5,068.4	336.1	333.4	-4.8	2,005.8	7,777.6	11,168.5	-30.4%
Nieman Foundation	140	0.0	0.0	101.0	0.0	0.0	0.0	101.0	39.0	159.0%
Joint Center For Housing Studies	225	0.0	0.0	268.7	11.1	0.0	0.0	279.7	n/a	n/a
Villa I Tatti	145	0.0	0.0	58.6	0.0	0.0	0.0	58.6	137.5	-57.4%
SERVICE TUBS	*	0.0	0.0	5.8	463.3	0.0	0.0	469.2	476.0	-1.4%
CENTRAL ADMINISTRATION	**	0.0	0.0	701.9	43.8	0.0	0.0	745.7	729.2	100.0%
<b>TOTAL EXPENDITURES FY00</b>		<b>1,578.9</b>	<b>14,015.0</b>	<b>56,950.7</b>	<b>15,470.6</b>	<b>4,425.8</b>	<b>9,779.3</b>	<b>102,220.2</b>		
<b>TOTAL EXPENDITURES FY99</b>		<b>1,888.1</b>	<b>11,814.5</b>	<b>50,026.3</b>	<b>15,026.3</b>	<b>5,691.8</b>	<b>12,141.1</b>		<b>96,588.1</b>	
<b>PERCENTAGE CHANGE: FY99 - FY00</b>		<b>-16.4%</b>	<b>18.6%</b>	<b>13.8%</b>	<b>3.0%</b>	<b>-22.2%</b>	<b>-19.5%</b>			<b>5.8%</b>

\* Service Tubs : 150,155,170,175,180,185,205,295,580

\*\* Central Administration : 195, 610, 625

NOTE: Amounts exclude financial aid processed in fund range 200000-299999.  
(units in thousands)

XX. Expenditures Under Non-Federal Awards, By Type

TUB	TUB #	RESEARCH & DEVELOPMENT		TRAINING		OTHER		ALL TYPES		TOTAL FY00
		Direct	Indirect	Direct	Indirect	Direct	Indirect	Direct	Indirect	
<b>ACADEMIC TUBS RECEIVING TUITION:</b>										
Faculty of Arts and Sciences										
Faculty of Arts & Sciences	370	4,813.9	215.6	2,074.5	6.3	4,397.7	119.5	11,286.1	341.5	11,627.5
Division of Continuing Education	355	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Division of Engineering & Applied Sci.	325	1,262.8	246.9	98.1	0.0	0.0	0.0	1,360.9	246.9	1,607.8
Library	415	0.0	0.0	0.0	0.0	11.8	0.0	11.8	0.0	11.8
Museum of Comp. Zoology/Peabody Museum	385	122.0	6.2	27.8	0.0	95.3	1.0	245.0	7.2	252.2
College Life, Athletics, Grad Dorms	310,340,400	0.0	0.0	0.0	0.0	10.9	0.9	10.9	0.9	11.8
Total Faculty of Arts & Sciences		6,198.7	468.7	2,200.4	6.3	4,515.7	121.4	12,914.7	596.4	13,511.0
Business School	430	0.0	0.0	26.7	0.0	0.0	0.0	26.7	0.0	26.7
School of Dental Medicine	550	313.9	131.3	66.8	0.0	16.8	8.1	397.4	139.3	536.7
School of Design	235	51.1	13.6	0.0	0.0	473.6	20.1	524.7	33.7	558.3
Divinity School	245	151.9	17.0	75.0	0.0	506.7	45.5	733.6	62.5	796.1
Graduate School of Education	255	5,178.7	311.9	585.0	6.2	1,462.8	145.2	7,226.5	463.2	7,689.7
JFK School of Government	215	7,205.0	927.1	1,617.0	192.7	2,014.4	301.4	10,836.4	1,421.2	12,257.6
Law School	265	501.0	84.7	0.0	0.0	1,383.6	24.3	1,884.6	109.0	1,993.6
Medical School	505,520	24,452.3	3,955.1	6,153.4	255.0	385.4	51.1	30,991.2	4,261.2	35,252.4
School of Public Health	275	13,493.4	2,446.3	636.2	10.8	2,770.1	373.4	16,899.6	2,830.5	19,730.1
Radcliffe	285	207.1	10.6	89.4	0.0	1.8	0.0	298.2	10.6	308.8
<b>OTHER ACADEMIC TUBS:</b>										
Arnold Arboretum	100	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Center for Hellenic Studies	115	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Dumbarton Oaks	110	1.1	0.0	0.0	0.0	24.0	0.0	25.1	0.0	25.1
Fogg and Sackler Art Museums	105	15.0	0.0	13.1	0.0	70.8	3.2	99.0	3.2	102.1
Harvard Inst. for Int'l Development	120	5,809.0	1,446.6	152.2	39.6	281.6	48.6	6,242.9	1,534.7	7,777.6
Nieman Foundation	140	0.0	0.0	5.0	0.0	96.0	0.0	101.0	0.0	101.0
Joint Center for Housing Studies	225	217.2	38.2	22.5	1.8	0.0	0.0	239.7	40.0	279.7
Villa I Tatti	145	0.0	0.0	0.0	0.0	58.6	0.0	58.6	0.0	58.6
SERVICE TUBS	*	0.0	0.0	0.0	0.0	383.8	85.4	383.8	85.4	469.2
CENTRAL ADMINISTRATION	**	157.4	13.4	350.0	24.2	182.6	18.1	690.0	55.8	745.7
<b>TOTAL EXPENDITURES - FY00</b>		<b>63,952.7</b>	<b>9,864.4</b>	<b>11,992.6</b>	<b>536.6</b>	<b>14,628.1</b>	<b>1,245.7</b>	<b>90,573.4</b>	<b>11,646.7</b>	<b>102,220.2</b>

\* Service Tubs : 150,155,170,175,180,185,205,295,580

NOTE: Amounts exclude financial aid processed in fund range 20000-299999.

\*\* Central Administration : 195, 610, 625

(units in thousands)

---

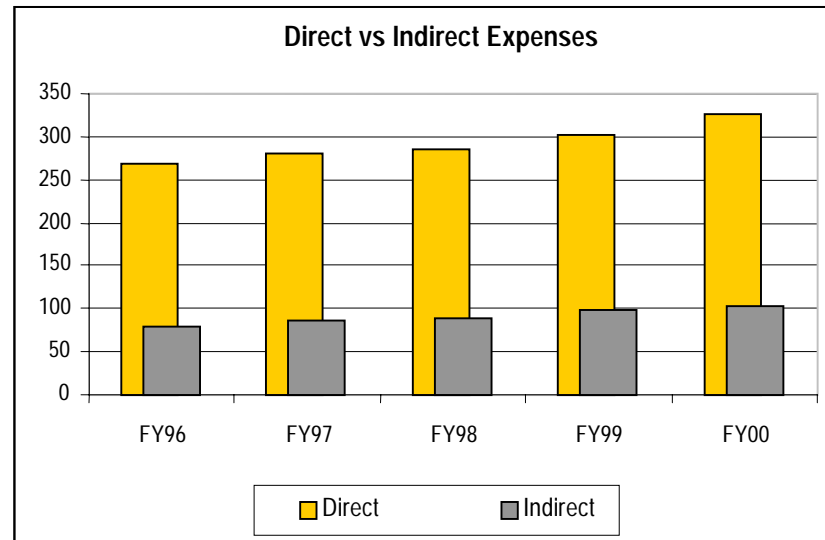
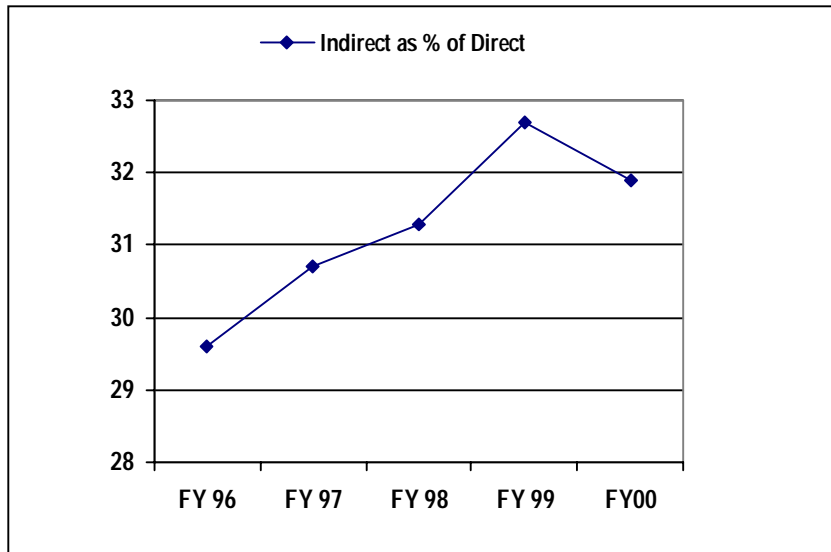
# Direct and Indirect Cost

## XXI. Direct and Indirect Cost Recovery

Indirect cost recovery under federal and non-federal sponsored projects grew by \$5.2 million in FY00, up 5.3% from FY99. Indirect costs as a percent of direct costs reached a five-year second high at 31.9%. The percentage of change in direct cost expenditures from Federal sources in FY 00 was 8.1% vs. 7.1% from Non-Federal sources. The percentage of change of indirect recovery from Federal sources in FY00 was 6.6% vs. - 4.4% from Non-Federal sources.

### Support for Direct vs. Indirect Costs (in \$ millions)

Fiscal Year	Direct	% change	Indirect	% change	Indirect as % of Direct
96	267.6	1.9%	79.2	-2.5%	29.6%
97	280.6	4.9%	86.1	8.7%	30.7%
98	285.1	1.6%	89.3	3.7%	31.3%
99	302.9	6.3%	98.9	10.8%	32.7%
00	<b>326.6</b>	<b>7.8%</b>	<b>104.1</b>	<b>5.3%</b>	<b>31.9%</b>



XXII. Direct and Indirect Under Federal Prime - Two Year Comparison

TUB	TUB #	DIRECT COSTS			INDIRECT COSTS			TOTAL COSTS			FY 00 INDIRECT as % of DIRECT	FY 99 INDIRECT as % of DIRECT
		FY 00	FY 99	% Change	FY 00	FY 99	% Change	FY 00	FY 99	% Change		
<b>ACADEMIC TUBS RECEIVING TUITION:</b>												
Faculty of Arts and Sciences												
Faculty of Arts & Sciences	370	38,961.1	35,947.1	8.4%	16,946.4	15,736.4	7.7%	55,907.5	51,683.5	8.2%	43.5%	43.8%
Division of Continuing Education	355	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0%	0.0%
Division of Engineering & Applied Sci.	325	13,809.3	14,220.6	-2.9%	5,296.4	5,789.3	-8.5%	19,105.6	20,009.9	-4.5%	38.4%	40.7%
Library	415	118.2	108.2	9.3%	8.6	8.7	-1.2%	126.8	116.8	8.5%	7.2%	8.0%
Museum of Comp. Zoology/Peabody Museum	385	1,392.7	235.2	492.2%	442.6	73.1	505.2%	1,835.2	308.3	495.3%	31.8%	31.1%
College Life, Athletics, Grad Dorms	310,340,400	0.0	2.1	-100.0%	0.0	1.0	-100.0%	0.0	3.1	-100.0%	0.0%	49.4%
<b>Total Faculty of Arts &amp; Sciences</b>		<b>54,281.3</b>	<b>50,513.1</b>	<b>7.5%</b>	<b>22,693.9</b>	<b>21,608.5</b>	<b>5.0%</b>	<b>76,975.2</b>	<b>72,121.7</b>	<b>6.7%</b>	<b>41.8%</b>	<b>42.8%</b>
Business School	430	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0%	0.0%
School of Dental Medicine	550	2,799.3	1,951.8	43.4%	764.7	524.7	45.7%	3,563.9	2,476.5	43.9%	27.3%	26.9%
School of Design	235	248.6	291.9	-14.8%	80.6	80.7	-0.1%	329.2	372.6	-11.6%	32.4%	27.7%
Divinity School	245	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0%	0.0%
Graduate School of Education	255	2,871.3	2,886.3	-0.5%	595.3	735.4	-19.1%	3,466.6	3,621.7	-4.3%	20.7%	25.5%
JFK School of Government	215	2,771.5	1,736.0	59.7%	1,255.1	801.7	56.5%	4,026.6	2,537.7	58.7%	45.3%	46.2%
Law School	265	96.3	40.3	138.9%	61.8	0.0	n/a	158.0	40.3	292.3%	64.2%	0.0%
Medical School	505,520	79,907.4	75,655.5	5.6%	34,471.5	35,268.4	-2.3%	114,378.9	110,923.8	3.1%	43.1%	46.6%
School of Public Health	275	61,303.9	56,514.9	8.5%	21,474.7	17,665.1	21.6%	82,778.6	74,180.1	11.6%	35.0%	31.3%
Radcliffe	285	73.3	0.0	n/a	7.9	0.0	0.0%	81.2	0.0	n/a	10.8%	0.0%
<b>OTHER ACADEMIC TUBS:</b>												
Arnold Arboretum	100	153.7	200.1	-23.2%	56.8	98.4	-42.2%	210.5	298.5	-29.5%	37.0%	49.2%
Center for Hellenic Studies	115	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0%	0.0%
Dumbarton Oaks	110	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0%	0.0%
Fogg and Sackler Art Museums	105	121.7	11.4	966.2%	35.3	3.3	966.3%	157.0	14.7	966.2%	29.0%	29.0%
Harvard Inst. for Int'l Development	120	9,126.7	9,600.7	-4.9%	1,466.1	1,740.9	-15.8%	10,592.8	11,341.5	-6.6%	16.1%	18.1%
Nieman Foundation	140	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0%	0.0%
Joint Center for Housing Studies	225	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0%	0.0%
Villa I Tatti	145	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0%	0.0%
<b>SERVICE TUBS</b>	*	<b>0.0</b>	<b>0.0</b>	<b>0.0%</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0%</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0%</b>	<b>0.0%</b>	<b>0.0%</b>
<b>CENTRAL ADMINISTRATION</b>	**	<b>484.9</b>	<b>408.4</b>	<b>18.7%</b>	<b>140.6</b>	<b>120.0</b>	<b>17.1%</b>	<b>625.5</b>	<b>528.4</b>	<b>18.4%</b>	<b>29.0%</b>	<b>29.4%</b>
<b>TOTAL EXPENDITURES</b>		<b>214,239.8</b>	<b>199,810.3</b>	<b>7.2%</b>	<b>83,104.3</b>	<b>78,647.2</b>	<b>5.7%</b>	<b>297,344.0</b>	<b>278,457.5</b>	<b>6.78%</b>	<b>38.8%</b>	<b>39.4%</b>

\* Service Tubs : 150,155,170,175,180,185,205,295,580

NOTE: Amounts exclude financial aid processed in fund range 100000-199999 (units in thousands)

\*\* Central Administration : 195, 610, 625

XXIII. Direct and Indirect Under Federal Sub-Awards - Two Year Comparison

TUB	TUB #	DIRECT COSTS			INDIRECT COSTS			TOTAL COSTS			FY 00 INDIRECT as % of DIRECT	FY 99 INDIRECT as % of DIRECT
		FY 00	FY 99	% Change	FY 00	FY 99	% Change	FY 00	FY 99	% Change		
<b>ACADEMIC TUBS RECEIVING TUITION:</b>												
Faculty of Arts and Sciences												
Faculty of Arts & Sciences	370	2,534.3	1,997.6	26.9%	683.0	604.7	12.9%	3,217.3	2,602.3	23.6%	26.9%	30.3%
Division of Continuing Education	355	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0%	0.0%
Division of Engineering & Applied Sci.	325	2,317.2	2,300.4	0.7%	924.1	875.9	5.5%	3,241.2	3,176.3	2.0%	39.9%	38.1%
Library	415	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0%	0.0%
Museum of Comp. Zoology/Peabody Museum	385	79.1	65.8	20.1%	45.4	23.9	90.6%	124.6	89.7	38.9%	57.5%	36.2%
College Life, Athletics, Grad Dorms	310,340,400	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0%	0.0%
<b>Total Faculty of Arts &amp; Sciences</b>		<b>4,930.6</b>	<b>4,363.8</b>	<b>13.0%</b>	<b>1,652.5</b>	<b>1,504.5</b>	<b>9.8%</b>	<b>6,583.1</b>	<b>5,868.3</b>	<b>12.2%</b>	<b>33.5%</b>	<b>34.5%</b>
Business School	430	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0%	0.0%
School of Dental Medicine	550	54.5	15.1	262.3%	10.6	11.0	-3.1%	65.2	26.0	150.3%	19.5%	73.0%
School of Design	235	347.7	184.5	88.5%	149.9	77.4	93.8%	497.7	261.8	90.1%	43.1%	41.9%
Divinity School	245	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0%	0.0%
Graduate School of Education	255	482.8	362.9	33.1%	232.9	185.7	25.4%	715.7	548.6	30.5%	48.2%	51.2%
JFK School of Government	215	483.2	337.8	43.0%	225.9	142.7	58.3%	709.1	480.5	47.6%	46.8%	42.3%
Law School	265	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0%	0.0%
Medical School	505,520	7,217.2	4,282.6	68.5%	3,770.9	2,670.0	41.2%	10,988.1	6,952.6	58.0%	52.2%	62.3%
School of Public Health	275	5,519.3	5,452.7	1.2%	2,662.1	2,607.1	2.1%	8,181.5	8,059.8	1.5%	48.2%	47.8%
Radcliffe	285	0.0	n/a	n/a	0.0	n/a	n/a	0.0	n/a	n/a	0.0%	n/a
<b>OTHER ACADEMIC TUBS:</b>												
Arnold Arboretum	100	0.0	(5.9)	n/a	0.0	0.0	0.0%	0.0	-5.9	n/a	n/a	0.0%
Center for Hellenic Studies	115	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0%	0.0%
Dumbarton Oaks	110	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0%	0.0%
Fogg and Sackler Art Museums	105	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0%	0.0%
Harvard Inst. for Int'l Development	120	2,767.0	3,549.0	-22.0%	676.8	893.4	-24.2%	3,443.8	4,442.4	-22.5%	24.5%	25.2%
Nieman Foundation	140	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0%	0.0%
Joint Center for Housing Studies	225	0.0	0.0	0.0%	0.0	0.0	100.0%	0.0	0.0	0.0%	0.0%	0.0%
Villa I Tatti	145	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0%	0.0%
SERVICE TUBS	*	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0%	0.0%
CENTRAL ADMINISTRATION	**	30.3	0.0	n/a	2.0	0.0	n/a	32.3	0.0	n/a	0.0%	0.0%
<b>TOTAL EXPENDITURES</b>		<b>21,832.7</b>	<b>18,542.4</b>	<b>17.7%</b>	<b>9,383.7</b>	<b>8,091.8</b>	<b>16.0%</b>	<b>31,216.4</b>	<b>26,634.2</b>	<b>17.20%</b>	<b>43.0%</b>	<b>43.6%</b>

\* Service Departments : 150,155,170,175,180,185,205,295,505,580

\*\*Central Administration : 195, 610 , 625

NOTE: Amounts exclude financial aid processed in fund range 100000-199999  
(units in thousands)

XXIV. Direct and Indirect Under Non-Federal - Two Year Comparison

TUB	TUB #	DIRECT COSTS			INDIRECT COSTS			TOTAL COSTS			FY 00 INDIRECT as % of DIRECT	FY 99 INDIRECT as % of DIRECT
		FY 00	FY 99	% Change	FY 00	FY 99	% Change	FY 00	FY 99	% Change		
<b>ACADEMIC TUBS RECEIVING TUITION:</b>												
<b>Faculty of Arts and Sciences</b>												
Faculty of Arts & Sciences	370	11,286.0	12,748.4	-11.5%	341.5	549.7	-37.9%	11,627.5	13,298.1	-12.6%	3.0%	4.3%
Division of Continuing Education	355	0.0	0.5	-100.0%	0.0	0.0	0.0%	0.0	0.5	n/a	0.0%	n/a
Division of Engineering & Applied Sci.	325	1,360.9	507.8	168.0%	246.9	100.8	144.9%	1,607.8	608.6	164.2%	18.1%	19.9%
Library	415	11.8	11.4	3.5%	0.0	0.0	0.0%	11.8	11.4	3.5%	0.0%	0.0%
Museum of Comp. Zoology/Peabody Museum	385	245.0	10.4	2255.9%	7.2	0.0	n/a	252.2	10.4	2325.0%	2.9%	0.0%
College Life, Athletics, Grad Dorms	310,340,400	10.9	0.0	n/a	0.9	0.0	n/a	11.8	0.0	n/a	8.0%	n/a
<b>Total Faculty of Arts &amp; Sciences</b>		<b>12,914.7</b>	<b>13,278.5</b>	<b>-2.7%</b>	<b>596.4</b>	<b>650.5</b>	<b>-8.3%</b>	<b>13,511.1</b>	<b>13,929.0</b>	<b>-3.0%</b>	<b>4.6%</b>	<b>4.9%</b>
<b>Business School</b>												
Business School	430	26.7	66.6	-59.9%	0.0	0.0	0.0%	26.7	66.6	-59.9%	0.0%	0.0%
<b>School of Dental Medicine</b>												
School of Dental Medicine	550	397.4	560.1	-29.1%	139.3	168.6	-17.4%	536.7	728.7	-26.3%	35.1%	30.1%
<b>School of Design</b>												
School of Design	235	524.6	53.3	884.4%	33.7	85.7	-60.7%	558.3	139.0	301.7%	6.4%	160.8%
<b>Divinity School</b>												
Divinity School	245	733.6	628.4	16.7%	62.5	55.2	13.3%	796.1	683.6	16.5%	8.5%	8.8%
<b>Graduate School of Education</b>												
Graduate School of Education	255	7,226.5	6,840.8	5.6%	463.2	441.1	5.0%	7,689.7	7,281.9	5.6%	6.4%	6.4%
<b>JFK School of Government</b>												
JFK School of Government	215	10,836.4	9,994.1	8.4%	1,421.2	1,251.5	13.6%	12,257.6	11,245.6	9.0%	13.1%	12.5%
<b>Law School</b>												
Law School	265	1,884.6	1,942.4	-3.0%	109.0	154.9	-29.7%	1,993.6	2,097.3	-4.9%	5.8%	8.0%
<b>Medical School</b>												
Medical School	505,520	30,991.1	21,676.5	43.0%	4,261.2	3,212.7	32.6%	35,252.3	24,889.2	41.6%	13.7%	14.8%
<b>School of Public Health</b>												
School of Public Health	275	16,899.7	19,219.4	-12.1%	2,830.5	3,823.9	-26.0%	19,730.2	23,043.3	-14.4%	16.7%	19.9%
<b>Radcliffe</b>												
Radcliffe	285	298.2	n/a	n/a	10.6	n/a	n/a	308.8	n/a	n/a	3.6%	n/a
<b>OTHER ACADEMIC TUBS:</b>												
<b>Arnold Arboretum</b>												
Arnold Arboretum	100	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0%	0.0%
<b>Center for Hellenic Studies</b>												
Center for Hellenic Studies	115	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0%	0.0%
<b>Dumbarton Oaks</b>												
Dumbarton Oaks	110	25.1	12.2	105.7%	0.0	0.0	0.0%	25.1	12.2	105.7%	0.0%	0.0%
<b>Fogg and Sackler Art Museums</b>												
Fogg and Sackler Art Museums	105	98.9	80.5	22.9%	3.2	10.7	-70.5%	102.1	91.2	12.0%	3.2%	13.3%
<b>Harvard Inst. for Int'l Development</b>												
Harvard Inst. for Int'l Development	120	6,242.9	8,954.0	-30.3%	1,534.7	2,214.6	-30.7%	7,777.6	11,168.6	-30.4%	24.6%	24.7%
<b>Nieman Foundation</b>												
Nieman Foundation	140	101.0	39.0	159.0%	0.0	0.0	0.0%	101.0	39.0	159.0%	0.0%	0.0%
<b>Joint Center for Housing Studies</b>												
Joint Center for Housing Studies	225	239.7	n/a	n/a	40.0	n/a	n/a	279.7	n/a	n/a	16.7%	n/a
<b>Villa I Tatti</b>												
Villa I Tatti	145	58.6	137.5	-57.4%	0.0	0.0	0.0%	58.6	137.5	-57.4%	0.0%	0.0%
<b>SERVICE TUBS</b>												
SERVICE TUBS	*	383.8	416.0	-7.7%	85.4	59.9	42.4%	469.2	475.9	-1.4%	22.2%	14.4%
<b>CENTRAL ADMINISTRATION</b>												
CENTRAL ADMINISTRATION	**	689.9	679.2	1.6%	55.8	50.0	11.6%	745.7	729.2	n/a	0.0%	n/a
<b>TOTAL EXPENDITURES</b>		<b>90,573.4</b>	<b>84,578.5</b>	<b>7.1%</b>	<b>11,646.8</b>	<b>12,179.3</b>	<b>-4.4%</b>	<b>102,220.2</b>	<b>96,757.8</b>	<b>5.65%</b>	<b>12.9%</b>	<b>14.4%</b>

\* Service Tubs : 150,155,170,175,180,185,205,295,505,580

\*\*Central Administration : 195, 610, 625

NOTE: Amounts exclude financial aid processed in fund range 200000-299999  
(units in thousands)

---

# Proposals and Obligations

## XXV. Proposals and Obligations

OSR, Sponsored Programs Administration at Harvard Medical School, and Office of Financial Systems at School of Public Health processed a total of 2,839 competing and non-competing proposals in FY00, a 3.2% increase from FY99. The proposal dollar level represents the third highest increase and a record high within a five-year period. FY00 obligations also experienced some growth—while the number of awarded obligations decreased by 29.5% over FY99, the dollar amount of obligations (including new awards and dollar modifications to existing awards) grew by 2.2%.

History suggests that total obligated dollars may be a sound predictor of total sponsored expenditures for the prospective year. If this proves correct in FY01, we would expect sponsored expenditures to be approximately \$437.6 million.<sup>1</sup>

<b>Proposals and Obligations</b> (in \$ millions and number of)				
<b>Fiscal Year</b>	<b>Proposals (in \$ millions)</b>	<b>% change</b>	<b>Proposals (number of)</b>	<b>% change</b>
<b>96</b>	1,047.8	(61.9%)	2,950	7.4%
<b>97</b>	866.5	(17.3%)	3,182	7.9%
<b>98</b>	961.5	11.0%	2,658	(16.5%)
<b>99</b>	1047.7	9.0%	2,751	3.5%
<b>00</b>	<b>1079.8</b>	<b>3.1%</b>	<b>2,839</b>	<b>3.2%</b>

<b>Fiscal Year</b>	<b>Obligations (in \$ millions)</b>	<b>% change</b>	<b>Obligations (number of)</b>	<b>% change</b>
<b>96</b>	369.2	(3.9%)	2,757	2.8%
<b>97</b>	382.5	3.6%	2,962	7.4%
<b>98</b>	395.7	3.4%	3,175	7.2%
<b>99</b>	428.3	8.2%	3,244	2.2%
<b>00</b>	<b>437.6</b>	<b>2.2%</b>	<b>2,286</b>	<b>(29.5%)</b>

<sup>1</sup> Although this rule is generally reliable as a predictor of the following year's university-wide sponsored expenditures, it is not as accurate in forecasting expenses on a departmental level within the university.

XXVI. Proposals (Federal & Non-Federal) - Two Year Comparison

TUB		TOTAL PROPOSALS (in \$ thousands)					NUMBER OF PROPOSALS				
		FEDERAL (includes Fed. Sub-Awards)	NON-FEDERAL	TOTAL FY 00	TOTAL FY 99	% Change	NUMBER OF FEDERAL	NUMBER OF NON- FEDERAL	TOTAL FY 00	TOTAL FY 99	% Change
<b>ACADEMIC DEPTS RECEIVING TUITION:</b>											
Faculty of Arts and Sciences											
Faculty of Arts & Sciences	370	115,918.5	43,922.6	159,841.1	155,186.0	3.0%	341	314	655	637	2.9%
Division of Continuing Education	355	0.0	0.0	0.0	0.0	0.0%	0	0	0	b	0.0%
Division of Engineering & Applied Sci.	325	25,126.0	23,514.3	48,640.3	47,223.6	3.0%	102	72	174	169	3.0%
Library	415	0.0	103.0	103.0	100.0	3.0%	0	1	1	1	3.0%
Museum of Comp. Zoology/Peabody Museum	385	825.1	970.0	1,795.1	1,743.5	3.0%	19	18	37	36	3.0%
College Life, Athletics, Grad Dorms	310,340,400	5.2	0.0	5.2	5.0	3.0%	1	0	1	1	n/a
Total Faculty of Arts & Sciences		141,874.7	68,510.0	210,384.7	204,258.0	3.0%	463	405	867	843	2.9%
Business School	430	0.0	77.3	77.3	75.0	3.0%	0	1	1	1	3.0%
School of Dental Medicine	550	28,958.6	1,502.4	30,461.0	29,573.8	3.0%	40	12	53	51	3.0%
School of Design	235	225.3	598.5	823.7	799.8	3.0%	6	9	15	15	3.0%
Divinity School	245	0.0	669.8	669.8	650.3	3.0%	0	7	7	7	3.0%
Graduate School of Education	255	5,652.9	10,889.5	16,542.4	16,060.5	3.0%	10	96	106	103	3.0%
JFK School of Government	215	11,280.9	15,733.7	27,014.6	26,227.8	3.0%	39	109	148	144	3.0%
Law School	265	1,019.7	10,491.1	11,510.8	11,175.5	3.0%	2	18	20	19	3.0%
Medical School	505,520	339,031.3	97,584.9	436,616.2	423,899.2	3.0%	611	399	1,009	980	3.0%
School of Public Health	275	132,678.5	159,212.2	291,890.7	283,389.0	3.0%	186	357	544	528	3.0%
Radcliffe	285	336.8	336.8	673.6	n/a	3.0%	3	3	6	n/a	n/a
<b>OTHER ACADEMIC DEPARTMENTS:</b>											
Arnold Arboretum	100	34.5	0.0	34.5	33.5	3.0%	3	0	3	3	3.0%
Center for Hellenic Studies	115	0.0	0.0	0.0	0.0	n/a	0	0	0	0	n/a
Dumbarton Oaks	110	0.0	0.0	0.0	0.0	n/a	0	1	1	1	n/a
Fogg and Sackler Art Museums	105	231.8	0.0	231.8	225.0	3.0%	2	0	2	2	3.0%
Harvard Inst. for Int'l Development	120	22,933.4	27,650.7	50,584.1	49,110.8	3.0%	4	35	39	38	3.0%
Nieman Foundation	140	0.0	30.9	30.9	30.0	3.0%	0	2	2	2	3.0%
Joint Center for Housing Studies	225	0.0	0.0	0.0	n/a	n/a	0	0	0	n/a	n/a
Villa I Tatti	145	0.0	0.0	0.0	0.0	0.0%	0	0	0	0	n/a
SERVICE TUBS	*	0.0	38.9	38.9	37.8	3.0%	0	0	3	3	0.0%
CENTRAL ADMINISTRATION	**	968.1	1,235.1	2,203.2	2,139.0	3.0%	2	9	11	11	3.0%
<b>TOTAL PROPOSALS</b>		<b>685,226.5</b>	<b>394,561.7</b>	<b>1,079,788.2</b>	<b>1,047,685.0</b>	<b>3.1%</b>	<b>1,372</b>	<b>1,464</b>	<b>2,839</b>	<b>2,751</b>	<b>3.2%</b>

Note: Proposals FY'00 based on an estimate of 3.0% growth.

\* Service Tubs : 150,155,170,175,180,185,205,295,505,580

\*\*Central Administration : 195, 610, 625

XXVII. Obligations (Federal & Non-Federal) - Two Year Comparison

TUBS		TOTAL OBLIGATIONS (in \$ thousands)					NUMBER OF OBLIGATIONS ***				
		OBLIGATIONS (includes Fed. Sub-Awards)	NON-FEDERAL	TOTAL FY 00	TOTAL FY 99	% Change	NUMBER OF FEDERAL	NUMBER OF NON- FEDERAL	TOTAL FY 00	TOTAL FY 99	% Change
<b>ACADEMIC DEPTS RECEIVING TUITION:</b>											
<b>Faculty of Arts and Sciences</b>											
Faculty of Arts & Sciences	370	62,802.3	15,312.4	78,484.7	72,082.2	8.9%	330	198	528	785	-32.7%
Division of Continuing Education	355	0.0	0.0	355.0	0.0	n/a	0	0	0	0	0.0%
Division of Engineering & Applied Sci.	325	19,310.3	7,422.8	27,058.1	20,848.5	29.8%	101	62	163	194	-16.0%
Library	415	0.0	35.8	450.8	0.0	n/a	0	1	1	1	0.0%
Museum of Comp. Zoology/Peabody Museum	385	2,402.0	292.1	3,079.1	1,041.3	195.7%	25	16	41	39	5.1%
College Life, Athletics, Grad Dorms	310,340,400	0.0	15.0	15.0	5.0	200.0%	0	1	1	1	0.0%
<b>Total Faculty of Arts &amp; Sciences</b>		<b>84,514.6</b>	<b>23,078.1</b>	<b>107,592.8</b>	<b>93,977.0</b>	<b>14.5%</b>	<b>456</b>	<b>278</b>	<b>734</b>	<b>1,020</b>	<b>-28.0%</b>
Business School	430	0.0	0.0	0.0	75.0	-100.0%	0	0	0	1	-100.0%
School of Dental Medicine	550	3,857.1	956.8	4,813.9	4,279.3	12.5%	17	13	30	40	-25.0%
School of Design	235	1,783.9	578.6	2,362.4	1,165.8	102.6%	5	10	15	25	-40.0%
Divinity School	245	0.0	149.6	149.6	370.0	-59.6%	0	2	2	13	-84.6%
Graduate School of Education	255	4,617.0	11,658.5	16,275.5	9,140.4	78.1%	7	82	89	113	-21.2%
JFK School of Government	215	4,368.6	18,201.4	22,570.0	20,501.0	10.1%	30	100	130	168	-22.6%
Law School	265	589.2	825.7	1,414.9	1,636.7	-13.6%	1	7	8	26	-69.2%
Medical School	505,520	108,336.0	45,331.3	153,667.3	160,963.7	-4.5%	408	341	749	1,012	-26.0%
School of Public Health	275	85,841.0	28,846.7	114,687.6	106,770.0	7.4%	237	211	448	666	-32.7%
Radcliffe	285	840.0	472.8	1,312.9	n/a	n/a	3	3	6	n/a	n/a
<b>OTHER ACADEMIC TUBS:</b>											
Arnold Arboretum	100	50.0	0.0	50.0	-612.0	-108.2%	1	0	1	3	-66.7%
Center for Hellenic Studies	115	0.0	0.0	0.0	0.0	0.0%	0	0	0	0	0.0%
Dumbarton Oaks	110	0.0	0.0	0.0	0.0	0.0%	0	0	0	3	-100.0%
Fogg and Sackler Art Museums	105	115.0	215.0	330.0	195.7	68.6%	4	2	6	9	-33.3%
Harvard Inst. for Int'l Development	120	5,368.6	5,164.4	10,533.0	27,790.9	-62.1%	18	34	52	118	-55.9%
Nieman Foundation	140	0.0	77.2	77.2	30.0	157.2%	0	4	4	2	100.0%
Joint Center for Housing Studies	255	0.0	521.0	521.0	n/a	n/a	0	3	3	n/a	n/a
Villa I Tatti	145	0.0	0.0	0.0	0.0	0.0%	0	0	0	1	-100.0%
<b>SERVICE TUBS</b>	*	<b>0.0</b>	<b>550.7</b>	<b>550.7</b>	<b>566.0</b>	<b>-2.7%</b>	<b>0</b>	<b>1</b>	<b>1</b>	<b>7</b>	<b>-85.7%</b>
<b>CENTRAL ADMINISTRATION</b>	**	<b>0.0</b>	<b>706.5</b>	<b>706.5</b>	<b>1,427.0</b>	<b>-50.5%</b>	<b>0</b>	<b>8</b>	<b>8</b>	<b>17</b>	<b>100.0%</b>
<b>TOTAL OBLIGATIONS</b>		<b>300,280.9</b>	<b>137,334.2</b>	<b>437,615.1</b>	<b>428,276.5</b>	<b>2.2%</b>	<b>1,187</b>	<b>1,099</b>	<b>2,286</b>	<b>3,244</b>	<b>-29.5%</b>

\* Service Tubs : 150,155,170,175,180,185,205,295,505,580

\*\* Central Administration : 195, 610, 625

\*\*\* FY00 obligations based on new data model.

---

**Harvard University**

OSR ANNUAL FINANCIAL REPORT

FISCAL YEAR 2000

Prepared by: Melba Abreu, Senior Financial Data Analyst (melba\_abreu@harvard.edu)

Online version at: <http://www.holyoke.harvard.edu/IndCost/>