Harvard University
Reports on Federal Awards in Accordance with
OMB Circular A-133
June 30, 2009
EIN 042103580
Part I - Financial Statements

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Part I

Financial Statements
To the Board of Overseers of Harvard College

In our opinion, the accompanying balance sheet and the related statements of changes in net assets with general operating account detail, changes in net assets of the endowment, and cash flows, present fairly, in all material respects, the financial position of Harvard University (the "University") at June 30, 2009, and the changes in its net assets of the General Operating Account and endowment funds and its cash flows for the year then ended, in conformity with accounting principles generally accepted in the United States of America. These financial statements are the responsibility of the University's management. Our responsibility is to express an opinion on these financial statements based on our audit. The prior year summarized comparative information has been derived from the University's fiscal 2008 financial statements, and in our report dated October 5, 2008, we expressed an unqualified opinion on those financial statements. We conducted our audit of these statements in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in Government Auditing Standards, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements, assessing the accounting principles used and significant estimates made by management, and evaluating the overall financial statement presentation. We believe that our audit provides a reasonable basis for our opinion.

Effective July 1, 2008, the University changed the manner in which it evaluates the fair value of financial instruments.

In accordance with Government Auditing Standards, we have also issued our report dated October 4, 2009, on our consideration of the University's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts and grant agreements and other matters for the year ended June 30, 2009. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on the internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with Government Auditing Standards and should be considered in assessing the results of our audit.
Our audit was conducted for the purpose of forming an opinion on the basic financial statements taken as a whole. The accompanying Schedule of Expenditures of Federal Awards for the year ended June 30, 2009 is presented for purposes of additional analysis as required by U.S. Office of Management and Budget Circular A-133, *Audits of States, Local Governments, and Non-Profit Organizations*, and is not a required part of the basic financial statements. Such information has been subjected to the auditing procedures applied in the audit of the basic financial statements and, in our opinion, is fairly stated, in all material respects, in relation to the basic financial statements taken as a whole.

October 4, 2009
**BALANCE SHEETS**

*with summarized financial information as of June 30, 2008*

*In thousands of dollars*

<table>
<thead>
<tr>
<th></th>
<th>June 30 2009</th>
<th>June 30 2008</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>ASSETS:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Cash</td>
<td>$34,182</td>
<td>$27,307</td>
</tr>
<tr>
<td>Receivables, net</td>
<td>178,730</td>
<td>249,359</td>
</tr>
<tr>
<td>Prepayments and</td>
<td>151,197</td>
<td>121,834</td>
</tr>
<tr>
<td>deferred charges</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Notes receivable</td>
<td>357,445</td>
<td>336,085</td>
</tr>
<tr>
<td>Fixed assets, net</td>
<td>5,393,464</td>
<td>4,951,329</td>
</tr>
<tr>
<td>Net retirement</td>
<td></td>
<td></td>
</tr>
<tr>
<td>assets (Note 12)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Interests in</td>
<td></td>
<td></td>
</tr>
<tr>
<td>trusts held by</td>
<td></td>
<td></td>
</tr>
<tr>
<td>others (Notes 4,</td>
<td></td>
<td></td>
</tr>
<tr>
<td>9 and 13)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Investment</td>
<td></td>
<td></td>
</tr>
<tr>
<td>portfolio, at</td>
<td></td>
<td></td>
</tr>
<tr>
<td>fair value (Notes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3 and 4)</td>
<td>34,759,859</td>
<td>51,084,894</td>
</tr>
<tr>
<td>Fair value of</td>
<td></td>
<td></td>
</tr>
<tr>
<td>securities</td>
<td></td>
<td></td>
</tr>
<tr>
<td>pledged to</td>
<td></td>
<td></td>
</tr>
<tr>
<td>counterparties</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(Notes 3 and 4)</td>
<td>3,067,027</td>
<td>6,398,168</td>
</tr>
<tr>
<td><strong>TOTAL ASSETS</strong></td>
<td>$45,003,765</td>
<td>$64,431,005</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>LIABILITIES:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Accounts payable</td>
<td>350,212</td>
<td>413,674</td>
</tr>
<tr>
<td>Deposits and</td>
<td>679,619</td>
<td>509,873</td>
</tr>
<tr>
<td>other liabilities</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Securities lending</td>
<td>6,346,554</td>
<td>13,678,751</td>
</tr>
<tr>
<td>and other</td>
<td></td>
<td></td>
</tr>
<tr>
<td>liabilities</td>
<td></td>
<td></td>
</tr>
<tr>
<td>associated with</td>
<td></td>
<td></td>
</tr>
<tr>
<td>the investment</td>
<td></td>
<td></td>
</tr>
<tr>
<td>portfolio (Notes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3, 4 and 11)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Liabilities due</td>
<td>696,987</td>
<td>908,259</td>
</tr>
<tr>
<td>under split</td>
<td></td>
<td></td>
</tr>
<tr>
<td>interest agreements</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(Note 10)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Bonds and notes</td>
<td>5,980,451</td>
<td>4,089,912</td>
</tr>
<tr>
<td>payable (Note 11)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Accrued retirement</td>
<td>740,116</td>
<td>607,427</td>
</tr>
<tr>
<td>obligations (Note</td>
<td></td>
<td></td>
</tr>
<tr>
<td>12)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Government loan</td>
<td>69,540</td>
<td>58,902</td>
</tr>
<tr>
<td>advances (Note 6)</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>TOTAL LIABILITIES</strong></td>
<td>$14,863,479</td>
<td>$20,266,798</td>
</tr>
<tr>
<td><strong>NET ASSETS</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>$45,003,765</td>
<td>$64,431,005</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>TOTAL LIABILITIES AND NET ASSETS</strong></td>
<td>$45,003,765</td>
<td>$64,431,005</td>
</tr>
</tbody>
</table>

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

In thousands of dollars

| Operating Revenue: |
|-------------------|-------------------|-------------------|
| Student income:   | Unrestricted      | Temporarily       |
|                   |                   | restricted        |
| Undergraduate     | $ 240,139         | $ 240,139         |
| programs          |                   | $ 232,070         |
| Graduate programs | 371,826           | 371,826           |
| Board and lodging | 141,084           | 141,084           |
| Continuing        | 227,673           | 227,673           |
| education and     |                   | 213,919           |
| executive programs|                   |                   |
| Scholarships      | (302,369)         | (302,369)         |
| applied to student income (Note 14) | | (252,126) |
| Total student     | 678,353           | 681,995           |
| sponsored support | 623,533           | 623,533           |
| Gifts for current use (Note 16) | 140,061 | 151,170 |
| Investment income: |
| Endowment income made available for operations (Note 9) | 250,066 | 1,192,458 |
| Income on GOA investments made available for operations | 157,029 | 31,490 |
| Interest earned on student, faculty, and staff loans | 7,443 | 7,443 |
| Total investment income | 414,538 | 1,223,948 |
| Other income (Note 17) | 505,856 | 510,887 |
| Net assets released from restrictions | 1,374,714 | (1,374,714) |
| Total operating revenue | 3,737,055 | 90,509 |

Operating expenses:

| Salaries and wages | 1,384,626 | 1,384,626 |
| Employee benefits (Note 12) | 456,109 | 362,067 |
| Scholarships and other student awards (Note 14) | 122,479 | 110,332 |
| Supplies and equipment | 224,404 | 235,031 |
| Space and occupancy (Note 11) | 445,071 | 411,095 |
| Depreciation (Note 8) | 288,450 | 246,654 |
| Other expenses (Notes 11 and 18) | 834,932 | 800,910 |
| Total operating expenses | 3,756,071 | 3,446,893 |

Net revenue/(deficit):

| (19,016) | 90,509 | 71,493 |

Other provisions and credits:

| Change in appreciation on GOA investments, net (Note 11) | (2,819,425) | 68,961 |
| Change in undistributed general investment income | (60,902) | (231,663) |
| Other changes (Note 12) | (338,363) | (29,299) |
| Total other provisions and credits | (3,218,690) | (3,25,134) |

Capital changes:

| Change in pledge balances (Note 7) | 154,470 | 8,260 |
| Change in interests in trusts held by others (Note 13) | (7,794) | 15,761 |
| Capital gifts for loan funds and facilities (Note 16) | 2,355 | 4,865 |
| Transfers between the GOA and endowment (Note 9) | 220,339 | 258,766 |
| Transfers between the GOA and split interest agreements (Note 10) | 34,148 | 14,071 |
| Non-operating net assets released from restrictions | 63,658 | 713,638 |
| Total capital changes | 283,997 | 311,018 |

General operating account net change during the year:

| (2,953,709) | 58,092 |
| (1,889,978) | 90,509 |
| (124,646) | 116,061 |
| (4,843,687) | 15,785 |
| 11,508,541 | 5,178,705 |
| 11,508,541 | 5,178,705 |
| 5,162,920 | 44,164,207 |
| 30,140,286 | 44,164,207 |

Net assets, end of year:

| $ 6,664,854 | $ 18,312,512 | $ 1,162,920 | $ 30,140,286 | $ 44,164,207 |
## Statements of Changes in Net Assets of the Endowment

*with summarized financial information for the year ended June 30, 2008*

<table>
<thead>
<tr>
<th>In thousands of dollars</th>
<th>Unrestricted</th>
<th>Temporarily restricted</th>
<th>Permanently restricted</th>
<th>For the year ended June 30</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Investment return (Note 3):</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Income from general investments</td>
<td>$18,912</td>
<td>$88,639</td>
<td>$107,551</td>
<td>$248,133</td>
</tr>
<tr>
<td>Change in realized and unrealized appreciation</td>
<td>(1,583,048)</td>
<td>(8,115,528)</td>
<td>(9,698,576)</td>
<td>2,632,842</td>
</tr>
<tr>
<td>Total investment return</td>
<td>(1,564,136)</td>
<td>(8,026,889)</td>
<td>(9,591,025)</td>
<td>2,880,975</td>
</tr>
<tr>
<td><strong>Endowment income made available for operations</strong></td>
<td>(250,066)</td>
<td>(1,192,458)</td>
<td>(1,442,524)</td>
<td>(1,201,307)</td>
</tr>
<tr>
<td><strong>Change in undistributed general investment income</strong></td>
<td>24,047</td>
<td>121,236</td>
<td>145,283</td>
<td>202,045</td>
</tr>
<tr>
<td>Net investment return after distributions</td>
<td>(1,790,155)</td>
<td>(9,098,111)</td>
<td>(10,888,266)</td>
<td>1,881,713</td>
</tr>
<tr>
<td><strong>Gifts for capital (Note 16)</strong></td>
<td>8,895</td>
<td>26,948</td>
<td>158,616</td>
<td>194,459</td>
</tr>
<tr>
<td>Transfers between endowment and the GOA (Note 9)</td>
<td>(220,339)</td>
<td>44,202</td>
<td>(176,137)</td>
<td>(268,061)</td>
</tr>
<tr>
<td>Capitalization of split interest agreements (Note 10)</td>
<td>36,598</td>
<td>10,512</td>
<td>47,110</td>
<td>23,843</td>
</tr>
<tr>
<td>Change in pledge balances (Note 7)</td>
<td>(11,266)</td>
<td>14,191</td>
<td>2,925</td>
<td>93,247</td>
</tr>
<tr>
<td>Change in interests in trusts held by others (Note 9)</td>
<td>(7,549)</td>
<td>(50,076)</td>
<td>(57,625)</td>
<td>(32,065)</td>
</tr>
<tr>
<td>Other changes</td>
<td>(604)</td>
<td>(20,722)</td>
<td>(13,770)</td>
<td>(20,111)</td>
</tr>
<tr>
<td>Net assets released from restrictions</td>
<td>112,225</td>
<td>(67,995)</td>
<td>(44,230)</td>
<td>0</td>
</tr>
<tr>
<td><strong>NET CHANGE DURING THE YEAR</strong></td>
<td>(1,889,978)</td>
<td>(9,097,895)</td>
<td>96,569</td>
<td>(10,891,304)</td>
</tr>
<tr>
<td>Net assets of the endowment, beginning of year</td>
<td>6,140,748</td>
<td>26,169,820</td>
<td>4,616,125</td>
<td>36,926,693</td>
</tr>
<tr>
<td><strong>NET ASSETS OF THE ENDOWMENT, end of year</strong></td>
<td>4,250,770</td>
<td>17,071,925</td>
<td>4,712,694</td>
<td>36,926,693</td>
</tr>
</tbody>
</table>

The accompanying notes are an integral part of the financial statements.
# Statements of Cash Flows

For the year ended June 30

<table>
<thead>
<tr>
<th>In thousands of dollars</th>
<th>2009</th>
<th>2008</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Cash Flows from Operating Activities:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Change in net assets</td>
<td>$(14,023,921)</td>
<td>$ 2,171,819</td>
</tr>
<tr>
<td>Adjustments to reconcile change in net assets to net cash provided by/(used in) operating activities:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Depreciation</td>
<td>288,450</td>
<td>246,654</td>
</tr>
<tr>
<td>Change in fair value of interest rate exchange agreements</td>
<td>347,769</td>
<td>317,084</td>
</tr>
<tr>
<td>Change in interests in trusts held by others</td>
<td>65,419</td>
<td>16,304</td>
</tr>
<tr>
<td>Change in liabilities due under split interest agreements</td>
<td>(211,272)</td>
<td>1,678</td>
</tr>
<tr>
<td>Realized and unrealized loss/(gain) on investments, net</td>
<td>11,978,540</td>
<td>(3,170,532)</td>
</tr>
<tr>
<td>Gifts of securities</td>
<td>(48,134)</td>
<td>(93,636)</td>
</tr>
<tr>
<td>Gifts restricted for capital purposes</td>
<td>(187,174)</td>
<td>(274,874)</td>
</tr>
<tr>
<td>Changes in operating assets and liabilities:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Receivables, net</td>
<td>70,629</td>
<td>(41,360)</td>
</tr>
<tr>
<td>Prepayments and deferred charges</td>
<td>(29,363)</td>
<td>(23,116)</td>
</tr>
<tr>
<td>Decrease in net retirement assets</td>
<td>293,560</td>
<td>9,722</td>
</tr>
<tr>
<td>Increase in accrued retirement obligations</td>
<td>132,689</td>
<td>61,729</td>
</tr>
<tr>
<td>Pledges receivable, net</td>
<td>(158,811)</td>
<td>(101,507)</td>
</tr>
<tr>
<td>Accounts payable</td>
<td>(40,006)</td>
<td>43,269</td>
</tr>
<tr>
<td>Deposits and other liabilities</td>
<td>104,846</td>
<td>31,402</td>
</tr>
<tr>
<td><strong>Net Cash Provided by/(Used in) Operating Activities</strong></td>
<td>$(1,416,779)</td>
<td>$(805,364)</td>
</tr>
<tr>
<td><strong>Cash Flows from Investing Activities:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Loans made to students, faculty, and staff</td>
<td>(56,596)</td>
<td>(56,515)</td>
</tr>
<tr>
<td>Payments received on student, faculty, and staff loans</td>
<td>35,211</td>
<td>28,657</td>
</tr>
<tr>
<td>Change in other notes receivable</td>
<td>25</td>
<td>(584)</td>
</tr>
<tr>
<td>Proceeds from the sales of gifts of securities</td>
<td>48,134</td>
<td>93,636</td>
</tr>
<tr>
<td>Proceeds from the sales and maturities of investments</td>
<td>68,393,833</td>
<td>72,683,691</td>
</tr>
<tr>
<td>Purchases of investments</td>
<td>(66,557,720)</td>
<td>(71,950,544)</td>
</tr>
<tr>
<td>Additions to fixed assets</td>
<td>(601,165)</td>
<td>(680,224)</td>
</tr>
<tr>
<td><strong>Net Cash Provided by/(Used in) Investing Activities</strong></td>
<td>1,181,722</td>
<td>118,117</td>
</tr>
<tr>
<td><strong>Cash Flows from Financing Activities:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Change in overdrafts included in accounts payable</td>
<td>(7,976)</td>
<td>6,312</td>
</tr>
<tr>
<td>Proceeds from the issuance of debt</td>
<td>3,464,067</td>
<td>1,737,010</td>
</tr>
<tr>
<td>Debt repayments</td>
<td>(1,573,528)</td>
<td>(1,494,076)</td>
</tr>
<tr>
<td>Gifts restricted for capital purposes</td>
<td>187,174</td>
<td>274,874</td>
</tr>
<tr>
<td>Change associated with securities lending agreements</td>
<td>(1,838,443)</td>
<td>148,878</td>
</tr>
<tr>
<td>Increase in government loan advances</td>
<td>10,638</td>
<td>1,756</td>
</tr>
<tr>
<td><strong>Net Cash Provided by/(Used in) Financing Activities</strong></td>
<td>241,932</td>
<td>674,754</td>
</tr>
<tr>
<td><strong>Net Change in Cash</strong></td>
<td>6,875</td>
<td>(12,493)</td>
</tr>
<tr>
<td>Cash, beginning of year</td>
<td>27,307</td>
<td>39,800</td>
</tr>
<tr>
<td>Cash, end of year</td>
<td>$ 34,182</td>
<td>$ 27,307</td>
</tr>
</tbody>
</table>

Supplemental disclosure of cash flow information:

- Change in accounts payable related to fixed asset additions | $ (15,480) | $ (6,403) |
- Non-cash additions to fixed assets related to capital leases | 64,900 |
- Cash paid for interest | 148,488 |

The accompanying notes are an integral part of the financial statements.
1. UNIVERSITY ORGANIZATION

Harvard University (the “University”) is a private, not-for-profit institution of higher education with approximately 7,160 undergraduate and 13,070 graduate students. Established in 1636, the University includes the Faculty of Arts and Sciences, the School of Engineering and Applied Sciences, the Division of Continuing Education, ten graduate and professional Schools, the Radcliffe Institute for Advanced Study, a variety of research museums and institutes, and an extensive library system to support the teaching and research activities of the Harvard community. The President and Fellows of Harvard College (the “Corporation”), a governing board of the University, has oversight responsibility for all of the University’s financial affairs. The Corporation delegates substantial authority to the Schools and departments for the management of their resources and operations.

The University includes Harvard Management Company (HMC), a wholly owned subsidiary founded in 1974 to manage the University’s investment assets. HMC is governed by a Board of Directors that is appointed by the Corporation.

2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Basis of presentation
The consolidated financial statements present the activities of Harvard University as a whole, including significant affiliated organizations controlled by the University.

The financial statements include certain prior year summarized comparative information in total, not by net asset classification. This information is not presented in sufficient detail to conform with generally accepted accounting principles. Accordingly, such information should be read in conjunction with the University’s financial statements for the year ended June 30, 2008, from which the summarized information is derived. Certain prior year amounts have been reclassified to conform to current year presentation.

Funds transferred to the University on behalf of specific beneficiaries (agency funds) are recorded as assets and liabilities in the Balance Sheets and are not included in the Statements of Changes in Net Assets.

Net asset classifications
For the purposes of financial reporting, the University classifies resources into three net asset categories pursuant to any donor-imposed restrictions and applicable law. Accordingly, the net assets of the University are classified in the accompanying financial statements in the categories that follow:

TEMPORARILY RESTRICTED net assets are subject to legal or donor-imposed stipulations that will be satisfied either by actions of the University, the passage of time, or both. These net assets include gifts donated for a particular purpose, amounts subject to time restrictions such as funds pledged for future payment, or amounts subject to legal restrictions such as portions of otherwise unrestricted capital appreciation and income, which must be reported as temporarily restricted net assets until appropriated for spending in accordance with Massachusetts law.

PERMANENTLY RESTRICTED net assets are subject to donor-imposed stipulations that they be invested to provide a perpetual source of income to the University. Generally, donors of these assets require the University to maintain and invest the original contribution in perpetuity, but permit the use of some or all investment earnings for general or specific purposes.

Revenues from sources other than contributions are generally reported as increases in unrestricted net assets. Expenses are reported as decreases in unrestricted net assets. Income earned by restricted donor funds is initially classified as temporarily restricted net assets and is reclassified as unrestricted net assets when expenses are incurred for their intended purpose.

Unconditional pledges are reported as increases in the appropriate categories of net assets in accordance with donor restrictions. Gains and losses on investments are reported as increases or decreases in unrestricted net assets, unless their use is restricted by donor stipulations or by law. Expirations of temporary restrictions on net assets are reported as reclassifications from temporarily restricted to unrestricted net assets and appear as “Net assets released from restrictions” and “Non-operating net assets released from restrictions” in the Statements of Changes in Net Assets.
Net revenue/(deficit)
Revenues earned, expenses incurred, and income made available for operations for the purpose of teaching, conducting research, and the other programs and services of the University are the components of “Net revenue/(deficit)” in the Statements of Changes in Net Assets with General Operating Account Detail. Net revenue/(deficit) is the measure of the University’s operating result.

Collections
The University’s vast array of museums and libraries houses priceless works of art, historical treasures, literary works, and artifacts. These collections are protected and preserved for public exhibition, education, research, and the furtherance of public service. They are neither disposed of for financial gain nor encumbered in any manner. Accordingly, such collections are not recorded for financial statement purposes.

Insurance programs
The University, together with the Harvard-affiliated teaching hospitals, has formed a captive insurance company, Controlled Risk Insurance Company (CRICO), to provide limited professional liability, general liability, and medical malpractice insurance for its shareholders. The University self insures a portion of its professional liability and general liability programs and maintains a reserve for liability claims. CRICO provides medical malpractice coverage with no deductible for Harvard University Health Services, the Harvard School of Dental Medicine, and the Harvard School of Public Health. The University also maintains self-insurance programs and reserves for claims for automobile liability, property, and workers’ compensation; these programs are supplemented with commercial excess insurance above the University’s self-insured limit. In addition, the University is self insured for unemployment, the primary senior health plan, and all health and dental plans for active employees. The University’s claims liabilities are recognized as incurred, including claims that have been incurred but not reported, and are included in operating expenses.

Tax-exempt status
The University is a tax-exempt organization under Section 501(c)(3) of the Internal Revenue Code.

Use of estimates
The preparation of financial statements in accordance with generally accepted accounting principles requires management to make estimates and assumptions that affect reported amounts and disclosures. Actual results could differ from those estimates.

New accounting pronouncements
Effective July 1, 2008, the University adopted Financial Accounting Standards Board (FASB) Statement of Financial Accounting Standards No. 157, Fair Value Measurements (FAS 157). FAS 157 defines fair value, establishes a framework for measuring fair value under generally accepted accounting principles, and enhances disclosures regarding fair value measurements. FAS 157 defines fair value as the price that would be received to sell an asset or paid to transfer a liability (an exit price) on the measurement date, in the principal or most advantageous market for the asset or liability, and in an orderly transaction between market participants. The effect of adopting FAS 157 is further discussed in Notes 3 and 4.

The FASB issued Staff Position No. FAS 157-3, Determining the Fair Value of a Financial Asset When the Market for That Asset is Not Active (FSP FAS 157-3). FSP FAS 157-3 clarifies that determining fair value in an inactive or dislocated market depends on facts and circumstances and requires significant management judgment. Specifically, this statement specifies that it is acceptable to use inputs based on management estimates or assumptions, or for management to make adjustments to observable inputs to determine fair value when markets are not active and relevant observable inputs are not available. The University’s valuation policy is consistent with the guidance in FSP FAS No. 157-3.

The FASB issued Staff Position No. FAS 157-4, Determining Fair Value When the Volume and Level of Activity for the Asset or Liability Have Significantly Decreased and Identifying Transactions That Are Not Ordinarily (FSP FAS 157-4). FSP FAS 157-4 provides additional guidance for estimating fair value when the volume and level of activity for the asset or liability have significantly decreased. Specifically, it emphasizes that even if there has been a significant decrease in the volume and level of activity for the asset or liability and regardless of the valuation technique(s) used, a fair value measurement assumes that the asset or liability is exchanged in an orderly transaction (that is, not a forced liquidation or distressed sale) between market participants at the measurement date. The University’s valuation policy is consistent with the guidance in FSP FAS No. 157-4.

The FASB issued Staff Position No. FAS 133-1 and FIN 45-4, Disclosures about Credit Derivatives and Certain Guarantees: An Amendment of FASB Statement No. 133 and FASB Interpretation No. 45; and Clarification of the Effective Date of FASB No. 161 (FSP FAS 133-1). FSP FAS 133-1 amends FASB Statement No. 133, Accounting for Derivative Instruments and Hedging Activities, to require disclosures by sellers of credit derivatives that address the potential adverse effects of changes in credit risk on the financial position, financial performance and cash flows of the sellers of credit derivatives. The effect of adopting FASB Statement of Financial Accounting Standards No. 159, The Fair Value Option for Financial Assets and Financial Liabilities—including an amendment of FASB Statement No. 115 (FAS 159), FAS 159
provides entities with the option to report selected financial assets and liabilities at fair value and establishes presentation and disclosure requirements designed to facilitate comparisons between entities that choose different fair value measurement attributes for similar types of assets and liabilities. The University did not elect to account for any assets or liabilities under FAS 159 and therefore FAS 159 did not have any impact on the financial statements.

The FASB issued Staff Position No. FAS 117-1, *Endowments of Not-for-Profit Organizations: Net Asset Classification of Funds Subject to an Enacted Version of the Uniform Prudent Management of Institutional Funds Act, and Enhanced Disclosures for All Endowment Funds* (FSP FAS 117-1). FSP FAS 117-1 provides guidance on the net asset classification of donor-restricted endowment funds for a not-for-profit organization that is subject to an enacted version of the Uniform Prudent Management of Institutional Funds Act of 2006 (UPMIFA). This FSP also requires additional disclosures about an organization’s endowment funds (both donor-restricted and board-designated endowment funds), whether or not the organization is subject to UPMIFA. FSP FAS 117-1 was effective for the University’s financial statements for the year beginning on July 1, 2008. The adoption of FSP FAS 117-1 did not have an impact on the financial statements.

Effective July 1, 2007, the University adopted FASB Interpretation No. 48, *Accounting for Uncertainty in Income Taxes* (FIN 48). FIN 48 sets a minimum threshold for financial statement recognition of the benefit of a tax position taken or expected to be taken in a tax return. Tax positions for the open tax years as of June 30, 2009 were reviewed, and it was determined that no provision for uncertain tax positions is required.

As of June 30, 2009, the University adopted the provisions of FAS 165, *Subsequent Events* (FAS 165). FAS 165 provides guidance to establish general standards of accounting for and disclosures of events that occur after the balance sheet date but before the University financial statements are issued or are available to be issued. FAS 165 requires the University to disclose the date through which subsequent events were evaluated as well as the rationale for why that date was selected. The University has evaluated subsequent events through October 4, 2009, the date of the Report of Independent Auditors. FAS 165 requires additional disclosures only, and therefore did not have an impact on the University’s financial statements.

The FASB issued Staff Position No. FAS 157-g, *Estimating the Fair Value of Investments in Investment Companies That Have Calculated Net Asset Value per Share in Accordance with the AICPA Audit and Accounting Guide, Investment Companies (FSP FAS 157-g)*. FSP FAS 157-g clarifies that for investments in entities that permit the investor to redeem the investment directly with (or receive distributions from) the investee at net asset value per share at times allowable under the terms of the investee’s governing documents, net asset value per share is the most relevant estimate of fair value available that would not require undue cost and effort for the reporting entity. A reporting entity is permitted to estimate the fair value of an investment if the net asset value per share of the investment (or its equivalent) is determined in accordance with the Investment Companies Guide as of the reporting entity’s measurement date. FSP FAS 157-g will be effective for the University’s financial statements issued for the year beginning on July 1, 2009. Management is currently evaluating the impact the adoption of FAS 157-g will have on the financial statements.

The FASB issued Statement of Financial Accounting Standards No. 161, *Disclosures about Derivative Instruments and Hedging Activities* (FAS 161) which changes the disclosure requirements for derivative instruments and hedging activities. FAS 161 requires that (1) objectives for using derivative instruments be disclosed in terms of underlying risks and accounting designation, (2) the fair values of derivative instruments and their gains and losses be disclosed in tabular format, and (3) information be disclosed about credit-risk contingent features of derivative contracts. FAS 161 will be effective for the University’s financial statements issued for the year beginning on July 1, 2009. Management is currently evaluating the impact the adoption of FAS 161 will have on the financial statements.
3. INVESTMENTS

The significant accounting policies of the University related to investments are as follows:

A) Investments are presented at fair value based on trade date positions as of June 30. Instruments listed or traded on a securities exchange are valued at the last sale price on the primary exchange where the security is traded. Restrictions that are attached to a security are factored into the valuation of that security, reflective of the estimated impact of those restrictions. Non-exchange traded debt instruments are primarily valued using independent pricing services or by broker/dealers who actively make markets in these securities. Over-the-counter positions such as options contracts, forward contracts, exchange agreements, interest rate cap and floor agreements, and credit default swaps are primarily valued using models with externally verifiable inputs, or by using independent broker quotes. Investments in most asset classes are at least partially achieved through external managers. The majority of these external investments are not readily marketable and are valued utilizing the most current information provided by the general partner, subject to assessments that the value is representative of fair value and consideration of any additional factors deemed pertinent to the valuations. Direct private equity and real asset investments are valued using discounted cash flow and other industry standard methodologies. Where applicable, independent appraisers and engineers assist in the valuation. These values are determined under the direction of, and subject to approval by, the Valuation Committee of the HMC Board of Directors.

B) The preparation of financial statements requires management to make estimates and assumptions about the effects of matters that are inherently uncertain. The accounting policies considered potentially significant in this respect are the valuation of derivative instruments, absolute return and special situations funds, private equities, and certain real assets. Values for these instruments are typically estimated using techniques such as discounted cash flow analysis and comparisons to similar instruments. Estimates developed using these methods are subjective and require judgment regarding significant matters such as the amount and timing of future cash flows and the selection of discount rates that appropriately reflect market and credit risks. Estimates, by their nature, are based on judgment and available information. Changes in assumptions could have a significant effect on the fair value of these instruments. Actual results could differ from these estimates and could have a material impact on the financial statements.

C) The University amortizes bond premiums and accretes bond discounts when cash collection is expected.

D) The University utilizes a number of subsidiary entities to support its investment activities. The consolidated financial statements include all assets and liabilities associated with these entities.

E) The Balance Sheets display both the assets and corresponding liabilities generated by securities lending transactions. These transactions are executed to support the investment activities of HMC. The University also separately reports the fair value of assets for which counterparties have the right to pledge or exchange the collateral they have received; assets of the investment portfolio that are unencumbered are reported as “Investment portfolio, at fair value” in the Balance Sheets.

F) The collateral advanced under security borrowing agreements is in the form of cash. The minimum collateral the University requires by contract on each stock loan and repurchase agreement is 100% of the fair value of the security loaned. Collateral is moved as required by fluctuations in the fair value of the security loaned.

The majority of the University’s investments are managed in the General Investment Account (GIA), a pooled fund that consists primarily of endowment assets. The University employs a unit method of accounting for its pooled general investment assets.

Other investments are managed separately from the GIA. These investments consist primarily of fixed income securities (principally government securities and certificates of deposit held for the University’s working capital needs) and publicly traded securities associated with split interest agreements. These securities are measured at fair value on a recurring basis at quoted market prices.
The University’s investments as of June 30, 2009 and 2008 are summarized in the following table (in thousands of dollars):

<table>
<thead>
<tr>
<th></th>
<th>2009</th>
<th>2008</th>
</tr>
</thead>
<tbody>
<tr>
<td>Investment portfolio, at fair value:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Pooled general investment assets</td>
<td>$33,539,878</td>
<td>$49,998,480</td>
</tr>
<tr>
<td>Other investments²</td>
<td>1,219,981</td>
<td>1,086,414</td>
</tr>
<tr>
<td>Total investment portfolio, at fair value</td>
<td>$34,759,859</td>
<td>$51,084,894</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>2009</th>
<th>2008</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fair value of securities pledged to counterparties</td>
<td>$3,067,027</td>
<td>$6,398,168</td>
</tr>
<tr>
<td>Securities lending and other liabilities associated with the investment portfolio¹</td>
<td>(6,346,554)</td>
<td>(13,678,751)</td>
</tr>
<tr>
<td>TOTAL INVESTMENTS²</td>
<td>$31,480,332</td>
<td>$43,804,311</td>
</tr>
</tbody>
</table>

Investments as of June 30, 2009 and 2008 comprised the following (in thousands of dollars):

<table>
<thead>
<tr>
<th></th>
<th>2009</th>
<th>2008</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pooled general investment net assets:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>General Operating Account</td>
<td>$4,625,249</td>
<td>$5,493,884</td>
</tr>
<tr>
<td>Endowment</td>
<td>25,368,780</td>
<td>36,193,970</td>
</tr>
<tr>
<td>Split interest agreements</td>
<td>706,644</td>
<td>1,065,564</td>
</tr>
<tr>
<td>Other internally designated funds</td>
<td>237,806</td>
<td>294,838</td>
</tr>
<tr>
<td>Total pooled general investment net assets</td>
<td>$30,938,479</td>
<td>$43,048,256</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>2009</th>
<th>2008</th>
</tr>
</thead>
<tbody>
<tr>
<td>Other investments²</td>
<td>1,219,981</td>
<td>1,086,414</td>
</tr>
<tr>
<td>Fair value of interest rate exchange agreements</td>
<td>(678,128)</td>
<td>(330,359)</td>
</tr>
<tr>
<td>TOTAL INVESTMENTS²</td>
<td>$31,480,332</td>
<td>$43,804,311</td>
</tr>
</tbody>
</table>

¹ Excludes fair value of securities pledged to counterparties.
² Includes split interest agreement assets of $412,098 and $505,157 as of June 30, 2009 and 2008, respectively.
³ Includes fair value of interest rate exchange agreements of $(678,128) and $(330,359) as of June 30, 2009 and 2008, respectively.
⁴ Investment holdings include cash and cash equivalents that consist principally of funds that have maturities of 90 days or less. Cash and cash equivalents classified as investments were $4,158,947 and $1,846,492 at June 30, 2009 and 2008, respectively.

A summary of the University’s total return on investments for fiscal 2009 and 2008 is presented below (in thousands of dollars):

<table>
<thead>
<tr>
<th></th>
<th>2009</th>
<th>2008</th>
</tr>
</thead>
<tbody>
<tr>
<td>Return on pooled general investments:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Realized and unrealized gains/(losses), net</td>
<td>$(11,838,870)</td>
<td>$3,180,799</td>
</tr>
<tr>
<td>Investment income</td>
<td>128,602</td>
<td>297,690</td>
</tr>
<tr>
<td>Total return on pooled general investments¹</td>
<td>$(11,710,268)</td>
<td>3,478,489</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>2009</th>
<th>2008</th>
</tr>
</thead>
<tbody>
<tr>
<td>Return on other investments:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Realized and unrealized losses, net</td>
<td>(139,670)</td>
<td>(10,267)</td>
</tr>
<tr>
<td>Investment income</td>
<td>120,863</td>
<td>42,310</td>
</tr>
<tr>
<td>Total return on other investments</td>
<td>(18,807)</td>
<td>32,043</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>2009</th>
<th>2008</th>
</tr>
</thead>
<tbody>
<tr>
<td>Realized and unrealized losses on interest rate exchange agreements, net</td>
<td>(879,178)</td>
<td>(332,720)</td>
</tr>
<tr>
<td>TOTAL RETURN ON INVESTMENTS⁶</td>
<td>$(12,608,253)</td>
<td>$3,177,812</td>
</tr>
</tbody>
</table>

⁶ Net of all fees and expenses.
The University’s investment strategy incorporates a diversified asset allocation approach and maintains, within defined limits, exposure to the movements of the global equity, fixed income, real estate, commodities, and private equity markets. The core investment portfolio is structured to closely mirror the market exposures defined by the Policy Portfolio. The Policy Portfolio is the long-term asset mix that is considered most likely to meet the University’s long-term return goals with the appropriate level of risk. It serves as the benchmark against which the performance of the pooled general investments is measured. In addition, the University seeks to enhance the returns of certain asset classes through strategies designed to capture mispricing in specific financial instruments without changing the fundamental risk profile of the core investment account. Depending on the characteristics of the financial instruments, the specific positions within a given strategy may be recorded in the asset or liability sections of the table below.

The pooled general investment assets and liabilities as of June 30, 2009 and 2008 are summarized as follows (in thousands of dollars):

<table>
<thead>
<tr>
<th>POOLED GENERAL INVESTMENT ASSETS:</th>
<th>2009</th>
<th>2008</th>
</tr>
</thead>
<tbody>
<tr>
<td>Domestic common and convertible equity</td>
<td>$2,984,608</td>
<td>$5,387,605</td>
</tr>
<tr>
<td>Foreign common and convertible equity</td>
<td>1,314,426</td>
<td>2,625,784</td>
</tr>
<tr>
<td>Domestic fixed income</td>
<td>1,908,280</td>
<td>4,552,457</td>
</tr>
<tr>
<td>Foreign fixed income</td>
<td>1,429,341</td>
<td>1,582,035</td>
</tr>
<tr>
<td>Emerging market equity and debt</td>
<td>2,704,521</td>
<td>4,161,743</td>
</tr>
<tr>
<td>High-yield</td>
<td>1,705,432</td>
<td>2,064,218</td>
</tr>
<tr>
<td>Absolute return and special situations funds</td>
<td>5,146,719</td>
<td>7,943,422</td>
</tr>
<tr>
<td>Private equities</td>
<td>5,482,466</td>
<td>7,296,369</td>
</tr>
<tr>
<td>Real assets</td>
<td>5,646,022</td>
<td>8,029,084</td>
</tr>
<tr>
<td>Inflation-indexed bonds</td>
<td>1,633,303</td>
<td>3,155,115</td>
</tr>
<tr>
<td>Derivatives</td>
<td>1,516,773</td>
<td>1,690,913</td>
</tr>
<tr>
<td>Total investment assets</td>
<td>31,473,891</td>
<td>48,488,745</td>
</tr>
<tr>
<td>Collateral advanced under security borrowing agreements</td>
<td>774,289</td>
<td>2,969,522</td>
</tr>
<tr>
<td>Cash and short-term investments</td>
<td>3,648,580</td>
<td>1,476,434</td>
</tr>
<tr>
<td>Other assets</td>
<td>710,145</td>
<td>3,461,947</td>
</tr>
<tr>
<td><strong>POOLED GENERAL INVESTMENT ASSETS</strong></td>
<td><strong>36,606,905</strong></td>
<td><strong>56,396,648</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>POOLED GENERAL INVESTMENT LIABILITIES:</th>
<th>2009</th>
<th>2008</th>
</tr>
</thead>
<tbody>
<tr>
<td>Equity and convertible securities</td>
<td>92,449</td>
<td>794,442</td>
</tr>
<tr>
<td>Fixed income</td>
<td>365,101</td>
<td>2,435,950</td>
</tr>
<tr>
<td>Derivatives</td>
<td>1,171,683</td>
<td>1,115,265</td>
</tr>
<tr>
<td>Total investment liabilities</td>
<td>1,629,233</td>
<td>4,345,657</td>
</tr>
<tr>
<td>Cash collateral held under security lending agreements</td>
<td>1,763,307</td>
<td>5,796,982</td>
</tr>
<tr>
<td>Other liabilities</td>
<td>2,275,886</td>
<td>3,205,753</td>
</tr>
<tr>
<td><strong>POOLED GENERAL INVESTMENT LIABILITIES</strong></td>
<td><strong>5,668,426</strong></td>
<td><strong>13,348,392</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>POOLED GENERAL INVESTMENT NET ASSETS</th>
<th>2009</th>
<th>2008</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>$30,938,479</td>
<td>$43,048,256</td>
</tr>
</tbody>
</table>

1 Real assets include investments in commodities and real estate.
2 Includes futures, options, credit default swaps, exchange agreements, interest rate cap and floor agreements, and forward purchase and sale agreements, which are exchange traded or executed over the counter.
3 Securities pledged to counterparties where the counterparty has the right to sell or repledge the securities were $3,067,027 and $6,398,168 as of June 30, 2009 and 2008, respectively.
4 The collateral advanced under security borrowing agreements is in the form of cash.
5 As of June 30, 2009, other assets consisted primarily of accounts receivable for the sale of securities of $516,307, and assets consolidated under EITF 04-5 of $191,772. As of June 30, 2008, other assets consisted primarily of accounts receivable for the sale of securities of $2,899,912, and assets consolidated under EITF 04-5 of $1,300,806.
6 As of June 30, 2009, other liabilities consisted primarily of accounts payable for undistributed income and the purchase of securities of $1,209,336, and other liabilities consolidated under EITF 04-5 of $1,002,058. As of June 30, 2008, other liabilities consisted primarily of accounts payable for undistributed income and the purchase of securities of $1,839,248, and other liabilities consolidated under EITF 04-5 of $1,300,806.
7 The cost of the total pooled general investment net assets was $31,435,906 and $38,594,686 as of June 30, 2009 and 2008, respectively.
The asset allocation of the University’s investment portfolio involves exposure to a diverse set of markets. The investments within these markets involve various risks such as interest rate, market, sovereign, and credit risks. The University anticipates that the value of its investments may, from time to time, fluctuate substantially as a result of these risks. The table on page 25 includes securities pledged to counterparties where the counterparty has the right, by contract or custom, to sell or repledge the securities. The fair value of collateral pledged to counterparties that cannot be sold or repledged was $169.8 million and $910.7 million as of June 30, 2009 and 2008, respectively. The fair value of collateral accepted by the University was $1,824.7 million and $3,927.6 million as of June 30, 2009 and 2008, respectively. The portion of this collateral that was sold or repledged was $327.3 million and $1,112.0 million as of June 30, 2009 and 2008, respectively.

The University consolidates assets and liabilities held in partnerships or entities controlled by HMC in accordance with EITF 04-5, Investor’s Accounting for an Investment in a Limited Partnership When the Investor Is the Sole General Partner and the Limited Partners Have Certain Rights. The consolidation of these entities increased the pooled general investment assets and liabilities shown in the table on page 25 by equal amounts. Real asset investments increased by $810.3 million and $890.0 million as of June 30, 2009 and 2008, respectively. Other assets, consisting of cash, receivables, and fixed assets, increased by $191.8 million and $410.8 million as of June 30, 2009 and 2008. Other liabilities, consisting of accruals, payables, debt, and minority interests, increased by $1,002.1 million and $1,300.8 million as of June 30, 2009 and 2008, respectively.

The University has also entered into agreements with private equity and real estate partnerships and external investment managers, which include commitments to make periodic cash contributions totaling approximately $8,773.8 million through fiscal 2019.

The University uses a variety of financial instruments with off-balance sheet risk involving contractual or optional commitments for future settlement. These include futures, options, credit default swaps, exchange agreements, interest rate cap and floor agreements, and forward purchase and sale agreements, which are exchange traded or executed over the counter. These instruments are used in both the core portfolio to gain exposure to a given asset class and in the arbitrage strategies, with the goal of enhancing the returns of certain asset classes without increasing the market risk to the underlying asset class. The market risk of a strategy is influenced by the relationship between the financial instruments with off-balance sheet risk and the offsetting positions recorded in the Balance Sheets. The University manages exposure to market risk through the use of industry standard analytical tools that measure the market exposure of each position within a strategy. The strategies are monitored daily, and positions are frequently adjusted in response to changes in the financial markets.

The following table summarizes the market exposure (expressed in delta-weighted notional amounts), net ending fair value, net average fair value (an average of the five quarters ending June 30, 2009), and credit exposure relative to the financial instruments with off-balance sheet risk as of June 30, 2009 (in thousands of dollars):

<table>
<thead>
<tr>
<th></th>
<th>Long exposure</th>
<th>Net ending fair value of off-balance sheet positions</th>
<th>Net average fair value</th>
<th>Credit exposure*</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Equity instruments:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Equity futures</td>
<td>397,647</td>
<td>$4,179</td>
<td>$40,830</td>
<td></td>
</tr>
<tr>
<td>Equity options</td>
<td>(1,004)</td>
<td>1,007</td>
<td>1,104</td>
<td></td>
</tr>
<tr>
<td>Equity exchange agreements</td>
<td>(994,221)</td>
<td>-</td>
<td>(19,746)</td>
<td>18,159</td>
</tr>
<tr>
<td>Total equity instruments</td>
<td>1,390,864</td>
<td>(17,039)</td>
<td>98,341</td>
<td>(14,463)</td>
</tr>
<tr>
<td><strong>Fixed income instruments:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Fixed income futures</td>
<td>617,562</td>
<td>(607,523)</td>
<td>2,054</td>
<td>(2,883)</td>
</tr>
<tr>
<td>Fixed income options</td>
<td>2,867,387</td>
<td>(2,694,200)</td>
<td>(9,580)</td>
<td>(49,367)</td>
</tr>
<tr>
<td>Interest rate exchange</td>
<td>17,438,313</td>
<td>(18,438,358)</td>
<td>(23,585)</td>
<td>(75,677)</td>
</tr>
<tr>
<td>agreements</td>
<td>1,737,224</td>
<td>(1,322,363)</td>
<td>56,911</td>
<td>123,353</td>
</tr>
<tr>
<td>Interest rate caps and floors</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total fixed income</td>
<td>22,660,486</td>
<td>(23,062,444)</td>
<td>25,800</td>
<td>(4,574)</td>
</tr>
<tr>
<td>Commodity exchange agreements</td>
<td>809,620</td>
<td></td>
<td>1,835</td>
<td>367</td>
</tr>
<tr>
<td><strong>Currency instruments:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Currency forwards</td>
<td>1,308,279</td>
<td>(1,311,012)</td>
<td>(2,733)</td>
<td>12,046</td>
</tr>
<tr>
<td>Currency options</td>
<td>43,353</td>
<td>(36,337)</td>
<td>14,532</td>
<td>7,031</td>
</tr>
<tr>
<td>Currency exchange agreements</td>
<td>783,974</td>
<td>(645,030)</td>
<td>87</td>
<td>404</td>
</tr>
<tr>
<td>Total currency instruments</td>
<td>2,135,606</td>
<td>(1,992,379)</td>
<td>11,886</td>
<td>19,481</td>
</tr>
<tr>
<td>Credit instruments</td>
<td>1,290,058</td>
<td>(8,420,979)</td>
<td>206,549</td>
<td>677,786</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td>28,286,634</td>
<td>(33,492,841)</td>
<td>344,411</td>
<td>678,597</td>
</tr>
</tbody>
</table>

* Credit exposure represents cash or securities advanced by the University to meet legal margin requirements in connection with future, forward, and option contracts, as well as exposure to counterparties relating to financial instruments with off-balance sheet risk where gains exceed collateral held by the University or losses are less than the collateral posted by the University.
The following table summarizes the market exposure (expressed in delta-weighted notional amounts), net ending fair value, net average fair value (an average of the five quarters ending June 30, 2008), and credit exposure relative to the financial instruments with off-balance sheet risk as of June 30, 2008 (in thousands of dollars):

<table>
<thead>
<tr>
<th>Market exposure</th>
</tr>
</thead>
<tbody>
<tr>
<td>Net ending fair value of off-balance sheet positions</td>
</tr>
<tr>
<td>Net average fair value</td>
</tr>
<tr>
<td>Credit exposure*</td>
</tr>
<tr>
<td>Long</td>
</tr>
</tbody>
</table>

**Equity instruments:**
- Equity futures: $413,617 $(530,773) $16,257 $7,683 $30,149
- Equity options: 10,615 (1,219) 12,048 7,257
- Equity exchange agreements: 3,472,873 (527,118) (74,119) 20,506 274
- **Total equity instruments:** 3,897,105 (1,059,110) (45,814) 35,446 30,423

**Fixed income instruments:**
- Fixed income futures: 499,630 (635,951) 1,871 12,823 9,590
- Fixed income options: 4,562,112 (3,018,565) (59,256) (4,539) 963
- Interest rate exchange agreements: 13,457,708 (11,826,808) (50,686) (26,523) 1,180
- Interest rate caps and floors: 6,396,100 (7,754,459) 127,653 107,683 10,697
- **Total fixed income instruments:** 24,915,550 (23,235,783) 19,582 89,444 22,430

**Commodity instruments:**
- Commodity options: (4,157)
- Commodity exchange agreements: 3,702,822
- **Total commodity instruments:** 3,702,822 0 0 (4,157) 12,353

**Currency instruments:**
- Currency forwards: 16,369,315 (16,358,151) 11,164 4,048 912
- Currency options: 1,043,132 (1,099,194) (2,287) (10,116) 4,256
- Currency exchange agreements: 115,530 (109,691) 1,932 1,099 259
- **Total currency instruments:** 17,527,977 (17,567,036) 10,809 (4,969) 5,427

**Credit instruments:**
- 2,007,666 (7,918,917) 622,714 485,467 54,920
- **TOTAL:** $52,051,120 $(49,780,846) $606,751 $601,231 $125,553

* Credit exposure represents cash or securities advanced by the University to meet legal margin requirements in connection with future, forward, and option contracts, as well as exposure to counterparties relating to financial instruments with off-balance sheet risk where gains exceed collateral held by the University or losses are less than the collateral posted by the University.

Financial instruments with off-balance sheet risk involve counterparty credit exposure. The policy of the University is to require collateral to the maximum extent possible under normal trading practices. Collateral is moved on a daily basis as required by fluctuations in the market. The collateral is generally in the form of debt obligations issued by the U.S. Treasury. In the event of counterparty default, the University has the right to use the collateral to offset the loss associated with the replacements of the agreements. The University enters into arrangements only with counterparties believed to be creditworthy. Specific credit limits are established for counterparties based on their individual credit ratings. Credit limits are monitored daily and are adjusted according to policy.

The University enters into credit derivatives to simulate long and short bond exposure that is either unavailable or considered to be less attractively priced in the bond market, or to hedge exposure obtained in the bond market. The University also uses these derivatives to reduce risk where it has exposure to the issuer, or to take an active long or short position with respect to the likelihood of an event of default. The reference obligation of the derivative can be a single issuer, a “basket” of issuers, or an index.
In instances where the University has purchased credit protection on an underlying reference obligation, the University is obligated to pay the seller of the credit protection a periodic stream of payments over the term of the contract in return for a contingent payment upon the occurrence of a credit event with respect to the underlying reference obligation. The contingent payment may be a cash settlement or a physical delivery of the reference obligation in return for payment of the face amount of the obligation. The amount paid for purchased protection is typically a small percentage of the notional amount. In instances where the University has sold credit protection on an underlying reference obligation, the University receives a fixed rate of income throughout the term of the contract, which typically is between one month and five years, and in some instances up to ten years. In the case where the University sold credit protection, if a credit event occurs, the University may cash settle the contract or pay the purchaser of credit protection the full notional value of the contract in exchange for the reference obligation.

As of June 30, 2009, the University’s purchased and written credit derivatives had gross notional amounts of $9.8 billion and $1.4 billion, respectively, for total net purchased protection of $8.4 billion in notional value. The notional amounts of these credit derivatives are not recorded in the Balance Sheets.

The table below summarizes certain information regarding credit protection purchased and sold as of June 30, 2009 (in thousands of dollars):

<table>
<thead>
<tr>
<th>Credit rating on underlying</th>
<th>Purchased notional amount*</th>
<th>Purchased fair value</th>
<th>Total written credit protection</th>
<th>Offsetting purchased credit protection**</th>
<th>Net written credit protection fair value</th>
</tr>
</thead>
<tbody>
<tr>
<td>A- to AAA</td>
<td>$2,350,000</td>
<td>$331,276</td>
<td>$108,500</td>
<td>$118,000</td>
<td>$73,500</td>
</tr>
<tr>
<td>BBB- to BBB+</td>
<td>6,376,332</td>
<td>211,384</td>
<td>377,832</td>
<td>77,700</td>
<td>455,332</td>
</tr>
<tr>
<td>Non-investment grade</td>
<td>712,091</td>
<td>297,599</td>
<td>706,993</td>
<td>706,993</td>
<td>202,953</td>
</tr>
<tr>
<td>**TOTAL</td>
<td>$9,438,423</td>
<td>$840,259</td>
<td>$1,193,325</td>
<td>$1,139,025</td>
<td>$377,685</td>
</tr>
</tbody>
</table>

* Amounts shown are net of purchased credit protection that directly offsets written credit protection, as discussed in the note (**) below.

** Offsetting purchased credit derivatives represent the notional amount of purchased credit derivatives to the extent they hedge written credit derivatives with identical underlyings.

Credit ratings on the underlying, together with the period of expiration, are indicators of payment/performance risk. For example, the seller of credit protection is least likely to pay or otherwise be required to perform where the credit ratings are AAA and the period of expiration is “< 5 years”. The likelihood of payment or performance is generally greater as the credit ratings fall and period of expiration increases.
4. FAIR VALUE OF INVESTMENT ASSETS AND LIABILITIES

As discussed in Note 2, in 2009, the University adopted FAS 157 and its applicable amendments. FAS 157 establishes a fair value hierarchy that prioritizes the inputs to valuation techniques used to measure fair value. The hierarchy gives the highest priority to unadjusted quoted prices in active markets for identical assets or liabilities (Level 1 measurements) and the lowest priority to unobservable inputs (Level 3 measurements). The three levels of the fair value hierarchy under FAS 157 are described below:

**LEVEL 1** Unadjusted quoted prices in active markets that are accessible at the measurement date for identical, unrestricted assets or liabilities;

**LEVEL 2** Quoted prices in markets that are not considered to be active or financial instruments for which all significant inputs are observable, either directly or indirectly;

**LEVEL 3** Prices or valuations that require inputs that are both significant to the fair value measurement and unobservable.

The level of an asset or liability within the fair value hierarchy is based on the lowest level of any input that is significant to the fair value measurement.

The following is a summary of the levels within the fair value hierarchy for those investment assets and liabilities subject to fair value measurement as of June 30, 2009 (in thousands of dollars):

<table>
<thead>
<tr>
<th>INVESTMENT ASSETS:</th>
<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cash and short-term investments</td>
<td>$4,158,947</td>
<td></td>
<td></td>
<td>$4,158,947</td>
</tr>
<tr>
<td>Domestic common and convertible equity</td>
<td>88,495</td>
<td>7,243</td>
<td>3,030,537</td>
<td>3,126,275</td>
</tr>
<tr>
<td>Foreign common and convertible equity</td>
<td>208,698</td>
<td>1,162,592</td>
<td>1,371,290</td>
<td></td>
</tr>
<tr>
<td>Domestic fixed income</td>
<td>326,133</td>
<td>1,602,265</td>
<td>88,837</td>
<td>2,017,235</td>
</tr>
<tr>
<td>Foreign fixed income</td>
<td>13,645</td>
<td>1,429,308</td>
<td>1,442,953</td>
<td></td>
</tr>
<tr>
<td>Emerging market equity and debt</td>
<td>1,631,308</td>
<td>3,996</td>
<td>1,069,217</td>
<td>2,704,521</td>
</tr>
<tr>
<td>High-yield</td>
<td>15,866</td>
<td>536,663</td>
<td>8,837</td>
<td>542,366</td>
</tr>
<tr>
<td>Absolute return and special situations funds</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Private equities</td>
<td>4,283</td>
<td></td>
<td></td>
<td>4,283</td>
</tr>
<tr>
<td>Real assets</td>
<td>44</td>
<td>5,670,179</td>
<td>5,670,223</td>
<td></td>
</tr>
<tr>
<td>Inflation-indexed bonds</td>
<td>19,303</td>
<td>1,593,562</td>
<td>39,741</td>
<td>1,652,606</td>
</tr>
<tr>
<td>Derivatives</td>
<td>15,320</td>
<td>1,155,248</td>
<td>287,804</td>
<td>1,516,084</td>
</tr>
<tr>
<td>Other investments</td>
<td>30,257</td>
<td>2,156</td>
<td>6,871</td>
<td>39,284</td>
</tr>
<tr>
<td><strong>TOTAL INVESTMENT PORTFOLIO ASSETS</strong></td>
<td>$6,512,299</td>
<td>$6,330,441</td>
<td>$23,315,515</td>
<td>$36,158,255</td>
</tr>
<tr>
<td>Interests in trusts held by others</td>
<td>276,571</td>
<td>276,571</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>TOTAL INVESTMENT ASSETS</strong></td>
<td>$6,512,299</td>
<td>$6,330,441</td>
<td>$23,592,086</td>
<td>$36,434,826</td>
</tr>
</tbody>
</table>

* Includes fair value of securities pledged to counterparties of $3,067,027 (see Note 3) and excludes investment assets not subject to fair value of $1,668,631.

** INVESTMENT LIABILITIES:**

<table>
<thead>
<tr>
<th>INVESTMENT LIABILITIES:</th>
<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Equity and convertible securities</td>
<td>$92,335</td>
<td>$361,426</td>
<td>$3,675</td>
<td>$92,449</td>
</tr>
<tr>
<td>Fixed income</td>
<td>11,459</td>
<td>1,550,548</td>
<td>287,804</td>
<td>1,849,813</td>
</tr>
<tr>
<td>Derivatives</td>
<td>15,320</td>
<td>1,155,248</td>
<td>287,804</td>
<td>1,516,084</td>
</tr>
<tr>
<td><strong>TOTAL INVESTMENT LIABILITIES</strong></td>
<td>$103,794</td>
<td>$1,911,974</td>
<td>$291,593</td>
<td>$2,307,361</td>
</tr>
</tbody>
</table>

** Includes fair value of interest rate exchange agreements of $678,128 and excludes investment liabilities not subject to fair value of $4,039,193.
The University’s Level 3 investments consist almost entirely of investments managed by external advisors. The University primarily utilizes fair values provided to it by the external managers, but will make adjustments where deemed necessary as discussed in Note 3.

The following is a rollforward of Level 3 investments, as required under FAS 157, for the year ended June 30, 2009 (in thousands of dollars):

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Domestic common and convertible equity</td>
<td>$3,924,154</td>
<td>$723,379</td>
<td>$148,931</td>
<td>$(326,046)</td>
<td>$6,877</td>
<td>$3,030,537</td>
</tr>
<tr>
<td>Foreign common and convertible equity</td>
<td>2,112,383</td>
<td>(45,139)</td>
<td>(595,607)</td>
<td>(69,553)</td>
<td>(239,492)</td>
<td>1,162,592</td>
</tr>
<tr>
<td>Domestic fixed income</td>
<td>1,142,974</td>
<td>(16,873)</td>
<td>(367,338)</td>
<td>(483,860)</td>
<td>(186,066)</td>
<td>88,837</td>
</tr>
<tr>
<td>Foreign fixed income</td>
<td>8,580</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Emerging market equity and debt</td>
<td>1,563,606</td>
<td>5,311</td>
<td>(775,272)</td>
<td>(25,305)</td>
<td>300,877</td>
<td>1,069,217</td>
</tr>
<tr>
<td>High-yield</td>
<td>1,000,923</td>
<td>(105,628)</td>
<td>(129,643)</td>
<td>(9,042)</td>
<td>411,299</td>
<td>1,167,909</td>
</tr>
<tr>
<td>Absolute return and special situations funds</td>
<td>7,943,422</td>
<td>(147,678)</td>
<td>(1,207,587)</td>
<td>(1,923,626)</td>
<td>482,188</td>
<td>5,146,719</td>
</tr>
<tr>
<td>Private equities</td>
<td>7,368,053</td>
<td>(439,429)</td>
<td>(1,886,115)</td>
<td>689,844</td>
<td>(144,956)</td>
<td>5,587,197</td>
</tr>
<tr>
<td>Real assets</td>
<td>7,964,834</td>
<td>239,743</td>
<td>(2,385,350)</td>
<td>549,543</td>
<td>(698,591)</td>
<td>5,670,179</td>
</tr>
<tr>
<td>Inflation-indexed bonds</td>
<td>703,710</td>
<td>144,610</td>
<td>(190,224)</td>
<td>(618,355)</td>
<td>39,741</td>
<td></td>
</tr>
<tr>
<td>Derivatives</td>
<td>785,546</td>
<td>825,805</td>
<td>(547,438)</td>
<td>(854,549)</td>
<td>136,152</td>
<td>345,516</td>
</tr>
<tr>
<td>Other investments</td>
<td>19,354</td>
<td>3,324</td>
<td>(15,954)</td>
<td>(53)</td>
<td>6,871</td>
<td></td>
</tr>
<tr>
<td>TOTAL INVESTMENT ASSETS</td>
<td>$34,537,739</td>
<td>$(259,333)</td>
<td>$(7,951,597)</td>
<td>$(3,071,002)</td>
<td>$59,708</td>
<td>$23,315,515</td>
</tr>
<tr>
<td>Interests in trusts held by others</td>
<td>341,990</td>
<td>(105,628)</td>
<td>(22,742)</td>
<td>(12,677)</td>
<td>276,571</td>
<td></td>
</tr>
<tr>
<td>TOTAL INVESTMENT ASSETS</td>
<td>$34,879,729</td>
<td>$(259,333)</td>
<td>$(8,084,339)</td>
<td>$(3,083,679)</td>
<td>$59,708</td>
<td>$23,592,086</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Equity and convertible securities</td>
<td>$113</td>
<td>$1</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Fixed income</td>
<td>120</td>
<td>(7,034)</td>
<td>2,277</td>
<td>6,866</td>
<td>1,446</td>
<td>3,675</td>
</tr>
<tr>
<td>Derivatives</td>
<td>324,393</td>
<td>249,142</td>
<td>(230,858)</td>
<td>(249,041)</td>
<td>(5,638)</td>
<td>287,804</td>
</tr>
<tr>
<td>TOTAL INVESTMENT LIABILITIES</td>
<td>$324,432</td>
<td>$242,108</td>
<td>$(228,580)</td>
<td>$(242,775)</td>
<td>$(4,192)</td>
<td>$291,593</td>
</tr>
</tbody>
</table>

5. RECEIVABLES

The major components of receivables, net of reserves for doubtful accounts of $8.0 million and $11.8 million as of June 30, 2009 and 2008, respectively, were as follows (in thousands of dollars):
6. NOTES RECEIVABLE

Notes receivable are recorded initially at fair value and then amortized using the effective interest method. Notes receivable, net of reserves for doubtful accounts of $7.9 million and $7.6 million as of June 30, 2009 and 2008, respectively, were as follows (in thousands of dollars):

<table>
<thead>
<tr>
<th>Notes Receivable</th>
<th>2009</th>
<th>2008</th>
</tr>
</thead>
<tbody>
<tr>
<td>Faculty and staff loans</td>
<td>$171,284</td>
<td>$156,580</td>
</tr>
<tr>
<td>Other</td>
<td>$29,039</td>
<td>$29,064</td>
</tr>
<tr>
<td><strong>Total Notes Receivable, Net</strong></td>
<td><strong>$357,445</strong></td>
<td><strong>$336,085</strong></td>
</tr>
</tbody>
</table>

Government revolving loans are funded principally with federal advances to the University under the Perkins Loan Program and certain other programs. These advances totaled $69.5 million and $8.9 million as of June 30, 2009 and 2008, respectively, and are classified as liabilities in the Balance Sheets. Interest earned on the revolving and institutional loan programs is reinvested to support additional loans. The repayment and interest rate terms of the institutional loans vary considerably.

In addition to administering institutional loan programs, the University participates in various federal loan programs. Federally insured loans are generally repaid over a ten-year period and earn interest at an adjustable rate that approximates the 90-day U.S. Treasury Bill rate plus 3.0%. Principal and interest payments on these loans are insured by the American Student Assistance Corporation and are reinsured by the federal government.

Faculty and staff notes receivable primarily contain mortgage and educational loans. Mortgages include shared appreciation loans and loans that bear interest at the applicable federal rate. In addition, certain mortgages bear interest at the current market rate, which may be subsidized for an initial period. The educational loans are primarily zero-interest loans.

7. PLEDGES RECEIVABLE

Unconditional promises to donate to the University in the future are initially recorded at fair value (pledge net of discount) and subsequently amortized over the expected payment period, net of an allowance for uncollectible pledges. Discounts of $78.9 million and $64.5 million for the years ended June 30, 2009 and 2008, respectively, were calculated using discount factors based on the appropriate U.S. Treasury Note rates for pledges received prior to the adoption of FAS 157, and using the University's taxable unsecured borrowing rate for pledges received in fiscal 2009.

Pledges receivable as of June 30, 2009 and 2008 have been designated for the following purposes (in thousands of dollars):

<table>
<thead>
<tr>
<th>Purpose</th>
<th>2009</th>
<th>2008</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Total Pledges Receivable, Net</strong></td>
<td><strong>$785,290</strong></td>
<td><strong>$626,479</strong></td>
</tr>
</tbody>
</table>

Pledges receivable included in the financial statements as of June 30, 2009 and 2008 are expected to be realized as follows (in thousands of dollars):

<table>
<thead>
<tr>
<th>Realization Period</th>
<th>2009</th>
<th>2008</th>
</tr>
</thead>
<tbody>
<tr>
<td>Within one year</td>
<td>$138,788</td>
<td>$103,484</td>
</tr>
<tr>
<td>Between one and five years</td>
<td>$555,148</td>
<td>$413,936</td>
</tr>
<tr>
<td>More than five years</td>
<td>$233,428</td>
<td>$229,019</td>
</tr>
<tr>
<td>Less: discount and allowance for uncollectible pledges</td>
<td>$(142,074)</td>
<td>$(119,960)</td>
</tr>
<tr>
<td><strong>Total Pledges Receivable, Net</strong></td>
<td><strong>$785,290</strong></td>
<td><strong>$626,479</strong></td>
</tr>
</tbody>
</table>

Because of uncertainties with regard to realizability and valuation, bequest intentions and other conditional promises are only recognized as assets if and when the specified conditions are met. Non-bequest conditional pledges totaled $45.6 million and $24.6 million as of June 30, 2009 and 2008, respectively.
8. FIXED ASSETS

Fixed assets are reported at cost or at fair value as of the date of the gift, net of accumulated depreciation. Depreciation is computed using the straight-line method over the estimated useful lives of the assets.

The major categories of fixed assets as of June 30, 2009 and 2008 are summarized as follows (in thousands of dollars):

<table>
<thead>
<tr>
<th>Category</th>
<th>2009</th>
<th>2008</th>
<th>Estimated useful life (in years)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Research facilities</td>
<td>$1,876,123</td>
<td>$1,812,063</td>
<td>*</td>
</tr>
<tr>
<td>Classroom and office facilities</td>
<td>1,257,030</td>
<td>1,107,330</td>
<td>35</td>
</tr>
<tr>
<td>Housing facilities</td>
<td>1,072,255</td>
<td>1,109,710</td>
<td>35</td>
</tr>
<tr>
<td>Other facilities</td>
<td>528,402</td>
<td>372,878</td>
<td>35</td>
</tr>
<tr>
<td>Service facilities</td>
<td>461,512</td>
<td>411,146</td>
<td>35</td>
</tr>
<tr>
<td>Libraries</td>
<td>418,252</td>
<td>384,993</td>
<td>35</td>
</tr>
<tr>
<td>Museums and assembly facilities</td>
<td>291,211</td>
<td>261,449</td>
<td>35</td>
</tr>
<tr>
<td>Athletic facilities</td>
<td>163,258</td>
<td>145,783</td>
<td>35</td>
</tr>
<tr>
<td>Land</td>
<td>609,872</td>
<td>597,910</td>
<td>N/A</td>
</tr>
<tr>
<td>Construction in progress</td>
<td>617,502</td>
<td>460,256</td>
<td>N/A</td>
</tr>
<tr>
<td>Equipment</td>
<td>730,980</td>
<td>634,021</td>
<td>**</td>
</tr>
<tr>
<td>Total fixed assets, at cost</td>
<td>8,026,397</td>
<td>7,297,539</td>
<td></td>
</tr>
<tr>
<td>Less: accumulated depreciation</td>
<td>(2,632,933)</td>
<td>(2,346,210)</td>
<td></td>
</tr>
<tr>
<td>TOTAL FIXED ASSETS, NET</td>
<td>$5,393,464</td>
<td>$4,951,329</td>
<td></td>
</tr>
</tbody>
</table>

* Estimated useful lives of components range from 10 to 45 years.
** Estimated useful lives of equipment range from 3 to 8 years.

Certain University facilities are subject to restrictions as to use, structural modifications, and ownership transfer. Included in the fixed asset balances are restricted facilities with a net book value of $188.1 million and $171.2 million as of June 30, 2009 and 2008, respectively.

The costs of research facilities are separated into the shell, roof, finishes, fixed equipment, and services. These components are separately depreciated.

Equipment includes general and scientific equipment, computers, software, furniture, and vehicles.

The University has asset retirement obligations of $42.2 million and $42.6 million, which is included in “Deposits and other liabilities” in the Balance Sheets as of June 30, 2009 and 2008, respectively.
The University’s endowment consists of approximately 11,600 separate funds established over many years for a wide variety of purposes. Endowment fund balances, including funds functioning as endowment, are classified and reported as unrestricted, temporarily restricted, or permanently restricted net assets in accordance with donor specifications and state law. Net unrealized losses on permanently restricted endowment funds are classified as a reduction to unrestricted net assets until such time as the fair value equals or exceeds historic dollar value. At June 30, 2009, unrestricted net assets were reduced by $123.0 million for such losses. No reduction in unrestricted net assets was necessary at June 30, 2008.

Although funds functioning as endowment are not subject to donor restrictions, decisions to spend their principal require the approval of the Corporation. All but a small fraction of the endowment is invested in the G1A (Note 3).

The University is also the beneficiary of certain irrevocable trusts held and administered by others. The estimated fair values of trust assets, which include the present values of expected future cash flows from outside trusts and the fair value of the underlying assets of perpetual trusts, are recognized as assets and increases in net assets when the required trust documentation is provided to the University. The fair values of these trusts are provided by the external trustees and are adjusted annually by the University. These are included as Level 3 investments in the fair value hierarchy table in Note 4.

The endowment consisted of the following as of June 30, 2009 and 2008 (in thousands of dollars):

<table>
<thead>
<tr>
<th></th>
<th>2009 Unrestricted</th>
<th>Temporarily Restricted</th>
<th>Permanently Restricted</th>
<th>Total</th>
<th>2008 Unrestricted</th>
<th>Temporarily Restricted</th>
<th>Permanently Restricted</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Endowment funds</td>
<td>$14,798,375</td>
<td>$4,166,212</td>
<td>$18,964,587</td>
<td>$26,931,408</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Funds functioning as endowment</td>
<td>$4,250,770</td>
<td></td>
<td></td>
<td>$6,458,677</td>
<td></td>
<td></td>
<td></td>
<td>$9,328,677</td>
</tr>
<tr>
<td>Pledge balances</td>
<td>$54,534</td>
<td></td>
<td></td>
<td>$373,334</td>
<td></td>
<td></td>
<td></td>
<td>$370,409</td>
</tr>
<tr>
<td>Interests in trusts held by others</td>
<td>$10,892</td>
<td></td>
<td></td>
<td>$238,574</td>
<td></td>
<td></td>
<td></td>
<td>$296,199</td>
</tr>
<tr>
<td>TOTAL ENDOWMENT</td>
<td>$18,464,864</td>
<td>$4,166,212</td>
<td>$23,642,891</td>
<td>$36,213,355</td>
<td>$10,892</td>
<td></td>
<td></td>
<td>$123,077,585</td>
</tr>
</tbody>
</table>

The University’s endowment distribution policies are designed to preserve the value of the endowment in real terms (after inflation) and generate a predictable stream of available income. Each fall, the Corporation approves the endowment distribution for the following fiscal year. The endowment distribution is not based on a specific formula, nor is it directly tied to current investment returns. Rather, it reflects expectations about long-term returns, inflation rates, and the University’s ongoing spending needs. For fiscal 2009, the endowment distribution approved by the Corporation (prior to decapitalizations) was equal to 4.1% of the fair value of the endowment invested in the G1A as of the beginning of the fiscal year. The total endowment distribution made available for operations was $1.4 billion and $1.2 billion in fiscal 2009 and 2008, respectively.

Each year the Corporation also approves certain decapitalizations from the endowment to support strategic, mission-critical activities or objectives that are typically one-time or time-limited. These decapitalizations totaled $239.6 million and $454.5 million in fiscal 2009 and 2008, respectively. These additional decapitalizations, in combination with the endowment distribution, resulted in an aggregate payout rate of 4.6% and 4.8% in fiscal 2009 and 2008, respectively.
10. SPLIT INTEREST AGREEMENTS

Under split interest agreements, donors enter into trust arrangements with the University in which the University receives benefits that are shared with other beneficiaries and institutions. Split interest agreement investment (sia) assets are invested primarily in the gia and publicly traded securities, a small segment is managed by an external advisor, and all are recorded at fair value as discussed in Note 3. The publicly traded securities are included as Level 1 and externally managed investments are included as Level 3 investments in the fair value hierarchy table in Note 4. Associated liabilities are recorded at the present value of estimated future payments due to beneficiaries and other institutions. These liabilities were calculated using discount factors based on the appropriate U.S. Treasury Note rates for gifts received prior to the adoption of fas 157, and using the University’s taxable unsecured borrowing rate for gifts received in fiscal 2009.

The changes in split interest agreement net assets for fiscal 2009 and 2008 were as follows (in thousands of dollars):

<table>
<thead>
<tr>
<th>2009</th>
<th>2008</th>
</tr>
</thead>
<tbody>
<tr>
<td>Temporarily restricted</td>
<td>Permanently restricted</td>
</tr>
<tr>
<td>Investment return:</td>
<td></td>
</tr>
<tr>
<td>Investment income</td>
<td>$ 5,096</td>
</tr>
<tr>
<td>Change in realized and unrealized appreciation, net</td>
<td>(115,919)</td>
</tr>
<tr>
<td>Total investment return</td>
<td>(110,823)</td>
</tr>
<tr>
<td>Gifts for capital (Note 16)*</td>
<td>7,364</td>
</tr>
<tr>
<td>Payments to annuitants</td>
<td>(19,753)</td>
</tr>
<tr>
<td>Transfers to endowment</td>
<td>(36,598)</td>
</tr>
<tr>
<td>Transfers between sia and the goa</td>
<td>(34,148)</td>
</tr>
<tr>
<td>Change in liabilities and other adjustments</td>
<td>69,312</td>
</tr>
<tr>
<td><strong>NET CHANGE DURING THE YEAR</strong></td>
<td>(124,646)</td>
</tr>
<tr>
<td>Total split interest agreement net assets, beginning of year</td>
<td>188,537</td>
</tr>
<tr>
<td><strong>TOTAL SPLIT INTEREST AGREEMENT NET ASSETS, end of year</strong></td>
<td>$ 63,891</td>
</tr>
</tbody>
</table>

* Shown at net present value. The undiscounted value of these gifts was $32,494 and $65,771 for the years ended June 30, 2009 and 2008, respectively.

Split interest agreement net assets as of June 30, 2009 and 2008 consisted of the following (in thousands of dollars):

<table>
<thead>
<tr>
<th>2009</th>
<th>2008</th>
</tr>
</thead>
<tbody>
<tr>
<td>Split interest agreement investments (Note 3):</td>
<td></td>
</tr>
<tr>
<td>Charitable remainder trusts</td>
<td>$ 701,042</td>
</tr>
<tr>
<td>Charitable lead trusts</td>
<td>89,758</td>
</tr>
<tr>
<td>Charitable gift annuities</td>
<td>239,904</td>
</tr>
<tr>
<td>Pooled income funds</td>
<td>88,038</td>
</tr>
<tr>
<td>Total split interest agreement investments</td>
<td>1,118,742</td>
</tr>
<tr>
<td>Liabilities due under split interest agreements:</td>
<td></td>
</tr>
<tr>
<td>Amounts due to beneficiaries</td>
<td>(603,522)</td>
</tr>
<tr>
<td>Amounts due to other institutions</td>
<td>(93,465)</td>
</tr>
<tr>
<td>Total liabilities due under split interest agreements</td>
<td>(696,987)</td>
</tr>
<tr>
<td><strong>TOTAL SPLIT INTEREST AGREEMENT NET ASSETS</strong></td>
<td>$ 421,755</td>
</tr>
</tbody>
</table>

* Shown at net present value. The undiscounted value of these gifts was $32,494 and $65,771 for the years ended June 30, 2009 and 2008, respectively.
11. BONDS AND NOTES PAYABLE

Bonds and notes payable as of June 30, 2009 and 2008 were as follows (in thousands of dollars):

<table>
<thead>
<tr>
<th>Fiscal year of issue</th>
<th>Remaining years to maturity</th>
<th>One-year effective interest rate</th>
<th>Outstanding principal</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>2009</td>
</tr>
</tbody>
</table>

### Tax-exempt bonds and notes payable:

#### Variable-rate bonds and notes payable:

<table>
<thead>
<tr>
<th>Series</th>
<th>Fiscal year of issue</th>
<th>Remaining years to maturity</th>
<th>One-year effective interest rate</th>
<th>Outstanding principal</th>
</tr>
</thead>
<tbody>
<tr>
<td>L</td>
<td>1990</td>
<td>15</td>
<td>3.7%</td>
<td>$71,140</td>
</tr>
<tr>
<td>R</td>
<td>2000–2006</td>
<td>40</td>
<td>0.8</td>
<td>$131,200</td>
</tr>
<tr>
<td>Y</td>
<td>2000</td>
<td>26</td>
<td>5.2</td>
<td>$117,905</td>
</tr>
<tr>
<td>BB</td>
<td>2001</td>
<td>25</td>
<td>1.0</td>
<td>$196,700</td>
</tr>
<tr>
<td>HH</td>
<td>2004</td>
<td>24</td>
<td>5.9</td>
<td>$92,235</td>
</tr>
<tr>
<td>GG1</td>
<td>2005</td>
<td>N/A</td>
<td>3.3</td>
<td>$205,935</td>
</tr>
<tr>
<td>2006B1</td>
<td>2007</td>
<td>N/A</td>
<td>2.9</td>
<td>$112,900</td>
</tr>
<tr>
<td>2006B2</td>
<td>2007</td>
<td>N/A</td>
<td>2.3</td>
<td>$112,900</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Various*</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td></td>
<td>2.3</td>
<td>$1,058,439</td>
</tr>
</tbody>
</table>

#### Fixed-rate bonds:

<table>
<thead>
<tr>
<th>Series</th>
<th>Fiscal year of issue</th>
<th>Remaining years to maturity</th>
<th>One-year effective interest rate</th>
<th>Outstanding principal</th>
</tr>
</thead>
<tbody>
<tr>
<td>N</td>
<td>1992</td>
<td>11</td>
<td>6.3</td>
<td>$78,908***</td>
</tr>
<tr>
<td>Z</td>
<td>2001</td>
<td>7</td>
<td>5.2</td>
<td>$67,788**</td>
</tr>
<tr>
<td>AA</td>
<td>2001</td>
<td>N/A</td>
<td>5.5</td>
<td></td>
</tr>
<tr>
<td>DD</td>
<td>2002</td>
<td>26</td>
<td>5.0</td>
<td>$135,005***</td>
</tr>
<tr>
<td>FF</td>
<td>2003</td>
<td>28</td>
<td>5.1</td>
<td>$274,973***</td>
</tr>
<tr>
<td>2005A</td>
<td>2005</td>
<td>27</td>
<td>5.0</td>
<td>$93,539**</td>
</tr>
<tr>
<td>2005B</td>
<td>2006</td>
<td>23</td>
<td>5.0</td>
<td>$104,888**</td>
</tr>
<tr>
<td>2005C</td>
<td>2006</td>
<td>26</td>
<td>5.0</td>
<td>$129,930**</td>
</tr>
<tr>
<td>2008B</td>
<td>2008</td>
<td>29</td>
<td>5.0</td>
<td>$216,622**</td>
</tr>
<tr>
<td>2009A</td>
<td>2009</td>
<td>27</td>
<td>5.4</td>
<td>$986,908**</td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td></td>
<td>5.2</td>
<td>$2,088,561</td>
</tr>
</tbody>
</table>

#### Total tax-exempt bonds and notes payable

|                      |                             | 3.9                             | 3,147,000            | 2,692,260             |

### Taxable bonds and notes payable:

#### Taxable bonds and notes payable:

<table>
<thead>
<tr>
<th>Series</th>
<th>Fiscal year of issue</th>
<th>Remaining years to maturity</th>
<th>One-year effective interest rate</th>
<th>Outstanding principal</th>
</tr>
</thead>
<tbody>
<tr>
<td>GG2</td>
<td>2005</td>
<td>4</td>
<td>5.0</td>
<td>$38,935</td>
</tr>
<tr>
<td>2006A</td>
<td>2006</td>
<td>28</td>
<td>6.3</td>
<td>$401,395**</td>
</tr>
<tr>
<td>2008A</td>
<td>2008</td>
<td>29</td>
<td>4.9</td>
<td>$387,670**</td>
</tr>
<tr>
<td>2008B</td>
<td>2008</td>
<td>9</td>
<td>5.3</td>
<td>$125,205</td>
</tr>
<tr>
<td>2008D</td>
<td>2009</td>
<td>30</td>
<td>5.8</td>
<td>$1,495,275**</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Various*</td>
<td>5.2</td>
<td>$296,977</td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td></td>
<td>5.6</td>
<td>$2,745,457</td>
</tr>
</tbody>
</table>

#### Other notes payable

|                      |                             | 87,994                         | 90,072               |

**TOTAL BONDS AND NOTES PAYABLE**

|                      |                             | 4.7%                           | $5,580,451           | $4,089,912            |

* All commercial paper will mature in fiscal 2010.
** Series N, DD, FF, 2006A, 2008A, 2008D and 2009A principal are net of $1.1 million, $0.2 million, $0.9 million, $1.2 million, $0.6 million, $0.3 million, $4.7 million and $13.1 million of discounts, respectively. Series 2005A, 2005B, 2005C and 2008B principal include premiums of $4.4 million, $4.3 million, $4.0 million and $7.8 million, respectively.

Interest expense, recorded in both “Space and occupancy” and “Other expenses” in the Statements of Changes in Net Assets with General Operating Account Detail, was $204.4 million and $146.1 million for fiscal 2009 and 2008, respectively.

Excluding maturity of commercial paper and unamortized discounts and premiums, scheduled principal payments are (in thousands of dollars):

<table>
<thead>
<tr>
<th>Fiscal year</th>
<th>Principal payments</th>
</tr>
</thead>
<tbody>
<tr>
<td>2010</td>
<td>$17,835</td>
</tr>
<tr>
<td>2011</td>
<td>16,553</td>
</tr>
<tr>
<td>2012</td>
<td>17,353</td>
</tr>
<tr>
<td>2013</td>
<td>188,258</td>
</tr>
<tr>
<td>2014</td>
<td>519,000</td>
</tr>
<tr>
<td>Thereafter</td>
<td>4,476,725</td>
</tr>
</tbody>
</table>

**TOTAL PRINCIPAL PAYMENTS**

|                      | $5,235,724          |
In fiscal 2009, the University issued $1.5 billion of taxable fixed-rate Series 2008D bonds. The series was comprised of a $500.0 million issue that will mature in 2014, a $500.0 million issue that will mature in 2019, and a $500.0 million issue that will mature in 2019. Proceeds from Series 2008D were used for general University purposes, including the refunding of taxable commercial paper.

In fiscal 2009, the University issued $1.0 billion of tax-exempt fixed-rate Series 2009A bonds. The series was comprised of a $700 million issue that will mature in 2026, and various other issues totaling $300 million that will mature beginning in 2014 and ending in 2023. Proceeds from Series 2009A were used to fund the full redemption of Series GG1, Series 2006B1 and Series 2006B2 (including the termination of any interest rate exchange agreements associated with those Series), and to finance capital projects and acquisitions initially funded by the University’s commercial paper programs.

In connection with the issuances of Series 2008D and 2009A, the University’s AAA/Aaa credit ratings were affirmed with Standard & Poor’s and Moody’s Investors Service, respectively.

In fiscal 2009, the University increased the capacity of its taxable commercial paper program to $2.0 billion from $1.0 billion.

In fiscal 2008, the University issued $388.0 million of taxable fixed-rate Series 2008A bonds. The series was comprised of a $145.0 million issue that will mature in 2013 and a $243.0 million issue that will mature in 2018. Also in fiscal 2008, the University issued $208.9 million of tax-exempt fixed-rate Series 2008B bonds that will mature in 2038, and $125.2 million of taxable fixed-rate Series 2008C bonds that will mature in 2018. All bond issues were used to finance capital projects and acquisitions initially funded by the University’s commercial paper programs. Finally, in fiscal 2008, the University reauthorized its tax-exempt commercial paper program.

Based on quoted market prices, the estimated fair value of the University’s outstanding bonds and notes payable, including accrued interest, was $6,161.3 million and $4,022.3 million as of June 30, 2009 and 2008, respectively.

The University has $648.1 million of variable-rate bonds outstanding (excluding commercial paper) with either a daily or weekly interest rate reset, as noted in the bonds and notes payable table on page 35. In the event the University receives notice of any optional tender on its variable-rate bonds, or if the bonds become subject to mandatory tender, the purchase price of the bonds will be paid from the remarketing of such bonds. However, if the remarketing proceeds are insufficient, the University will have a current obligation to purchase the bonds tendered.

In fiscal 2009, the University renewed a $2.0 billion unsecured, 364-day revolving credit facility with a syndicate of banks which matured in August 2009. In August 2009, the University entered into a $1.8 billion unsecured, 364-day revolving credit facility with a syndicate of banks maturing in August 2010.

**Interest rate exchange agreements**

The University has entered into various interest rate exchange agreements in order to manage the interest cost and risk associated with its outstanding debt and to hedge issuance of future debt. The interest rate exchange agreements were not entered into for trading or speculative purposes. Each of these exchanges is collateralized, as described in Note 3, and thereby carries liquidity risk to the extent the relevant agreements have negative mark-to-market valuations (pursuant to methodologies described below). The interest rates in the table on page 35 reflect any applicable exchange agreements.

In fiscal 2009, the University terminated interest rate exchange agreements with a notional value of $1,138.0 million, for which it realized a loss of $4,497.6 million. A portion of this loss was offset by $85.9 million in gains on the sale of U.S. Treasury bonds which had been purchased to hedge a portion of the liquidity risk associated with the interest rate exchange agreements.

Also in fiscal 2009, the University entered into additional interest rate exchange agreements with a notional value of $764.0 million, under which the University receives a fixed rate and pays a variable rate. These new interest rate exchange agreements, or ‘offsetting’ agreements, were intended to reduce the risk of further losses in value (with associated collateral posting requirements) within the portfolio of interest rate exchange agreements.

The fair value of interest rate exchange agreements is the estimated amount that the University would have received or (paid), including accrued interest, to terminate the agreements on the dates of the Balance Sheets, taking into account the creditworthiness of the underlying counterparties. The notional amount and fair value of interest rate exchange agreements were $3,141.2 million and $(278.1) million, respectively, as of June 30, 2009 and $3,524.7 million and $(310.4) million, respectively, as of June 30, 2008. The table on page 37 is a rollforward of the notional amount of the University’s interest rate exchange agreements from July 1, 2008 to June 30, 2009. The fair value of these agreements is included in the “Securities lending and other liabilities associated with the investment portfolio” line in the Balance Sheets.

The loss realized from the monthly settling of interest rate exchange agreements was $33.9 million and $15.6 million for fiscal 2009 and 2008, respectively. All unrealized
and realized gains and losses from interest rate exchange agreements are included in the “Change in appreciation on GOA investments, net” line in the Statements of Changes in Net Assets with General Operating Account Detail.

12. EMPLOYEE BENEFITS

The University offers current employees a choice of health plans, a dental plan, short-term and long-term disability plans, life insurance, tuition assistance, and a variety of other benefits such as subsidized passes for public transportation and for Harvard athletic facilities. In addition, the University has pension plans covering substantially all employees.

The University uses a measurement date of June 30 for its pension and postretirement health plans.

Pension benefits

All eligible faculty members, staff and hourly employees are covered by retirement programs that include a defined benefit component, a defined contribution component, or a combination of the two.

In accordance with ERISA requirements, the University has established a trust to hold plan assets for its defined benefit pension plans. The fair value of the trust’s assets were $680.7 million and $879.9 million as of June 30, 2009 and 2008, respectively. In addition, the University internally designated and invested $29.0 million and $40.0 million as of June 30, 2009 and 2008, respectively, for its defined benefit pension plans. The University recorded expenses for its defined contribution plans of $101.6 million and $94.7 million for fiscal 2009 and 2008, respectively.

Postretirement health benefits

The University provides defined benefit postretirement health coverage and life insurance to substantially all of its employees. As of June 30, 2009, the University had internally designated and invested $204.1 million to fund the postretirement health benefit accrued liability of $697.5 million. As of June 30, 2008, the University had internally designated and invested $248.3 million to fund an accrued liability of $607.4 million.

The following table provides a reconciliation of the benefit obligation for the University for fiscal 2009 and 2008 (in thousands of dollars):

<table>
<thead>
<tr>
<th>Benefit Obligation, end of year</th>
<th>2009</th>
<th>2008</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pension benefits</td>
<td>$ 723,381</td>
<td>$ 586,309</td>
</tr>
<tr>
<td>Postretirement health benefits</td>
<td>$ 697,483</td>
<td>$ 607,427</td>
</tr>
</tbody>
</table>

Accumulated benefit obligation: $ 618,937 497,387 N/A N/A

Weighted-average assumptions used to determine benefit obligation at end of year:

- Discount rate: 6.25% 6.50% 6.25% 6.50%
- Rate of compensation increase: 4.00% 4.00% 4.00% 4.00%
- Health care cost trend rate:
  - Initial rate: N/A N/A 8.00% 8.50%
  - Ultimate rate: N/A N/A 5.00% 5.00%
  - Years to ultimate rate: N/A N/A 6 7

Effect of one-percentage-point change in assumed health care cost trend rate on postretirement benefit obligation:

- Increase: N/A N/A $ 131,235 $ 109,066
- Decrease: N/A N/A $(103,512) $(86,415)
The actual asset allocation of the investment portfolio for the pension plan for fiscal 2009 and 2008, along with target allocations for fiscal 2010, are as follows:

<table>
<thead>
<tr>
<th></th>
<th>2010 Target</th>
<th>2009 Actual</th>
<th>2008 Actual</th>
</tr>
</thead>
<tbody>
<tr>
<td>Equity securities</td>
<td>44.0%</td>
<td>44.5%</td>
<td>48.7%</td>
</tr>
<tr>
<td>Fixed income securities</td>
<td>17.0</td>
<td>14.4</td>
<td>19.6</td>
</tr>
<tr>
<td>Real estate</td>
<td>8.0</td>
<td>6.4</td>
<td>6.8</td>
</tr>
<tr>
<td>Other</td>
<td>31.0</td>
<td>34.7</td>
<td>24.9</td>
</tr>
<tr>
<td><strong>TOTAL OF ASSET ALLOCATION CATEGORIES</strong></td>
<td><strong>100.0%</strong></td>
<td><strong>100.0%</strong></td>
<td><strong>100.0%</strong></td>
</tr>
</tbody>
</table>

The University’s investment strategy for the pension portfolio is to manage the assets across a broad and diversified range of investment categories, both domestic and international. The objective is to achieve a risk-adjusted return that is in line with the long-term obligations that the University has to the pension plan beneficiaries. The investment program is also managed to comply with all ERISA regulations. The “Other” asset category consists of absolute return funds, commodities, and cash.

The actual asset allocation of the investment portfolio for the pension plan for fiscal 2009 and 2008, along with target allocations for fiscal 2010, are as follows:

<table>
<thead>
<tr>
<th></th>
<th>2010 Target</th>
<th>2009 Actual</th>
<th>2008 Actual</th>
</tr>
</thead>
<tbody>
<tr>
<td>Equity securities</td>
<td>44.0%</td>
<td>44.5%</td>
<td>48.7%</td>
</tr>
<tr>
<td>Fixed income securities</td>
<td>17.0</td>
<td>14.4</td>
<td>19.6</td>
</tr>
<tr>
<td>Real estate</td>
<td>8.0</td>
<td>6.4</td>
<td>6.8</td>
</tr>
<tr>
<td>Other</td>
<td>31.0</td>
<td>34.7</td>
<td>24.9</td>
</tr>
<tr>
<td><strong>TOTAL OF ASSET ALLOCATION CATEGORIES</strong></td>
<td><strong>100.0%</strong></td>
<td><strong>100.0%</strong></td>
<td><strong>100.0%</strong></td>
</tr>
</tbody>
</table>

The following table provides a reconciliation of the fair value of plan assets for the University for fiscal 2009 and 2008 (in thousands of dollars):

<table>
<thead>
<tr>
<th></th>
<th>Pension benefits</th>
<th>Postretirement health benefits</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>2009</td>
<td>2008</td>
</tr>
<tr>
<td>Fair value of plan assets, beginning of year</td>
<td>$879,869</td>
<td>$896,964</td>
</tr>
<tr>
<td>Actual return on plan assets</td>
<td>(168,934)</td>
<td>21,434</td>
</tr>
<tr>
<td>Gross benefits paid</td>
<td>(30,187)</td>
<td>(38,529)</td>
</tr>
<tr>
<td><strong>FAIR VALUE OF PLAN ASSETS, end of year</strong></td>
<td><strong>$680,748</strong></td>
<td><strong>$879,869</strong></td>
</tr>
</tbody>
</table>

The following table provides the funded status at the end of the year and the related amounts recognized in the Balance Sheets for the University for fiscal 2009 and 2008 (in thousands of dollars):
The fiscal 2009 total amount recognized in changes in unrestricted net assets of $338.4 million is included in “Other changes” in the Statement of Changes in Net Assets with General Operating Account Detail.

There are no expected employer contributions for fiscal 2010 to funded pension or other benefit plans under the Pension Protection Act of 2006, because for ERISA purposes the plan actually remains overfunded as of January 1, 2009.

The following table summarizes expected benefit payments and subsidies for pension and other postretirement benefits for the University (in thousands of dollars):

<table>
<thead>
<tr>
<th>Fiscal year</th>
<th>Expected benefit payments</th>
<th>Expected Medicare Part D subsidies</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Pension</td>
<td>Postretirement</td>
</tr>
<tr>
<td>2010</td>
<td>$71,717</td>
<td>$24,591</td>
</tr>
<tr>
<td>2011</td>
<td>49,126</td>
<td>27,579</td>
</tr>
<tr>
<td>2012</td>
<td>49,785</td>
<td>29,948</td>
</tr>
<tr>
<td>2013</td>
<td>50,660</td>
<td>32,236</td>
</tr>
<tr>
<td>2014</td>
<td>51,533</td>
<td>34,624</td>
</tr>
<tr>
<td>2015–2019</td>
<td>265,535</td>
<td>211,558</td>
</tr>
</tbody>
</table>

The following table summarizes the components of the net periodic benefit (income)/cost for the University for fiscal 2009 and 2008 (in thousands of dollars):

<table>
<thead>
<tr>
<th></th>
<th>Pension benefits</th>
<th>Postretirement health benefits</th>
</tr>
</thead>
<tbody>
<tr>
<td>Service cost</td>
<td>$11,757</td>
<td>$29,439</td>
</tr>
<tr>
<td>Interest cost</td>
<td>37,849</td>
<td>40,815</td>
</tr>
<tr>
<td>Expected return on plan assets</td>
<td>(39,057)</td>
<td>(16,733)</td>
</tr>
<tr>
<td>Amortization of the:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Actuarial (gain)/loss</td>
<td>(10,101)</td>
<td>(252)</td>
</tr>
<tr>
<td>Prior service (credit)/cost</td>
<td>(4,374)</td>
<td>1,411</td>
</tr>
<tr>
<td>Transition (asset)/obligation</td>
<td>(4,374)</td>
<td>6,062</td>
</tr>
<tr>
<td>Special termination benefits</td>
<td>42,945</td>
<td>4,870</td>
</tr>
<tr>
<td>Net periodic benefit (income)/cost</td>
<td>19,017</td>
<td>(10,848)</td>
</tr>
</tbody>
</table>

Adjustment for return on invested reserves 3,001

TOTAL NET PERIODIC BENEFIT (INCOME)/COST $22,018 $10,848 $82,345 $58,054

Weighted-average assumptions used to determine net periodic benefit (income)/cost:

<table>
<thead>
<tr>
<th>Discount rate</th>
<th>Expected long-term rate of return on plan assets</th>
<th>Rate of compensation increase</th>
<th>Health care cost trend rate:</th>
</tr>
</thead>
<tbody>
<tr>
<td>6.50%</td>
<td>6.50%</td>
<td>4.00%</td>
<td>N/A</td>
</tr>
<tr>
<td>6.25%</td>
<td>6.50%</td>
<td>4.00%</td>
<td>N/A</td>
</tr>
<tr>
<td>6.50%</td>
<td>6.50%</td>
<td>4.00%</td>
<td>N/A</td>
</tr>
<tr>
<td>6.25%</td>
<td>6.50%</td>
<td>4.00%</td>
<td>N/A</td>
</tr>
<tr>
<td>7.50%</td>
<td>7.50%</td>
<td>4.00%</td>
<td>N/A</td>
</tr>
<tr>
<td>7.50%</td>
<td>7.50%</td>
<td>4.00%</td>
<td>N/A</td>
</tr>
<tr>
<td>7.50%</td>
<td>7.50%</td>
<td>4.00%</td>
<td>N/A</td>
</tr>
<tr>
<td>7.50%</td>
<td>7.50%</td>
<td>4.00%</td>
<td>N/A</td>
</tr>
</tbody>
</table>

Health care cost trend rate:

- Initial rate: N/A
- Ultimate rate: N/A
- Years to ultimate rate: N/A

Effect of one-percentage-point change in assumed health care cost trend rate on aggregate service and interest cost:

- Increase: N/A
- Decrease: N/A

N/A

$16,188 $13,778

$48,345 $41,966

$22,018 $10,848

$82,345 $58,054
The expected return on pension plan assets is determined by utilizing HMC’s capital markets model, which takes into account the expected real return, before inflation, for each of the pension portfolio’s asset classes, as well as the correlation of any one asset class to every other asset class. This model calculates the real returns and correlations and derives an expected real return for the entire portfolio, given the percentage weighting allocated to each asset class. After calculating the expected real return, an assessment is made to accommodate the expected inflation rate for the forthcoming period. The final expected return on assets is the aggregate of the expected real return plus the expected inflation rate.

The estimated amounts that will be amortized from unrestricted net assets into net periodic benefit (income)/cost in fiscal 2010 are as follows (in thousands of dollars):

<table>
<thead>
<tr>
<th>Depreciation</th>
<th>2009</th>
<th>2008</th>
</tr>
</thead>
<tbody>
<tr>
<td>Actuarial (gain)/loss</td>
<td>$2,792</td>
<td>$658</td>
</tr>
<tr>
<td>Prior service (credit)/cost</td>
<td>$(4,694)</td>
<td>1,411</td>
</tr>
<tr>
<td>Transition (asset)/obligation</td>
<td>6,062</td>
<td></td>
</tr>
<tr>
<td><strong>TOTAL AMOUNTS TO BE AMORTIZED</strong></td>
<td>$(7,486)</td>
<td>$8,131</td>
</tr>
</tbody>
</table>

### 13. GENERAL OPERATING ACCOUNT

The General Operating Account (GOA) consists of the general or current funds of the University as well as the assets and liabilities related to student and faculty loans and facilities. The GOA accepts, manages, and pays interest on deposits made by University departments; invests surplus working capital; makes loans; and arranges external financing for major capital projects. It is used to manage, control, and execute all University financial transactions, except for those related to investment activities conducted by HMC.

The major components of the GOA net asset balances as of June 30, 2009 and 2008 are summarized as follows (in thousands of dollars):

<table>
<thead>
<tr>
<th>Component</th>
<th>2009</th>
<th>2008</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Unrestricted</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Unexpended endowment income</td>
<td>$63,551</td>
<td></td>
</tr>
<tr>
<td>Unexpended gift balances</td>
<td>86,811</td>
<td></td>
</tr>
<tr>
<td>Pledge balances</td>
<td>367,967</td>
<td></td>
</tr>
<tr>
<td>Interests in trusts held by others</td>
<td>31,115</td>
<td></td>
</tr>
<tr>
<td>Loan funds</td>
<td>23,427</td>
<td>$92,362</td>
</tr>
<tr>
<td>Funds for construction</td>
<td>10,503</td>
<td></td>
</tr>
<tr>
<td>Funds invested in fixed assets</td>
<td>1,393,072</td>
<td></td>
</tr>
<tr>
<td>Other departmental purposes</td>
<td>458,797</td>
<td></td>
</tr>
<tr>
<td><strong>Total departmental balances</strong></td>
<td>2,025,658</td>
<td>92,362</td>
</tr>
<tr>
<td><strong>University balances</strong></td>
<td>388,426</td>
<td>506,503</td>
</tr>
<tr>
<td><strong>TOTAL GOA NET ASSET BALANCES</strong></td>
<td>$2,414,084</td>
<td>$1,176,696</td>
</tr>
</tbody>
</table>

*Includes interests in trusts held by others of $6,882 and $3,254 for the years ended June 30, 2009 and 2008, respectively.
14. STUDENT FINANCIAL AID

Financial aid granted to students in fiscal 2009 and 2008 is summarized as follows (in thousands of dollars):

<table>
<thead>
<tr>
<th></th>
<th>2009</th>
<th>2008</th>
</tr>
</thead>
<tbody>
<tr>
<td>Scholarships and other student awards:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Scholarships applied to student income</td>
<td>$302,369</td>
<td>$252,126</td>
</tr>
<tr>
<td>Scholarships and other student awards paid directly to students</td>
<td>122,479</td>
<td>110,532</td>
</tr>
<tr>
<td>Total scholarships and other student awards</td>
<td>424,848</td>
<td>362,658</td>
</tr>
<tr>
<td>Student employment</td>
<td>65,977</td>
<td>56,784</td>
</tr>
<tr>
<td>Student loans</td>
<td>25,481</td>
<td>32,635</td>
</tr>
<tr>
<td>Agency financial aid*</td>
<td>12,516</td>
<td>12,609</td>
</tr>
<tr>
<td>TOTAL STUDENT FINANCIAL AID</td>
<td>$528,822</td>
<td>$464,686</td>
</tr>
</tbody>
</table>

* Represents aid from sponsors for which the University acts as an agent for the recipient.

15. SPONSORED SUPPORT

Total expenditures funded by U.S. government sponsors or by institutions that subcontract federally sponsored projects to the University were $558.7 million and $535.0 million in fiscal 2009 and 2008, respectively. The University’s principal source of federal sponsored funds is the Department of Health and Human Services. The University also has many non-federal sources of sponsored awards and grants, including corporations, foundations, state and local governments, foreign governments, and research institutes.

Sponsored grants and contracts normally provide for the recovery of direct and indirect costs. The University recognizes revenue associated with direct costs as the related costs are incurred. Recovery of related indirect costs is generally recorded at fixed or predetermined rates negotiated with the federal government and other sponsors. Predetermined federal indirect cost rates have been established for the University Area, the Medical School (including the School of Dental Medicine), and the School of Public Health through fiscal 2010. Funds received for federally sponsored activity are subject to audit.

16. GIFTS

Gifts that are available for current purposes are classified as either “Gifts for current use” or “Non-federal sponsored grants,” as appropriate. Gifts that have been restricted by the donor or designated by the Corporation for facilities, loan funds, endowment, or similar purposes are classified as “Gifts for capital.” Gifts for current use, non-federal sponsored grants, and gifts for capital are classified as unrestricted, temporarily restricted, or permanently restricted net assets in accordance with donor specifications.

Gifts received for the years ended June 30, 2009 and 2008 are summarized as follows (in thousands of dollars):

<table>
<thead>
<tr>
<th></th>
<th>2009</th>
<th>2008</th>
</tr>
</thead>
<tbody>
<tr>
<td>Gifts for current use</td>
<td>$291,231</td>
<td>$236,599</td>
</tr>
<tr>
<td>Non-federal sponsored grants</td>
<td>92,798</td>
<td>84,044</td>
</tr>
<tr>
<td>Gifts for capital:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Endowment funds</td>
<td>194,459</td>
<td>336,059</td>
</tr>
<tr>
<td>Split interest agreements*</td>
<td>16,002</td>
<td>28,489</td>
</tr>
<tr>
<td>Loan funds and facilities</td>
<td>2,649</td>
<td>4,865</td>
</tr>
<tr>
<td>Total gifts for capital</td>
<td>213,110</td>
<td>369,413</td>
</tr>
<tr>
<td>TOTAL GIFTS</td>
<td>$597,139</td>
<td>$690,056</td>
</tr>
</tbody>
</table>

* Shown at net present value. The undiscounted value of these gifts was $394,454 and $657,771 for the years ended June 30, 2009 and 2008, respectively.
17. OTHER INCOME

The major components of other income for the years ended June 30, 2009 and 2008 were as follows (in thousands of dollars):

<table>
<thead>
<tr>
<th>Component</th>
<th>2009</th>
<th>2008</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rental and parking</td>
<td>$ 125,908</td>
<td>$ 134,141</td>
</tr>
<tr>
<td>Publications</td>
<td>75,660</td>
<td>85,150</td>
</tr>
<tr>
<td>Royalties from patents, copyrights, and trademarks</td>
<td>82,667</td>
<td>84,514</td>
</tr>
<tr>
<td>Services income</td>
<td>52,960</td>
<td>48,345</td>
</tr>
<tr>
<td>Sales income</td>
<td>57,249</td>
<td>46,634</td>
</tr>
<tr>
<td>Non-student health and clinic fees</td>
<td>25,168</td>
<td>24,370</td>
</tr>
<tr>
<td>Other student income</td>
<td>25,845</td>
<td>25,113</td>
</tr>
<tr>
<td>Other</td>
<td>60,399</td>
<td>62,620</td>
</tr>
<tr>
<td><strong>TOTAL OTHER INCOME</strong></td>
<td><strong>$ 505,856</strong></td>
<td><strong>$ 510,887</strong></td>
</tr>
</tbody>
</table>

18. OTHER EXPENSES

The major components of other expenses for the years ended June 30, 2009 and 2008 were as follows (in thousands of dollars):

<table>
<thead>
<tr>
<th>Component</th>
<th>2009</th>
<th>2008</th>
</tr>
</thead>
<tbody>
<tr>
<td>Services purchased</td>
<td>$ 388,649</td>
<td>$ 414,138</td>
</tr>
<tr>
<td>Subcontract expenses under sponsored projects</td>
<td>139,904</td>
<td>110,019</td>
</tr>
<tr>
<td>Travel</td>
<td>69,431</td>
<td>78,413</td>
</tr>
<tr>
<td>Publishing</td>
<td>46,861</td>
<td>52,961</td>
</tr>
<tr>
<td>Advertising</td>
<td>18,516</td>
<td>16,610</td>
</tr>
<tr>
<td>Taxes and fees</td>
<td>25,330</td>
<td>24,312</td>
</tr>
<tr>
<td>Interest</td>
<td>56,631</td>
<td>13,326</td>
</tr>
<tr>
<td>Postage</td>
<td>20,149</td>
<td>22,976</td>
</tr>
<tr>
<td>Insurance</td>
<td>12,715</td>
<td>12,017</td>
</tr>
<tr>
<td>Other</td>
<td>41,737</td>
<td>45,656</td>
</tr>
<tr>
<td><strong>TOTAL OTHER EXPENSES</strong></td>
<td><strong>$ 834,932</strong></td>
<td><strong>$ 800,910</strong></td>
</tr>
</tbody>
</table>

19. FUNCTIONAL CLASSIFICATION OF OPERATING EXPENSES

Operating expenses are allocated functionally on a direct basis. Interest, depreciation, and operations and maintenance expenses are allocated based on square footage.

Operating expenses by functional classification for the years ended June 30, 2009 and 2008 were as follows (in thousands of dollars):

<table>
<thead>
<tr>
<th>Component</th>
<th>2009</th>
<th>2008</th>
</tr>
</thead>
<tbody>
<tr>
<td>Instruction</td>
<td>$ 995,853</td>
<td>$ 946,944</td>
</tr>
<tr>
<td>Research</td>
<td>624,242</td>
<td>570,162</td>
</tr>
<tr>
<td>Libraries</td>
<td>239,708</td>
<td>212,334</td>
</tr>
<tr>
<td>Academic support</td>
<td>505,169</td>
<td>456,779</td>
</tr>
<tr>
<td>Scholarships and other student awards</td>
<td>122,479</td>
<td>110,532</td>
</tr>
<tr>
<td>Student services</td>
<td>138,935</td>
<td>125,025</td>
</tr>
<tr>
<td>Institutional support</td>
<td>736,917</td>
<td>625,176</td>
</tr>
<tr>
<td>Auxiliary services</td>
<td>392,768</td>
<td>417,941</td>
</tr>
<tr>
<td><strong>TOTAL OPERATING EXPENSES</strong></td>
<td><strong>$ 3,756,071</strong></td>
<td><strong>$ 3,464,893</strong></td>
</tr>
</tbody>
</table>

20. COMMITMENTS AND CONTINGENCIES

Sponsored support

The University receives funding from government agencies and private entities for research and other sponsored activities conducted under grants and contracts. These grants and contracts provide for reimbursement of direct and indirect costs. The costs recovered by the University in support of sponsored programs are subject to audit and adjustment.

Broad Institute

The University together with the Harvard-affiliated teaching hospitals, the Massachusetts Institute of Technology (MIT), and the Whitehead Institute for Biomedical Research jointly govern the Eli and Edythe L. Broad Institute (the “Broad Institute”).

In connection with the founding of the Broad Institute, the University and MIT agreed to strive to jointly raise $20.0 million per year in gifts and non-federal grants and awards to support
the Broad Institute’s endeavors. In the event this fundraising goal is not reached, the University has agreed to provide MIT with a portion of the shortfall, subject to certain conditions. The University will make payments and record the corresponding expenses as these conditions are met. The University’s obligation for such payments will not exceed $32.5 million over the initial five-year term, or $60.0 million in total if the term is extended for a second five years. The University had a commitment related to this obligation of $6.5 million as of June 30, 2009 and 2008, which is recorded in “Accounts payable” in the Balance Sheets.

On July 1, 2009, the Broad Institute was established as a separate permanent entity. The University, MIT, and the Broad Foundation have transferred employees, research agreements, and related assets and liabilities to the new entity. Included in the University’s balance sheet on June 30, 2009 are investment assets of the Broad Institute of $52.0 million, which will be written off in fiscal 2010.

**Lease commitments**

The University is the lessee of equipment and space under operating (rental) and capital leases. Rent expense related to leases was $24.4 million and $19.9 million in fiscal 2009 and 2008, respectively. Future minimum payments under these operating and capital leases are as follows (in thousands of dollars):

<table>
<thead>
<tr>
<th>Year</th>
<th>Operating</th>
<th>Capital</th>
</tr>
</thead>
<tbody>
<tr>
<td>2010</td>
<td>$39,683</td>
<td>$6,158</td>
</tr>
<tr>
<td>2011</td>
<td>34,808</td>
<td>6,309</td>
</tr>
<tr>
<td>2012</td>
<td>29,715</td>
<td>6,420</td>
</tr>
<tr>
<td>2013</td>
<td>25,025</td>
<td>6,420</td>
</tr>
<tr>
<td>2014</td>
<td>22,409</td>
<td>6,471</td>
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<tr>
<td>Thereafter</td>
<td>166,372</td>
<td>180,997</td>
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<tr>
<td><strong>Total Future Minimum Payments</strong></td>
<td><strong>$318,012</strong></td>
<td><strong>$212,775</strong></td>
</tr>
</tbody>
</table>

**Fixed asset-related commitments**

The University has various commitments for capital projects involving construction and renovation of certain facilities, real estate acquisitions, and equipment purchases, for which the outstanding commitments as of June 30, 2009 totaled approximately $483.3 million.

**Environmental remediation**

The University is subject to laws and regulations concerning environmental remediation and has established reserves for potential obligations that management considers to be probable and for which reasonable estimates can be made. These estimates may change substantially depending on new information regarding the nature and extent of contamination, appropriate remediation technologies, and regulatory approvals. Costs of future environmental remediation have not been discounted to their net present value. Management is not aware of any existing conditions that it believes are likely to have a material adverse effect on the University’s financial position, changes in net assets, or cash flows.

**General**

The University is a defendant in various legal actions arising from the normal course of its operations. While it is not possible to predict accurately or determine the eventual outcome of such actions, management believes that the outcome of these proceedings will not have a material adverse effect on the University’s financial position, changes in net assets, or cash flows.
Part II
Schedule of Expenditures of Federal Awards
The accompanying notes are an integral part of this schedule of expenditures of federal awards.
## Harvard University
### Schedule of Expenditures of Federal Awards
#### June 30, 2009

The accompanying notes are an integral part of this schedule of expenditures of federal awards.

<table>
<thead>
<tr>
<th>Federal Grantor/Pass-through Grantor/Program or Cluster Title</th>
<th>CFDA Number</th>
<th>Award Number</th>
<th>Pass-through Entity Identification Number</th>
<th>Federal Expenditures</th>
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<tbody>
<tr>
<td><strong>Research and Development and Research Training Cluster</strong></td>
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<tr>
<td><strong>Direct Programs</strong></td>
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<tr>
<td>Department of Defense</td>
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<tr>
<td>Detection And Transmission Of Salient Features In The Natural Visual World</td>
<td>12</td>
<td>HM1582-05-C-0009</td>
<td>$ (141,364)</td>
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<tr>
<td>Investigation Of Optical Properties Of Black Si</td>
<td>12</td>
<td>W15QKN-07-P-0092</td>
<td>38,943</td>
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<td>Lincoln Scholars Program</td>
<td>12</td>
<td>7000046702</td>
<td>39,175</td>
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<tr>
<td>Macrophage Killing Of Intracellular Pathogens: Genome-wide Analysis</td>
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<td>HDTRA 1-06-C-0036</td>
<td>831,873</td>
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<tr>
<td>Maternal Fisk Factors For Autism Spectrum Disorders In Children Of The Nurses' Health Study II</td>
<td>12</td>
<td>W81XWH-08-1-0497</td>
<td>130,531</td>
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<td>Nanowire Photonic Systems</td>
<td>12</td>
<td>FA9550-06-1-0541</td>
<td>78,493</td>
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<tr>
<td>Prospective Study of ALS Mortality Among World War II, Korea, and Vietnam Veterans</td>
<td>12</td>
<td>W81XWH-05-1-0117</td>
<td>213,823</td>
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<tr>
<td>Quantum Simulations Of Many-body Systems With Ultra-cold Atoms</td>
<td>12</td>
<td>FA9550-06-1-0287</td>
<td>66,319</td>
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<td>Radioligating and Radiotherapy of Prostate Cancer</td>
<td>12</td>
<td>W81XWH-06-1-0043</td>
<td>(825)</td>
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<td>Research into the Application of Differential Geometry to Optimization Problems in Quantum Computing</td>
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<td>W911QX-06-P-0755</td>
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<td>The Infectious Pathogenesis of Prostate Cancer</td>
<td>12</td>
<td>W81XWH-07-1-0238</td>
<td>244,798</td>
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<td>The Relation Between Surrogates Of Energy Imbalance On Hormones Associated With Prostate Cancer Risk</td>
<td>12</td>
<td>W81XWH-06-1-0188</td>
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<td>Vulnerability Assessment Tools for Complex Information Networks</td>
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<td>DAAD19-01-1-0610</td>
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<td>Assembly Of Ultra-dense Nanowire-based Computing Systems</td>
<td>12.300</td>
<td>N00014-04-1-0591</td>
<td>(1,285)</td>
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<td>Development Of A Quantum Repeater For Long-distance Quantum Communication Using Photonic Information Storage</td>
<td>12.300</td>
<td>N00014-02-1-0599</td>
<td>(220)</td>
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<td>Development Of Evolvable Sequence-defined Synthetic Polymers</td>
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<td>N00014-03-1-0749</td>
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<td>Fast And Accurate Fabrication Of Three-dimensional Photonic And Phononic Crystals By Optical Patteming And Chemical Modification</td>
<td>12.300</td>
<td>N00014-07-1-0690</td>
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<td>Hovering Control For Insect-inspired Flapping-wing Micro Air Vehicles</td>
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<td>Mechanistic Studies On Nanoscale Corrosion Of Aluminum Metal And Alloys</td>
<td>12.300</td>
<td>N00014-07-1-0486</td>
<td>82,279</td>
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<td>Novel High-resolution Experimental Approaches To Investigate Nanoscale Corrosion Phenomena In Metals And Alloys</td>
<td>12.300</td>
<td>N00014-07-1-0760</td>
<td>92,094</td>
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<td>Targeting Vasopressin Encapsulating Liposomes to Injured Endothelial Cells for Hemorrhagic Shock Therapy</td>
<td>12.300</td>
<td>N00014-07-1-0873</td>
<td>117,846</td>
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<td>Variable Angle In Situ Microscopy of Surface-Related Phenomena</td>
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<td>N00014-09-1-0759-DOD35CAP</td>
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<td>Wireless Computing Architecture</td>
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<td>Wireless Computing Architectures II</td>
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<td><strong>Subtotal of 12.300</strong></td>
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<td>795,806</td>
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</table>
The accompanying notes are an integral part of this schedule of expenditures of federal awards.
### Harvard University
#### Schedule of Expenditures of Federal Awards

**June 30, 2009**

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<tr>
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<tr>
<td>Microwatt Computing — Application-driven Architectures For Wireless Sensor Devices</td>
<td>12.630</td>
<td>W911NF-07-1-0170</td>
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<td>Nanowire Photovoltaic Power Sources For Integrated Nanoelectronic Systems</td>
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<td>Semi-Supervised Learning for Spoken Term Detection</td>
<td>12.630</td>
<td>HM1582-081-0023</td>
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<td>The Exploration of At-Scale Insect Aerodynamics Towards the Creation of Flying Robotic Insects</td>
<td>12.630</td>
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<tr>
<td>A Comprehensive Study Of Aeroelasticity In Flapping-wing Mavs</td>
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<td>FA9550-091-0156</td>
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<td>A High-temperature Combinatorial Technique For The Thermal Analysis Of Materials</td>
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<td>FA9550-081-0374</td>
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<td>Beam-shaped Single Mode Spiral Lasers</td>
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<td>Branched Nanowire Architectures For Compact Power Sources</td>
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<td>FA9550-061-0062</td>
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<td>To Manipulate And Image Magnetic Nanostructures</td>
<td>12.800</td>
<td>FA9550-081-0203</td>
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<td>Exploratory Phase Transition-based Switches Using Functional Oxides</td>
<td>12.800</td>
<td>FA9550-081-0015</td>
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<tr>
<td>GHz And Thz Amplifier And Oscillator Circuits With 1d Nanoscale Devices For</td>
<td>12.800</td>
<td>FA9550-061-0305</td>
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<td>284,413</td>
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<td>Multispectral Heterodyning Detector Arrays</td>
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<td>FA9550-091-0056</td>
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<td>Nanofabrication Of Three-dimensional Metamaterials-dod35cap</td>
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<td>FA9550-071-0025</td>
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<td>Nanotube Sculpting For Quantum Control With Cold Atoms</td>
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<td>FA9550-051-0435</td>
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<td>New Widely Tunable, Room-temperature Terahertz Coherent Sources</td>
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<td>Quantum Simulations of Condensed Matter Systems Using Ultra-cold Atomic Gases</td>
<td>12.800</td>
<td>FA9550-051-0031</td>
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<td>211,672</td>
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<tr>
<td>Slow Light: Novel Techniques for Optical Signal Processing Based on Stationary Pulses of Light</td>
<td>12.800</td>
<td>FA9550-081-0297</td>
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<td>System for Nanoscale Electrical Characterization of Microbial Fuel Cells</td>
<td>12.800</td>
<td>FA9550-071-0024</td>
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<td>The Production and Study of Antiprotons and Cold Antihydrogen</td>
<td>12.800</td>
<td>FA9550-081-0254</td>
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<td>THz Plasmonic Science and Technology with Low-Dimensional Carbon Nanotubes (1D) and Graphene (2D)</td>
<td>12.800</td>
<td>FA9550-051-0071</td>
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<td>Vortex Pinning in the High-Tc Superconductor YBa2Cu308+*</td>
<td>12.800</td>
<td>FA9550-061-0371</td>
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<td><strong>Subtotal of 12.800</strong></td>
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<tr>
<td>Diamond Based Magnetometry For Quantum Information Processing Using Endohedral Fullerenes</td>
<td>12.910</td>
<td>HR0011-091-0005</td>
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<td>217,989</td>
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<tr>
<td>Fully-integrated, Distributed, Switch-mode Power-supply Regulators For Next-generation Chip Multiprocessors</td>
<td>12.910</td>
<td>W911NF-071-0331</td>
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<td>(7,731)</td>
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<tr>
<td>Mechanisms Of Traumatic Brain Injury In Vitro</td>
<td>12.910</td>
<td>N66001-081-0306</td>
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<td>981,076</td>
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<tr>
<td>Memsa/nems S And T Fundamentals Center: Microfluidic Systems For Ultra-sensitive Biomolecule Detection</td>
<td>12.910</td>
<td>HR0011-061-0044</td>
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<td>785,873</td>
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<td>SERS Engineering Collaboration (SEC)</td>
<td>12.910</td>
<td>FA9550-081-0285</td>
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<td>Speaker and Network Identification from Communications Data</td>
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<td>Study to Determine Targets for Development of Technology Using Fluidic Optics</td>
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<td>Topological Methods in Automorphic Forms</td>
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<td><strong>Subtotal of 12.910</strong></td>
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<tr>
<td><strong>Total Department of Defense Direct Programs</strong></td>
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## Research and Development and Research Training Cluster

### Department of Education

<table>
<thead>
<tr>
<th>Project Description</th>
<th>PO</th>
<th>Grant Number</th>
<th>Amount</th>
</tr>
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<tbody>
<tr>
<td>Using Contrasting Examples to Support Procedural Flexibility and Conceptual Understanding in Mathematics</td>
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<td>R305H050005</td>
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<tr>
<td>Advancing Ecosystems Science Education via Situated Collaborative Learning in Multi-User Virtual Environments</td>
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<td>R305A080514</td>
<td>292,815</td>
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<tr>
<td>Language Diversity and Literacy Development: Increasing Opportunities-to-Learn in Urban Middle Schools</td>
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<td>R305A080631</td>
<td>381,732</td>
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<tr>
<td>Preparing to Succeed: An Efficacy Trial of Two Early Childhood Curricula</td>
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<td>R305A090209</td>
<td>43,461</td>
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<tr>
<td>Studying the Potential of Virtual Performance Assessments for Measuring Student Achievement in Science</td>
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<td>R305A080141</td>
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<td>The Consequences for High School Students Failing State Exit Exams: Evidence from Massachusetts</td>
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<td>R305A080127</td>
<td>43,849</td>
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<tr>
<td><strong>Subtotal of 84.305</strong></td>
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<td>1,170,814</td>
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</table>
### Department of Energy

<table>
<thead>
<tr>
<th>Project Description</th>
<th>PO</th>
<th>Grant Number</th>
<th>Amount</th>
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<tr>
<td>A Proposal for v Experiment and R and D Work</td>
<td>81</td>
<td>PO 565830</td>
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<td>Bystander Effects of Ionizing Radiation</td>
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<td>DE-FG02-05ER64089</td>
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<td>Developing the Optimal Technique for Cluster Photometric Redshift Determination: an Essential Ingredient in Measuring Dark Energy with Cluster Abundances</td>
<td>81</td>
<td>DE-FG02-07ER41513</td>
<td>50,000</td>
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<td>Dynamic Self-Assembly, Emergence, and Complexity</td>
<td>81</td>
<td>DE-FG02-00ER45652</td>
<td>69</td>
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<td>Experimental Study of Confined Charged Fermions: Multielectron Bubbles</td>
<td>81</td>
<td>DE-FG02-02ER45978</td>
<td>48,663</td>
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<tr>
<td>Growth and Dissolution of Iron and Manganese Oxide Films</td>
<td>81</td>
<td>DE-FG02-03ER15384</td>
<td>49,660</td>
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<td>Measurements of Carbon Fluxes and Interactions with Ecological and Environmental Processes at Harvard Forest</td>
<td>81</td>
<td>DE-FG02-95ER62002</td>
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<td>Microbial Ecology, Proteogenomics and Computational Optima</td>
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<td>DE-FG02-02ER63445</td>
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<td>Nanoscale Morphology Evolution Under Ion Irradiation</td>
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<td>DE-FG02-08ER46335</td>
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<td>Real-Time Gene Expression Profiling of Live Shewanella Oneidensis Cells</td>
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<td>DE-FG02-04ER63784</td>
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<td>Sandia Information Assurance Fellowship</td>
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<td>Study of Lignocellulosic Material Degradation with CARS Microscopy</td>
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<td>Synchrotron X-Ray Studies of the Surfaces of Liquid Metal Alloys</td>
<td>81</td>
<td>DE-FG02-88ER45379</td>
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<td>Theoretical Studies of Atomic Collision Physics</td>
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<td>DE-FG02-88ER13861</td>
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<td><strong>Subtotal of 81</strong></td>
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<td>944,125</td>
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Harvard University  
Schedule of Expenditures of Federal Awards  
June 30, 2009

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<tr>
<td>Department of Energy</td>
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<tr>
<td>Coherent Anti-Stokes Raman Scattering Spectroscopy of Single Molecules in Solution</td>
<td>81.049</td>
<td>DE-FG02-07ER15875</td>
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<td>Detection of Long-Term trends in Carbon Accumulation by Forest in Northeastern U.S. and Determination of Causal Factors</td>
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<td>DE-FG02-07ER64358</td>
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<td>Dynamic Self-Assembly, Emergence, and Complexity</td>
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<td>DE-FG02-00ER45852</td>
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<td>Electron Diffraction Determination of Nanoscale Structures</td>
<td>81.049</td>
<td>DE-FG02-01ER45921</td>
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<td>Electron Imaging in 2DEG's</td>
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<td>DE-FG02-07ER46422</td>
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<td>Exploiting Metastable Oxygen on Gold Surfaces for the Selective Functionalization of Olefins</td>
<td>81.049</td>
<td>DE-FG02-84ER13289</td>
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<td>Hierarchical Petascale Simulation Framework for Stress Corrosion Cracking</td>
<td>81.049</td>
<td>DE-FC02-06ER25790</td>
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<td>Laboratory Studies of the Reactive Chemistry and Changing CCN Properties of Secondary Organic Aerosol, Including Model Development</td>
<td>81.049</td>
<td>DE-FG02-08ER64529</td>
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<td>Microbial Ecology, Proteogenomics and Computational Optima</td>
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<td>DE-FG02-02ER63445</td>
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<td>Research in High Energy Physics</td>
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<td>Surface Studies of Liquid Metals: Electronic and Tokamak Interests</td>
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<td>DE-FG02-88ER45379</td>
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<td>Theoretical Studies of Atomic Collision Physics</td>
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<td>DE-FG02-88ER13861</td>
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<td>Theory of Electron Imaging in 2DEGs</td>
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<td>Ultracold Molecules: Physics in the Quantum Regime</td>
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<td>Using Arm Observations to Evaluate and Improve Wave-Convection Interactions in Global Climate Models: An Extended Single Column Modeling Approach</td>
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<td>Attaining the Photometric Precision Required by Future Dark Energy Projects</td>
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| Department of Homeland Security                               |             |              |                                            |                     |
| National Fire Academy Education Program                       | 97.019      | EME-2007-GR-0159 | (21,799) |                     |
| National Fire Academy Education Program 2008                 | 97.019      | EMW-2008-GR-0641 | 21,800 |                     |
| Subtotal of 97.019                                          |             |              |                                            | 1                  |
| Predicting Cardiovascular Risk and Fitness in Firefighters   | 97.044      | EMW-2006-FP-01493 | 203,965 |                     |
| Subtotal of 97.044                                          |             |              |                                            | 203,965            |
| Total Department of Homeland Security Direct Programs         |             |              |                                            | 203,966            |

The accompanying notes are an integral part of this schedule of expenditures of federal awards.
Harvard University
Schedule of Expenditures of Federal Awards
June 30, 2009

<table>
<thead>
<tr>
<th>Federal Grantor/Pass-through Grantor/Program or Cluster Title</th>
<th>CFDA Number</th>
<th>Award Number</th>
<th>Pass-through Entity Identification Number</th>
<th>Federal Expenditures</th>
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<tr>
<td><strong>Research and Development and Research Training Cluster</strong></td>
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<td><strong>Direct Programs</strong></td>
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<tr>
<td>Department of Housing and Urban Development</td>
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<td>Urban and Rural Household Pesticide Exposures in Minority Communities</td>
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<td>Department of Justice</td>
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<td>Leadership in Counterterrorism Program (LINCT)</td>
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<td>10-HQ-C1352531-LINCT-PAC-32</td>
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<td>Leadership in the Counter Terrorism Environment</td>
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<td>Policing in the New Century: An Executive Session on Public Safety</td>
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<td>Department of State</td>
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<td>Assessing the Public Health Consequences of Sex Trafficking in India, Nepal and Bangladesh</td>
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<td>S-LMAQM-07-GR-020-(A003)</td>
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<td>Investigating the Public Health Aspects of Sex Trafficking Within Cambodia and Thailand</td>
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<td>S-GTIP-08-GR-0009</td>
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<td>Multi-regional Study Of Commercial Sexual Exploitation Of Children</td>
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<td>Promoting Democracy Through New Media</td>
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<td>Department of the Interior</td>
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<td>Study of Utilizing Mathematical Methods to Estimate the Impact and Cost-Effectiveness of Various HPV Vaccination Strategies in the US for the Department of Health and Human Services, CDC</td>
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<td>1406-04-07-CT-66327</td>
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<td>3D Structural Velocity (Vp) model of the Ventura and Santa Barbara basins, California, for improved strong ground motion prediction.</td>
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</table>

The accompanying notes are an integral part of this schedule of expenditures of federal awards.
Harvard University
Schedule of Expenditures of Federal Awards
June 30, 2009

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<th>Federal Expenditures</th>
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<tr>
<td><strong>Research and Development and Research Training Cluster</strong></td>
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<td><strong>Department of Transportation</strong></td>
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<td>Center of Excellence for Research in the Intermodal Transport Environment (RITE)</td>
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<td>07-C-RITE-HU</td>
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<td>Health Impacts of Aviation-Related Air Pollutants (PARTNER Project 11)</td>
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<td>07-C-NE-HU</td>
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<td>Air Transportation Center of Excellence for Airliner Cabin Environment</td>
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<td>Consultation, Review and Design of VA Health Literacy Efforts</td>
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<td><strong>Environmental Protection Agency</strong></td>
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<td>Cardiovascular Responses to Particulate Exposure</td>
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<td>RD-83083801-3</td>
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<td>EPA Graduate Fellowship</td>
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<td>Investigation of the Effects of Changing Climate on Fires and the Consequences for US Air Quality Using A Hierarchy of Chemistry and Climate Models</td>
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<td>RD-83227501-0</td>
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<td>Study and Analysis of Policies to Induce Technology Innovation in the Transportation Sector</td>
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<td>Dioxins, Male Pubertal Development and Testis Function</td>
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<td>R-82943701-3</td>
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<td>Bayesian and Adjoint Inverse Model Analysis of PM Sources in the United States Using Observations</td>
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<td>RD-83215801-0</td>
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<td>From Surface, Aircraft, and Satellite Platforms</td>
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<td>RD-83337001-0</td>
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<td>Global Change And Air Pollution (gcap) Phase 2: Implications For U.S. Air Quality And Mercury Deposition Of Multiple Climate And Global Emission Scenarios For 2000-2050</td>
<td>66.509</td>
<td>RD-83172501-4</td>
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<td>Metal Mixtures and Children's Health</td>
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<td>Novel Exposure Scenarios to Define the Health Effects of Particle Sources</td>
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<td>RD-83386701-2</td>
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<td>Uncertainty Analysis in Integrated Assessments</td>
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<td>RD-83082401-3</td>
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<td>Value of Reducing Children's Mortality Risk: Effects of Latency and Disease Type</td>
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<td>RD-83159301-2</td>
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<td>Valuing Morbidity Using Willingness To Pay and health Utility Measures</td>
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## Harvard University
### Schedule of Expenditures of Federal Awards
#### June 30, 2009

### Research and Development and Research Training Cluster
#### Direct Programs

### Environmental Protection Agency
- **Constraints on Mercury Emissions and Processes from Atmospheric Observations**
  - CFDA Number: 66.514
  - Award Number: FP-91668301-2
  - Subtotal: $10,597

- **Characterize Uncertainty for Economic Analysis**
  - CFDA Number: 66.611
  - Award Number: PI-83359301-1
  - Subtotal: $65,259

**Total Environmental Protection Agency Direct Programs**: $3,235,947

### National Aeronautics and Space Administration
- **2: Fluxes and Budgets of CO2 and H2O in the Amazon Basin**
  - CFDA Number: 43
  - Award Number: NNX08AP68A
  - Expenditures: $46,366

- **A New Magnetar in a Young Supernova Remnant**
  - CFDA Number: 43
  - Award Number: NNX06AH53G
  - Expenditures: $1,378

- **A New Magnetar in a Young Supernova Remnant**
  - CFDA Number: 43
  - Award Number: GO7-8002K
  - Expenditures: $10,102

- **Alteration of Composition and Structure in Cometsimals During Collisional Evolution**
  - CFDA Number: 43
  - Award Number: NNG05GH46G
  - Expenditures: $28,209

- **BAT Slew Survey (BATSS): Enhancing the GRB Yield for Swift**
  - CFDA Number: 43
  - Award Number: NNX07AF78G
  - Subtotal: $(5,262)

- **A New Magnetar in a Young Supernova Remnant**
  - CFDA Number: 43
  - Award Number: NNX09AP27G
  - Expenditures: $9,849

- **A New Magnetar in a Young Supernova Remnant**
  - CFDA Number: 43
  - Award Number: NNG05GC39G
  - Expenditures: $16,228

- **Chemistry, Dynamics, and Radiation of Ozone Loss: Airborne Measurements of OH, HO2, NO2, ClO, BrO, IO, ClONO2, BrONO2, ClOOCI, and H2O**
  - CFDA Number: 43
  - Award Number: NNL04AA14G
  - Expenditures: $58

- **CIRCINUS X-1 NEAR PERIASTRON: PROBING BINARY PHYSICS AND ISM GRAINS ALONG THE LINE OF SIGHT**
  - CFDA Number: 43
  - Award Number: NNX08AL37G
  - Expenditures: $34,198

- **CO2 Budget Regional Airborne Study (COBRA)-Brazil**
  - CFDA Number: 43
  - Award Number: NCC5-590
  - Subtotal: $(6,042)

- **Comparative Exoplanetology with Spitzer**
  - CFDA Number: 43
  - Award Number: 1310582
  - Expenditures: $209,946

- **Complementary In Situ Measurements of Water Vapor and its Isotopic Composition (H2O, HDO, H218O) for AURA Collaborative Science**
  - CFDA Number: 43
  - Award Number: NNG05G056G
  - Expenditures: $(392,329)

- **Constraining Aerosol Sources Using Modis Backscattered Reflectances**
  - CFDA Number: 43
  - Award Number: NNG05GQ04H
  - Expenditures: $3,000

- **Constraining Co Sources and Co2 Surface Fluxes Using Satellite Observations And A 4-dimensional Variational Data Assimilation Technique**
  - CFDA Number: 43
  - Award Number: NNX06AF54H
  - Expenditures: $27,736

- **Constraining the Global Lightening NOx Source Through Satellite Observations**
  - CFDA Number: 43
  - Award Number: NNX08AT22H
  - Expenditures: $21,361

- **Constraining the Reflection Properties of the Narrow-Line Radio Galaxy 3C 33**
  - CFDA Number: 43
  - Award Number: NNX08AI59G
  - Expenditures: $786

- **Cycle 14: Gotcha using Swift GRBs to Pinpoint the Highest Redshift Galaxies**
  - CFDA Number: 43
  - Award Number: HST-GO-10616.20-A
  - Expenditures: $16,144

- **Cycle 15: Gotcha Using Swift GRBs to Pinpoint the Highest Redshift Galaxies**
  - CFDA Number: 43
  - Award Number: HST-GO-10908.19-A
  - Expenditures: $10,335

- **Detection of Very Small Kuiper Belt Objects with the Taiwanese-American Occultation Society**
  - CFDA Number: 43
  - Award Number: NNG05GO66G
  - Expenditures: $12,110

- **Developing Data Assimilation Methods to Forecast Changes in the Earth's Magnetic Field**
  - CFDA Number: 43
  - Award Number: NNG06GA88H
  - Expenditures: $7,500

- **Dynamic Global Terrestrial Ecosystem Model for Climate Interactions at Seasonal to Century Time Scales**
  - CFDA Number: 43
  - Award Number: NNX06AD07G-S02
  - Expenditures: $74,102

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#### June 30, 2009

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<th>Pass-through Entity Identification Number</th>
<th>Federal Expenditures</th>
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<td>Evaluating the Utility of Space-Borne Water Isotopic Composition Measurements in an Integrated Approach</td>
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<td>Exploring the ISM with MAP: the microwave emission from spinning dust (LTSA Junior Researcher)</td>
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<td>Galactic Bulge Latitude Survey-2</td>
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<td>Galactic Bulge Latitude Survey-3</td>
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<td>Halogen Radicals, Global Ozone Change, and Climate/Chemistry Coupling: In Situ Measurements</td>
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<td>NNG05GK51G</td>
<td>(466,706)</td>
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<td>High Accuracy Continuous Airborne Measurements of CO2, CO, CH4, and N20 in AVE and TC4 and Analysis Using the Stochastic Time-Reversed Lagrangian Tracer (STILT) Model</td>
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<td>NNG05GN82G</td>
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<td>In Situ Water Vapor and Total Water Measurements Using Photofragment Fluorescence and UV Absorption Detection</td>
<td>43</td>
<td>NNG05GJ81G</td>
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<td>In Situ, Laser-Induced Fluorescence Measurements of Hox in the Mid to Upper Troposphere and INTEGRAL: Search for Isolated Stellar Mass Black Holes in the TAUROS GMC</td>
<td>43</td>
<td>NNX07AB60G</td>
<td>31,052</td>
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<td>Interaction between Convection, Disturbance and Deforestation in the Amazon: A Remote Sensing and Modeling Study</td>
<td>43</td>
<td>NNX08AU95H</td>
<td>17,000</td>
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<td>Investigation of the Processes Controlling Tropospheric Ozone Using TES, OMI, and Aircraft Observations Interpreted with the GEOS-Chem CTM and its Adjoint</td>
<td>43</td>
<td>NNX07AN65H</td>
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<td>Isotopic Studies of Solar System Origins</td>
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<td>Isotopic Studies of the Formation of Planets and Planetesimals</td>
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<td>MASS-TO-RADIUS MEASUREMENT OF THE MILLISECOND PULSAR J0030+0451</td>
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<td>NNX08AD54G</td>
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<td>Measuring the Size of the Close-in Transiting Extrasolar Planet HD 18973b</td>
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<td>Mining the Rich Archive for 47 Tucanae</td>
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<td>HST-AR-11245.02-A</td>
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<td>Mission Design and Chemical Forecasting for Intex-B and Post-Mission Data Analysis for INTEX-A and B</td>
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<td>NNG06GB17G</td>
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<td>NASA GSRP Research Proposal: Testing the Cosmological Applications of Long-Duration Gamma-Ray Bursts with the NASA/GSFC SWIFT Satellite</td>
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<td>NNX07AK34H</td>
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<td>Neoproterozoic evolution and environmental change: Integrated experimental and geological approaches</td>
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<td>NNC04GB14G</td>
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<td>Porosity and Volatility in Impact Processes</td>
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<td>NNG04G174G</td>
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<td>Probing the End of the Dark Ages</td>
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<td>NNG05GJ40G</td>
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<td>Prototyping EXIST: Detector and Telescope Development</td>
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<td>NAGS5-5396</td>
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<td>Quantifying the Sources and Global Transport of Combustion Gases and Aerosols using MOPITT, MODIS, MISR, and Related Satellite Observations</td>
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<td>SHOES: Supernovae, HO, for the Equation of State of Dark Energy</td>
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The accompanying notes are an integral part of this schedule of expenditures of federal awards.
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<td>The Bizarre Young Supernova Remnant G350.1-0.3</td>
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<td>The Dirt on Dust Composition, Size, and Distribution in the Galaxy</td>
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<td>The X-Ray Nuclei FRII Radio Galaxies: Unification and Accretion Modes</td>
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<td>NNX07AQ52G</td>
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<td>A Model Analysis of NOx Sources and Tropospheric Ozone in the Northern Extratropics Constrained by Aura and In-Situ Data</td>
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<td>BrO/ ClO/ CINO2/ CIOOCI Instrument in Support of In Situ Studies of Ozone Catalytic Loss in the Stratosphere Combined In Situ Water Vapor and Total Water Instrument for High Accuracy in Situ Airborne Observations in the Troposphere and Stratosphere</td>
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<td>Data Assimilation, Validation and Analysis of Aura Observations to Improve Understanding of Tropospheric Ozone Detector and Telescope Development for ProtoEXIST</td>
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<td>Development, Evaluation, and Applications of the Tropospheric Chemistry Simulation Capability of the Global Modeling Initiative.</td>
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<td>Improved Quantification of Regional Carbon Budgets Using High Density CO2 and CO Data from Satellite and Aircraft</td>
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<td>Integrated Analysis of Regional and Continental Carbon Budgets CO2 and CO in North America, Using Data from Remote Sensing, from Stations Measuring Concentrations and Fluxes, and other Sources</td>
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<td>Prebiotic Metabolic Systems Driven by Colloidal Semiconductor Photocatalysis</td>
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<td>The Full Picture of Magnetic Activity in Ultracool Dwarfs: Simultaneous Observations of Coronae and Chromospheres</td>
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<td>Validation Support for TES Products For Ozone, CO, and HNO3, and Analysis of Data from Aura and Aircraft Missions</td>
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<td>Westerly Wind Bursts: El Nino Southern Oscillation's (ENSO) Driver or Slave</td>
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Subtotal of 43.001 4,644,341

Total National Aeronautics and Space Administration Direct Programs 5,718,520

The accompanying notes are an integral part of this schedule of expenditures of federal awards.
## Harvard University

### Schedule of Expenditures of Federal Awards

**June 30, 2009**

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<table>
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<tr>
<th>Federal Grantor/Pass-through Grantor/Program or Cluster Title</th>
<th>CFDA Number</th>
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<td><strong>Research and Development and Research Training Cluster</strong></td>
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Harvard University  
Schedule of Expenditures of Federal Awards  
June 30, 2009

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<td>Direct Programs</td>
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The accompanying notes are an integral part of this schedule of expenditures of federal awards.
Harvard University
Schedule of Expenditures of Federal Awards
June 30, 2009

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<th>Federal Grantor/Pass-through Grantor/Program or Cluster Title</th>
<th>CFDA Number</th>
<th>Award Number</th>
<th>Pass-through Entity Identification Number</th>
<th>Federal Expenditures</th>
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<table>
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<th>CFDA Pass-through Entity</th>
<th>CFDA Number</th>
<th>Award Number</th>
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June 30, 2009

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Subtotal of 47.050: 4,189,128

The accompanying notes are an integral part of this schedule of expenditures of federal awards.
### Harvard University

**Schedule of Expenditures of Federal Awards**

**June 30, 2009**

<table>
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<tr>
<th>Federal Grantor/Pass-through Grantor/Program or Cluster Title</th>
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<th>Award Number</th>
<th>Pass-through Entity Identification Number</th>
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Subtotal of 47.070: 1,838,797

The accompanying notes are an integral part of this schedule of expenditures of federal awards.
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The accompanying notes are an integral part of this schedule of expenditures of federal awards.
### Harvard University
#### Schedule of Expenditures of Federal Awards
##### June 30, 2009

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<th>CFDA Number</th>
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The accompanying notes are an integral part of this schedule of expenditures of federal awards.
# Harvard University

## Schedule of Expenditures of Federal Awards

### June 30, 2009

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<tr>
<th>Federal Grantor/Pass-through Grantor/Program or Cluster Title</th>
<th>CFDA Number</th>
<th>Award Number</th>
<th>Pass-through Entity Identification Number</th>
<th>Federal Expenditures</th>
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Harvard University  
Schedule of Expenditures of Federal Awards  
June 30, 2009

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Schedule of Expenditures of Federal Awards
June 30, 2009

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June 30, 2009

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<td>Inhaled Environmental Particles, Pregnancy and Neonatal Allergy</td>
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<td>Arsenic Exposure and Skin Diseases in Bangladesh</td>
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The accompanying notes are an integral part of this schedule of expenditures of federal awards.
## Schedule of Expenditures of Federal Awards

### June 30, 2009

#### Federal Grantor/Pass-through Grantor/Program or Cluster Title

<table>
<thead>
<tr>
<th>CFDA Number</th>
<th>Award Number</th>
<th>Pass-through Entity Identification Number</th>
<th>Federal Expenditures</th>
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<td><strong>Research and Development and Research Training Cluster</strong></td>
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<tr>
<td><strong>Direct Programs</strong></td>
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<td>Department of Health and Human Services</td>
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<td>Bisphosphonate-Related Osteonecrosis of the Jaw: A Pilot Pharmacogenetic Study</td>
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<td>DNA/Carbon Nanotube Hybrids: Specific Interactions for Sequencing</td>
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The accompanying notes are an integral part of this schedule of expenditures of federal awards.
Harvard University
Schedule of Expenditures of Federal Awards
June 30, 2009

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## Harvard University
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#### June 30, 2009

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<thead>
<tr>
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<th>CFDA Number</th>
<th>Award Number</th>
<th>Pass-through Entity Identification Number</th>
<th>Federal Expenditures</th>
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<td><strong>Research and Development and Research Training Cluster</strong></td>
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<tr>
<td><strong>Direct Programs</strong></td>
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<td>Department of Health and Human Services</td>
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The accompanying notes are an integral part of this schedule of expenditures of federal awards.
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Subtotal of 93.242 8,677,803

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## Schedule of Expenditures of Federal Awards

**June 30, 2009**

### Federal Grantor/Pass-through Grantor/Program or Cluster Title

### CFDA Number  
A Monkey Model of Human mu-Opioid Receptor Physiogenetics 93.279 5 R21 DA021180-02 (5,742)
Activity Dependence Of Endocannabinoid Signaling 93.279 1 F31 DA025450-01A1 (Revised) 12,269
Anxiolytic Effects and Abuse of BZ Receptor Ligands 93.279 2 R01 DA011792-11 24,091
Anxiolytic Effects and Abuse of BZ Receptor Ligands 93.279 5 R01 DA011792-10 278,811
Cannabinoid Inhibition of Divalent Metal Transporter-1 Activity 93.279 5 R21 DA025573-02 164,157
Cocaine-Molecular Targets/Brain Imaging and Medications 93.279 5 K05 DA015305-05 96,896
Developmental Genetics of Serotonin Neuron Subtypes in Brain Reward Circuits 93.279 5 R21 DA023645-02 186,785
Duration of Behavioral Counseling Treatment Needed to Optimize Smoking Abstinence 93.279 5 R01 DA012165-07 (Revised) 537,202
Exercise and Nicotine Replacement for Female Smokers 93.279 3 R01 DA012503-08S2 317,759
Front-Loaded Counseling to Treat Tobacco Addiction 93.279 5 R01 DA016739-04 47,923
Methamphetamine Effects via Trace Amine Associated Receptor 1 93.279 5 R21 DA022323-02 115,686
mGlur5 Mechanisms in Primate Models of Cocaine Abuse 93.279 5 R01 DA017700-05 266,483
Molecular and Genetic Adaptations Associated with Compulsive Cocaine Intake 93.279 5 R01 DA021420-03 (Revised) 395,208

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### Notes

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## Harvard University
### Schedule of Expenditures of Federal Awards
#### June 30, 2009

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<th>Federal Grantor/Pass-through Grantor/Program or Cluster Title</th>
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<th>Award Number</th>
<th>Pass-through Entity Identification Number</th>
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# Harvard University
## Schedule of Expenditures of Federal Awards
### June 30, 2009

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<td>MassCONECT 4 Kids: Promoting Smoke-Free Homes</td>
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<td>Cellular Control of Microtubule-based Transport: Unraveling its Molecular Mechanism</td>
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<td>Development of Cellular Assays of Dengue Virus Infection</td>
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The accompanying notes are an integral part of this schedule of expenditures of federal awards.
## Harvard University
Schedule of Expenditures of Federal Awards
June 30, 2009

<table>
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<tr>
<th>Federal Grantor/Pass-through Grantor/Program or Cluster Title</th>
<th>CFDA Number</th>
<th>Award Number</th>
<th>Pass-through Entity Identification Number</th>
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<td>Cancer Control in Multiethnic Working Class Populations</td>
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<td>Genome Wide Predictors of Plasma Folate Homocysteine</td>
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<td>Genomic Targets Of Oncoproteins And Tumor Suppressors</td>
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<td>Patterns of Somatic Gene Alterations in Oral Cancer</td>
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### Harvard University
### Schedule of Expenditures of Federal Awards
#### June 30, 2009

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<th>CFDA Pass-through Entity</th>
<th>Federal Grantor/Pass-through Grantor/Program or Cluster Title</th>
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<td>Serum 25(OH)D levels, VDR and CYP24 polymorphisms, and NSCLC survival</td>
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| Influences on Physical Activity of Young Latino Children | 93.394 | 5 R21 CA131764-02 | 101,797 |
| Methods For Engineering S. Cerevisiae Strains Carrying Multiple Precise Deletions | 93.394 | 5 R21 CA130266-02 | 219,117 |
| Nanowire Devices for Ultrasensitive, Multiplexed Detection of Cancer Markers | 93.394 | 5 R21 CA133519-02 | 204,627 |
| Quantitative Interaction Networks for Tyrosine-Phosphorylated Proteins | 93.394 | 5 R33 CA128726-03 | 446,557 |
| Sample Prep Methods to Allow Automated 3D Analysis of Microvessel Morphology | 93.394 | 5 R21 CA125313-02 | 158,431 |
| Technetium and Rhenium in Nuclear Medicine | 93.394 | 5 R01 CA119334-30 (Revised) | 493,996 |
| Subtotal of 93.394 | 1,624,525 |

| Applications of Natural Products to Chemical Biology | 93.395 | 5 R01 CA024487-31 | 465,094 |
| Development of Translation Initiation Inhibitors and their Anti-Cancer Activity | 93.395 | 5 R01 CA121357-02 (Revised) | 337,873 |
| International Center for the Evaluation of East Asian Botanicals for Cancer | 93.395 | 5 U19 CA128534-03 (Revised) | 282,495 |
| Molecular Epidemiology of Esophageal Cancer Prognosis | 93.395 | 5 R01 CA109193-05 | 232,200 |
| Probing Cell Division with Synthetic Chemistry | 93.395 | 5 P01 CA076404-10 | 1,873,368 |
| Stem Cell Gene Therapy for AIDS | 93.395 | 5 R01 CA073473-09 (Revised) | 24,102 |
| Structural and Functional Studies on Proteins | 93.395 | 5 R01 CA059021-15 (Revised) | (17,310) |
| Synthesis and Mechanisms of Bioactive Natural Products | 93.395 | 5 R01 CA125240-03 | 457,863 |
| Synthesis and Study of Natural and Non-natural Antiproliferative Agents | 93.395 | 5 R01 CA047148-22 (Revised) | 443,965 |
| Synthesis of Antitumor Natural Products | 93.395 | 5 R01 CA022215-31 | 219,842 |
| Therapeutic/Toxic Effects of Electron Emitting Nuclides | 93.395 | 5 R01 CA015523-33 | (974) |
| Therapeutic/Toxic Effects of Electron Emitting Nuclides | 93.395 | 5 R01 CA015523-35 | 732,679 |
| Subtotal of 93.395 | 5,051,197 |
### Harvard University
Schedule of Expenditures of Federal Awards
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<th>Research and Development and Research Training Cluster</th>
<th>CFDA Pass-through Entity Federal Grantor/Pass-through Grantor/Program or Cluster Title</th>
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<th>Direct Programs</th>
<th>Award Number</th>
<th>Identification Number</th>
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Subtotal of 93.396 3,506,559

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<th>Alternative Splicing of Pyruvate Kinase M: Regulation and Significance in Cancer</th>
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<th>7 F31 CA136332-02 (Revised)</th>
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Subtotal of 93.398 3,550,284

The accompanying notes are an integral part of this schedule of expenditures of federal awards.
### Harvard University
### Schedule of Expenditures of Federal Awards
### June 30, 2009

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<tr>
<th>Research and Development and Research Training Cluster</th>
<th>CFDA Number</th>
<th>Award Number</th>
<th>Pass-through Entity Identification Number</th>
<th>Federal Expenditures</th>
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The accompanying notes are an integral part of this schedule of expenditures of federal awards.
### Harvard University
#### Schedule of Expenditures of Federal Awards
##### June 30, 2009

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The accompanying notes are an integral part of this schedule of expenditures of federal awards.
# Harvard University
## Schedule of Expenditures of Federal Awards
### June 30, 2009

The accompanying notes are an integral part of this schedule of expenditures of federal awards.

### Federal Grantor/Pass-through Grantor/Program or Cluster Title

<table>
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<tr>
<th>CFDA Number</th>
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Harvard University  
Schedule of Expenditures of Federal Awards  
June 30, 2009

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Schedule of Expenditures of Federal Awards
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The accompanying notes are an integral part of this schedule of expenditures of federal awards.
### Schedule of Expenditures of Federal Awards

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### Harvard University

**Schedule of Expenditures of Federal Awards**

**June 30, 2009**

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### Harvard University

**Schedule of Expenditures of Federal Awards**

**June 30, 2009**

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June 30, 2009

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## Harvard University
### Schedule of Expenditures of Federal Awards
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#### June 30, 2009

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<td>The Contribution of Chronic Inflammation to Pulmonary Adenocarcinoma</td>
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<td>The Role of Private Plans in Medicare</td>
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<td>Training in the Molecular Biology of Neurodegeneration</td>
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The accompanying notes are an integral part of this schedule of expenditures of federal awards.
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The accompanying notes are an integral part of this schedule of expenditures of federal awards.
# Harvard University

## Schedule of Expenditures of Federal Awards

**June 30, 2009**

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<th>CFDA Number</th>
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<th>Pass-through Grantor/Program or Cluster Title</th>
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<td>Informatics Training for Public Health in Tanzania</td>
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The accompanying notes are an integral part of this schedule of expenditures of federal awards.
Harvard University
Schedule of Expenditures of Federal Awards
June 30, 2009

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The accompanying notes are an integral part of this schedule of expenditures of federal awards.
Harvard University
Schedule of Expenditures of Federal Awards
June 30, 2009

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<tr>
<th>Federal Grantor/Pass-through Grantor/Program or Cluster Title</th>
<th>CFDA Number</th>
<th>Award Number</th>
<th>Pass-through Entity Identification Number</th>
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The accompanying notes are an integral part of this schedule of expenditures of federal awards.
# Harvard University
## Schedule of Expenditures of Federal Awards
### June 30, 2009

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### Research and Development and Research Training Cluster

#### Passed-through from Other Organizations

**Department of Defense**
- Carnegie Mellon University: 08-00154-EXP-000, $35,072
- Carnegie Mellon University: 09-00129-EXP-000, $3,808
- Center for Integration of Medicine and Innovative Technology (CIMIT): 203057, $3,036
- Center for Integration of Medicine and Innovative Technology (CIMIT): 206096, $108,734
- Charles River Analytics Inc.: SC008001, $16,041
- Charles Stark Draper Laboratory, Inc.: SC001-297, $254,108
- Electric Power Research Institute: EP-P8354/C4223, $3,941
- iRobot: 49771, $370,461
- Lincoln Laboratory: 700031015, $74,444
- Massachusetts Institute of Technology: 5710001550, $81,441
- Physical Sciences Inc.: 47700-1615-46, $21,786
- Qpeak Inc.: SC53788-2867, $22,219
- Radiation Monitoring Devices, Inc.: C8-42, $10,318
- Regents of the University of California - Berkeley: 6215, $156,961
- Regents of the University of California - Irvine: 2007-1876, (152)
- SRI International: 55-000720, $88,313
- Stanford University: R51237-28000-C, (5,573)
- Vanu Inc.: FA9550-04-C-0076, (15,000)
- General Dynamics Information Technology: F33601-03-F-0203, $60,399
- HRL Laboratories, LLC: 702082-BS, $293,123
- HRL Laboratories, LLC: 801450-BS, $151,141
- Physical Sciences Inc.: SC47539-6128, $31,709
- Pranalytica, Inc.: No Award Number, $30,315

Subtotal of 12: 2,665,683

**California Institute of Technology**
- California Institute of Technology: 38A-1077404, $7,456
- California Institute of Technology: 38A-1077629, $32,892
- Regents of the University of California - Santa Cruz: S0149461, $45,565
- University of Illinois at Chicago: 2006-00776-03-02, $47,905
- University of Virginia: GG10931-128297, $63,685

Subtotal of 12.300: 197,503

**AdMeTech Foundation**
- AdMeTech Foundation: No Award Number, $10,140

Subtotal of 12.420: 51,028
Harvard University
Schedule of Expenditures of Federal Awards
June 30, 2009

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### Harvard University
### Schedule of Expenditures of Federal Awards
### June 30, 2009

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# Harvard University

## Schedule of Expenditures of Federal Awards

**June 30, 2009**

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<th>Award Number</th>
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The accompanying notes are an integral part of this schedule of expenditures of federal awards.
Harvard University
Schedule of Expenditures of Federal Awards
June 30, 2009

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The accompanying notes are an integral part of this schedule of expenditures of federal awards.
Harvard University  
Schedule of Expenditures of Federal Awards  
June 30, 2009

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Harvard University
Schedule of Expenditures of Federal Awards
June 30, 2009

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Harvard University
Schedule of Expenditures of Federal Awards
June 30, 2009

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Harvard University
Schedule of Expenditures of Federal Awards
June 30, 2009

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The accompanying notes are an integral part of this schedule of expenditures of federal awards.
Harvard University
Schedule of Expenditures of Federal Awards
June 30, 2009

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The accompanying notes are an integral part of this schedule of expenditures of federal awards.
## Harvard University
### Schedule of Expenditures of Federal Awards
#### June 30, 2009

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<tr>
<th>Federal Grantor/Pass-through Grantor/Program or Cluster Title</th>
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<th>Award Number</th>
<th>Pass-through Entity Identification Number</th>
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The accompanying notes are an integral part of this schedule of expenditures of federal awards.
The accompanying notes are an integral part of this schedule of expenditures of federal awards.
Harvard University
Schedule of Expenditures of Federal Awards
June 30, 2009

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<th>Federal Grantor/Pass-through Grantor/Program or Cluster Title</th>
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<th>Award Number</th>
<th>Pass-through Entity Identification Number</th>
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Schedule of Expenditures of Federal Awards
June 30, 2009

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### Schedule of Expenditures of Federal Awards
#### June 30, 2009

<table>
<thead>
<tr>
<th>Federal Grantor/Pass-through Grantor/Program or Cluster Title</th>
<th>CFDA Number</th>
<th>Award Number</th>
<th>Pass-through Entity Identification Number</th>
<th>Federal Expenditures</th>
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<tbody>
<tr>
<td><strong>Research and Development and Research Training Cluster</strong></td>
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The accompanying notes are an integral part of this schedule of expenditures of federal awards.
Harvard University  
Schedule of Expenditures of Federal Awards  
June 30, 2009

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<th>Pass-through Entity Identification Number</th>
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The accompanying notes are an integral part of this schedule of expenditures of federal awards.
## Harvard University
### Schedule of Expenditures of Federal Awards
#### June 30, 2009

The accompanying notes are an integral part of this schedule of expenditures of federal awards.

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Subtotal of 93.862: 8

Subtotal of 93.864: 521,727
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The accompanying notes are an integral part of this schedule of expenditures of federal awards.
# Harvard University
## Schedule of Expenditures of Federal Awards
### June 30, 2009

The accompanying notes are an integral part of this schedule of expenditures of federal awards.
Harvard University  
Schedule of Expenditures of Federal Awards  
June 30, 2009

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<th>Federal Grantor/Pass-through Grantor/Program or Cluster Title</th>
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<th>Pass-through Entity Identification Number</th>
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The accompanying notes are an integral part of this schedule of expenditures of federal awards.
Harvard University
Schedule of Expenditures of Federal Awards
June 30, 2009

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Schedule of Expenditures of Federal Awards
June 30, 2009

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<td>and CVD Mortality</td>
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The accompanying notes are an integral part of this schedule of expenditures of federal awards.
Harvard University  
Schedule of Expenditures of Federal Awards  
June 30, 2009

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### Schedule of Expenditures of Federal Awards
### June 30, 2009

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<td>545,495</td>
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<tr>
<td>Central Intelligence Agency</td>
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<td></td>
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<tr>
<td>Development of Functional Nanowire-Based Nanoprocessors</td>
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<td>67161</td>
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<td>Total Central Intelligence Agency Direct Programs</td>
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<tr>
<td>Corporation for National and Community Service</td>
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<tr>
<td>Measuring and Explaining Civic Inequality Using CPS Data</td>
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<td>08BIHMA002</td>
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<td>Total Corporation for National and Community Service Direct Program</td>
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<tr>
<td>Total Other Direct Programs</td>
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<td></td>
<td></td>
<td>94,536,904</td>
</tr>
</tbody>
</table>

The accompanying notes are an integral part of this schedule of expenditures of federal awards.
## Harvard University
### Schedule of Expenditures of Federal Awards
#### June 30, 2009

<table>
<thead>
<tr>
<th>Federal Grantor/Pass-through Grantor/Program or Cluster Title</th>
<th>CFDA Number</th>
<th>Award Number</th>
<th>Pass-through Entity Identification Number</th>
<th>Federal Expenditures</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Other Programs</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Passed-through from Other Organizations</td>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td>Department of Agriculture</td>
<td></td>
<td></td>
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<tr>
<td>Commonwealth of Massachusetts/Department of Public Health</td>
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<td>PFR26</td>
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<tr>
<td>Total Department of Agriculture Pass-through Program</td>
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<tr>
<td>Department of Defense</td>
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<tr>
<td>Lockheed Martin Energy Research Corporation</td>
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<td>85,060</td>
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<td>Total Department of Defense Pass-through Program</td>
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<tr>
<td>Department of Education</td>
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<td>Alameda County Office of Education</td>
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<td>Southwest Educational Development Laboratory</td>
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<td>Traverse City Area Public Schools</td>
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<td>Brookhaven National Laboratory</td>
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<td>1,296</td>
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<td>Library of Congress</td>
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<td>Regents of the University of Michigan</td>
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<td></td>
<td>F011776</td>
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<td>Total Library of Congress Pass-through Program</td>
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<td>27,834</td>
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</tbody>
</table>

The accompanying notes are an integral part of this schedule of expenditures of federal awards.
Harvard University  
Schedule of Expenditures of Federal Awards  
June 30, 2009

<table>
<thead>
<tr>
<th>Federal Grantor/Pass-through Grantor/Program or Cluster Title</th>
<th>CFDA Number</th>
<th>Award Number</th>
<th>Pass-through Entity Identification Number</th>
<th>Federal Expenditures</th>
</tr>
</thead>
<tbody>
<tr>
<td>Other Programs</td>
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<tr>
<td>Passed-through from Other Organizations</td>
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<tr>
<td>National Aeronautics &amp; Space Administration</td>
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<td>Jet Propulsion Laboratory</td>
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<td>National Endowment for the Arts</td>
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<tr>
<td>New England Foundation for the Arts (NEFA)</td>
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<td></td>
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<td>National Science Foundation</td>
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<td>Columbia University</td>
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<td>(135)</td>
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<td></td>
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<td>Total National Science Foundation Pass-through Programs</td>
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<td>Xtria, LLC</td>
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<td></td>
<td>1053-008-45-15</td>
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<td>Children's Hospital Corporation</td>
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<td>Action for Boston Community Development, Inc.</td>
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<td>B L Seamon Corporation</td>
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<td>Dana Farber Cancer Institute</td>
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<td>Education Development Center, Inc.</td>
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<td></td>
<td>11,537</td>
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<tr>
<td>Boston University</td>
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<td>2616-6</td>
<td>28,058</td>
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<td>28,058</td>
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</table>

The accompanying notes are an integral part of this schedule of expenditures of federal awards.
Harvard University
Schedule of Expenditures of Federal Awards
June 30, 2009

<table>
<thead>
<tr>
<th>Federal Grantor/Pass-through Grantor/Program or Cluster Title</th>
<th>CFDA Number</th>
<th>Award Number</th>
<th>Pass-through Entity Identification Number</th>
<th>Federal Expenditures</th>
</tr>
</thead>
<tbody>
<tr>
<td>Other Programs</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Passed-through from Other Organizations</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Department of Health and Human Services</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Boston Public Health Commission</td>
<td>93.283</td>
<td>557005</td>
<td></td>
<td>$ 27,546</td>
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<td>Subtotal of 93.283</td>
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<td></td>
<td></td>
<td>27,546</td>
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<tr>
<td>Florida A&amp;M University</td>
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<td>Subtotal of 93.307</td>
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<td></td>
<td></td>
<td>29</td>
</tr>
<tr>
<td>Brigham &amp; Women’s Hospital</td>
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<td>103086</td>
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</tr>
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<td>Total Department of Health and Human Services Pass-through Programs</td>
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<td>Total Other Programs Pass-through from Other Organizations</td>
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<td>Total Expenditures of Federal Awards</td>
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<td>$ 571,124,056</td>
</tr>
</tbody>
</table>

The accompanying notes are an integral part of this schedule of expenditures of federal awards.
1. **Basis of Presentation**

The accompanying Schedule of Expenditures of Federal Awards (the "Schedule") includes the expenditures of Harvard University (the "University") under programs of the federal government for the year ended June 30, 2009. The information in this schedule is presented in accordance with the requirements of U.S. Office of Management and Budget (OMB) Circular A-133, *Audits of States, Local Governments, and Non-Profit Organizations*. Therefore, some amounts presented in this schedule may differ from amounts presented in, or used in the preparation of, the basic financial statements of the University. Negative amounts represent adjustments or credits to amounts reported as expenditures in prior years. CFDA numbers and pass-through numbers are provided when available.

For purposes of the Schedule, federal awards include all grants, contracts and similar agreements entered into directly by the University with agencies and departments of the federal government and all subawards to the University by nonfederal organizations pursuant to federal grants, contracts and similar agreements.

The term "Revised" accompanying the award numbers on the Schedule represents a revised Notice of Grant Award (NGA).

2. **Summary of Significant Accounting Policies**

Expenditures reported in the Schedule are reported on the accrual basis of accounting. Such expenditures are recognized following the cost principles contained in OMB Circular A-21, *Cost Principles for Educational Institutions*, wherein certain types of expenditures are not allowable or are limited to reimbursement.

3. **Facilities and Administrative Costs**

The University recovers facilities and administrative costs associated with sponsored agreements pursuant to separate arrangements negotiated with the University's federal cognizant agency by each of the Medical School, School of Public Health, and the University Area. Predetermined facilities and administrative rates have been negotiated through June 30, 2010 for the Medical School, the School of Public Health, and the University Area.

Facilities and administrative cost recoveries associated with training programs generally represent the maximum administrative overhead allowance allowed by the sponsors. The University also recovers administrative cost allowances from certain campus-based student financial assistance programs.
4. **Awards to Subrecipients**

Certain federal funds are provided to subrecipient organizations by the University. The following expenditures incurred by these subrecipients are reimbursed by the University and included on the Schedule for the year ended June 30, 2009.

<table>
<thead>
<tr>
<th>Program or Cluster</th>
<th>CFDA#</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rapid Expansion of Antiretroviral Therapy Programs under the President's Emergency Plan for AIDS Relief (PEPFAR)</td>
<td>93.145</td>
<td>$39,457,785</td>
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<tr>
<td>Harvard Clinical and Translational Science Center</td>
<td>93.389</td>
<td>15,761,775</td>
</tr>
<tr>
<td>Education and Human Resources (MASS CONECT) Mass. Community Networks</td>
<td>93.399</td>
<td>111,339</td>
</tr>
<tr>
<td>Linking Assessment and Measurement to Performance in PHEP Systems (LAMPS)</td>
<td>93.061</td>
<td>96,859</td>
</tr>
<tr>
<td>FY2009 Vietnam Economics Teaching Program</td>
<td>19.000</td>
<td>50,614</td>
</tr>
<tr>
<td>National Resource Centers for East Asian Studies</td>
<td>84.015A</td>
<td>45,087</td>
</tr>
<tr>
<td>China Historical Geographic Information System</td>
<td>45.149</td>
<td>37,122</td>
</tr>
<tr>
<td>FY2008 Vietnam Fulbright Teaching Center</td>
<td>19.000</td>
<td>25,821</td>
</tr>
<tr>
<td>Harvard Medical School MKITS Program</td>
<td>93.837</td>
<td>12,987</td>
</tr>
<tr>
<td>Comprehensive National Resource Center for Russian and East European Studies, Foreign Language and Area Studies Fellowships</td>
<td>84.015B</td>
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<tr>
<td>EITM Summer Training Institute (Political Science Program: EITM Competition IIIa)</td>
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</tr>
<tr>
<td>Research and Development and Research Training Cluster</td>
<td>Various</td>
<td>69,687,479</td>
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<tr>
<td></td>
<td></td>
<td>$125,513,461</td>
</tr>
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</table>

5. **Federal Student Loan Programs**

The federal student loan programs listed below are administered directly by the University and balances and transactions relating to these programs are included in the University's basic financial statements. The balance of loans outstanding at June 30, 2009 consists of:

<table>
<thead>
<tr>
<th>CFDA #</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Perkins</td>
<td>$76,007,206</td>
</tr>
<tr>
<td>FFEL Program (includes Stafford (Subsidized and Unsubsidized), FISL, SLS and PLUS)</td>
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</tr>
<tr>
<td>HPSL/LDS/PCL</td>
<td>4,904,778</td>
</tr>
<tr>
<td>Total Federal Student Loans</td>
<td>$82,767,400</td>
</tr>
</tbody>
</table>

The University recovered an administrative cost allowance from the Perkins Loan Program (CFDA # 84.038) of $706,381 for the year ended June 30, 2009.
Loans made by the University to eligible students under federal student loan programs and federally guaranteed loans issued to students during the year ended June 30, 2009 are summarized as follows:

<table>
<thead>
<tr>
<th>CFDA#</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Perkins</td>
<td>84.038 13,616,842</td>
</tr>
<tr>
<td>Direct Subsidized Stafford</td>
<td>84.268 34,712,788</td>
</tr>
<tr>
<td>Direct Unsubsidized Stafford</td>
<td>84.268 50,108,572</td>
</tr>
<tr>
<td>Direct PLUS</td>
<td>84.268 6,981,736</td>
</tr>
<tr>
<td>Direct Grad PLUS</td>
<td>84.268 36,648,342</td>
</tr>
<tr>
<td>FFEL Program Stafford issued by banks</td>
<td>84.032 583,914</td>
</tr>
<tr>
<td>FFEL Program Unsubsidized Staffords issued by banks</td>
<td>84.032 1,027,804</td>
</tr>
<tr>
<td>FFEL Program PLUS Loans issued by banks</td>
<td>84.032 295,017</td>
</tr>
<tr>
<td>FFEL Program Grad PLUS Loans issued by banks</td>
<td>84.032 2,816,704</td>
</tr>
<tr>
<td>HPSL/PCL</td>
<td>93.342 89,920</td>
</tr>
<tr>
<td>LDS</td>
<td>93.342 914,973</td>
</tr>
</tbody>
</table>

$ 147,796,612
Part III
Reports on Internal Control and Compliance
Report of Independent Auditors on Internal Control over Financial Reporting and on Compliance and Other Matters Based on an Audit of Financial Statements Performed in Accordance with Government Auditing Standards

To the Board of Overseers of Harvard College

We have audited the financial statements of Harvard University (the "University") as of and for the year ended June 30, 2009, and have issued our report thereon dated October 4, 2009, which includes an additional paragraph regarding the University's change in the manner in which it evaluates the fair value of financial instruments. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in Government Auditing Standards, issued by the Comptroller General of the United States.

Internal Control over Financial Reporting
In planning and performing our audit, we considered the University's internal control over financial reporting as a basis for designing our auditing procedures for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the University's internal control over financial reporting. Accordingly, we do not express an opinion on the effectiveness of the University's internal control over financial reporting.

A control deficiency exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent or detect misstatements on a timely basis. A significant deficiency is a control deficiency, or combination of control deficiencies, that adversely affects the entity's ability to initiate, authorize, record, process, or report financial data reliably in accordance with generally accepted accounting principles such that there is more than a remote likelihood that a misstatement of the entity's financial statements that is more than inconsequential will not be prevented or detected by the entity's internal control.

A material weakness is a significant deficiency, or combination of significant deficiencies, that results in more than a remote likelihood that a material misstatement of the financial statements will not be prevented or detected by the entity's internal control.

Our consideration of internal control over financial reporting was for the limited purpose described in the first paragraph of this section and would not necessarily identify all deficiencies in internal control that might be significant deficiencies or material weaknesses. We did not identify any deficiencies in internal control over financial reporting that we consider to be material weaknesses, as defined above.
Compliance and Other Matters
As part of obtaining reasonable assurance about whether the University's financial statements are free of material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit and, accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under Government Auditing Standards.

We noted certain matters that we reported to management of the University in a separate letter dated October 29, 2009.

This report is intended solely for the information and use of the University's Joint Committee on Inspection, management, federal awarding agencies and pass-through entities, and is not intended to be and should not be used by anyone other than these specified parties.

PricewaterhouseCoopers LLP

October 4, 2009
Report of Independent Auditors on Compliance with Requirements
Applicable to Each Major Program and Internal Control over
Compliance in Accordance with OMB Circular A-133

To the Board of Overseers of Harvard College

Compliance
We have audited the compliance of Harvard University (the "University") with the types of compliance requirements described in the U.S. Office of Management and Budget (OMB) Circular A-133 Compliance Supplement that are applicable to each of its major federal programs for the year ended June 30, 2009. The University's major federal programs are identified in the summary of auditor's results section of the accompanying schedule of findings and questioned costs. Compliance with the requirements of laws, regulations, contracts and grants applicable to each of its major federal programs is the responsibility of the University's management. Our responsibility is to express an opinion on the University's compliance based on our audit.

We conducted our audit of compliance in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in Government Auditing Standards, issued by the Comptroller General of the United States; and OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations. Those standards and OMB Circular A-133 require that we plan and perform the audit to obtain reasonable assurance about whether noncompliance with the types of compliance requirements referred to above that could have a direct and material effect on a major federal program occurred. An audit includes examining, on a test basis, evidence about the University's compliance with those requirements and performing such other procedures as we considered necessary in the circumstances. We believe that our audit provides a reasonable basis for our opinion. Our audit does not provide a legal determination of the University's compliance with those requirements.

In our opinion, the University complied, in all material respects, with the requirements referred to above that are applicable to each of its major federal programs for the year ended June 30, 2009. However, the results of our auditing procedures disclosed instances of noncompliance with those requirements, which are required to be reported in accordance with OMB Circular A-133 and which are described in the accompanying schedule of findings and questioned costs as items 2009-1 through 2009-6.
**Internal Control over Compliance**

The management of the University is responsible for establishing and maintaining effective internal control over compliance with the requirements of laws, regulations, contracts and grants applicable to federal programs. In planning and performing our audit, we considered the University's internal control over compliance with the requirements that could have a direct and material effect on a major federal program in order to determine our auditing procedures for the purpose of expressing our opinion on compliance, but not for the purpose of expressing an opinion on the effectiveness of internal control over compliance. Accordingly we do not express an opinion on the effectiveness of the University's internal control over compliance.

A control deficiency in an entity's internal control over compliance exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent or detect noncompliance with a type of compliance requirement of a federal program on a timely basis. A significant deficiency is a control deficiency, or combination of control deficiencies, that adversely affects the entity's ability to administer a federal program such that there is more than a remote likelihood that noncompliance with a type of compliance requirement of a federal program that is more than inconsequential will not be prevented or detected by the entity's internal control.

A material weakness is a significant deficiency, or combination of significant deficiencies, that results in more than a remote likelihood that material noncompliance with a type of compliance requirement of a federal program will not be prevented or detected by the entity's internal control.

Our consideration of the internal control over compliance was for the limited purpose described in the first paragraph of this section and would not necessarily identify all deficiencies in internal control that might be significant deficiencies or material weaknesses. We did not identify any deficiencies in internal control over compliance that we consider to be material weaknesses, as defined above.

The University's responses to findings identified in our audit are described in the accompanying schedule of findings and questioned costs. We did not audit the University's responses and, accordingly, we express no opinion on them.

This report is intended solely for the information and use of the University's Joint Committee on Inspection, management and federal awarding agencies and pass-through entities and is not intended to be and should not be used by anyone other than these specified parties.

February 16, 2010
Part IV
Findings
I. Summary of Auditor's Results

Financial Statements
Type of auditor's report issued: Unqualified

Internal control over financial reporting:
  Material weakness(es) identified? No
  Significant deficiency(ies) identified that are not considered to be material weaknesses? None reported

Noncompliance material to financial statements noted? No

Federal Awards
Internal control over major programs:
  Material weakness(es) identified? No
  Significant deficiency(ies) identified that are not considered to be material weaknesses? None reported

Type of auditor's report issued on compliance for major programs: Unqualified

Any audit findings disclosed that are required to be reported in accordance with section 510(a) of OMB Circular A-133? Yes

Identification of major programs

CFDA Number(s): Name of Federal Program or Cluster
Various CFDAs Research and Development and Research Training Cluster
Various CFDAs Student Financial Aid Cluster
93.266 Rapid Expansion of Antiretroviral Therapy Programs under the President's Emergency Plan for AIDS Relief (PEPFAR)
47.076 Education and Human Resources
93.389 Harvard Clinical and Translational Science Center

Dollar threshold for Type A and Type B programs: $3,000,000

Auditee qualifies as a low-risk auditee? Yes
II. Financial Statement Findings

None noted.

III. Federal Awards Findings and Questioned Costs

2009-1 Effort Certification

Research and Development and Research Training Cluster

OMB Circular A-21, Section J.10 (c)(1)(2) requires certification of salary distribution, but does not specify the timelines within which the certifications must be collected.

The Harvard Law School ("HLS") policy requires monthly certification of nonfaculty salary 30 days after the financial close of each month and annual certification of faculty salary 60 days after the effort information is made available to the faculty.

Of the 87 effort certifications tested for the Research and Development and Research Training Cluster, three exceptions affecting monthly nonfaculty certifications occurred within one specific department in the HLS. One certification was submitted nine days late. The certification was not signed on time due to turnover of personnel. Two certifications were appropriately signed but not dated and, as such, could not be verified to ensure compliance with HLS policy. These certifications were not dated due to change of personnel and oversight during review.

<table>
<thead>
<tr>
<th>Award Title and Award Number</th>
<th>CFDA Number</th>
<th>Federal Agency</th>
<th>Award Year</th>
<th>Number of Reports Late</th>
<th>Days Late</th>
</tr>
</thead>
<tbody>
<tr>
<td>Promoting Democracy Through New Media; S-NEAPI-07-GR-198</td>
<td>19.500</td>
<td>U.S. Department of State - Bureau of Near Eastern Affairs</td>
<td>April 1, 2008 through April 30, 2009</td>
<td>2</td>
<td>Not able to be determined</td>
</tr>
</tbody>
</table>

Late effort certification increases the risk that inaccuracies in salary distribution may go undetected due to the passage of time.

Recommendation

We recommend the University continue to emphasize through training and communication the importance of timeliness and accuracy of sponsored programs salary certifications.

Management's Views and Corrective Action Plan

Following these findings are management's views and corrective action plan.
2009-2 Suspension and Debarment

Research and Development and Research Training Cluster

OMB Circular A-110, Subpart B, Section 13 restricts subawards and contracts with certain parties who are debarred, suspended or otherwise excluded from or ineligible for participation in Federal assistance programs or activities. Prior to entering into subawards or contracts that exceed $25,000, the University must verify that the company/organization is not suspended or debarred. Verification may be accomplished by collecting a certification from the entity or adding a clause or condition to the covered transaction with that entity.

For every purchase $25,000 or greater made with federal funds, the University's internal policy requires written certification from vendors stating that they have not been debarred or suspended. This certification is required to be obtained prior to the related purchase being approved for payment. In addition, the University instituted a process in fiscal year 2008 whereby the University engages an external consultant to review the University's master vendor file once per year to ensure vendors are not suspended or debarred.

In examining 82 transactions over the $25,000 threshold, we noted one certification form at the School of Engineering and Applied Sciences ("SEAS") was completed but not dated and, as such, could not verify if the form was obtained prior to the related purchase being approved for payment. We validated that the related vendor was not in fact either debarred or suspended at the time of our testing. The lack of dating the suspension and debarment form was an oversight of the SEAS.

In addition, we noted one certification at the Harvard Medical School ("HMS") was not completed on a contract that totaled $29,715. The certification form was not completed as University policy states that a written certification from vendors is only required when a purchase order of $25,000 and greater is generated. In this case, individual purchase orders for monthly payments less than $25,000 were generated and therefore were not flagged as requiring a certification form.

<table>
<thead>
<tr>
<th>Award Title and Award Number</th>
<th>CFDA Number</th>
<th>Federal Agency</th>
<th>Award Year</th>
<th>Exceptions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fluxes and Budgets of CO2 and H2O in the Amazon Basin; NNG06GG69A</td>
<td>43.001</td>
<td>National Aeronautics and Space Administration</td>
<td>April 1, 2008 through March 31, 2010</td>
<td>1</td>
</tr>
<tr>
<td>New England Primate Research Center Base Grant 3PJ1 RR000165-4754</td>
<td>93.389</td>
<td>Department of Health and Human Services National Institutes of Health</td>
<td>June 5, 2008 through April 30, 2009</td>
<td>1</td>
</tr>
</tbody>
</table>

Undated suspension and debarment forms impedes the determination if the form was obtained prior to the related purchase being approved for payment and may cause the University to engage in business relationships with debarred or suspended vendors, which could result in questioned costs.
Recommendation
We recommend that the University review their current suspension and debarment policy to ensure all commitments totaling $25,000 are captured as part of the suspension and debarment verification process.

We also recommend that the University continue to conduct training for personnel who are reviewing the charges to federal awards, to ensure they are aware of the University's internal policy and federal award compliance requirements which require a signed certification that the vendor is not suspended or debarred prior to the related purchase being approved for payment.

Management’s Views and Corrective Action Plan
Following these findings are management’s views and corrective action plan.

2009-3 Procurement

Research and Development and Research Training Cluster, National Center for Research Resources CFDA# 93.389, and Rapid Expansion of Antiretroviral Therapy Programs under the President’s Emergency Plan for AIDS Relief (PEPFAR) CFDA# 93.266

OMB Circular A-110, paragraph .43 requires procurement transactions to be conducted in a manner to provide, to the maximum extent practical, open and free competition. Paragraph .46 also requires that procurement transactions greater than the small purchase threshold (currently $100,000), must include a basis for contractor selection, justification for lack of competition when competitive bids are not obtained, and the basis for award cost or price.

Harvard’s internal policy requires federally funded transactions in excess of $5,000 to be accompanied by a Vendor Justification Form ("VJF") prior to conducting business with the related vendor. The VJF is required to document that the lowest qualified bidder was chosen or that there was other justification for vendor selection.

We selected 76 transactions for testing that exceeded the $5,000 threshold. We noted one VJF was not entirely completed and therefore the University did not fully document the justification of selecting the related vendor. Two VJFs were not completed in accordance with University policy, and one VJF was not dated and, as such, could not be verified to ensure compliance with University policy.
VJFs that are not completed may increase the risk that inappropriate vendor selection decisions could be made.

**Recommendation**
Management should ensure that the University competitive bidding VJF procedures are completed and documented prior to entering into transactions with a vendor. The University should continue to emphasize through training and communication the importance of timeliness and accuracy of VJFs.

**Management's Views and Corrective Action Plan**
Following these findings are management's views and corrective action plan.

**2009-4 Reporting**

**Research and Development and Research Training Cluster**

OMB Circular A-110, Section 52 requires that the Financial Status Report for each project or program be submitted no less frequently than annually, and the awarding agency will determine the frequency of the report.

OMB Circular A-110, Section 44(b) requires that positive efforts shall be made by recipients to utilize small businesses, minority-owned firms, and women's business enterprises, whenever possible. All recipients of Environmental Protection Agency ("EPA") grants and cooperative agreements are required to set a "Fair Share" Minority and Women-Owned Business Enterprise ("MWBE") Utilization Goal. The University must report its progress annually to the EPA on Form 5700-52A. The University must also report to the administrative contracting officer semi-annually during contract performance on Standard Form 294 ("SF294") for each contract containing a subcontracting plan, for the periods ended March 31st and September 30th. Reports are due 30 days after the close of each reporting period unless otherwise directed by the contracting officer.
OMB Circular A-110, Section 51 requires that the recipients are responsible for managing and monitoring each project, program, subaward, function or activity supported by the award and the awarding agencies shall prescribe the frequency with which the performance reports shall be submitted.

In examining 57 Financial Status Reports due on either Standard Form 269 ("SF269") or Standard Form 272 ("SF272"), we noted that five reports were not submitted timely ranging from 33 to 100 days late. Reports were submitted late due to resource constraints. There was no supporting evidence of requested extensions from the sponsoring agency.

<table>
<thead>
<tr>
<th>Award Title and Award Number</th>
<th>CFDA Number</th>
<th>Federal Agency</th>
<th>Award Year</th>
<th>Type of Report</th>
<th>Number of Reports Late</th>
<th>Days Late</th>
</tr>
</thead>
<tbody>
<tr>
<td>Risk Factors for Lacerations in Meatpacking; 5R01OH008174-04</td>
<td>93.262</td>
<td>Department of Health and Human Services Centers for Disease Control and Prevention</td>
<td>September 1, 2007 through August 31, 2008</td>
<td>SF269</td>
<td>1</td>
<td>95</td>
</tr>
<tr>
<td>Contribution of Trails/Paths to Adults’ Physical Activity; 06-JV-11231300-014</td>
<td>10</td>
<td>Department of Agriculture</td>
<td>April 16, 2006 through December 31, 2007</td>
<td>SF269</td>
<td>1</td>
<td>100</td>
</tr>
<tr>
<td>The effects of SAMe on reward circuitry in depression; 5 R21 AT002974-02</td>
<td>93.213</td>
<td>Department of Health and Human Services National Institutes of Health</td>
<td>July 1, 2007 through June 30, 2008</td>
<td>SF269</td>
<td>1</td>
<td>33</td>
</tr>
<tr>
<td>Antiangiogenic Natural Products Targeting Anthrax Toxin; W81XWH-08-1-0711</td>
<td>12.420</td>
<td>Department Of Defense U.S. Army Medical Command</td>
<td>September 15, 2008 through September 14, 2009</td>
<td>SF272</td>
<td>1</td>
<td>52</td>
</tr>
</tbody>
</table>

In examining five reports due on EPA Form 5700-52A, we noted that one report was submitted 15 days late. The lateness of the EPA report was due to resource constraints.

<table>
<thead>
<tr>
<th>Award Title and Award Number</th>
<th>CFDA Number</th>
<th>Federal Agency</th>
<th>Award Year</th>
<th>Type of Report</th>
<th>Number of Reports Late</th>
<th>Days Late</th>
</tr>
</thead>
<tbody>
<tr>
<td>Uncertainty Analysis in Integrated Assessments, RD-83366701-2</td>
<td>66.509</td>
<td>Environmental Protection Agency Office of Research and Development</td>
<td>July 1, 2008 through June 30, 2009</td>
<td>EPA Form 5700-52A</td>
<td>1</td>
<td>15</td>
</tr>
</tbody>
</table>

In examining 24 non-financial required reports, we noted four exceptions. Two reports were not submitted timely and two reports were not submitted by the department. The lateness of these reports was due to the lack of monitoring process by each department.
<table>
<thead>
<tr>
<th>Award Title and Award Number</th>
<th>CFDA Number</th>
<th>Federal Agency</th>
<th>Award Year</th>
<th>Type of Report</th>
<th>Number of Reports Late</th>
<th>Days Late</th>
</tr>
</thead>
<tbody>
<tr>
<td>Promoting Democracy Through New Media; S-NEAPI-07-GR-198</td>
<td>19.500</td>
<td>U.S. Department of State Bureau of Near Eastern Affairs</td>
<td>April 1, 2008 through April 30, 2009</td>
<td>Final Annual Report</td>
<td>1</td>
<td>16</td>
</tr>
<tr>
<td>Detector and Telescope Development for ProtoEXIST ; NNG06WC12G</td>
<td>43.001</td>
<td>National Aeronautics and Space Administration</td>
<td>February 29, 2008 through February 28, 2009</td>
<td>Annual Progress Report</td>
<td>1</td>
<td>97</td>
</tr>
</tbody>
</table>

Late submission of reports may hinder awarding agencies' sponsoring decisions and may potentially affect future funding decisions.

**Recommendation**

We recommend the University review the circumstances which contribute to the late reports (e.g., staffing issues, or awareness of reporting requirements) and ascertain if alternative procedures should be implemented to ensure compliance with filing requirements on a timely basis. For example, specific procedures to obtain extensions or modification of due dates, identification of resource constraints, or enhanced tracking of due dates. We also recommend that the University continue to conduct training for personnel responsible for reporting requirements to ensure they are aware of all the requirements specified in the award agreements.

**Management's Views and Corrective Action Plan**

Following these findings are management's views and corrective action plan.
2009-5 Allowable Costs and Cost Principles

Education and Human Resources CFDA# 47.076

Circular A-21 Section C.2 requires that costs are only allowable when allocable to sponsored agreements.

Of the 55 transactions selected for the Education and Human Resources program, we noted one exception for $20,905 where the award was overcharged by one month salary.

<table>
<thead>
<tr>
<th>Award Title and Award Number</th>
<th>CFDA Number</th>
<th>Federal Agency</th>
<th>Award Year</th>
<th>Exception</th>
</tr>
</thead>
<tbody>
<tr>
<td>IGERT: Integrated Training Program in Biomechanics; DGE-0221682</td>
<td>47.076</td>
<td>National Science Foundation</td>
<td>February 1, 2008 through August 31, 2009</td>
<td>1</td>
</tr>
</tbody>
</table>

Recommendation
We recommend the University continue to monitor and evaluate expenditures on federal awards for allowability.

Management's Views and Corrective Action Plan
Following these findings are management's views and corrective action plan.

2009-6 Initial Counseling for Graduate or Professional Student PLUS Loan Borrowers

Student Financial Aid Cluster

In accordance with the Code of Federal Regulations, 34 CFR 682.604(f)(2), the University must ensure that entrance counseling is conducted with each graduate or professional student PLUS loan borrower prior to its release of the first disbursement, unless the student has received a prior Federal PLUS loan or Direct PLUS loan.

For four graduate or professional student PLUS loan borrowers selected for student financial aid compliance testing at the Harvard School of Public Health, out of a total sample of 56 graduate or professional student PLUS loan borrowers selected across the University, entrance counseling was not conducted prior to the release of the first disbursement. (FFEL GradPLUS and DL GradPLUS Programs, for award year July 1, 2008 through June 30, 2009).

We understand, based on discussion with management, that entrance counseling was ultimately completed or loan funds were paid back in full for each of the borrowers, but due to human error, initial counseling was not performed timely. The effect of this error is a disbursement of federal funds prior to initial PLUS loan counseling.

Recommendation
Management should ensure that initial counseling, for all graduate or professional student PLUS loan borrowers, is performed on a timely basis, and that funds are not disbursed until the initial counseling is complete. We recommend that management institute a formal control to review the listing of graduate or professional student PLUS loan borrowers in order to determine, prior to the first disbursement, that initial counseling was conducted.
Management's Views and Corrective Action Plan
Following these findings are management's views and corrective action plan.
IV. Summary Schedule of Prior Audit Findings

2008-1 Effort Certification

Of the 62 effort certifications PwC tested, six timeliness exceptions, affecting both annual faculty certifications and monthly nonfaculty certifications, were noted. At the Harvard Medical School ("HMS"), two certifications were each submitted 87 days late. These certifications were not signed on time as the Principal Investigator was traveling and wanted to ensure that he understood the effort certifications before signing them by discussing with the Grant Administrator. Within Harvard Kennedy School ("HKS"), four certifications were submitted from 15 to 41 days late. These certifications were not signed on time as it took the corresponding individuals additional time to ensure accuracy of the certifications.

In addition, the FAS, effort information for the period July 1, 2006 through June 30, 2007 was made available to the faculty on September 15, 2008. Based on the FAS policy, these effort certifications were due November 14, 2008, or approximately 16 months after the end of the effort reporting period. The effort information was not made available sooner due to changes in the process of compiling the underlying information. While OMB Circular A-21 does not specify timelines within which the certifications must be collected, a reasonableness standard is implied inherently. PwC acknowledged that the FAS annual effort certification does not violate any definitive standard for timeliness, but believes it is beyond the implied standard.

PwC recommended management ensure that FAS effort reporting information becomes available to faculty members in a timely manner; that the University continue to emphasize through training and communication the importance of timeliness and accuracy of sponsored programs salary certifications; and to establish consistent internal policies that establish a reasonable timeline in which annual effort certifications must be completed.

Status

The corrective action plan was implemented: In response to the FY 08 finding related to the timing of the certification process for FY 07 faculty salaries and effort commitments, the FAS Faculty Effort Certification Policy and Procedures was modified to require completion of certification within nine months of the end of the year being certified. In compliance with this new stipulation in the Policy, certification of FY 08 salaries and effort commitments was completed by March 31, 2009.

HMS and HKS have complied with and completed their corrective action plans. The departments with the finding have consistently produced and filed their effort certifications in a timely way.

2008-2 Suspension and Debarment

In examining 65 transactions over the $25,000 threshold, PwC noted four certification forms were signed and dated after the related payments had been made for the transactions, one transaction for which a signed form could not be located (but a form could be located for a previous purchase from the same vendor), and three transactions for which signed forms could not be located. Based on PwC’s examination of these transactions, they noted four of the eight exceptions occurred within one specific department in the School of Public Health. PwC noted that the related vendors were not in fact either debarred or suspended at the time of their testing.
PwC recommended the University continue to conduct training for personnel who are charging costs to federal awards, to ensure they are aware of the University's internal policy which requires a signed certification that the vendor is not suspended or debarred prior to the related purchase being approved for payment.

**Status**

We conducted over 16 Procurement Training sessions, including VJF and Debarment in FY09. Strategic Procurement worked extensively with OSP and the OGC to evaluate Federal Regulations and our policy. We found that our policies were appropriate and consistent with the federal regulations and we did not make any changes. On our website’s main page (http://vpf-web.harvard.edu/ofis/procurement/) we list the Procurement Manual as a featured link on the left. Within the Manual http://vpf-web.harvard.edu/ofis/procurement/pro_pro.shtml, Section IV addresses Federal Procurement and details the regulations and our policies. Two “Additional Resources” sections (in Section IV and Section V) within the manual provide links to OSP.

At HSPH, progress has been made toward a purchasing process that will ensure timely creation and signature of Vendor Justification and Suspension and Debarment forms. A committee of department administrators and application designers worked all year on an improved electronic purchase order system, which is now in the programming and testing phase. This system has routing capabilities for several levels of approval and will allow purchasers to send debarment forms to vendors via email.

**2008-3 Procurement**

Of the 40 transactions PwC selected for testing that exceeded the $5,000 threshold, they noted four VJFs that were signed after the business had been conducted with the vendor and one VJF that was not entirely completed and therefore did not fully document the justification of selecting the related vendor.

PwC recommended management ensure that the University's competitive bidding VJF procedures are completed and documented prior to entering into transactions with a vendor and that the University continue to emphasize through training and communication the importance of timeliness and accuracy of VJFs.

**Status**

We conducted over 16 Procurement Training sessions, including VJF and Debarment in FY09. Strategic Procurement worked extensively with OSP and the OGC to evaluate Federal Regulations and our policy. We found that our policies were appropriate and consistent with the federal regulations and we did not make any changes.

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At HSPH, progress has been made toward a purchasing process that will ensure timely creation and signature of Vendor Justification and Suspension and Debarment forms. A committee of department administrators and application designers worked during 2008-9 on an improved electronic purchase order system, which is now in the programming and testing phase. This system has routing capabilities for several levels of approval and can allow purchasers to send debarment forms to vendors via email.

2008-4 Return of Title IV Funds

For one student PwC selected for refund testing at HMS, out of a total sample of 16 students selected across the University, the refund form was not submitted to the government until 151 days after the date the University determined that the student withdrew. The required refund of $1,133 therefore was not returned within the 45 days as prescribed by the Code of Federal Regulations.

PwC recommended management ensure that all refunds are returned to the lender on a timely basis and that management institute a formal control to review the listing of students who withdrew on a monthly basis and verify that all applicable refunds have been sent to the lender in a timely manner.

Status

The 2008-4 Return of Title IV Funds finding appears to have been an isolated mistake. The Financial Aid community was notified of the error and has been diligent in tracking these cases. There were no Return of Title IV Funds findings identified in the 2009 audit.

Federal Awards Findings and Questioned Costs

2009-1 Effort Certification
Research and Development and Research Training Cluster

Management's Views and Corrective Action Plan

These effort certification findings related to a monthly salary certification report at HLS that should have been run and dated as part of regular grants management practice. This report had been run for the grant administrator by the Harvard Law School financial office. The employee in the financial office who had been running this report departed service at Harvard. In the hand-off of duties to other employees in the financial office, responsibility for running this report was inadvertently dropped and the report was not reliably run for grant 108815. In response to this finding, Harvard Law School is implementing the following three-part plan:

1) Provide reporting access to the monthly salary certification report to the grant administrator to permit self service for the grant administrator and remove reliance on the financial office to run the actual report. As a compensating control, the finance office agrees to periodically monitor the salary certification process.

2) Review open federal grants to ensure each grant administrator has access to the monthly salary certification report.

3) Create a formal Harvard Law School sponsored research policy which will ensure proper training of grants management staff. This policy will require that, at time of grant proposal submission to the Office of Sponsored Programs, the grantees are informed of their responsibilities relating to federal grants, including salary certification process and practice. The Financial Office will hold a training seminar for all HLS staff currently involved in Sponsored Awards in January 2010 to convey the reporting expectations of the PI and Grant Administrators when Sponsored Funds are awarded. In addition, monthly report reminders will be sent out to grant administrators through GMAS for each federal award.
2009-2 Suspension and Debarment
Research and Development and Research Training Cluster

Management's Views and Corrective Action Plan
Research and Development and Research Training Cluster

There were two suspension and debarment forms identified as not being completed in FY09, one at the Primate Center (administered by HMS) and one form not dated at SEAS. OSP and Strategic Procurement (SP) will collaborate to continue to deliver training to those responsible for procurement at the department and program level in order to reiterate the importance of the suspension and debarment process prior to purchase or commitment. OSP and Strategic Procurement will also reiterate the importance of retaining proper documentation in procurement files.

In the Primate Center, there was a procurement commitment with a strict non-performance clause that allowed for immediate termination of the monthly contract based on non-performance. This contract was administered as a monthly procurement, although the contract’s entire annualized cost exceeded $25,000. The Primate Center will initiate a revised approach toward all of its vendors from whom related purchases may exceed an annual expenditure of $25,000, the minimum requirement for a suspension and debarment form. Starting in December 2009, the Primate Center will run reports through CREW to determine which vendors have had an aggregate expenditure of more than $25,000 over the past 12 months, and will initiate suspension and debarment forms for each of these vendors. These reports will continue to be run and reviewed twice per year. As a precaution, the Primate Center’s Business office will also send suspension and debarment forms automatically for any new vendor. The Business Office has already alerted all relevant staff via in person meetings as to the new requirement.

OSP worked with Strategic Procurement and the Office of General Counsel on a review of the suspension and debarment (S&D) policy at Harvard to ensure that our University policy meets the objectives of the federal procurement regulations. The review showed that the federal regulations in fact require that an S&D form be retained for all purchasing commitments over $25,000. We will continue to reiterate at periodic training sessions the importance of providing this support at the time of commitment as opposed to at the time of invoice. Harvard will also review their procurement policies and determine if the language should be clarified.

As a compensating control measure, Harvard has engaged the services of a vendor who does an annual scrub of our entire University vendor database to determine if any payments were made to suspended or debarred vendors; no such payments were identified as having been made by Harvard in FY09.

2009-3 Procurement

Research and Development and Research Training Cluster, National Center for Research Resources CFDA# 93.389, and Rapid Expansion of Antiretroviral Therapy Programs under the President's Emergency Plan for AIDS Relief (PEPFAR) CFDA# 93.266
Management's Views and Corrective Action Plan

Harvard's internal policy requires federally funded transactions in excess of $5,000 to be accompanied by a Vendor Justification Form ("VJF") prior to conducting business with the related vendor. The VJF is required to document that the lowest qualified bid was chosen or that there was other justification for vendor selection. Of the four Vendor Justification Forms (VJFs) that were noted as exceptions, three were not completed in their entirety and one VJF was not signed and dated.

OSP will reiterate the importance of the VJF process in order to ascertain that the best value is charged to federal awards. OSP and Strategic Procurement will continue to partner and provide refresher training University-wide on the importance of documenting the vendor selection process and the completion of the VJF in its entirety.

The first item pertains to a transaction for a grant administered by the HSPH program in Botswana that conducts HSPH’s research and other related activities there. Currently, the HSPH Botswana program procedures are being reviewed for compliance assurance. Although applicable procurement procedures for the HSPH programs run in Botswana have historically required competitive bids, these procedures to date have not required the completion of a VJF. The Botswana HSPH program has now created its own VJF, using the Harvard form as a template, and will be revising its procedures to require the completion of the form.

The second transaction was a purchase made through HMS IT, but the VJF was incomplete. Now HMS has recognized the need to provide grants management expertise in its Information Technology Department. A new position has been created and part of this position will be assigned to manage all the grants held within the HMS Information Technology Department. In addition, HMS has provided IT staff with training on processing Vendor Justification Forms.

Similarly, the third transaction in question relates to payment to a hotel for a conference; the payment was made by the PEPFAR program at HSPH, but no VJF was obtained. To ensure that all required VJFs are collected and maintained on file in PEPFAR’s Boston office in the future, management intends to carry out the following steps:

- Effective December 2009, PEPFAR’s Boston office will require that a VJF be provided at the time a hotel reservation for a training event in Nigeria is made. In-country Senior Financial Officers (SFOs) at Harvard’s in-country subcontractor, APIN, will be responsible for completing the VJFs and for forwarding them to the Long Term Operating Advance (LTOA) contact in the Boston office.
- Boston-based PEPFAR management will require that VJFs be included in the supporting documentation that accompanies a request for reimbursement of expenses paid via the LTOA.
- If a VJF is missing from the supporting documentation, the Boston PEPFAR office will request that the responsible SFO provide one. The LTOA will not be reimbursed until the required VJF is on file in Boston.
- This new practice has been communicated in writing to the SFOs, as well as to the Nigeria-based CFO at APIN to whom they report. PEPFAR management will follow up during its regularly scheduled conference calls, and this topic will also be covered during the planned training visit to Boston to be made in January 2010 by Nigerian financial staff.
Finally, as an added measure of post-audit control, PEPFAR’s Boston office intends to spot-check the Boston-based LTOA reimbursement files on a quarterly basis to ensure that all supporting documentation packets are complete. This procedure will be documented so that it can be checked periodically.

2009-4 Reporting
Research and Development and Research Training Cluster

Management's Views and Corrective Action Plan
Financial Reporting

Of the 57 financial reports selected for testing, there were five reports submitted between 33 and 100 days late. OSP makes every effort to submit reports on time, but was not able to complete accurate and timely reporting on these five awards. OSP tracks the financial reports due and makes every effort to reallocate portfolio responsibilities in order to meet federal submission guidelines, but has been unable to do so consistently and uniformly due to capacity and workload issues. OSP will continue to explore efficiencies in the financial reporting model that will enable its staff to continue efforts to submit timely and accurate financial status reports.

Minority Vendor Reporting

University recipients of EPA grants and cooperative agreements are required to set a Fair Share goal for minority contractor participation. The Principal Investigator must report progress on this goal annually to the EPA on Form 5700-52A. This form is available from the EPA and can be copied. Of the five EPA reports selected for testing, one report from HSPH was submitted by the department administrator 15 days late. OSP centrally manages the reminders for these reports and will make additional efforts to ensure that these contractually required reports are submitted in a timely fashion.

At HSPH, steps have already been taken to prevent a late filing in the future.

Specifically, the following actions have been taken by HSPH.

1. HSPH has instituted a procedure to remind subcontractors and principal investigators (PIs) that Minority Vending Reports must be sent to grant managers.
2. In the event that the subcontractor reports are not available when Minority Vending Reports are due, HSPH will submit the Minority Vending Reports without the subcontractor report and follow up with a revised report as soon as it is available.

Non-financial Reporting

Interim and final progress reports, patent and invention reports, and any other non-financial reports due to sponsors are usually the responsibility of the PI and the department. Of the 24 non-financial reports selected for testing, there were four exceptions for timeliness. Due dates for filing these reports do not reside in the central GMAS system, so departments must obtain these dates from the terms and conditions of the sponsored award agreement and then use shadow systems and local “ticklers” to keep track of this important information. FAS will reiterate the need for departments and PIs to maintain local systems for this purpose on the FAS Research Administration Services (RAS) website, in one or more of our monthly “RAS Friday”
for grants administrators (OSP attends these sessions also), and in a distribution to our FAS RAS mailing list. One widely used FAS shadow system, FASSPAR, has a Deadlines report for each sponsored award and a Consolidated Deadlines report that rolls up all of the individual Deadlines reports. Departmental grants administrators will be reminded of the existence of this useful tool. There may have been conversations between the principal investigators and their program officers regarding the submission requirements for these reports. We do not have evidence of such correspondence, but such conversations are quite common between investigators and grants officers. The FAS will continue to reiterate the importance of meeting sponsor deadlines and will provide guidance to PIs and administrators on the need to retain any correspondence that indicates sponsor knowledge and/or approval of late submissions.

2009-5 Allowable Costs and Cost Principles
Education and Human Resources CFDA# 47.076

Management's Views and Corrective Action Plan

It is believed that this finding was an isolated incident, not indicative of any systemic problem with the grants management policies and procedures in the department. However, management will take the opportunity to remind PIs and grants administrators to review the terms and conditions of each award carefully to avoid situations like this in the future. This charge has been removed from the federal award.

2009-6 Initial Counseling for Graduate or Professional Student PLUS Loan Borrowers
Student Financial Aid Cluster

Management's Views and Corrective Action Plan

Regulatory changes requiring entrance counseling for these loan programs became effective July 1, 2008. While implementing new entrance counseling procedures at the School of Public Health, tracking errors occurred and four FFEL GradPLUS loans were disbursed before counseling was completed.

In order to ensure that entrance interviews are performed prior to disbursement for PLUS loan borrowers, the Financial Aid Office at SPH will no longer certify these loans until the entrance interview is completed.

Sincerely,

Mark Barnes
University Research Compliance Officer

Maureen Forrester
University Controller

Harvard University Fiscal Year 2009 A-133 Corrective Action Plan