

# Harvard University



Fiscal Year 1999

Annual  
Financial  
Report

JULY 1, 1998 THROUGH JUNE 30, 1999

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## I. Letter from Director of Sponsored Research Operations

Dear Colleagues:

Presented herein is the Office for Sponsored Research's fiscal year 1999 financial report. In addition to summary data, the report contains various schedules breaking down the data into extracts frequently requested by our clients, our sponsors, our auditors, and our peers in other universities and within financial administration at Harvard.

Overall the University experienced a 7.3% growth in sponsored funding in FY99, due in large part to the increase in the National Institutes of Health (NIH) appropriation. We can see the surge in funding for biomedical research through the increases over last year at the Harvard Medical School and the Harvard School of Public Health (16.3% and 8.3% respectively). Funding from NIH, our primary sponsor, grew by 9.6% in FY99 to almost \$200M. It should be noted, however, that our growth occurred not only in the "Sponsored Research" category, but also in the "Sponsored Instruction/Training" category—up almost 4% from federal sources from last year.

The consequence of growth in the University's sponsored funding coupled with the current compliance environment comes at a time when the trend in scientific research is one of the interdisciplinary collaborations involving multiple investigators from different labs and/or different institutions. This aspect of multi-site activity adds a challenging dimension to the equation for those of us in research administration. In addition to monitoring expenditures and reporting to our sponsors, we are collaborating with the faculties to think creatively and sensibly about our compliance requirements that have become more onerous in recent years. We are optimistic that our training initiatives and our new systems will provide the necessary infrastructure to fulfill the administrative regulations accompanying our level of external funding.

A piece of very encouraging news for all of us in research administration was delivered last spring through the Presidential Review Directive (PRD). The PRD report, developed by a task force identified by the Office for Science and Technology and chaired by President Clinton, offered many constructive suggestions on how to improve the working relationship and effectiveness of the government-university partnership for research endeavors. One of the key themes of the PRD report is that the focus of federal regulations governing sponsored funding granted to universities should be one of "accountability" rather than "accounting". We developed a written response supporting the suggestions set forth in the report and offered our assistance in operationalizing some of the recommendations.

We welcome any comments you may have on this report.

Sincerely,

Elizabeth Mora  
Director, Sponsored Research Operations

January 27, 2000

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# Summary of Expenditures and Growth

## II. Total Expenditures in Sponsored Projects

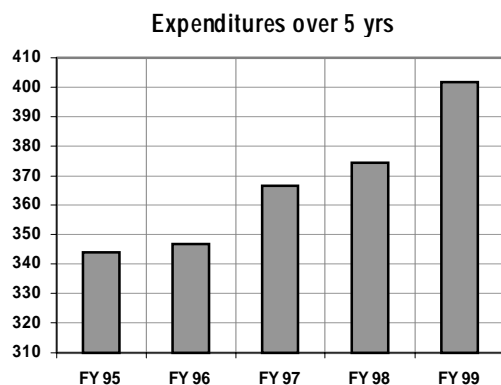
Total university sponsored expenditures grew by 7.3% (\$27.4M) during FY99. This increase was reflected in a 5.3% growth in federal prime awards (up \$14 million from FY98), 10.7% (up \$2.5 million from FY98) in federal sub awards. In all, federal funding over the past year rose by 5.7%. Non-federal funding increased 12.7%, rising from \$85.8 million in FY98 to \$96.7 million in FY99. As a percent of university operating expenses, sponsored expenditures accounted for 22.5% of the university total in FY99, up 0.2% from FY98, 0.5% from the FY97, down 0.1% from FY96 and down 2.2% from high of 24.7% in FY95.

Fiscal Year	Sponsored Expenditures (in \$ millions)						
	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*	Sponsored as % of Univ. Operating Expenses
95	244.2	17.4	261.6	82.3	343.9	1,389.9	24.7%
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	1,674.9**	22.3%
<b>99</b>	<b>278.5</b>	<b>26.6</b>	<b>305.1</b>	<b>96.7</b>	<b>401.8</b>	<b>1,789.9**</b>	<b>22.5%</b>
% change FY98-99	5.3%	10.7%	5.7%	12.7%	7.3%	6.9%	

\* Source: Harvard University Treasurer's Report, net of intra and inter departmental transfers.

\*\* Excluding HMC.

## III. Growth in Sponsored Projects



Fiscal Year	Sponsored Expenditures (in \$ millions)			
	Expenditures (Actual \$ millions)	% change	Expressed as 1999 \$	% change in 1999 \$
95	343.9	-%	376.2	-
96	346.8	1%	369.3	(2%)
97	366.7	6%	379.7	3%
98	374.4	2%	380.9	0%
<b>99</b>	<b>401.8</b>	<b>7%</b>	<b>401.8</b>	<b>5%</b>

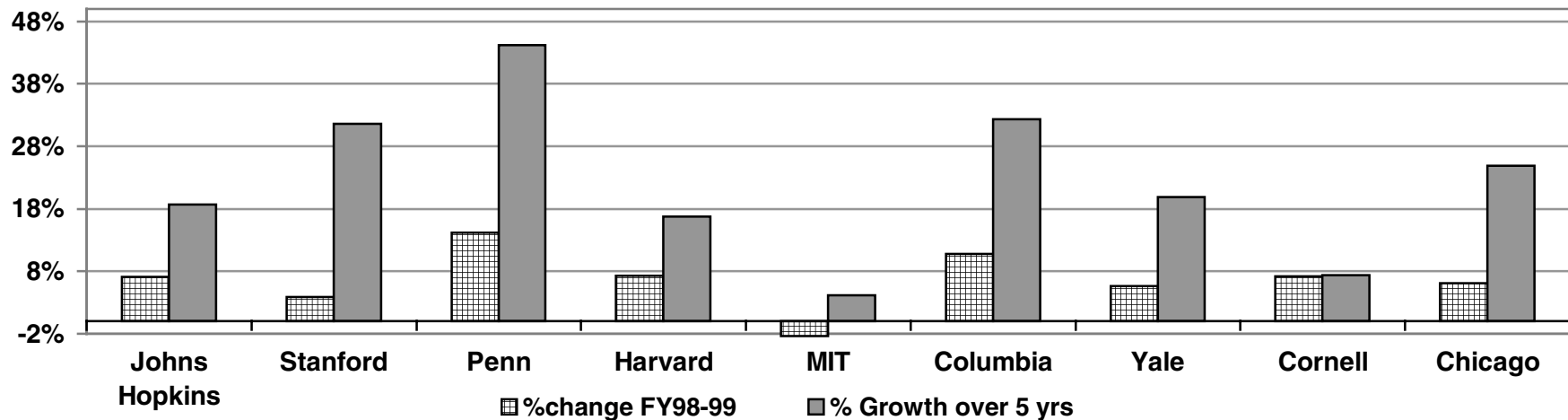
Source: H.U. Budget Office. Prior years inflated to FY99 dollars using the U.S. Consumer Price Index.

## IV. Comparative Growth Data With Peer Universities

Harvard's growth in sponsored research represents the third highest growth rate among peer institution in fiscal '99 with 7.3%, surpassed only by University of Pennsylvania with 14.2% and Columbia University with 10.8%. MIT fell by 2.4% in sponsored expenditures. Over the last 5 years Harvard has kept pace on expenditures with the other universities, however, the leaders in % of growth were Penn, Columbia and Stanford.

Peer Universities*	FY95	FY96	FY97	FY98	FY99	% change FY98-99	Average % Growth over 5 yrs
<b>Johns Hopkins</b>	503.2	476.6	545.0	557.3	<b>597.1</b>	7.1%	18.7%
<b>Stanford</b>	316.8	342.5	385.5	401.1	<b>417.0</b>	3.9%	31.6%
<b>Penn</b>	288.4	302.4	325.5	364.1	<b>415.9</b>	14.2%	44.2%
<b>Harvard</b>	<b>343.9</b>	<b>346.8</b>	<b>366.7</b>	<b>374.4</b>	<b>401.8</b>	<b>7.3%</b>	<b>16.8%</b>
<b>MIT</b>	361.7	370.3	387.9	386.4	<b>376.8</b>	(2.4%)	4.2%
<b>Columbia</b>	283.7	279.5	308.1	338.7	<b>375.4</b>	10.8%	32.3%
<b>Yale</b>	263.5	269.2	283.0	299.0	<b>315.9</b>	5.6%	19.9%
<b>Cornell</b>	276.7	267.9	257.5	277.2	<b>297.3</b>	7.2%	7.4%
<b>Chicago</b>	167.6	181.2	189.9	197.1	<b>209.3</b>	6.1%	24.9%

(Sponsored expenditures in millions)



\* Source: Little XI Annual Survey – FY 99

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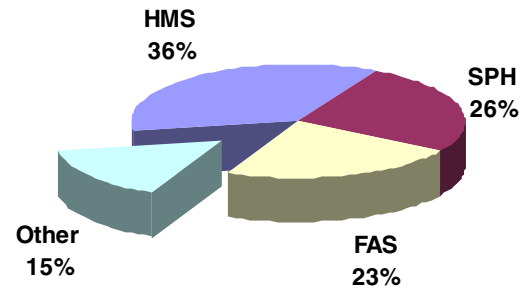
# Departmental Summaries

## 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 19.9%, followed by the Graduate School of Education with a 19.1% increase. Sponsored funding in the Harvard Medical School showed the greatest absolute dollar increase, rising \$20 million during the one-year period. The university wide increase was offset, however, by the \$8.4 million decrease in sponsored funding in the Harvard Institute for International Development (HIID), which fell 23.8% below FY98 levels.

<b>Major Research Areas within the University</b> (Sponsored Expenditures in \$ millions)						
<b>UNIVERSITY DEPARTMENTS</b>	<b>FY95</b>	<b>FY96</b>	<b>FY97</b>	<b>FY98</b>	<b>FY99</b>	<b>%change FY98-99</b>
<b>HMS</b>	109.8	114.2	120.9	122.8	142.8	16.3%
<b>SPH</b>	80.6	83.4	92.2	97.3	105.3	8.3%
<b>FAS</b>	90.4	88.7	87.5	88.5	92.0	3.8%
<b>HIID</b>	37.3	38.3	41.4	35.4	27.0	(23.8%)
<b>JFK School</b>	8.7	7.3	8.7	11.9	14.3	19.9%
<b>GSE (Education)</b>	7.3	5.7	7.2	9.6	11.4	19.1%
<b>All others</b>	9.7	9.2	8.9	9.0	10.8	1.1%
<b>TOTAL</b>	<b>343.9</b>	<b>346.8</b>	<b>366.7</b>	<b>374.4</b>	<b>401.8</b>	<b>7.3%</b>

As this following graph shows Harvard Medical School (HMS), School of Public Health (SPH) and Faculty of Arts & Sciences together represented 84.6% of total sponsored expenditures for FY99.



## VI. Sponsored Project Expenditures - Departmental Summary

DEPARTMENT	DEPT #	FEDERAL PRIME AWARD EXPENDITURES (acct's: 6000-8999)	FEDERAL SUB-AWARD EXPENDITURES (acct's: 9000-9999) (pay-code: k)	NON-FEDERAL EXPENDITURES (acct's: 9000-9999) (pay-code: h)	TOTAL SPONSORED PROJECT EXPENDITURES	DEPT % OF TOTAL	(1) TOTAL DEPARTMENTAL OPERATING EXPENSES	SPONSORED RESEARCH AS % OF TOTAL DEPT OPERATING EXPENSES
<b>ACADEMIC DEPTS RECEIVING TUITION:</b>								
Faculty of Arts and Sciences								
Faculty of Arts & Sciences	31,33	44,898.0	1,752.4	12,332.7	58,983.0	14.68%	333,099.5	17.7%
Division of Continuing Education	17,34	0.0	0.0	0.5	0.5	0.00%	27,612.3	0.0%
Division of Engineering & Applied Sci.	44	20,009.9	3,176.3	608.7	23,794.8	5.92%	34,769.7	68.4%
Organismic & Evolutionary Biology	49	1,894.9	158.9	237.8	2,291.6	0.57%	5,259.7	43.6%
Harvard Forest	52	794.9	169.0	328.7	1,292.6	0.32%	2,294.3	56.3%
Library	58	116.8	0.0	11.4	128.2	0.03%	44,272.6	0.3%
Museum of Comparative Zoology	63	308.3	89.7	10.4	408.4	0.10%	5,315.2	7.7%
Observatory	66	3,795.2	439.3	10.0	4,244.5	1.06%	7,321.4	58.0%
Peabody Museum	69	300.4	82.8	379.5	762.8	0.19%	3,809.2	20.0%
Semitic Museum	74	0.0	0.0	9.5	9.5	0.00%	1,710.4	0.6%
College Life, Athletics, Grad Dorms	78,85,91	3.1	0.0	0.0	3.1	0.00%	47,317.2	0.0%
Total Faculty of Arts & Sciences		72,121.7	5,868.3	13,929.0	91,919.0	22.87%	512,781.5	17.9%
<b>OTHER ACADEMIC DEPARTMENTS:</b>								
Business School	24,81	0.0	0.0	66.6	66.6	0.02%	139,787.3	0.0%
School of Dental Medicine	35	2,476.5	26.0	728.7	3,231.2	0.80%	16,612.7	19.5%
School of Design	37	372.6	261.8	139.0	773.4	0.19%	21,753.7	3.6%
Divinity School	39	0.0	0.0	683.5	683.5	0.17%	16,274.4	4.2%
Graduate School of Education	41	3,621.7	548.6	7,281.8	11,452.2	2.85%	39,748.6	28.8%
JFK School of Government	56,70,71	2,537.7	480.5	11,245.6	14,263.8	3.55%	70,236.3	20.3%
Law School	57,76	40.3	0.0	2,097.4	2,137.7	0.53%	69,288.3	3.1%
Medical School	60,88	110,923.8	6,952.6	24,889.2	142,765.6	35.53%	280,243.7	50.9%
School of Public Health	72	74,180.1	8,059.8	23,043.3	105,283.2	26.20%	130,936.0	80.4%
Arnold Arboretum	12	298.5	-5.9	0.1	292.8	0.07%	4,848.5	6.0%
Center for Hellenic Studies	59	0.0	0.0	0.0	0.0	0.00%	1,818.1	0.0%
Dumbarton Oaks	61	0.0	0.0	12.2	12.2	0.00%	12,701.5	0.1%
Fogg and Sackler Art Museums	45	14.7	0.0	91.2	105.9	0.03%	12,892.9	0.8%
Harvard Inst. for Int'l Development	48	11,341.5	4,442.4	11,168.5	26,952.4	6.71%	31,858.4	84.6%
Nieman Foundation	64	0.0	0.0	39.0	39.0	0.01%	1,626.7	2.4%
Villa I Tatti	67	0.0	0.0	137.5	137.5	0.03%	4,048.2	3.4%
Non-Departmental	42,55,65,68	0.0	0.0	729.2	729.2	0.18%	12,128.9	6.0%
Univ. Professorships, HU Press, Memorial Church	8,30,90	0.3	0.0	0.0	0.3	0.00%	23,576.2	0.0%
<b>SERVICE DEPARTMENTS</b>								
	*	0.0	0.0	476.0	476.0	0.12%	276,845.9	0.2%
<b>CENTRAL ADMINISTRATION</b>								
	**	528.1	0.0	0.0	528.1	0.13%	109,910.2	0.5%
<b>TOTAL EXPENDITURES</b>		<b>278,457.5</b>	<b>26,634.2</b>	<b>96,757.8</b>	<b>401,849.5</b>	<b>100.00%</b>	<b>1,789,918.0</b>	<b>22.5%</b>

<b>RECONCILIATION :</b>		
Financial Aid Expenditures (acct's: 9000-9999)		127.3
Financial Aid Expenditures (acct's: 6000-8999)	8,413.1	
Treasurer's Report (money types: 6,7)	286,870.7	
Treasurer's Report (money types: 9000 K & H)		98,954.3
		26,761.5

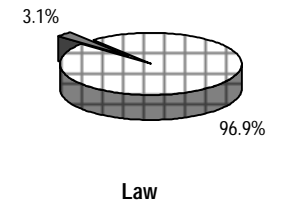
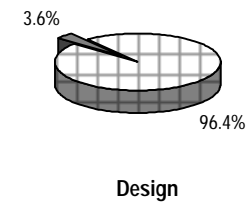
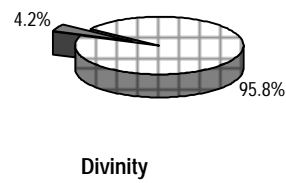
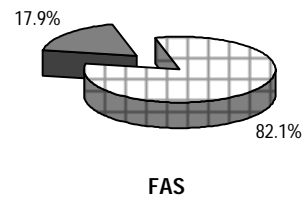
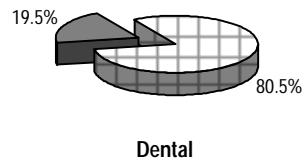
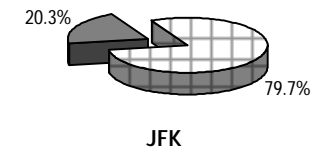
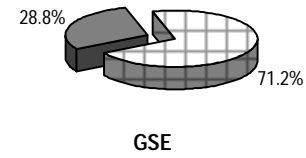
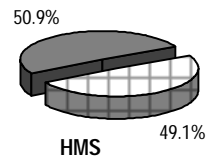
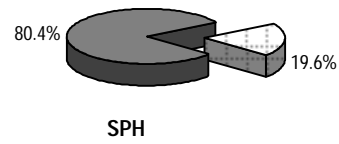
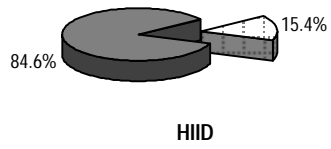
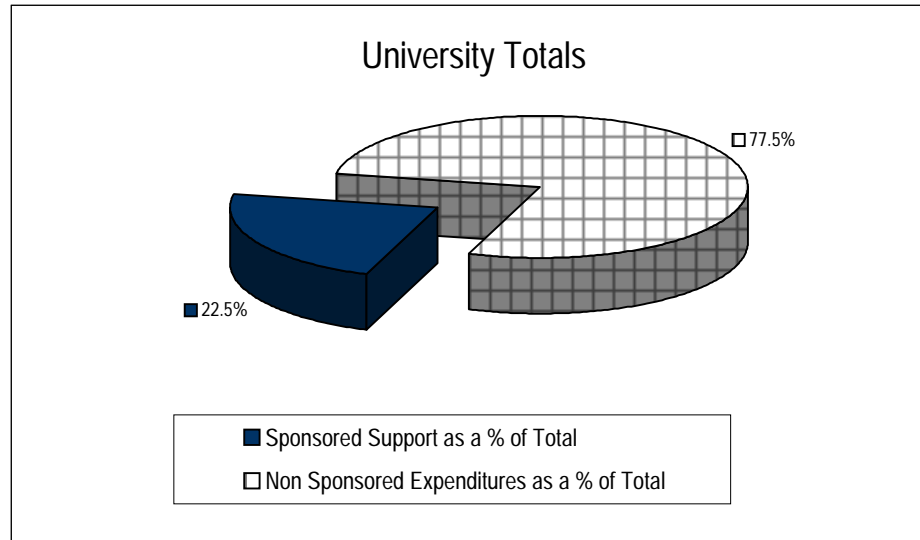
(1) Source: Treasurer's Report (net of Intras and Inters)

\* Service Departments : 9,16,51,73,75,77,79,80,82,83,  
84,86,87,89,92,93,94,96,97,98

\*\*Central Administration : 10,11,14,15,36, 40, 50

## 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

DEPARTMENT	DEPT #	SALARIES***			EQUIPMENT			SUBCONTRACTS (cl.98)		
		FY 99	FY 98	% Change	FY 99	FY 98	% Change	FY 99	FY 98	% Change
<b>ACADEMIC DEPTS RECEIVING TUITION:</b>										
Faculty of Arts and Sciences										
Faculty of Arts & Sciences	31,33	20,056.2	18,623.2	7.7%	3,845.3	3,718.3	3.4%	3,346.9	1,870.8	78.9%
Division of Continuing Education	17,34	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0	0.0	0.0%
Division of Engineering and Applied Sci.	44	9,496.9	9,126.2	4.1%	2,169.6	3,091.5	-29.8%	3,252.7	3,113.7	4.5%
Organismic & Evolutionary Biology	49	987.6	732.9	34.7%	61.6	179.2	-65.6%	120.2	0.0	N/A
Harvard Forest	52	743.2	669.8	11.0%	33.1	41.6	-20.3%	104.3	201.4	-48.2%
Library	58	40.6	150.8	-73.1%	0.0	0.0	0.0%	0.0	0.0	0.0%
Museum of Comparative Zoology	63	120.2	304.6	-60.5%	69.5	222.7	-68.8%	0.0	0.0	0.0%
Observatory	66	1,790.8	1,832.3	-2.3%	367.4	285.5	28.7%	101.3	1,065.5	-90.5%
Peabody Museum	69	279.4	352.2	-20.7%	20.3	31.4	-35.5%	0.0	0.0	0.0%
Semitic Museum	74	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0	0.0	0.0%
College Life, Athletics, Grad Dorms	78,85,91	(1.9)	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>33,513.1</b>	<b>31,792.0</b>	<b>5.4%</b>	<b>6,566.7</b>	<b>7,570.0</b>	<b>-13.3%</b>	<b>6,925.5</b>	<b>6,251.4</b>	<b>10.8%</b>
Business School	24,81	52.9	94.5	-44.0%	0.0	0.0	0.0%	0.0	0.0	0.0%
School of Dental Medicine	35	1,263.4	1,281.3	-1.4%	53.0	55.6	-4.7%	166.0	111.9	48.4%
School of Design	37	120.2	385.3	-68.8%	13.6	1.2	991.6%	0.0	18.1	-100.0%
Divinity School	39	227.3	336.4	-32.4%	1.8	0.7	-100.0%	0.0	0.0	0.0%
Graduate School of Education	41	5,051.2	4,560.2	10.8%	72.1	79.7	-9.5%	1,667.9	1,112.2	50.0%
JFK School of Government	56,70,71	5,823.7	4,673.2	24.6%	103.6	167.3	-38.1%	748.7	673.0	11.2%
Law School	57,76	1,251.4	832.3	50.4%	16.8	28.7	0.0%	57.4	0.0	N/A
Medical School	60,88	41,538.9	35,573.8	16.8%	3,984.9	4,116.0	-3.2%	6,627.8	5,368.3	23.5%
School of Public Health	72	38,940.0	35,644.5	9.2%	1,898.0	1,611.1	17.8%	17,513.9	17,573.2	-0.3%
<b>OTHER ACADEMIC DEPARTMENTS:</b>										
Arnold Arboretum	12	136.5	142.2	-4.0%	0.0	4.4	0.0%	35.8	209.4	-82.9%
Center for Hellenic Studies	59	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0	0.0	0.0%
Dumbarton Oaks	61	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0	0.0	0.0%
Fogg and Sackler Art Museums	45	67.4	89.7	-24.8%	6.4	0.9	0.0%	0.0	0.0	0.0%
Harvard Inst. for Int'l Development	48	11,320.4	12,334.9	-8.2%	209.9	369.3	-43.2%	2,823.8	5,256.6	-46.3%
Nieman Foundation	64	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0	0.0	0.0%
Villa I Tatti	67	47.2	68.1	-30.6%	0.0	0.0	0.0%	0.0	0.0	0.0%
Non-Departmental	42,55,65,68	200.5	202.7	-1.1%	9.0	0.0	0.0%	46.6	111.6	-58.2%
Univ. Professorships, HU Press, Memorial Church	8,30,90	0.3	0.0	0.0%	0.0	0.0	0.0%	0.0	0.0	0.0%
<b>SERVICE DEPARTMENTS</b>										
	*	179.0	135.8	31.8%	11.6	1.8	0.0%	0.0	113.0	-100.0%
<b>CENTRAL ADMINISTRATION</b>										
	**	190.1	233.8	-18.7%	0.0	0.0	0.0%	197.7	0.0	N/A
<b>TOTAL EXPENDITURES</b>		<b>139,923.7</b>	<b>128,380.7</b>	<b>9.0%</b>	<b>12,947.3</b>	<b>14,006.7</b>	<b>-7.6%</b>	<b>36,811.2</b>	<b>36,798.7</b>	<b>0.03%</b>

\* Service Departments: 9,16, 51,73,75,77,79,80,82,83,84,86,87,89,92,93,94,96,97,98

\*\* Central Administration : 10,11,14,15,36, 40, 50

\*\*\* Includes salary classes 01, 02, 03, 04, 05, 06, 07, 08, 23 & 41 plus 09 (extra comp) & 10 (fringe)

NOTE: Amounts exclude financial aid processed in acct range 9000-9999K

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

DEPARTMENT	DEPT #	SALARIES***		EQUIPMENT		SUBCONTRACTS (cl. 98)		INDIRECT (cl. 95) ****		OTHER	TOTAL EXPENDITURES
		Expenditures	% of Total Sponsored Expenditures	Expenditures	% of Total Sponsored Expenditures	Expenditures	Sponsored Expenditures	Expenditures	Sponsored Expenditures	Expenditures	FY99
<b>ACADEMIC DEPTS RECEIVING TUITION:</b>											
<b>Faculty of Arts and Sciences</b>											
Faculty of Arts & Sciences	31,33	20,056.2	34.0%	3,845.3	6.5%	3,346.9	5.7%	14,390.5	27.8%	17,344.1	58,983.0
Division of Continuing Education	17,34	0.0	0.0%	0.0	0.0%	0.0	0.0%	0.0	0.0%	0.5	0.5
Division of Engineering & Applied Sci.	44	9,496.9	39.9%	2,169.6	9.1%	3,252.7	13.7%	6,766.1	36.8%	2,109.5	23,794.8
Organismic & Evolutionary Biology	49	987.6	43.1%	61.6	2.7%	120.2	5.2%	662.5	31.4%	459.6	2,291.6
Harvard Forest	52	743.2	57.5%	33.1	2.6%	104.3	8.1%	288.4	25.0%	123.6	1,292.6
Library	58	40.6	31.7%	0.0	0.0%	0.0	0.0%	8.7	6.8%	78.9	128.2
Museum of Comparative Zoology	63	120.2	29.4%	69.5	17.0%	0.0	0.0%	97.0	28.6%	121.8	408.4
Observatory	66	1,790.8	42.2%	367.4	8.7%	101.3	2.4%	1,406.4	37.2%	578.8	4,244.5
Peabody Museum	69	279.4	36.6%	20.3	2.7%	0.0	0.0%	143.2	19.3%	319.9	762.8
Semitic Museum	74	0.0	0.0%	0.0	0.0%	0.0	0.0%	0.0	0.0%	9.5	9.5
College Life, Athletics, Grad Dorms	78,85,91	(1.9)	0.0%	0.0	0.0%	0.0	0.0%	1.0	33.1%	4.0	3.1
<b>Total Faculty of Arts &amp; Sciences</b>		<b>33,513.1</b>	<b>36.5%</b>	<b>6,566.7</b>	<b>7.1%</b>	<b>6,925.5</b>	<b>7.5%</b>	<b>23,763.6</b>	<b>30.3%</b>	<b>21,150.1</b>	<b>91,919.0</b>
<b>OTHER ACADEMIC DEPARTMENTS:</b>											
Business School	24,81	52.9	79.4%	0.0	0.0%	0.0	0.0%	0.0	0.0%	13.7	66.6
School of Dental Medicine	35	1,263.4	39.1%	53.0	1.6%	166.0	5.1%	704.3	23.4%	1,044.5	3,231.2
School of Design	37	120.2	15.5%	13.6	1.8%	0.0	0.0%	243.8	32.1%	395.9	773.4
Divinity School	39	227.3	33.3%	1.8	0.3%	0.0	0.0%	55.2	8.1%	399.2	683.5
Graduate School of Education	41	5,051.2	44.1%	72.1	0.6%	1,667.9	14.6%	1,362.2	14.0%	3,298.7	11,452.2
JFK School of Government	56,70,71	5,823.7	40.8%	103.6	0.7%	748.7	5.2%	2,196.0	16.4%	5,391.9	14,263.8
Law School	57,76	1,251.4	58.5%	16.8	0.8%	57.4	2.7%	154.9	7.5%	657.2	2,137.7
Medical School	60,88	41,538.9	29.1%	3,984.9	2.8%	6,627.8	4.6%	41,151.0	31.1%	49,462.9	142,765.6
School of Public Health	72	38,940.0	37.0%	1,898.0	1.8%	17,513.9	16.6%	24,096.2	28.1%	22,835.1	105,283.2
Arnold Arboretum	12	136.5	46.6%	0.0	0.0%	35.8	12.2%	98.4	38.3%	22.1	292.8
Center for Hellenic Studies	59	0.0	0.0%	0.0	0.0%	0.0	0.0%	0.0	0.0%	0.0	0.0
Dumbarton Oaks	61	0.0	0.0%	0.0	0.0%	0.0	0.0%	0.0	0.0%	12.2	12.2
Fogg and Sackler Art Museums	45	67.4	63.7%	6.4	6.1%	0.0	0.0%	14.0	14.1%	18.0	105.9
Harvard Inst. for Int'l Development	48	11,320.4	42.0%	209.9	0.8%	2,823.8	10.5%	4,848.8	20.3%	7,749.6	26,952.4
Nieman Foundation	64	0.0	0.0%	0.0	0.0%	0.0	0.0%	0.0	0.0%	39.0	39.0
Villa I Tatti	67	47.2	34.4%	0.0	0.0%	0.0	0.0%	0.0	0.0%	90.2	137.5
Non-Departmental	42,55,65,68	200.5	27.5%	9.0	0.0%	46.6	6.4%	50.0	7.4%	423.0	729.2
Univ. Professorships, HU Press, Memorial Church	8,30,90	0.3	100.0%	0.0	0.0%	0.0	0.0%	0.0	0.0%	0.0	0.3
<b>SERVICE DEPARTMENTS</b>	*	<b>179.0</b>	<b>37.6%</b>	<b>11.6</b>	<b>2.4%</b>	<b>0.0</b>	<b>0.0%</b>	<b>59.9</b>	<b>12.9%</b>	<b>225.4</b>	<b>476.0</b>
<b>CENTRAL ADMINISTRATION</b>	**	<b>190.1</b>	<b>36.0%</b>	<b>0.0</b>	<b>0.0%</b>	<b>197.7</b>	<b>37.4%</b>	<b>120.0</b>	<b>36.3%</b>	<b>20.3</b>	<b>528.1</b>
<b>TOTAL EXPENDITURES</b>		<b>139,923.7</b>	<b>34.8%</b>	<b>12,947.3</b>	<b>3.2%</b>	<b>36,811.2</b>	<b>9.2%</b>	<b>98,918.4</b>	<b>28.1%</b>	<b>113,249.0</b>	<b>401,849.5</b>

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

\*\*\* Includes salary classes 01, 02, 03, 04, 05, 06, 07, 08, 23 & 41 plus 09 (extra comp) & 10 (fringe)

\*\* Central Administration : 10,11,14,15,36, 40, 50

\* Service Departments: 9,16, 51,73,75,77,79,80,82,83,84,86,87,89,92,93,94,96,97,98

NOTE: Amounts exclude financial aid.

## X. Sponsored Project Expenditures - Two Year Comparison

DEPARTMENT	DEPT #	FEDERAL PRIME AWARD EXPENDITURES (acct's: 6000-8999)	FEDERAL SUB-AWARD EXPENDITURES (acct's: 9000-9999 K)	NON-FEDERAL EXPENDITURES (acct's: 9000-9999 H)	TOTAL FY99 SPONSORED PROJECT EXPENDITURES	TOTAL FY98 SPONSORED PROJECT EXPENDITURES	% CHANGE
<b>ACADEMIC DEPTS RECEIVING TUITION:</b>							
<b>Faculty of Arts and Sciences</b>							
Faculty of Arts & Sciences	31,33	44,898.0	1,752.4	12,332.7	58,983.0	54,075.3	9.1%
Division of Continuing Education	17,34	0.0	0.0	0.5	0.5	0.0	N/A
Division of Engineering & Applied Sci.	44	20,009.9	3,176.3	608.7	23,794.8	23,966.3	-0.7%
Organismic & Evolutionary Biology	49	1,894.9	158.9	237.8	2,291.6	1,879.0	22.0%
Harvard Forest	52	794.9	169.0	328.7	1,292.6	1,265.8	2.1%
Library	58	116.8	0.0	11.4	128.2	254.3	-49.6%
Museum of Comparative Zoology	63	308.3	89.7	10.4	408.4	844.9	-51.7%
Observatory	66	3,795.2	439.3	10.0	4,244.5	5,272.8	-19.5%
Peabody Museum	69	300.4	82.8	379.5	762.8	956.6	-20.3%
Semitic Museum	74	0.0	0.0	9.5	9.5	10.0	-5.5%
College Life, Athletics, Grad Dorms	78,85,91	3.1	0.0	0.0	3.1	0.0	N/A
<b>Total Faculty of Arts &amp; Sciences</b>		<b>72,121.7</b>	<b>5,868.3</b>	<b>13,929.0</b>	<b>91,919.0</b>	<b>88,525.0</b>	<b>3.8%</b>
				0.0			
Business School	24,81	0.0	0.0	66.6	66.6	237.3	-71.9%
School of Dental Medicine	35	2,476.5	26.0	728.7	3,231.2	3,141.8	2.8%
School of Design	37	372.6	261.8	139.0	773.4	813.4	-4.9%
Divinity School	39	0.0	0.0	683.5	683.5	943.9	-27.6%
Graduate School of Education	41	3,621.7	548.6	7,281.8	11,452.2	9,613.0	19.1%
JFK School of Government	56,70,71	2,537.7	480.5	11,245.6	14,263.8	11,896.7	19.9%
Law School	57,76	40.3	0.0	2,097.4	2,137.7	1,366.0	56.5%
Medical School	60,88	110,923.8	6,952.6	24,889.2	142,765.6	122,784.3	16.3%
School of Public Health	72	74,180.1	8,059.8	23,043.3	105,283.2	97,253.4	8.3%
<b>OTHER ACADEMIC DEPARTMENTS:</b>							
Arnold Arboretum	12	298.5	(5.9)	0.1	292.8	461.1	-36.5%
Center for Hellenic Studies	59	0.0	0.0	0.0	0.0	0.0	N/A
Dumbarton Oaks	61	0.0	0.0	12.2	12.2	15.0	-18.9%
Fogg and Sackler Art Museums	45	14.7	0.0	91.2	105.9	259.8	-59.2%
Harvard Inst. for Int'l Development	48	11,341.5	4,442.4	11,168.5	26,952.4	35,386.4	-23.8%
Nieman Foundation	64	0.0	0.0	39.0	39.0	108.6	-64.1%
Villa I Tatti	67	0.0	0.0	137.5	137.5	100.2	37.2%
Non-Departmental	42,55,65,68	0.0	0.0	729.2	729.2	580.0	25.7%
Univ. Professorships, HU Press, Memorial Church	8,30,90	0.3	0.0	0.0	0.3	0.0	N/A
<b>SERVICE DEPARTMENTS</b>							
	-	0.0	0.0	476.0	476.0	335.4	41.9%
<b>CENTRAL ADMINISTRATION</b>							
	**	528.1	0.0	0.0	528.1	625.7	-15.6%
<b>TOTAL EXPENDITURES</b>		<b>278,457.5</b>	<b>26,634.2</b>	<b>96,757.8</b>	<b>401,849.5</b>	<b>374,447.0</b>	<b>7.3%</b>

\* Service Departments: 9,16, 51,73,75,77,79,80,82,83,84,86,87,89,92,93,94,96,97,98

NOTE: Amounts exclude financial aid.

\*\* Central Administration : 10,11,14,15,36, 40, 50

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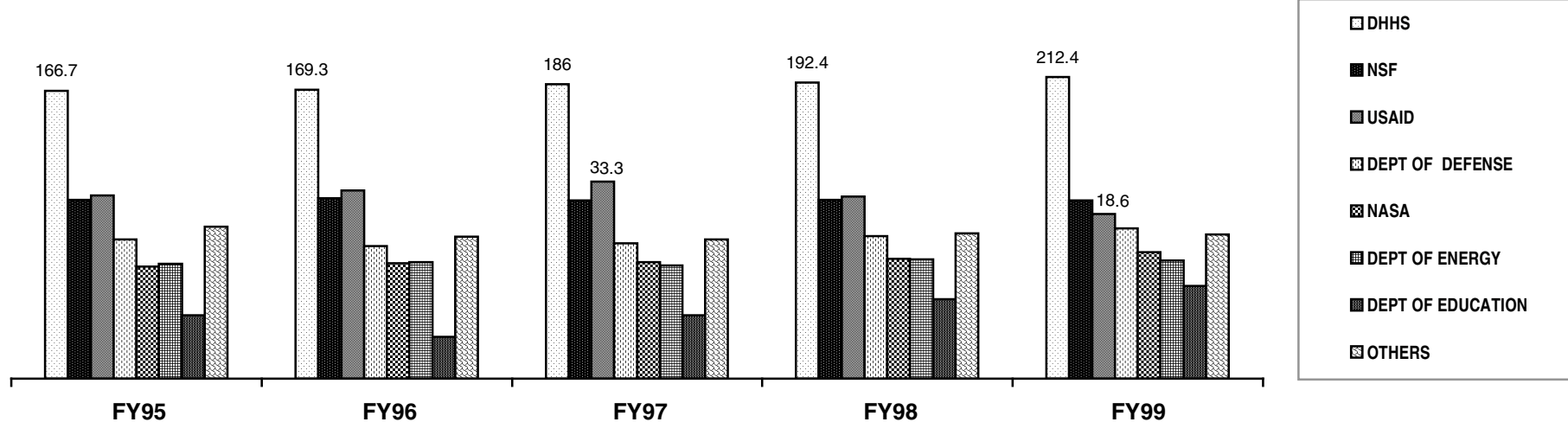
# Federal Funding

## 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 \$17.5 million, from \$182.2 million in FY98 to \$199.7 million in FY99. Total DHHS funding in FY99 was \$212.4 million (69.7% of federal funding) in comparison to \$192.4 million (66.7% of federal funding) in FY98. After DHHS, the next three leading sources of federal funding were the National Science Foundation (NSF), the U.S. Agency for International Development (USAID), and the Department of Defense. USAID funding fell 26.8% below FY98 levels.

Leading Federal Sponsors  
(in \$ millions)

FEDERAL SPONSORS	FY95	FY96	FY97	FY98	FY99	% change FY98-99
<b>DHHS</b>	166.7	169.3	186.0	192.4	<b>212.4</b>	10.4%
<b>NSF</b>	24.0	24.8	23.9	24.1	<b>23.9</b>	( 1.1%)
<b>USAID</b>	26.1	28.4	33.3	25.5	<b>18.6</b>	(26.8%)
<b>DEPT OF DEFENSE</b>	11.9	10.5	11.1	12.6	<b>14.4</b>	14.4%
<b>NASA</b>	7.3	7.8	7.9	8.4	<b>9.5</b>	13.1%
<b>DEPT OF ENERGY</b>	7.7	7.9	7.5	8.3	<b>8.2</b>	( 1.1%)
<b>DEPT OF EDUCATION</b>	3.1	2.1	3.1	4.1	<b>5.2</b>	28.1%
<b>OTHERS (non-leading)</b>	14.8	12.5	11.9	13.2	<b>12.9</b>	( 2.3%)
<b>TOTAL</b>	<b>261.6</b>	<b>263.3</b>	<b>284.7</b>	<b>288.6</b>	<b>305.1</b>	5.7%



\*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 1999				FY 1998				% CHANGE: FY98-99	
	DIRECT AWARDS	SUB AWARDS	FEDERAL \$ TOTAL	% OF FED \$ TOTAL	DIRECT AWARDS	SUB AWARDS	FEDERAL \$ TOTAL	% OF FED \$ TOTAL	\$ Change	% Change
Department of Health & Human Services:										
National Institute of Health (NIH)	188,658.6	11,022.6	199,681.2	65.45%	170,605.6	11,604.4	182,210.0	63.14%	17,471.3	9.59%
Other DHHS	10,857.7	1,846.8	12,704.5	4.16%	9,292.1	930.3	10,222.4	3.54%	2,482.1	24.28%
<b>Total DHHS</b>	<b>199,516.3</b>	<b>12,869.5</b>	<b>212,385.7</b>	<b>69.61%</b>	<b>179,897.9</b>	<b>12,534.7</b>	<b>192,432.6</b>	<b>66.68%</b>	<b>19,953.1</b>	<b>10.37%</b>
National Science Foundation	22,967.5	936.9	23,904.4	7.84%	23,824.3	352.1	24,176.4	8.38%	-272.0	-1.12%
Defense Departments:										
Department of the Navy	7,118.6	428.3	7,547.0	2.47%	5,967.2	683.3	6,650.5	2.30%	896.5	13.48%
Department of the Army	3,302.1	657.2	3,959.4	1.30%	3,368.6	713.1	4,081.7	1.41%	-122.3	-3.00%
Department of the Air Force	1,027.6	85.9	1,113.6	0.36%	1,256.5	257.5	1,514.0	0.52%	-400.4	-26.45%
Defense Advanced Research Projects Agency	634.3	294.2	928.5	0.30%	136.0	120.6	256.6	0.09%	671.9	261.84%
Other - Department of Defense	260.0	627.9	887.9	0.29%	50.6	62.5	113.1	0.04%	774.8	685.09%
<b>Total DOD</b>	<b>12,342.8</b>	<b>2,093.6</b>	<b>14,436.3</b>	<b>4.73%</b>	<b>10,778.9</b>	<b>1,837.0</b>	<b>12,615.9</b>	<b>4.37%</b>	<b>1,820.4</b>	<b>14.43%</b>
Agency for International Development	13,942.4	4,718.0	18,660.4	6.12%	22,357.1	3,144.7	25,501.8	8.84%	-6,841.4	-26.83%
Nat'l. Aeronautics & Space Administration	8,224.1	1,299.9	9,524.0	3.12%	7,757.1	664.2	8,421.3	2.92%	1,102.7	13.09%
Department of Energy	6,429.6	1,748.1	8,177.8	2.68%	6,325.9	1,941.4	8,267.3	2.86%	-89.5	-1.08%
Department of Education	5,144.8	101.2	5,246.0	1.72%	3,812.6	280.8	4,093.4	1.42%	1,152.6	28.16%
Environmental Protection Agency	2,670.1	547.6	3,217.7	1.05%	2,697.7	141.5	2,839.2	0.98%	378.5	13.33%
Nat'l Institute of Justice	2,551.3	114.6	2,666.0	0.87%	2,443.5	39.3	2,482.8	0.86%	183.2	7.38%
Nat'l. Endowment for the Humanities	1,263.7	0.0	1,263.7	0.41%	1,079.0	-1.9	1,077.1	0.37%	186.6	17.33%
U.S. Information Agency	-24.4	861.5	837.0	0.27%	313.6	947.3	1,260.9	0.44%	-423.9	-33.62%
Central Intelligence Agency	484.3	0.0	484.3	0.16%	355.6	0.0	355.6	0.12%	128.7	36.19%
Department of Agriculture	403.1	0.0	403.1	0.13%	176.7	1.7	178.4	0.06%	224.7	125.96%
General Services Administration	350.7	0.0	350.7	0.11%	N/A	N/A	N/A	N/A	N/A	N/A
Department of Transportation	54.3	237.0	291.3	0.10%	128.4	193.7	322.1	0.11%	-30.8	-9.56%
Department of Commerce	0.0	145.5	145.5	0.05%	47.2	0.5	47.7	0.02%	97.8	205.13%
National Oceanic & Atmospheric Admin.	55.1	49.2	104.4	0.03%	67.8	0.0	67.8	0.02%	36.6	53.97%
Department of Treasury	-5.0	0.0	-5.0	0.00%	57.3	0.0	57.3	0.02%	-62.3	-108.71%
National Endowment for the Arts	-18.7	0.0	-18.7	-0.01%	309.3	0.0	309.3	0.11%	-328.0	-106.05%
Other Federal Agencies*	2,105.4	911.5	3,016.9	0.99%	2,100.0	1,989.9	4,089.9	1.42%	-1,073.0	-26.24%
<b>TOTAL EXPENDITURES</b>	<b>278,457.5</b>	<b>26,634.2</b>	<b>305,091.7</b>		<b>264,529.9</b>	<b>24,066.9</b>	<b>288,596.8</b>		<b>16,494.9</b>	<b>5.72%</b>

\*There are 27 Other Federal Agencies

NOTE: Amounts exclude financial aid.

### XIII. Expenditures Under Federal Sub-Awards, By Source

DEPARTMENT	DEPT #	HOSPITALS & OTHER UNIVERSITIES (5,13)	STATE, LOCAL & FOREIGN GOVERNMENTS (6,7,8)	FOUNDATIONS (3)	CORPORATIONS (2)	RESEARCH INSTITUTES (4)	OTHER SOURCES (9-12)	TOTAL FY99	TOTAL FY98	% CHANGE '98-99
<b>ACADEMIC DEPTS RECEIVING TUITION:</b>										
<b>Faculty of Arts and Sciences</b>										
Faculty of Arts & Sciences	31,33	1,025.8	0.0	0.0	573.9	152.4	0.3	1,752.4	1,941.0	-9.7%
Division of Continuing Education	17,34	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
Division of Engineering & Applied Sci.	44	2,806.1	0.0	0.0	143.4	168.3	58.6	3,176.3	3,196.7	-0.6%
Organismic & Evolutionary Biology	49	55.0	0.0	36.2	14.3	53.4	0.0	158.9	320.2	-50.4%
Harvard Forest	52	169.0	0.0	0.0	0.0	0.0	0.0	169.0	157.4	7.3%
Library	58	0.0	0.0	0.0	0.0	0.0	0.0	0.0	(1.9)	-100.0%
Museum of Comparative Zoology	63	89.7	0.0	0.0	0.0	0.0	0.0	89.7	0.0	0.0%
Observatory	66	46.4	0.0	0.0	0.0	343.8	49.0	439.3	289.5	51.7%
Peabody Museum	69	82.8	0.0	0.0	0.0	0.0	0.0	82.8	6.1	1257.6%
Semitic Museum	74	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
College Life, Athletics, Grad Dorms	78,85,91	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>4,274.8</b>	<b>0.0</b>	<b>36.2</b>	<b>731.5</b>	<b>717.9</b>	<b>107.9</b>	<b>5,868.3</b>	<b>5,909.0</b>	<b>-0.7%</b>
Business School	24,81	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
School of Dental Medicine	35	26.0	0.0	0.0	0.0	0.0	0.0	26.0	0.0	N/A
School of Design	37	0.0	0.0	0.0	55.0	206.6	0.2	261.8	60.1	335.7%
Divinity School	39	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
Graduate School of Education	41	427.0	4.5	0.0	117.2	0.0	0.0	548.6	688.4	-20.3%
JFK School of Government	56,70,71	294.8	25.0	0.0	0.1	45.6	115.1	480.5	854.6	-43.8%
Law School	57,76	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
Medical School	60,88	4,920.0	0.0	(0.1)	404.0	1,468.7	160.0	6,952.6	6,591.5	5.5%
School of Public Health	72	4,440.7	76.4	(1.0)	1,536.2	1,039.9	967.6	8,059.8	7,104.1	13.5%
<b>OTHER ACADEMIC DEPARTMENTS:</b>										
Arnold Arboretum	12	0.0	0.0	0.0	0.0	0.0	(5.9)	(5.9)	0.0	N/A
Center for Hellenic Studies	59	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
Dumbarton Oaks	61	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
Fogg and Sackler Art Museums	45	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
Harvard Inst. for Int'l Development	48	91.6	0.0	866.0	474.3	222.0	2,788.4	4,442.4	2,859.1	55.4%
Nieman Foundation	64	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
University Professorships	8	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
Villa I Tatti	67	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
Non-Departmental	42,55,65,68	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
<b>SERVICE DEPARTMENTS</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>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>TOTAL EXPENDITURES FY99</b>		<b>14,474.9</b>	<b>105.9</b>	<b>901.1</b>	<b>3,318.2</b>	<b>3,700.7</b>	<b>4,133.4</b>	<b>26,634.2</b>		
<b>TOTAL EXPENDITURES FY98</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>24,066.8</b>	
<b>PERCENTAGE CHANGE: FY98-99</b>		<b>-1.3%</b>	<b>448.7%</b>	<b>4.6%</b>	<b>-9.9%</b>	<b>42.1%</b>	<b>85.6%</b>			<b>10.7%</b>

\* Service Departments: 9,16,51,73,75,77,79,80,83,84, 86,87,89,90,92,93,94,96,97,98.

\*\* Central Administration: 10,11,14,15,36,40,50

NOTE: Amounts exclude financial aid processed in acct range 9000-9999K.

(#) in headings denotes source code

## XIV. Expenditures Under Federal Prime, By Type

DEPARTMENT	DEPT #	RESEARCH & DEVELOPMENT		TRAINING		OTHER		ALL TYPES		TOTAL FY99	TOTAL FY 98	% CHANGE 98-99
		Direct	Indirect	Direct	Indirect	Direct	Indirect	Direct	Indirect			
<b>ACADEMIC DEPTS. RECEIVING TUITION:</b>												
<b>Faculty of Arts and Sciences</b>												
Faculty of Arts & Sciences	31,33	27,522.7	13,210.2	2,456.8	235.9	1,372.2	100.1	31,351.8	13,546.2	44,898.0	41,272.7	8.8%
Division of Continuing Education	17,34	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.	44	14,043.7	5,730.6	114.0	41.6	62.9	17.1	14,220.6	5,789.3	20,009.9	19,927.1	0.4%
Organismic & Evolutionary Biology	49	1,254.3	619.8	18.5	0.0	2.3	0.0	1,275.1	619.8	1,894.9	1,602.5	18.2%
Harvard Forest	52	504.4	201.2	45.5	12.1	31.8	0.0	581.6	213.3	794.9	725.1	9.6%
Library	58	0.0	0.0	0.0	0.0	108.2	8.7	108.2	8.7	116.8	158.6	-26.3%
Museum of Comparative Zoology	63	167.4	69.9	19.2	0.0	48.5	3.3	235.2	73.1	308.3	819.9	-62.4%
Observatory	66	2,410.8	1,277.1	87.2	14.0	5.9	0.2	2,503.9	1,291.3	3,795.2	4,973.4	-23.7%
Peabody Museum	69	174.6	54.6	23.5	0.0	36.5	11.2	234.6	65.8	300.4	497.2	-39.6%
Semitic Museum	74	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
College Life, Athletics, Grad Dorms	78,85,91	0.0	0.0	0.0	0.0	2.1	1.0	2.1	1.0	3.1	0.0	N/A
<b>Total Faculty of Arts &amp; Sciences</b>		<b>46,077.9</b>	<b>21,163.4</b>	<b>2,764.7</b>	<b>303.7</b>	<b>1,670.5</b>	<b>141.5</b>	<b>50,513.1</b>	<b>21,608.6</b>	<b>72,121.7</b>	<b>69,976.5</b>	<b>3.1%</b>
Business School	24,81	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	35	900.6	469.6	1,053.9	55.1	(2.8)	0.0	1,951.8	524.7	2,476.5	2,200.8	12.5%
School of Design	37	(6.7)	0.9	17.1	0.0	281.5	79.9	291.9	80.7	372.6	347.9	7.1%
Divinity School	39	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	41	2,863.2	735.4	23.1	0.0	0.0	0.0	2,886.3	735.4	3,621.7	2,758.2	31.3%
JFK School of Government	56,70,71	1,545.8	793.8	190.2	7.9	0.0	0.0	1,736.0	801.7	2,537.7	2,474.2	2.6%
Law School	57,76	40.3	0.0	0.0	0.0	0.0	0.0	40.3	0.0	40.3	15.6	158.6%
Medical School	60,88	61,703.0	34,411.4	13,755.5	857.0	196.9	0.0	75,655.4	35,268.4	110,923.8	96,040.8	15.5%
School of Public Health	72	47,533.9	17,164.3	8,017.4	469.7	963.6	31.1	56,514.9	17,665.1	74,180.1	70,200.3	5.7%
<b>OTHER ACADEMIC DEPARTMENTS:</b>												
Arnold Arboretum	12	200.1	98.4	0.0	0.0	0.0	0.0	200.1	98.4	298.5	328.6	-9.2%
Center for Hellenic Studies	59	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
Dumbarton Oaks	61	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	45	7.4	2.2	0.0	0.0	4.0	1.2	11.4	3.3	14.7	92.8	-84.1%
Harvard Inst. for Int'l Development	48	9,606.6	1,759.7	0.0	0.0	(5.9)	(18.8)	9,600.7	1,740.9	11,341.5	19,468.5	-41.7%
Nieman Foundation	64	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	67	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
Non-Departmental	42,55,65,68	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
Univ. Professorships, HU Press, Memorial Church	8,30,90	0.0	0.0	0.0	0.0	0.3	0.0	0.3	0.0	0.3	0.0	0.0%
<b>SERVICE DEPARTMENTS</b>												
CENTRAL ADMINISTRATION	**	0.0	0.0	0.0	0.0	408.1	120.0	408.1	120.0	528.1	624.0	-15.4%
<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>TOTAL EXPENDITURES - FY98</b>		<b>163,178.2</b>	<b>70,020.1</b>	<b>25,160.8</b>	<b>1,379.7</b>	<b>4,266.5</b>	<b>524.7</b>	<b>192,605.5</b>	<b>71,924.5</b>		<b>264,529.9</b>	
<b>PERCENTAGE CHANGE FY98-99</b>		<b>4.5%</b>	<b>9.4%</b>	<b>2.6%</b>	<b>22.7%</b>	<b>-17.6%</b>	<b>-32.4%</b>	<b>3.7%</b>	<b>9.3%</b>			<b>5.27%</b>

\* Service Departments: 9,16, 51,73,75,77,79,80,82,83,  
84,86,87,89,92,93,94,96,97,98

\*\* Central Administration : 10,11,14,15,36,40,50

NOTE: Amounts exclude financial aid processed in acct range 6000-8999.

## XV. Expenditures Under Federal Sub-Awards, By Type

DEPARTMENT	DEPT #	RESEARCH & DEVELOPMENT		TRAINING		OTHER		ALL TYPES		TOTAL FY99
		Direct	Indirect	Direct	Indirect	Direct	Indirect	Direct	Indirect	
<b>ACADEMIC DEPTS. RECEIVING TUITION:</b>										
Faculty of Arts and Sciences										
Faculty of Arts & Sciences	31,33	982.7	331.2	425.8	12.7	(0.0)	0.0	1,408.5	343.9	1,752.4
Division of Continuing Education	17,34	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Division of Engineering & Applied Sci.	44	2,241.4	875.9	58.9	0.0	0.0	0.0	2,300.4	875.9	3,176.3
Organismic & Evolutionary Biology	49	84.2	38.5	36.2	0.0	0.0	0.0	120.4	38.5	158.9
Harvard Forest	52	93.9	75.0	0.0	0.0	0.0	0.0	93.9	75.0	169.0
Library	58	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Museum of Comparative Zoology	63	65.8	23.9	0.0	0.0	0.0	0.0	65.8	23.9	89.7
Observatory	66	275.2	115.1	49.0	0.0	0.0	0.0	324.2	115.1	439.3
Peabody Museum	69	50.5	32.3	0.0	0.0	0.0	0.0	50.5	32.3	82.8
Semitic Muesum	74	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
College Life, Athletics, Grad Dorms	78,85,91	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>3,793.8</b>	<b>1,491.9</b>	<b>570.0</b>	<b>12.7</b>	<b>(0.0)</b>	<b>0.0</b>	<b>4,363.8</b>	<b>1,504.5</b>	<b>5,868.3</b>
Business School	24,81	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
School of Dental Medicine	35	15.1	11.0	0.0	0.0	0.0	0.0	15.1	11.0	26.0
School of Design	37	184.5	77.4	0.0	0.0	0.0	0.0	184.5	77.4	261.8
Divinity School	39	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Graduate School of Education	41	358.3	185.8	(0.8)	0.1	5.3	0.0	362.9	185.8	548.7
JFK School of Government	56,70,71	307.8	142.7	0.0	0.0	30.0	0.1	337.8	142.7	480.5
Law School	57,76	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Medical School	60,88	4,126.6	2,667.6	156.0	2.3	0.0	0.0	4,282.6	2,670.0	6,952.6
School of Public Health	72	5,376.4	2,589.7	0.0	0.0	76.3	17.4	5,452.7	2,607.1	8,059.8
<b>OTHER ACADEMIC DEPARTMENTS:</b>										
Arnold Arboretum	12	(5.9)	0.0	0.0	0.0	0.0	0.0	(5.9)	0.0	(5.9)
Center for Hellenic Studies	59	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Dumbarton Oaks	61	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Fogg and Sackler Art Museums	45	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Harvard Inst. for Int'l Development	48	2,971.4	743.2	577.6	150.2	0.0	0.0	3,549.0	893.4	4,442.4
Nieman Foundation	64	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Villa I Tatti	67	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Non-Departmental	42,55,65,68	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Univ. Professorships, HU Press, Memorial Church	8,30,90	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
SERVICE DEPARTMENTS	*	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
CENTRAL ADMINISTRATION	**	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
<b>TOTAL EXPENDITURES - FY99</b>		<b>17,128.0</b>	<b>7,909.3</b>	<b>1,302.8</b>	<b>165.2</b>	<b>111.5</b>	<b>17.5</b>	<b>18,542.3</b>	<b>8,091.9</b>	<b>26,634.3</b>

\* Service Departments: 9,16, 51,73,75,77,79,80,82,83,  
84,86,87,89,92,93,94,96,97,98

\*\* Central Administration : 10,11,14,15,36,40,50

NOTE: Amounts exclude financial aid processed in acct range 9000-9999K

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# Non-Federal Funding

## XVI. Sources of Non-Federal Funding

Non-federal funding rose by \$10.9 million in FY99, a 12.7% increase over FY98. As in the past, foundations accounted for almost half of the non-federal funding, while state, local and foreign governments plus corporations accounted for another third. Of the 565 non-federal sponsors, the leading ten provided over 30% of funding.

NON-FEDERAL SPONSORS	FY95	FY96	FY97	FY98	FY99	%change FY98-99
Foundations		40.7	40.8	41.5	<b>50.2</b>	20.9%
Corporations	12.9	14.8	12.1	12.0	<b>15.0</b>	25.1%
State, Local, Foreign Governments	16.1	15.8	14.5	15.2	<b>11.8</b>	(22.5%)
Research Institutes	6.1	4.7	4.7	4.9	<b>5.6</b>	16.0%
Universities & Hospitals	2.3	1.9	1.8	2.6	<b>1.9</b>	(27.3%)
Others	4.8	5.7	8.1	9.6	<b>12.1</b>	26.8%
<b>TOTAL</b>	<b>82.3</b>	<b>83.6</b>	<b>82.0</b>	<b>85.8</b>	<b>96.7</b>	<b>12.7%</b>

### Leading Non Federal Sponsors

(in \$ millions)

NON-FEDERAL SPONSORS	FY97	FY98	FY99	% of funding for FY99	% change FY98-99
<b>Ford Foundation</b>	2,886.7	3,117.5	<b>5,354.2</b>	5.53%	71.7%
<b>Bristol-Myers Squibb Co.</b>	3,917.1	3,169.7	<b>3,965.5</b>	4.10%	25.1%
<b>Robert Wood Johnson Fdn.</b>	3,160.9	2,391.1	<b>3,519.1</b>	3.64%	47.1%
<b>J. &amp; C. MacArthur Foundation</b>	5,060.5	2,321.8	<b>3,470.5</b>	3.59%	49.5%
<b>Merck and Company</b>	-	168.4	<b>3,054.7</b>	3.16%	1,714.3%
<b>Carnegie Corporation of NY</b>	1,908.9	3,340.4	<b>2,278.0</b>	2.35%	(31.8%)
<b>Commonwealth of Mass</b>	2,469.5	2,100.1	<b>2,193.1</b>	2.27%	4.4%
<b>Government of Indonesia</b>	3,333.5	2,374.3	<b>2,188.9</b>	2.26%	7.8%
<b>John M. Olin Foundation</b>	1,139.0	1,248.6	<b>1,929.7</b>	1.99%	54.5%
<b>Andrew Mellon Foundation</b>	2,305.9	2,309.2	<b>1,878.0</b>	1.94%	(18.7%)
<b>Other Sponsors*</b>	70,871.5	63,308.8	<b>66,926.1</b>	69.17%	(5.7%)
<b>TOTAL</b>	<b>\$ 82,028.3</b>	<b>\$ 85,849.9</b>	<b>\$ 96,757.8</b>	<b>100.00%</b>	<b>12.7%</b>

\*There were 555 other non-federal sponsors in FY99

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

NON FEDERAL SPONSOR	Source Code	FY 1999				FY 1998				% CHANGE: FY98-99	
		DIRECT COSTS	INDIRECT COSTS	TOTAL COSTS	INDIRECT AS % OF DIRECT	DIRECT COSTS	INDIRECT COSTS	TOTAL COSTS	INDIRECT AS % OF DIRECT	Amount Change	% Change
Ford Foundation	3	4,449.5	904.7	5,354.2	20.33%	2,728.1	389.4	3,117.5	14.28%	2,236.7	71.75%
Bristol-Myers Squibb Company	2	2,689.8	1,275.7	3,965.5	47.43%	2,033.2	1,136.5	3,169.7	55.90%	795.8	25.11%
Robert Wood Johnson Foundation	3	3,304.3	214.8	3,519.1	6.50%	2,245.9	145.2	2,391.1	6.46%	1,128.0	47.17%
J. & C. MacArthur Foundation	3	3,335.7	134.8	3,470.5	4.04%	2,255.7	66.1	2,321.8	2.93%	1,148.7	49.47%
Carnegie Corporation	3	2,009.6	268.4	2,278.0	13.35%	2,971.1	369.3	3,340.4	12.43%	-1,062.4	-31.81%
Merck and Company, Inc	2	2,185.3	869.4	3,054.7	39.79%	152.9	15.5	168.4	10.14%	2,886.3	1714.28%
Commonwealth of Massachusetts	6	2,060.1	133.0	2,193.1	6.45%	2,239.1	-139.0	2,100.1	-6.21%	93.0	4.43%
Government of Indonesia	8	1,730.9	458.0	2,188.9	26.46%	1,876.1	498.2	2,374.3	26.55%	-185.4	-7.81%
John M. Olin Foundation	3	1,929.7	0.0	1,929.7	0.00%	1,248.6	0.0	1,248.6	0.00%	681.1	54.55%
Andrew Mellon Foundation	3	1,866.3	11.7	1,878.0	0.63%	2,298.4	10.8	2,309.2	0.47%	-431.2	-18.67%
Inst. Centroamericano de Admin. de Empresas	12	1,387.8	351.7	1,739.5	25.34%	1,061.5	258.8	1,320.3	24.38%	419.2	31.75%
U.S. Surgical Corporation	2	1,444.8	195.5	1,640.3	13.53%	1,055.5	141.9	1,197.4	13.45%	442.9	36.99%
Wyeth-Ayerst Laboratories	2	1,383.8	150.0	1,533.8	10.84%	912.6	74.6	987.2	8.17%	546.6	55.36%
Howard Hughes Medical Institute	4	1,465.2	0.0	1,465.2	0.00%	1,984.6	0.0	1,984.6	0.00%	-519.4	-26.17%
Spencer Foundation	3	1,382.2	78.2	1,460.4	5.65%	1,010.5	35.5	1,046.0	3.52%	414.4	39.62%
American Cancer Society	3	1,237.3	206.3	1,443.6	16.67%	1,575.5	264.2	1,839.7	16.77%	-396.1	-21.53%
World Bank	10	1,178.9	280.1	1,459.0	23.76%	612.0	134.9	746.9	22.04%	712.1	95.34%
Commonwealth Fund	3	1,296.2	75.0	1,371.3	5.79%	963.8	40.7	1,004.5	4.22%	366.8	36.51%
William K. Kellogg Foundation	3	1,318.5	0.0	1,318.5	0.00%	548.7	1.5	550.3	0.28%	768.3	139.62%
Pew Charitable Trusts	3	1,253.0	30.6	1,283.7	2.44%	751.9	47.6	799.5	6.33%	484.2	60.56%
Government of Kenya	8	993.1	225.4	1,218.5	22.70%	853.9	216.4	1,070.3	25.34%	148.2	13.85%
Hoechst Marion Roussel Inc.	12	846.8	330.6	1,177.5	39.04%	350.3	97.4	447.7	27.80%	729.8	163.01%
Smith Richardson Foundation Inc.	3	1,055.0	74.5	1,129.5	7.07%	673.2	38.5	711.7	5.72%	417.8	58.71%
Government of Mozambique	8	862.1	215.2	1,077.3	24.96%	795.0	191.1	986.1	24.04%	91.2	9.25%
Min. Env. Prot. Nat. Russ. Fed	8	803.7	169.1	972.8	21.04%	485.6	154.0	639.6	31.71%	333.3	52.11%
Asian Development Bank	12	793.3	178.0	971.3	22.44%	180.5	41.4	221.9	22.94%	749.4	337.66%
Alfred P. Sloan Foundation	3	865.5	104.3	969.8	12.05%	1,274.2	116.6	1,390.8	9.15%	-421.0	-30.27%
Government of the Netherlands	8	711.0	107.6	818.7	15.14%	948.7	109.7	1,058.4	11.56%	-239.7	-22.65%
Council for Tobacco Research Inc.	4	677.7	100.4	778.1	14.81%	790.5	113.9	904.4	14.41%	-126.3	-13.97%
Government of Ghana	8	616.6	153.9	770.5	24.95%	527.4	135.3	662.7	25.65%	107.8	16.27%
Other Non-Federal Sponsors*		37,444.8	4,882.4	42,327.2	13.04%	38,513.1	5,225.8	43,738.9	13.57%	-1,411.7	-3.23%
<b>TOTAL EXPENDITURES FY99</b>		<b>84,578.5</b>	<b>12,179.3</b>	<b>96,757.8</b>	<b>14.40%</b>	<b>75,918.2</b>	<b>9,931.7</b>	<b>85,849.9</b>	<b>13.08%</b>	<b>10,907.9</b>	<b>12.71%</b>
<b>ALL NON-FEDERAL SPONSORS</b>											

NOTE: Amounts exclude financial aid.

\*There are 535 Other Non-Federal Sponsors

Source Codes: 2-industry; 3-foundation, 4-research inst, 6-state gov., 8-foreign gov., 10-internat'l organization, 12-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'l's Development	JFKennedy school of Government	Law School	School of Education	Other Units
Ford Foundation			47.6%	2.9%	42.4%	2.1%	5.0%	
Bristol-Myers Squibb Company		100.0%						
Robert Wood Johnson Foundation	9.7%	78.8%			8.3%	3.3%		
J. & C. MacArthur Foundation	17.3%	46.8%	8.6%	1.2%	24.9%		-0.2%	1.4%
Carnegie Corporation	20.3%	4.9%	8.6%		51.5%		2.7%	12.0%
Merck and Company, Inc	68.8%	31.1%	0.1%					
Commonwealth of Massachusetts	89.7%	5.0%			5.3%			
Government of Indonesia				100.0%				
John M. Olin Foundation			55.5%			44.5%		
Andrew Mellon Foundation			80.3%		7.2%		3.7%	8.8%
Inst. Centroamericano de Admin. de Empresas				100.0%				
U.S. Surgical Corporation	100.0%							
Wyeth-Ayerst Laboratories		100.0%						
Howard Hughes Medical Institute	82.5%	1.1%	16.4%					
Spencer Foundation			0.5%			3.4%	73.1%	23.0%
American Cancer Society	58.6%	24.4%	15.9%					1.1%
World Bank		7.2%		77.8%				15.0%
Commonwealth Fund	66.5%	14.5%			19.0%			
William K. Kellogg Foundation	1.0%		12.6%		20.7%	0.1%	61.6%	4.0%
Pew Charitable Trusts		0.8%	7.6%		5.1%		86.5%	
Government of Kenya				100.0%				
Hoechst Marion Roussel Inc.	100.0%							
Smith Richardson Foundation Inc.			50.9%		46.4%		2.7%	
Government of Mozambique				100.0%				
Min. Env. Prot. Nat. Russ. Fed		100.0%						
Asian Development Bank			8.6%	75.3%		16.1%		
Alfred P. Sloan Foundation	40.3%	1.2%	41.6%		15.7%	1.2%		
Government of the Netherlands					100.0%			
Council for Tobacco Research Inc.	78.9%	12.2%	8.9%					
Government of Ghana				100.0%				

Expenditures by schools in FY99 as a percentage of Major Non-Federal Sponsors across the university.

# XIX. Expenditures Under Non-Federal Awards, By Source

DEPARTMENT	DEPT #	HOSPITALS & OTHER UNIVERSITIES (5,13)	STATE, LOCAL & FOREIGN GOVERNMENTS (6,7,8)	FOUNDATIONS (3)	CORPORATIONS (2)	RESEARCH INSTITUTES (4)	OTHER SOURCES (9-12)	TOTAL FY99	TOTAL FY98	% CHANGE 98-99
<b>ACADEMIC DEPTS RECEIVING TUITION:</b>										
<b>Faculty of Arts and Sciences</b>										
Faculty of Arts & Sciences	31,33	280.6	969.1	9,900.0	121.1	494.7	567.1	12,332.7	10,861.5	13.5%
Division of Continuing Education	17,34	0.0	0.0	0.5	0.0		0.0	0.0	0.0	0.0%
Division of Engineering & Applied Sci.	44	5.0	0.0	268.0	163.5	50.6	121.5	608.7	698.5	-12.9%
Organismic & Evolutionary Biology	49	0.0	5.0	149.9	0.0	15.8	67.1	237.8	100.2	137.3%
Harvard Forest	52	0.0	19.4	306.5	0.0	2.8	0.0	328.7	383.3	-14.2%
Library	58	0.0	0.0	11.4	0.0	0.0	0.0	11.4	97.5	-88.4%
Museum of Comparative Zoology	63	0.0	0.0	10.4	0.0	0.0	0.0	10.4	25.1	-58.4%
Observatory	66	0.0	0.0	0.0	0.0	10.0	0.0	10.0	10.0	0.0%
Peabody Museum	69	0.0	0.0	237.8	41.2	0.0	100.5	379.5	453.3	-16.3%
Semitic Museum	74	0.0	0.0	9.5	0.0	0.0	0.0	9.5	10.0	-5.5%
College Life, Athletics, Grad Dorms	78,85,91	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>285.6</b>	<b>993.5</b>	<b>10,893.8</b>	<b>325.8</b>	<b>574.0</b>	<b>856.3</b>	<b>13,929.0</b>	<b>12,639.4</b>	<b>10.2%</b>
<b>Business School</b>	24,81	0.0	0.0	66.6	0.0	0.0	0.0	66.6	237.3	100.0%
<b>School of Dental Medicine</b>	35	0.0	0.0	172.3	442.6	99.1	14.7	728.7	940.9	-22.6%
<b>School of Design</b>	37	0.0	94.1	15.0	0.0	0.0	30.0	139.0	405.3	-65.7%
<b>Divinity School</b>	39	0.0	0.0	683.5	0.0	0.0	0.0	683.5	943.9	-27.6%
<b>Graduate School of Education</b>	41	293.5	82.5	5,882.0	70.1	0.0	953.8	7,281.8	6,166.3	18.1%
<b>JFK School of Government</b>	56,70,71	155.8	1,209.2	7,677.3	822.8	151.6	1,167.9	11,184.6	8,567.9	30.5%
<b>Law School</b>	57,76	0.0	2.9	1,591.1	72.4	29.5	462.4	2,158.3	1,350.4	59.8%
<b>Medical School</b>	60,88	105.0	2,043.3	12,091.5	5,894.9	2,737.8	2,016.6	24,889.2	20,152.0	23.5%
<b>School of Public Health</b>	72	1,048.2	1,694.4	9,781.5	6,875.1	2,099.0	1,545.3	23,043.3	19,949.0	15.5%
<b>OTHER ACADEMIC DEPARTMENTS:</b>										
Arnold Arboretum	12	0.0	0.1	0.0	0.0	0.0	0.0	0.1	132.5	-100.0%
Center for Hellenic Studies	59	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
Dumbarton Oaks	61	0.0	0.0	12.2	0.0	0.0	0.0	12.2	15.0	-18.9%
Fogg and Sackler Art Museums	45	0.0	15.0	76.2	0.0	0.0	0.0	91.2	167.0	-45.4%
Harvard Inst. for Int'l Development	48	0.0	5,679.7	347.2	46.6	0.8	5,094.3	11,168.5	13,058.8	-14.5%
Nieman Foundation	64	0.0	0.0	39.0	0.0	0.0	0.0	39.0	108.6	-64.1%
Villa I Tatti	67	0.0	0.0	137.5	0.0	0.0	0.0	137.5	100.2	37.2%
Non-Departmental	42,55,65,68	0.0	0.0	729.2	0.0	0.0	0.0	729.2	580.0	25.7%
<b>SERVICE DEPARTMENTS</b>	*	0.0	0.0	0.0	476.0	0.0	0.0	476.0	333.8	42.6%
<b>CENTRAL ADMINISTRATION</b>	**	0.0	0.0	0.0	0.0	0.0	0.0	0.0	1.7	-100.0%
<b>TOTAL EXPENDITURES FY99</b>		<b>1,888.1</b>	<b>11,814.5</b>	<b>50,195.9</b>	<b>15,026.3</b>	<b>5,691.8</b>	<b>12,141.1</b>	<b>96,757.8</b>		
<b>TOTAL EXPENDITURES FY98</b>		<b>2,595.5</b>	<b>15,243.8</b>	<b>41,516.6</b>	<b>12,013.6</b>	<b>4,906.6</b>	<b>9,573.8</b>		<b>85,849.9</b>	
<b>PERCENTAGE CHANGE: FY98 - FY99</b>		<b>-27.3%</b>	<b>-22.5%</b>	<b>20.9%</b>	<b>25.1%</b>	<b>16.0%</b>	<b>26.8%</b>			<b>12.7%</b>

\* Service Departments: 9,16, 51,73,75,77,79,80,82,83, 84,86,87,89,92,93,94,96,97,98

\*\* Central Administration : 10,11,14,15,36,40,50

NOTE: Amounts exclude financial aid processed in acct range 9000-9999H.

(#) in headings denotes source code

## XX. Expenditures Under Non-Federal Awards, By Type

DEPARTMENT	DEPT #	RESEARCH & DEVELOPMENT		TRAINING		OTHER		ALL TYPES		TOTAL FY99
		Direct	Indirect	Direct	Indirect	Direct	Indirect	Direct	Indirect	
<b>ACADEMIC DEPTS. RECEIVING TUITION:</b>										
Faculty of Arts and Sciences										
Faculty of Arts & Sciences	31,33	5,079.8	283.5	1,910.9	5.9	4,841.6	210.9	11,832.3	500.4	12,332.7
Division of Continuing Education	17,34	0.0	0.0	0.0	0.0	0.5	0.0	0.5	0.0	0.5
Division of Engineering & Applied Sci.	44	476.3	100.8	31.5	0.0	0.0	0.0	507.8	100.8	608.7
Organismic & Evolutionary Biology	49	233.6	4.2	0.0	0.0	0.0	0.0	233.6	4.2	237.8
Harvard Forest	52	139.1	0.0	170.2	0.0	19.4	0.0	328.7	0.0	328.7
Library	58	(4.5)	0.0	0.0	0.0	15.9	0.0	11.4	0.0	11.4
Museum of Comparative Zoology	63	10.4	0.0	0.0	0.0	0.0	0.0	10.4	0.0	10.4
Observatory	66	10.0	0.0	0.0	0.0	0.0	0.0	10.0	0.0	10.0
Peabody Museum	69	310.8	45.1	2.3	0.0	21.3	0.0	334.4	45.1	379.5
Semitic Muesum	74	0.0	0.0	0.0	0.0	9.5	0.0	9.5	0.0	9.5
College Life, Athletics, Grad Dorms	78,85,91	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>6,255.5</b>	<b>433.7</b>	<b>2,114.8</b>	<b>5.9</b>	<b>4,908.2</b>	<b>210.9</b>	<b>13,278.6</b>	<b>650.5</b>	<b>13,929.0</b>
Business School	24,81	13.7	0.0	0.0	0.0	52.9	(0.0)	66.6	(0.0)	66.6
School of Dental Medicine	35	567.7	161.0	11.0	0.0	(18.5)	7.6	560.2	168.6	728.7
School of Design	37	314.6	85.7	0.0	0.0	(261.3)	0.0	53.3	85.7	139.0
Divinity School	39	105.3	11.5	0.0	0.0	523.0	43.7	628.4	55.2	683.5
Graduate School of Education	41	4,983.0	320.0	687.5	24.7	1,170.2	96.3	6,840.8	441.1	7,281.8
JFK School of Government	56,70,71	6,688.0	888.5	788.4	74.6	2,517.2	288.4	9,993.6	1,251.5	11,245.1
Law School	57,76	680.6	107.3	0.0	0.0	1,261.9	47.7	1,942.4	154.9	2,097.4
Medical School	60,88	14,119.2	2,786.2	5,724.4	233.9	1,832.9	192.6	21,676.5	3,212.7	24,889.2
School of Public Health	72	16,662.9	3,664.2	887.2	43.3	1,669.3	116.4	19,219.4	3,823.9	23,043.3
<b>OTHER ACADEMIC DEPARTMENTS:</b>										
Arnold Arboretum	12	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.1
Center for Hellenic Studies	59	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Dumbarton Oaks	61	11.1	0.0	0.0	0.0	1.1	0.0	12.2	0.0	12.2
Fogg and Sackler Art Museums	45	15.0	0.0	0.0	0.0	65.5	10.7	80.5	10.7	91.2
Harvard Inst. for Int'l Development	48	8,246.9	2,064.6	332.0	78.9	375.1	71.1	8,954.0	2,214.6	11,168.5
Nieman Foundation	64	0.0	0.0	0.0	0.0	39.0	0.0	39.0	0.0	39.0
Villa I Tatti	67	0.0	0.0	0.0	0.0	137.5	0.0	137.5	0.0	137.5
Non-Departmental	42,55,65,68	282.8	35.5	389.7	13.7	6.7	0.8	679.2	50.0	729.2
Univ. Professorships, HU Press, Memorial Church	8,30,90	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
<b>SERVICE DEPARTMENTS</b>										
	*	0.0	0.0	0.0	0.0	416.0	59.9	416.0	59.9	476.0
<b>CENTRAL ADMINISTRATION</b>										
	**	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
<b>TOTAL EXPENDITURES - FY99</b>		<b>58,946.3</b>	<b>10,558.1</b>	<b>10,935.0</b>	<b>475.0</b>	<b>14,696.7</b>	<b>1,146.2</b>	<b>84,578.0</b>	<b>12,179.3</b>	<b>96,757.3</b>

\* Service Departments: 9,16, 51,73,75,77,79,80,82,83,  
84,86,87,89,92,93,94,96,97,98  
\*\* Central Administration : 10,11,14,15,36,40,50

NOTE: Amounts exclude financial aid processed in acct range 9000-9999H.

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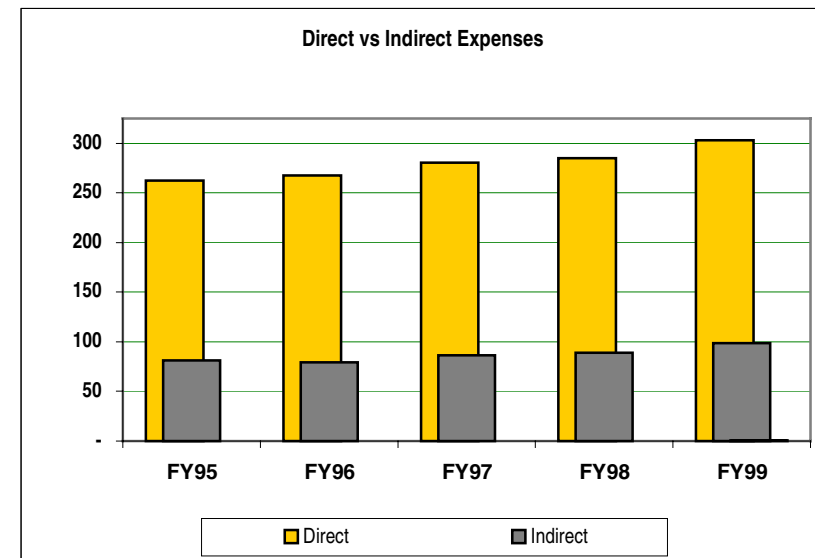
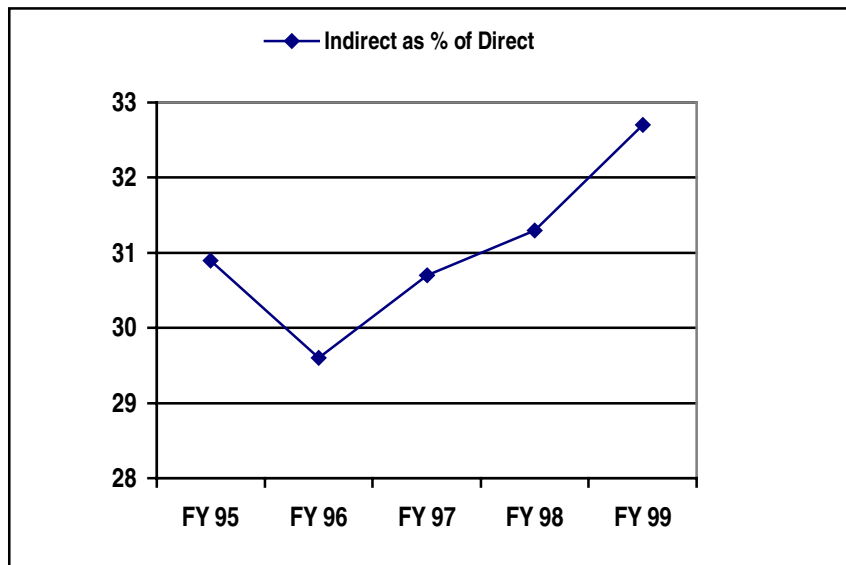
# Direct and Indirect Cost

## XXI. Direct and Indirect Cost Recovery

Indirect cost recovery under federal and non-federal sponsored projects grew by \$9.6 million in FY99, up 10.8% from FY98. Indirect costs as a percent of direct costs reached a five-year high at 32.7%. The percentage of change in direct cost expenditures from Federal sources in FY 99 was 7.4% vs. 11.4% from Non-Federal sources. The percentage of change of indirect recovery from Federal sources in FY99 was 9.3% vs. 22.6% from Non-Federal sources.

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

Fiscal Year	Direct	% change	Indirect	% change	Indirect as % of Direct
95	262.7	4.3%	81.2	5.5%	30.9%
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	<b>302.9</b>	<b>6.3%</b>	<b>98.9</b>	<b>10.8%</b>	<b>32.7%</b>



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

DEPARTMENT	DEPT #	DIRECT COSTS			INDIRECT COSTS			TOTAL COSTS			FY 99 INDIRECT as % of DIRECT	FY 98 INDIRECT as % of DIRECT
		FY 99	FY 98	% Change	FY 99	FY 98	% Change	FY 99	FY 98	% Change		
<b>ACADEMIC DEPTS RECEIVING TUITION:</b>												
<b>Faculty of Arts and Sciences</b>												
Faculty of Arts & Sciences	31,33	31,351.8	28,988.6	8.2%	13,546.2	12,284.2	10.3%	44,898.0	41,272.7	8.8%	43.2%	42.4%
Division of Continuing Education	17,34	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 and Applied Sci.	44	14,220.6	14,251.5	-0.2%	5,789.3	5,675.6	2.0%	20,009.9	19,927.1	0.4%	40.7%	39.8%
Organismic & Evolutionary Biology	49	1,275.1	1,090.7	16.9%	619.8	511.9	21.1%	1,894.9	1,602.5	18.2%	48.6%	46.9%
Harvard Forest	52	581.6	565.0	2.9%	213.3	160.1	33.2%	794.9	725.1	9.6%	36.7%	28.3%
Library	58	108.2	140.4	-22.9%	8.7	18.2	-52.4%	116.8	158.6	-26.3%	8.0%	13.0%
Museum of Comparative Zoology	63	235.2	632.6	-62.8%	73.1	187.3	-61.0%	308.3	819.9	-62.4%	31.1%	29.6%
Observatory	66	2,503.9	3,567.4	-29.8%	1,291.3	1,406.0	-8.2%	3,795.2	4,973.4	-23.7%	51.6%	39.4%
Peabody Museum	69	234.6	379.7	-38.2%	65.8	117.5	-44.0%	300.4	497.2	-39.6%	28.0%	30.9%
Semitic Museum	74	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0%	0.0%
College Life, Athletics, Grad Dorms	78,85,91	2.1	0.0	N/A	1.0	0.0	N/A	3.1	0.0	N/A	49.4%	0.0%
<b>Total Faculty of Arts &amp; Sciences</b>		<b>50,513.1</b>	<b>49,615.9</b>	<b>1.8%</b>	<b>21,608.6</b>	<b>20,360.7</b>	<b>6.1%</b>	<b>72,121.7</b>	<b>69,976.5</b>	<b>3.1%</b>	<b>42.8%</b>	<b>41.0%</b>
Business School	24,81	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	35	1,951.8	1,785.2	9.3%	524.7	415.6	26.2%	2,476.5	2,200.8	12.5%	26.9%	23.3%
School of Design	37	291.9	287.0	1.7%	80.7	60.9	32.5%	372.6	347.9	7.1%	27.7%	21.2%
Divinity School	39	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	41	2,886.3	2,149.0	34.3%	735.4	609.3	20.7%	3,621.7	2,758.2	31.3%	25.5%	28.4%
JFK School of Government	56,70,71	1,736.0	1,644.1	5.6%	801.7	830.2	-3.4%	2,537.7	2,474.2	2.6%	46.2%	50.5%
Law School	57,76	40.3	9.7	317.2%	0.0	5.9	-100.0%	40.3	15.6	158.6%	0.0%	61.3%
Medical School	60,88	75,655.5	65,942.1	14.7%	35,268.4	30,098.7	17.2%	110,923.8	96,040.8	15.5%	46.6%	45.6%
School of Public Health	72	56,514.9	53,870.9	4.9%	17,665.1	16,329.4	8.2%	74,180.1	70,200.3	5.7%	31.3%	30.3%
<b>OTHER ACADEMIC DEPARTMENTS:</b>												
Arnold Arboretum	12	200.1	269.9	-25.8%	98.4	58.8	67.4%	298.5	328.6	-9.2%	49.2%	21.8%
Center for Hellenic Studies	59	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0%	0.0%
Dumbarton Oaks	61	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	45	11.4	71.9	-84.1%	3.3	20.9	-84.1%	14.7	92.8	-84.1%	29.0%	29.0%
Harvard Inst. for Int'l Development	48	9,600.7	16,480.6	-41.7%	1,740.9	2,987.9	-41.7%	11,341.5	19,468.5	-41.7%	18.1%	18.1%
Nieman Foundation	64	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	67	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0%	0.0%
Non-Departmental	42,55,65,68	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0%	0.0%
Univ. Professorships, HU Press, Memorial Church	8,30,90	0.3	0.0	0.0%	0.0	0.0	0.0%	0.3	0.0	N/A	0.0%	0.0%
<b>SERVICE DEPARTMENTS</b>												
	*	0.0	1.6	-100.0%	0.0	0.0	0.0%	0.0	1.6	-100.0%	0.0%	0.0%
<b>CENTRAL ADMINISTRATION</b>												
	**	408.1	477.8	-14.6%	120.0	146.2	-17.9%	528.1	624.0	-15.4%	29.4%	30.6%
<b>TOTAL EXPENDITURES</b>		<b>199,810.3</b>	<b>192,605.5</b>	<b>3.7%</b>	<b>78,647.2</b>	<b>71,924.4</b>	<b>9.3%</b>	<b>278,457.5</b>	<b>264,529.9</b>	<b>5.27%</b>	<b>39.4%</b>	<b>37.3%</b>

\* Service Departments: 9,16, 51,73,75,77,79,80,82,83,84,86,87,89,92,93,94,96,97,98

NOTE: Amounts exclude financial aid processed in acct range 6000-8999.

\*\* Central Administration: 10,11,14,15,36, 40, 50

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

DEPARTMENT	DEPT #	DIRECT COSTS			INDIRECT COSTS			TOTAL COSTS			FY 99 INDIRECT as % of DIRECT	FY 98 INDIRECT as % of DIRECT
		FY 99	FY 98	% Change	FY 99	FY 98	% Change	FY 99	FY 98	% Change		
<b>ACADEMIC DEPTS RECEIVING TUITION:</b>												
<b>Faculty of Arts and Sciences</b>												
Faculty of Arts & Sciences	31,33	1,408.5	1,318.3	6.8%	343.9	622.7	-44.8%	1,752.4	1,941.1	-9.7%	24.4%	47.2%
Division of Continuing Education	17,34	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 and Applied Sci.	44	2,300.4	2,530.9	-9.1%	875.9	807.8	8.4%	3,176.3	3,338.7	-4.9%	38.1%	31.9%
Organismic & Evolutionary Biology	49	120.4	125.9	-4.4%	38.5	50.3	-23.5%	158.9	176.2	-9.8%	31.9%	40.0%
Harvard Forest	52	93.9	107.4	-12.5%	75.0	50.0	50.0%	169.0	157.4	7.3%	79.9%	46.6%
Library	58	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0%	N/A
Museum of Comparative Zoology	63	65.8	0.0	N/A	23.9	0.0	N/A	89.7	0.0	N/A	36.2%	0.0%
Observatory	66	324.2	220.4	47.1%	115.1	69.0	66.7%	439.3	289.5	51.8%	35.5%	31.3%
Peabody Museum	69	50.5	3.7	1250.2%	32.3	2.4	1251.1%	82.8	6.1	1250.6%	64.0%	64.0%
Semitic Museum	74	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0%	0.0%
College Life, Athletics, Grad Dorms	78,85,91	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>4,363.8</b>	<b>4,306.6</b>	<b>1.3%</b>	<b>1,504.5</b>	<b>1,602.3</b>	<b>-6.1%</b>	<b>5,868.3</b>	<b>5,909.0</b>	<b>-0.7%</b>	<b>34.5%</b>	<b>37.2%</b>
Business School	24,81	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	35	15.1	0.0	N/A	11.0	0.0	N/A	26.0	0.0	N/A	73.0%	0.0%
School of Design	37	184.5	50.4	266.0%	77.4	9.7	698.8%	261.8	60.1	335.8%	41.9%	19.2%
Divinity School	39	0.0	0.0	0.0%	0.0	0.0	-100.0%	0.0	0.0	0.0%	0.0%	0.0%
Graduate School of Education	41	362.9	478.7	-24.2%	185.7	209.7	-11.4%	548.6	688.4	-20.3%	51.2%	43.8%
JFK School of Government	56,70,71	337.8	550.1	-38.6%	142.7	304.6	-53.1%	480.5	854.6	-43.8%	42.3%	55.4%
Law School	57,76	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0%	0.0%
Medical School	60,88	4,282.6	4,042.4	5.9%	2,670.0	2,549.1	4.7%	6,952.6	6,591.5	5.5%	62.3%	63.1%
School of Public Health	72	5,452.7	4,888.8	11.5%	2,607.1	2,215.4	17.7%	8,059.8	7,104.1	13.5%	47.8%	45.3%
<b>OTHER ACADEMIC DEPARTMENTS:</b>												
Arnold Arboretum	12	(5.9)	0.0	N/A	0.0	0.0	0.0%	(5.9)	0.0	N/A	0.0%	0.0%
Center for Hellenic Studies	59	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0%	0.0%
Dumbarton Oaks	61	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	45	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	48	3,549.0	2,289.5	55.0%	893.4	569.6	56.8%	4,442.4	2,859.1	55.4%	25.2%	24.9%
Nieman Foundation	64	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	67	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0%	0.0%
Non-Departmental	42,55,65,68	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0%	0.0%
Univ. Professorships, HU Press, Memorial Church	8,30,90	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0%	0.0%
<b>SERVICE DEPARTMENTS</b>												
	-	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0%	0.0%
<b>CENTRAL ADMINISTRATION</b>												
	**	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0%	0.0%
<b>TOTAL EXPENDITURES</b>		<b>18,542.4</b>	<b>16,606.5</b>	<b>11.7%</b>	<b>8,091.8</b>	<b>7,460.4</b>	<b>8.5%</b>	<b>26,634.2</b>	<b>24,066.9</b>	<b>10.67%</b>	<b>43.6%</b>	<b>44.9%</b>

\* Service Departments: 9,16, 51,73,75,77,79,80,82,83,84,86,87,89,92,93,94,96,97,98

NOTE: Amounts exclude financial aid processed in acct range 9000-9999K

\*\* Central Administration: 10,11,14,15,36, 40, 50

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

DEPARTMENT	DEPT #	DIRECT COSTS			INDIRECT COSTS			TOTAL COSTS			FY 99 INDIRECT as % of DIRECT	FY 98 INDIRECT as % of DIRECT
		FY 99	FY 98	% Change	FY 99	FY 98	% Change	FY 99	FY 98	% Change		
<b>ACADEMIC DEPTS RECEIVING TUITION:</b>												
<b>Faculty of Arts and Sciences</b>												
Faculty of Arts & Sciences	31,33	11,832.3	10,495.9	12.7%	500.4	365.7	36.8%	12,332.7	10,861.5	13.5%	4.2%	3.5%
Division of Continuing Education	17,34	0.5	0.0	N/A	0.0	0.0	0.0%	0.5	0.0	N/A	0.0%	N/A
Division of Engineering and Applied Sci.	44	507.8	627.9	-19.1%	100.8	70.7	42.7%	608.6	698.5	-12.9%	19.9%	11.3%
Organismic & Evolutionary Biology	49	233.6	93.1	150.9%	4.2	7.1	-41.1%	237.8	100.2	137.2%	1.8%	7.7%
Harvard Forest	52	328.7	383.3	-14.3%	0.0	0.0	0.0%	328.7	383.3	-14.3%	0.0%	0.0%
Library	58	11.4	97.5	-88.3%	0.0	0.0	0.0%	11.4	97.5	-88.3%	0.0%	0.0%
Museum of Comparative Zoology	63	10.4	25.1	-58.6%	0.0	0.0	0.0%	10.4	25.1	-58.6%	0.0%	0.0%
Observatory	66	10.0	9.9	0.8%	0.0	0.0	-100.0%	10.0	10.0	0.5%	0.0%	0.3%
Peabody Museum	69	334.4	410.6	-18.6%	45.1	42.7	5.7%	379.5	453.3	-16.3%	13.5%	10.4%
Semitic Museum	74	9.5	10.0	-4.5%	0.0	0.0	0.0%	9.5	10.0	-4.5%	0.0%	0.0%
College Life, Athletics, Grad Dorms	78,85,91	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0%	N/A
<b>Total Faculty of Arts &amp; Sciences</b>		<b>13,278.6</b>	<b>12,153.3</b>	<b>9.3%</b>	<b>650.5</b>	<b>486.2</b>	<b>33.8%</b>	<b>13,929.1</b>	<b>12,639.5</b>	<b>10.2%</b>	<b>4.9%</b>	<b>4.0%</b>
<b>Business School</b>												
Business School	24,81	66.6	226.8	-70.6%	0.0	10.5	-100.0%	66.6	237.3	-71.9%	0.0%	4.6%
School of Dental Medicine	35	560.1	658.3	-14.9%	168.6	282.6	-40.3%	728.7	941.0	-22.6%	30.1%	42.9%
School of Design	37	53.3	349.8	-84.8%	85.7	55.6	54.2%	139.0	405.3	-65.7%	160.8%	15.9%
Divinity School	39	628.4	858.6	-26.8%	55.2	85.2	-35.2%	683.6	943.9	-27.6%	0.0%	9.9%
Graduate School of Education	41	6,840.8	5,703.4	19.9%	441.1	462.9	-4.7%	7,281.9	6,166.3	18.1%	6.4%	8.1%
JFK School of Government	56,70,71	9,994.1	7,624.8	31.1%	1,251.5	943.1	32.7%	11,245.6	8,567.9	31.3%	12.5%	12.4%
Law School	57,76	1,942.4	1,299.1	49.5%	154.9	51.3	202.2%	2,097.3	1,350.4	55.3%	0.0%	3.9%
Medical School	60,88	21,676.5	18,474.8	17.3%	3,212.7	1,677.1	91.6%	24,889.2	20,152.0	23.5%	14.8%	9.1%
School of Public Health	72	19,219.4	16,718.9	15.0%	3,823.9	3,230.0	18.4%	23,043.3	19,949.0	15.5%	19.9%	19.3%
<b>OTHER ACADEMIC DEPARTMENTS:</b>												
Arnold Arboretum	12	0.0	109.2	-100.0%	0.0	23.2	-99.9%	0.0	132.5	-100.0%	0.0%	21.2%
Center for Hellenic Studies	59	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0	0.0	0.0%	0.0%	0.0%
Dumbarton Oaks	61	12.2	15.0	-18.8%	0.0	0.0	0.0%	12.2	15.0	-18.8%	0.0%	0.0%
Fogg and Sackler Art Museums	45	80.5	156.8	-48.7%	10.7	10.2	5.0%	91.2	167.0	-45.4%	0.0%	6.5%
Harvard Inst. for Int'l Development	48	8,954.0	10,527.9	-14.9%	2,214.6	2,531.0	-12.5%	11,168.6	13,058.8	-14.5%	24.7%	24.0%
Nieman Foundation	64	39.0	108.6	-64.1%	0.0	0.0	0.0%	39.0	108.6	-64.1%	0.0%	0.0%
Villa I Tatti	67	137.5	100.2	37.3%	0.0	0.0	0.0%	137.5	100.2	37.3%	0.0%	0.0%
Non-Departmental	42,55,65,68	679.2	546.3	24.3%	50.0	33.6	48.7%	729.2	580.0	25.7%	0.0%	6.2%
Univ. Professorships, HU Press, Memorial Church	8,30,90	0.0	0.0	0.0%	0.0	0.0	0.0%	66.6	0.0	0.0%	0.0%	0.0%
<b>SERVICE DEPARTMENTS</b>												
	*	416.0	284.6	46.2%	59.9	49.2	21.8%	475.9	333.8	42.6%	0.0%	17.3%
<b>CENTRAL ADMINISTRATION</b>												
	**	0.0	1.7	-100.0%	0.0	0.0	0.0%	66.6	1.7	-100.0%	0.0%	0.0%
<b>TOTAL EXPENDITURES</b>		<b>84,578.5</b>	<b>75,918.2</b>	<b>11.4%</b>	<b>12,179.3</b>	<b>9,931.7</b>	<b>22.6%</b>	<b>96,757.8</b>	<b>85,849.9</b>	<b>12.71%</b>	<b>14.4%</b>	<b>13.1%</b>

\* Service Departments: 9,16,51,73,75,77,79,80,82,83,84,86,87,89,92,93,94,96,97,98

NOTE: Amounts exclude financial aid processed in acct range 9000-9999H

\*\* Central Administration : 10,11,14,15,36,40,50

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# Proposals and Obligations

## XXV. Proposals and Obligations

OSR and Sponsored Programs Administration at Harvard Medical School processed a total of 2,751 competing and non-competing proposals in FY99, a 3.5% increase from FY98 levels. The proposal dollar level was 9% greater than FY98. FY99 obligations also experienced growth --- the total number of obligations grew by 2.2%, while the dollar amount of obligations (including new awards and dollar modifications to existing awards) grew by 8.2%.

History suggests that total obligation dollars can be a sound predictor of total sponsored expenditures for the prospective year, if this proves correct in FY00, we can expect sponsored expenditures to be around \$428 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>95</b>	753.1	( 7.6%)	2,748	28.6%
<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>	<b>1047.7</b>	<b>9.0%</b>	<b>2,751</b>	<b>3.5%</b>

<b>Fiscal Year</b>	<b>Obligations (in \$ millions)</b>	<b>% change</b>	<b>Obligations (number of)</b>	<b>% change</b>
<b>95</b>	384.3	16.6%	2,682	29.5%
<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>	<b>428.3</b>	<b>8.2%</b>	<b>3,244</b>	<b>2.2%</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

DEPARTMENT	TOTAL PROPOSALS (in \$ thousands)					NUMBER OF PROPOSALS					
	FEDERAL (includes Fed. Sub-Awards)	NON-FEDERAL	TOTAL FY 99	TOTAL FY 98	% Change	NUMBER OF FEDERAL	NUMBER OF NON- FEDERAL	TOTAL FY 99	TOTAL FY 98	% Change	
<b>ACADEMIC DEPTS RECEIVING TUITION:</b>											
<b>Faculty of Arts and Sciences</b>											
Faculty of Arts & Sciences	31,33	85,961	40,511	126,472	142,913	-11.5%	236	277	513	534	-3.9%
Division of Continuing Education	17,34	0	0	0	0	N/A	0	0	0	1	-100.0%
Division of Engineering & Applied Sci.	44	24,394	22,829	47,224	49,353	-4.3%	99	70	169	187	-9.6%
Organismic & Evolutionary Biology	49	14,781	464	15,245	11,430	33.4%	34	9	43	47	-8.5%
Harvard Forest	52	791	796	1,587	2,023	-21.5%	7	4	11	14	-21.4%
Library	58	0	100	100	30	233.3%	0	1	1	1	0.0%
Museum of Comparative Zoology	63	390	65	455	1,019	-55.3%	7	3	10	15	-33.3%
Observatory	66	11,010	873	11,882	16,411	-27.6%	54	15	69	78	-11.5%
Peabody Museum	69	411	877	1,288	2,126	-39.4%	11	15	26	33	-21.2%
Semitic Museum	74	0	0	0	0	N/A	0	0	0	0	N/A
College Life, Athletics, Grad Dorms	78,85,91	5	0	5	0	N/A	1	0	1	0	N/A
<b>Total Faculty of Arts &amp; Sciences</b>		<b>137,743</b>	<b>66,515</b>	<b>204,258</b>	<b>225,304</b>	<b>-9.3%</b>	<b>449</b>	<b>394</b>	<b>843</b>	<b>910</b>	<b>-7.4%</b>
<b>Business School</b>	24,81	0	75	75	150	-50.0%	0	1	1	1	0.0%
School of Dental Medicine	35	28,115	1,459	29,574	17,081	73.1%	39	12	51	34	50.0%
School of Design	37	219	581	800	1,644	-51.3%	6	9	15	20	-25.0%
Divinity School	39	0	650	650	1,201	-45.8%	0	7	7	7	0.0%
Graduate School of Education	41	5,488	10,572	16,061	12,854	24.9%	10	93	103	83	24.1%
JFK School of Government	56,70,71	10,952	15,275	26,228	28,781	-8.9%	38	106	144	139	3.6%
Law School	57,76	990	10,186	11,176	2,608	328.4%	2	17	19	12	58.3%
Medical School	60,88	329,157	94,743	423,899	359,495	17.9%	593	387	980	795	23.3%
School of Public Health	72	128,814	154,575	283,389	254,361	11.4%	181	347	528	567	-6.9%
<b>OTHER ACADEMIC DEPARTMENTS:</b>											
Arnold Arboretum	12	34	0	34	256	-86.9%	3	0	3	2	50.0%
Center for Hellenic Studies	59	0	0	0	0	N/A	0	0	0	0	N/A
Dumbarton Oaks	61	0	0	0	0	N/A	0	1	1	0	N/A
Fogg and Sackler Art Museums	45	225	0	225	500	-55.0%	2	0	2	11	-81.8%
Harvard Inst. for Int'l Development	48	22,265	26,845	49,111	54,799	-10.4%	4	34	38	55	-30.9%
Nieman Foundation	64	0	30	30	78	-61.5%	0	2	2	4	-50.0%
Villa I Tatti	67	0	0	0	0	N/A	0	0	0	0	N/A
<b>SERVICE DEPARTMENTS</b>	*	0	38	38	849	-95.6%	0	0	3	5	-40.0%
<b>OTHER DEPARTMENTS</b>	**	940	1,199	2,139	1,536	39.2%	2	9	11	14	-21.4%
<b>TOTAL PROPOSALS</b>		<b>664,942</b>	<b>382,743</b>	<b>1,047,685</b>	<b>961,497</b>	<b>9.0%</b>	<b>1,329</b>	<b>1,419</b>	<b>2,751</b>	<b>2,659</b>	<b>3.5%</b>

\* Service Departments: 9,16, 51,73,75,77,79,80,82,83, 84,86,87,89,92,93,94,96,97,98

\*\* Other Departments: 38, 50, 65

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

DEPARTMENT	TOTAL OBLIGATION (in \$ thousands)					NUMBER OF OBLIGATIONS					
	OBLIGATIONS (includes Fed. Sub-Awards)	NON-FEDERAL	TOTAL FY 99	TOTAL FY 98	% Change	NUMBER OF FEDERAL	NUMBER OF NON- FEDERAL	TOTAL FY 99	TOTAL FY 98	% Change	
<b>ACADEMIC DEPTS RECEIVING TUITION:</b>											
<b>Faculty of Arts and Sciences</b>											
Faculty of Arts & Sciences	31,33	51,323	11,766	63,089	54,018	16.8%	391	235	626	615	1.8%
Division of Continuing Education	17,34	0	0	0	0	0.0%	0	0	0	0	0.0%
Division of Engineering & Applied Sci.	44	19,301	1,548	20,849	20,841	0.0%	175	19	194	169	14.8%
Organismic & Evolutionary Biology	49	3,089	687	3,777	2,404	57.1%	53	6	59	52	13.5%
Harvard Forest	52	1,091	624	1,715	1,700	0.9%	7	3	10	15	-33.3%
Library	58	0	0	0	0	0.0%	0	1	1	4	-75.0%
Museum of Comparative Zoology	63	462	(15)	446	952	-53.1%	12	2	14	19	-26.3%
Observatory	66	3,456	45	3,501	4,679	-25.2%	88	2	90	79	13.9%
Peabody Museum	69	479	107	585	661	-11.4%	18	6	24	27	-11.1%
Semitic Museum	74	0	10	10	12	-16.7%	0	1	1	2	-50.0%
College Life, Athletics, Grad Dorms	78,85,91	5	0	5	0	N/A	1	0	1	0	N/A
<b>Total Faculty of Arts &amp; Sciences</b>		<b>79,205</b>	<b>14,771</b>	<b>93,977</b>	<b>85,267</b>	<b>10.2%</b>	<b>745</b>	<b>275</b>	<b>1,020</b>	<b>982</b>	<b>3.9%</b>
Business School	24,81	0	75	75	150	-50.0%	0	1	1	1	0.0%
School of Dental Medicine	35	3,790	489	4,279	3,739	14.4%	27	13	40	36	11.1%
School of Design	37	985	181	1,166	592	96.9%	15	10	25	17	47.1%
Divinity School	39	0	370	370	1,521	-75.7%	0	13	13	14	-7.1%
Graduate School of Education	41	3,371	5,769	9,140	11,553	-20.9%	18	95	113	137	-17.5%
JFK School of Government	56,70,71	3,191	17,310	20,501	13,605	50.7%	48	120	168	150	12.0%
Law School	57,76	40	1,597	1,637	652	151.0%	2	24	26	20	30.0%
Medical School	60,88	128,614	32,350	160,964	137,959	16.7%	630	382	1,012	936	8.1%
School of Public Health	72	91,867	14,903	106,770	111,123	-3.9%	429	237	666	697	-4.4%
<b>OTHER ACADEMIC DEPARTMENTS:</b>											
Arnold Arboretum	12	0	(612)	(612)	0	N/A	2	1	3	0	N/A
Center for Hellenic Studies	59	0	0	0	0	0.0%	0	0	0	0	0.0%
Dumbarton Oaks	61	0	0	0	6	-100.0%	0	3	3	2	50.0%
Fogg and Sackler Art Museums	45	131	65	196	283	-30.7%	5	4	9	11	-18.2%
Harvard Inst. for Int'l Development	48	13,308	14,483	27,791	26,191	6.1%	63	55	118	140	-15.7%
Nieman Foundation	64	0	30	30	113	-73.4%	0	2	2	5	-60.0%
Villa I Tatti	67	0	0	0	0	0.0%	0	1	1	1	0.0%
<b>SERVICE DEPARTMENTS</b>	*	<b>0</b>	<b>566</b>	<b>566</b>	<b>574</b>	<b>-1.3%</b>	<b>0</b>	<b>7</b>	<b>7</b>	<b>4</b>	<b>75.0%</b>
<b>OTHER DEPARTMENTS</b>	**	<b>1,034</b>	<b>393</b>	<b>1,427</b>	<b>2,329</b>	<b>-38.7%</b>	<b>3</b>	<b>14</b>	<b>17</b>	<b>22</b>	<b>-22.7%</b>
<b>TOTAL OBLIGATIONS</b>		<b>325,536</b>	<b>102,740</b>	<b>428,276</b>	<b>395,656</b>	<b>8.2%</b>	<b>1,987</b>	<b>1,257</b>	<b>3,244</b>	<b>3,175</b>	<b>2.2%</b>

\* Service Departments: 9,16, 51,73,75,77,79,80,82,83, 84,86,87,89,92,93,94,96,97,98

\*\* Other Departments: 38, 50, 65

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