



# 2020 DEAN'S ANNUAL REPORT

Students meet on Weeks Bridge to watch the sunrise on Sunday, March 15—their final day on campus—before leaving due to the COVID-19 pandemic. Photo: Rose Lincoln



**HARVARD**  
Faculty of Arts and Sciences



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“

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”

CLAUDINE GAY





Dear Colleagues,

Each fall, within these pages I reflect on the prior academic year and report on our efforts to build and sustain a strong faculty and advance the pursuit of our teaching and research mission. This report, and the analysis it provides, is one piece of an ongoing conversation among our faculty about the aspirations of our big, ambitious, and intellectually diverse academic community, celebrating past accomplishments and seeking to understand the challenges before us as we start a new academic year.

This year is different.

In a year in which the Faculty of Arts and Sciences (FAS) has confronted the unprecedented challenges of a global pandemic, this report is part of a different conversation. It documents our experience, not just for those who witnessed it firsthand but for future readers who will seek to understand what 2020 was like in the FAS. In “A Singular Semester: FAS Responds to COVID-19,” we chronicle the events of the first five months of the pandemic in our community. We recount the rapid de-densification of campus in early March ([page 6](#)) and the pivot to remote learning ([page 8](#)), as well as the manifestations in our community of the national reckoning with anti-Black violence in America, triggered by the murder of George Floyd at the hands of white police officers in Minneapolis ([page 12](#)). We also describe how the breadth and intellectual diversity of the faculty helped us as we grappled with planning scenarios for the fall term ([page 14](#)) and nourished and inspired a community living through times of overwhelming uncertainty ([page 10](#)). As we restarted some campus-based research activities ([page 17](#)), we also looked ahead to what this moment would mean for our future as a learning community and to a vision informed by what the crisis would teach us ([page 19](#)).

Even with the spring’s disruptions, our faculty remained strong. Our numbers grew slightly ([page 23](#)) as some colleagues began their Harvard story by joining a virtual community of scholars and students. We continued to invest in recruitment practices that ensure we are selecting faculty from broad pools of talent ([page 25](#)) and that seek opportunities to further strengthen our ability to attract outstanding faculty ([page 28](#)). Building on successful events of recent years, our professional development program offerings were further expanded. The Faculty Working Group (FWG) program—which began before the pandemic and helps tenure-track faculty form small groups of colleagues who work together on a regular basis—continued in a new remote form. The FWGs created an environment in which faculty could engage in conversations about their research, receive feedback on works-in-progress, share information about professional events and resources, and engage other forms of scholarly enrichment and support. Individualized coaching and workshops on a range of topics—from managing staff to navigating relationships with peers—were also offered. Foremost in our

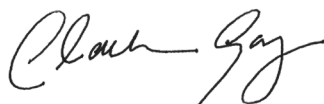
minds, however, has been how to keep faculty connected, build community, and support them in their pursuit of excellence in teaching and research during this new and challenging context.

The financial consequences of the pandemic have been considerable (page 32). Early in the spring, we moved quickly to assess what changes to our operations would be needed in order to restart some degree of campus-based activities, beginning with limited research activities and preparing for a range of options for the undergraduate residential program in the fall. Though much was still unknown, it became immediately clear that, in just a matter of weeks, the economic context had been fundamentally altered. Our financial response would not be limited to meeting the immediate costs of campus adaptations necessitated by the pandemic or the challenges of short-term lost revenue; instead, we were on a changed trajectory for the long term that we needed to understand better.

Some immediate measures were taken to respond to the economic reality we faced and to prepare for a more challenging future. Then, as part of the FAS scenario planning process, a financial planning working group of faculty, chaired by John Campbell, Morton L. and Carole S. Olshan Professor of Economics, and working in partnership with our finance team, was charged with validating the financial impacts of COVID-19, estimating the short-term costs of our campus reopening plans, and looking more broadly at FAS financial sustainability. The Campbell Committee provided analysis and observations that presented new frameworks for tackling the difficult tradeoffs embedded in the FAS financial challenge, disentangling one-time and short-term costs from long-term structural considerations. This group generated important insights and continuing to engage faculty directly in the work of looking for possible solutions and different levers to the financial challenges we face will be part of our fiscal response over the coming year.

Through it all, we have been guided by a set of core principles established at the outset of the pandemic: to put health and safety first, protect the academic enterprise, leverage our breadth and diversity, and preserve access and affordability. Though so much about our daily lives has changed, the events of 2020 brought who we are at our core into high relief. The FAS is a community of unrelentingly high standards, one that embraces everything that can be gained from the best use of expertise and data and is alive with a profound commitment to our academic mission. As a member of this community, it has inspired me and given me confidence in what we can accomplish together, recognizing that many challenges still lie ahead.

Sincerely,



**Claudine Gay**

Edgerley Family Dean of the Faculty of Arts and Sciences

Wilbur A. Cowett Professor of Government and of African and African American Studies





## **A SINGULAR SEMESTER: FAS RESPONDS TO COVID-19**

When COVID-19 turned from outbreak to pandemic, the academic year lost all sense of normalcy as the FAS was forced to adapt, innovate, and adjust to remote teaching and research. Many faculty and staff stepped into new leadership roles and worked together to help guide us forward.





Photo: Rose Lincoln

Movers from Olympia Moving and Storage Company drop off boxes to Eliot House. Due to the international Coronavirus Pandemic (COVID-19), Harvard University President Lawrence Bacow asked that students not return to campus after Spring Recess and instead meet academic requirements remotely until further notice.

## March 10: Campus De-Densification

The University announced its transition to online learning and asked students not to return to campus following spring break. Harvard was among the first schools in the country to suspend in-person classes and most campus operations in response to the growing pandemic.

Meetings about how the University could operate amid an outbreak had started in January, as administrators were tracking the progress of the pandemic with increasing alarm. By late February, active planning to de-densify the campus had begun and steps were being taken to bring much of University life to a halt. In partnership with University colleagues, **Claudine Gay**, Edgerley Family Dean of the Faculty of Arts and Sciences and Wilbur A. Cowett Professor of Government and of African and African American Studies, convened the academic and administrative leaders of the FAS over early spring weekends for an all-hands effort to develop contingency plans, think

through their far-reaching implications, and contend with the intimidating logistics. These drastic decisions came as the number of cases in Massachusetts escalated and cases in the United States and across the globe began to surge.

As the FAS made its switch to remote learning, Harvard libraries, recreation, museums, theater events, and non-COVID science labs were brought to a standstill in an effort to de-densify the campus. Dean for Administration and Finance **Leslie Kirwan** said her team prepared everything from physical shutdown of spaces and support of packing up and moving students to shifting most staff to remote work.





Photo: Rose Lincoln

Harvard security guard Diallo Clark assists students with move-out at the intersection near Leverett and Quincy Houses.

“It was incredible how our colleagues made decisions and acted in the face of so much uncertainty. They drew on their expertise and adapted regular protocols in real time,” Dean Kirwan said.

Before students could vacate campus, they needed help gathering belongings, booking travel home, and, in some cases, determining whether they could leave at all due to increasing international border closings. Nearly 200 volunteers, from faculty and administrators to alumni and residential staff, stepped in to help over five whirlwind days.

“Students needed help with both the logistical components of the leave as well as psychological support,” said Dean of Students **Katie O’Dair**. “So many volunteers showed up to help in the houses and in their offices, to answer questions, help students get plane tickets, print shipping labels, and to be a calming, supportive presence. The [spring] de-densification plan worked because we already had systems in place that we could adapt and accelerate for move-out, leveraging partnerships from across the College, FAS, and the University.”



Photo: Rose Lincoln

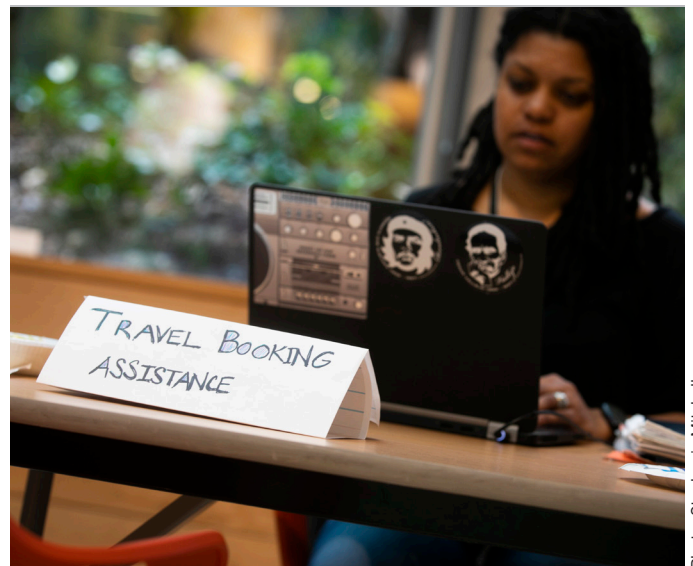


Photo: Stephanie Mitchell

Left: Currier roommates Hayat Sherif, Claire Sukumar, and Mayerly Smith share a hug. Right: In the Smith Campus Center, Monique Rivera (pictured) helps students book travel after students have been asked to move out of their Houses and First-Year Dorms by Sunday, March 15.





Photo: Stephanie Mitchell.

When transitioning to teaching online, Professor Matt Saunders established a Zoom lecture (pictured) and formed smaller groups with six new discussion sessions.

## March 23: Transition to Remote Learning

After spring break, Harvard launched into an unprecedented remote learning experience. Drawing on the expertise of leaders from the Derek Bok Center for Teaching and Learning and the Division of Continuing Education (DCE), FAS administrators and faculty pivoted quickly to adapt courses for the virtual classroom and ensure continuity from in-person learning.

Dean of Undergraduate Education **Amanda Claybaugh** said training faculty and teaching fellows in the shift to remote learning was essential to the relatively smooth transition.

“We were committed to ensuring that students could complete the courses they had enrolled in, learn the material they needed to learn, and continue making progress to their degree,” said Claybaugh. “We offered training in technology and pedagogy for faculty over spring break and invited students to stay on campus if they felt their homes would not be conducive to learning.”

Dean Claybaugh’s office also worked tirelessly through the spring and summer with colleagues at the Bok Center, DCE, and the Office of the Vice Provost for Advances in Learning to develop an all-remote model for the 2020–2021 academic

year that would “create the most equitable experience for students and give Harvard the most flexibility in responding to the pandemic as it evolves.”

More than 1,000 faculty participated in training sessions, and more than 70 percent of faculty expect to continue using some of the techniques for successful remote instruction even after the pandemic is over.

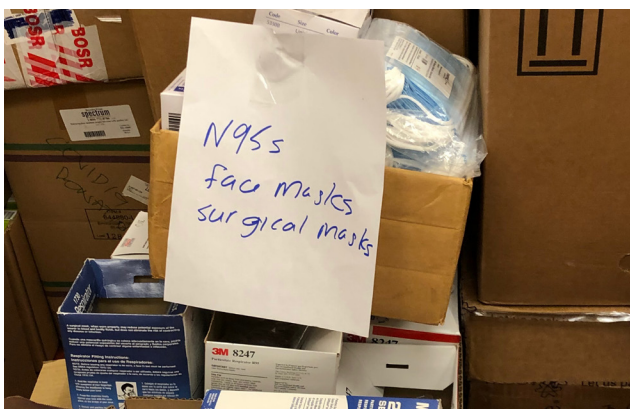
“The pandemic has brought one good thing: a renewed institutional commitment to teaching,” Dean Claybaugh said. “Many faculty reported that the summer trainings were the first time they had ever discussed teaching with colleagues and expressed the hope that they’d have more opportunities for the future.”



Photos: Harvard University



Faculty and researchers from across the division of Science and SEAS donated their supplies of critical personal protection equipment (PPE) to meet the demands of frontline medical workers.



Top: Russ Porter, Administrative Dean for Science, helps sort PPE donations coming in from the division of Sciences and SEAS. Bottom: PPE supplies collected for donation to local hospitals.

## March 25: PPE Donations

When frontline medical workers called for increased supplies of personal protective equipment (PPE) amid a nationwide shortage in the battle against the surging pandemic, FAS faculty and staff readily answered.

The call went out to researchers for gloves, gowns, masks, and other essential supplies. Donations came from across FAS—from the science core facilities to the Center for Nanoscale Systems to individual labs and departments in the division of Science and SEAS—and amounted to a room piled high with boxes, which were then delivered to the Massachusetts Emergency Management Agency and distributed to local hospitals.

“Laboratory workers understand why PPE is important,” said **Sarah Lyn Elwell**, FAS senior director of administration and operations for science. “Our researchers really took it to heart, and we had an amazing outpouring of donations. It makes me really proud to work at Harvard and in the sciences.”

Photos: Harvard University



**Vijay Iyer**  
Pianist and Professor of Music at Harvard

In this #PauseforArt segment, Vijay Iyer, pianist and Franklin D. and Florence Rosenblatt Professor of the Arts at Harvard, offers variations on the theme of John Lennon's "Imagine."

## Late March: Pause for Art

The Office for the Arts (OFA) originally had big plans for spring 2020. When campus life moved online, the OFA pivoted to virtual programming and community events, offering moments of connection and respite for Harvard's dispersed community. Its first initiative was [Pause for Art](#), a daily video series featuring 30 performances by students, faculty, alumni, and affiliated artists.

"We thought, 'what can we do to create a moment of bliss each day for people? How can we use artistic moments to connect students across the community—to see our wonderful undergraduates and celebrate them in our community regardless of where they are?'" said **Jack Megan**, director of the Office for the Arts. "Pause for Art grew out of that feeling."

The moments of dance, music, and poetry included performances by sisters and violinists [Eloise Hodges '21](#) and [Natalie Hodges '19](#), a piano piece by [Vijay Iyer](#), Franklin D. and Florence Rosenblatt Professor of the Arts, and a poem recited by [Jorie Graham](#), Boylston Professor of Oratory and Rhetoric. Building on a successful formula, the OFA also produced a series of Pause for Arts videos featuring [College seniors](#) ahead of the virtual conferring of degrees in May.



**Margaret Canady '20**  
Dancer

Pause for Art: Creative Moments from Harvard Seniors was a celebration of artmakers in the Harvard Class of 2020. Dancer and choreographer Margaret Canady performed a dance improvisation to Debussy's "Clair de Lune."



Photo: Stephanie Mitchell.



The “How We Feel” app, developed by professors Xihong Lin and Gary King, allows users to report any health symptoms they may be experiencing to help track and fight the novel coronavirus.

## April: Research During a Pandemic

Work on COVID-related research began immediately as cases across the globe rose sharply. The study has been far ranging, from lab science and the economy to ethics and data interpretation.

In April, **John M. Doyle**, the Henry B. Silsbee Professor of Physics, analyzed the strengths and weaknesses of decontamination methods for the pivotal N95 respirator and studied how to mitigate aerosol transmission of the virus.

“What drives my group on the SARS-CoV-2 research is primarily the desire to save lives and lower the substantial burden on our frontline medical workers,” Doyle said.

**Xihong Lin**, professor of biostatistics, and **Gary King**, director of the Institute for Quantitative Social Science and Albert J. Weatherhead III University Professor, helped to build an app that drew on big data to help fill information gaps created by a testing shortage. The app, called “How We Feel,” could help researchers and public health officials pinpoint COVID-19 hotspots, predict areas that could soon see spikes in COVID-19 cases, understand pertinent risk factors and demographic information, and allow health agencies to better respond to the pandemic.

**Pardis Sabeti**, a professor in the Department of Organismic and Evolutionary Biology, has helped develop a CRISPR-based diagnostic test that could be used for COVID-19 and worked with hospitals to set up and scale their testing efforts. She is currently helping to set up a pandemic response system for future outbreaks in West Africa.

**Danielle Allen**, the James Bryant Conant University Professor and director of the Edmond J. Safra Center for Ethics, spearheaded the COVID-19 Response Initiative at the center, which published the Roadmap to Pandemic Resilience. It was the nation’s first roadmap for mobilizing and reopening the U.S. economy during the COVID-19 crisis.

Critical economic work came from **Raj Chetty**, the William A. Ackman Professor of Economics, and **Nathaniel Hendren**, professor of economics, at Opportunity Insights in May. They created a real-time economic tracker to assess the effects of the downturn and let policymakers base their economic decisions on fresh information.

## May 1: Graduate Student Emergency Support Initiative

Following the evacuation of campus and the shift to remote learning, the Graduate School of Arts and Sciences (GSAS) worked to ensure financial and physical security for PhD students and launched a multiphased Emergency Support Initiative (ESI) to assist those facing academic disruptions due to the pandemic.

“Through the ESI, GSAS funded tuition and health fees for upper-year students, expanded our visiting fellows program to include new graduates, and developed postdoctoral positions at the Fellowships & Writing Center,” said GSAS Dean **Emma Dench**, McLean Professor of Ancient and Modern History and of the Classics.

In addition to the ESI, which has distributed \$2 million to date, GSAS also partnered with the Office of Undergraduate Education to help secure teaching appointments for eligible graduate students for the fall semester, offered free summer language courses through the Division of Continuing Education, and worked with the Office of Career Services to provide support for graduating students seeking employment.



Student walking past Widener Library.

Photo: Kris Snibbe

“Our work in identifying ways to support students is not finished,” said Dench, noting that her leadership team continues to advocate for students facing research limitations, housing insecurity, and commitments to both work and family. “We’re working actively with our University partners to augment the ESI and expand the initiative into the next phase of support.”



Photos: Rose Lincoln

A protest to remember George Floyd, who was killed by Minneapolis police officers, was held at the Massachusetts State House in Boston.

## May 26: National Racial Justice Protests

The murder of George Floyd at the hands of a white Minneapolis police officer fueled national outrage and an unprecedented scale of protests against police brutality and systemic racism across the United States. **Lawrence D. Bobo**, Dean of Social Science and W. E. B. Du Bois Professor of the Social Sciences, spoke at length about this “complex and fraught moment.”



Photos: Rose Lincoln



Protest at the Massachusetts State House.

Bobo said the brutality of Floyd's death provided a watershed moment for many to consider how much progress has actually been made. "We inhabit an era in which there are certainly more rank-and-file minority police officers than ever before, more African American and minority and female police chiefs and leaders. But inhabiting a world where the poor and our deeply poor communities are still heavily [and] disproportionately people of color, where we had a war on drugs that was racially biased in both its origins and its profoundly troubling execution over many years, that has bred a level of distrust and antagonism between police and black communities that should worry us all. There's clearly an enormous amount of work to be done."

In an interview in the *Gazette*, Bobo underscored the need to understand these problems in the context of the historic legacy of racism that's deeply rooted in the American cultural fabric. "It's really important to recall that what slavery did, in many respects, was to forge a tight link between our social class structure and a kind of racial hierarchy. It created a bottom rung [of] people who were racially stigmatized and in the deepest economic disadvantage and poverty. And we have never fully undone that terrible circumstance."

Photos: Stephanie Mitchell



Left: Sisters Kaelyn Brown '21 (left) and Cierra Brown '23 are pictured outside of Widener Library. They protested against racial injustice. Right: Moderator Alexis Stokes (clockwise from upper left), Director of Diversity, Inclusion, and Belonging at SEAS; Ande Durojaiye, Vice Provost for Undergraduate Academic Affairs, Northern Kentucky University; Evelyn Hammonds, Barbara Gutmann Rosenkrantz Professor of the History of Science and Professor of African and African American Studies, Harvard University; Tiffany Pogue, Assistant Professor of Education, Albany State University; and Tracy Robinson-Wood, Professor of Applied Psychology, Bouve College of Health Science, Northeastern University, speak during the SEAS & FAS Division of Science Community Conversation for a virtual panel and Q&A to discuss racial injustice, dealing with racial trauma, and strategies for change.



Photos: Kris Snibbe



Photo: Stephanie Mitchell



Photo: Jon Chase



Christopher Stubbs (left), Samuel C. Moncher Professor of Physics and of Astronomy, Dean of Science in the Faculty of Arts and Sciences; and Michael Burke (right), Registrar of the Faculty of Arts and Sciences, were tapped by Dean Claudine Gay to lead the FAS Scenario Planning process to chart a path toward residential return.

## May 27: FAS Scenario Planning Working Groups Launched

As the spring semester drew to a successful—albeit atypical—conclusion, planning quickly turned to fall 2020. **Dean Claudine Gay** appointed **Chris Stubbs**, Dean of Science and professor of physics and of astronomy, and **Mike Burke**, FAS Registrar, to co-lead an extensive scenario-planning process to develop a range of possible options for how to safely bring students and scholarship back to campus.

Eleven working groups were charged to begin developing plans on how to best lay the groundwork for resuming and adapting on-campus operations during and beyond the pandemic. The planning process brought together the foremost experts in epidemiology, data privacy, infectious disease, history, economics, astrophysics, literature, evolutionary biology, and more, who worked alongside administrative leaders to model scenarios and identify risks and mitigations for the path forward.

Together, more than 100 faculty and staff worked around

the clock to adapt the FAS to the demands of the pandemic and tackled a range of core topics, from scheduling and enrollment to financial planning and the preparation of residential Houses and facilities. Contending with an unknown viral trajectory and an ever-shifting landscape of local, state, and national regulations, the planning process itself demonstrated the power that comes from bringing a breadth of disciplines to bear on a hard problem.

Each working group was led by a chair or co-chairs, who drew from the diverse expertise and perspectives of both FAS



faculty and staff. The working group chairs comprised a steering committee, led by Dean Stubbs and Registrar Burke, that met weekly in three-hour marathon meetings. These sessions enabled information sharing and collaboration across the groups and coordination with related University planning efforts.

“There was a wide variety of views expressed with all the

passion, informed dialogue, and discussion that one might hope of the Harvard community wrestling with a hard decision,” Dean Stubbs said. “We brought together the academic and the administrative components of the organization around the same table to wrestle with how we bring our best ideas, our best experience, and our best resources to bear on providing the best possible advice that we could.”

## FAS Scenario Planning Working Group Leads

### Decision Framing

Christopher Stubbs, Dean of Science

Michael Burke, Registrar

### Back in Fall 2020

Michael Burke, Registrar

### Five-Year Horizon Planning

Maya Jasanoff, Coolidge Professor of History, X.D. and Nancy Yang Professor of Arts and Sciences, Harvard College Professor

### Testing and Tracing

Mark Fishman, Professor of Stem Cell and Regenerative Biology

Latanya Sweeney, Professor of Government and Technology in Residence

### Preparing Housing and Facilities

L. Mahadevan, Faculty Dean of Mather House, Lola England de Valpine Professor of Applied Mathematics, of Organismic and Evolutionary Biology, and of Physics

Zachary Gingo, Associate Dean for Physical Resources and Planning

### Calendar and Scheduling

Jay Harris, Harry Austryn Wolfson Professor of Jewish Studies

Erika McDonald, Associate Registrar of Academic Planning

### Financial Planning

John Campbell, Morton L. and Carole S. Olshan Professor of Economics

### Enrollment Management

David Laibson, Robert I. Goldman Professor of Economics

### Remote Experience 2020

Amanda Claybaugh, Dean of Undergraduate Education

### Division of Continuing Education (DCE)

Henry Leitner, Interim Dean of DCE

### Research Resumption

Christopher Stubbs, Dean of Science





Photo: Rose Lincoln

1



Photo: Kris Snibbe

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Photo: Rose Lincoln



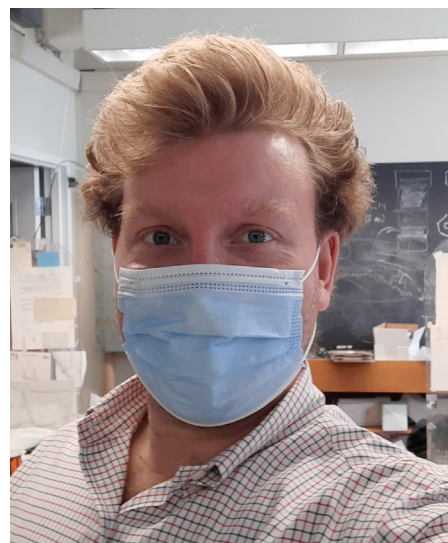
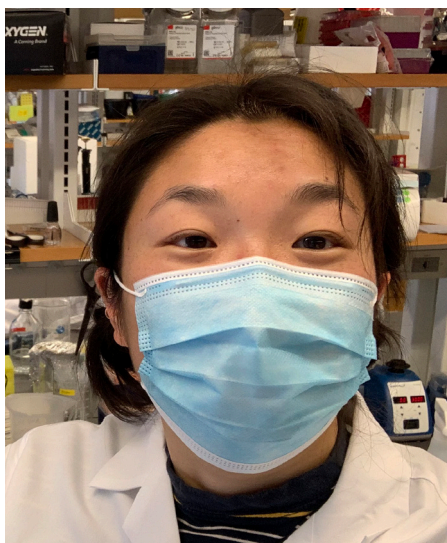
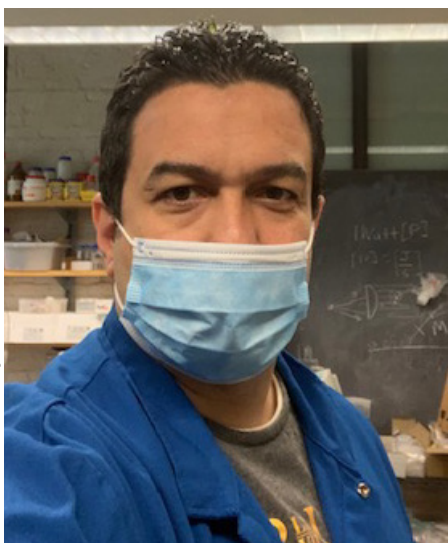
Photo: Rose Lincoln

## May 28: Harvard's Remote Commencement

- 1:** Formats change, but traditions remain. Peter J. Koutoujian, MPA '02, Sheriff of Middlesex County, calls to order Harvard's 369th Commencement, which was held remotely.
- 2:** Rachel Han '20 and her parents during the Dunster House Commencement.
- 3:** University-wide Commencement Choir singing "Fair Harvard"
- 4:** Michael J. Phillips A.B. '20 of Leveret House delivers the Senior English Address.



Photo: Harvard University



Left: Khaled Abdelazim, Visiting Scholar in Chemistry and Chemical Biology in the Mallinckrodt Chemistry Lab. Middle: Megan He, Research Assistant in Molecular and Cellular Biology. Right: Michael Johannes Fink, Research Associate in the Mallinckrodt Chemistry Lab.

## June 8: Restarting the Labs

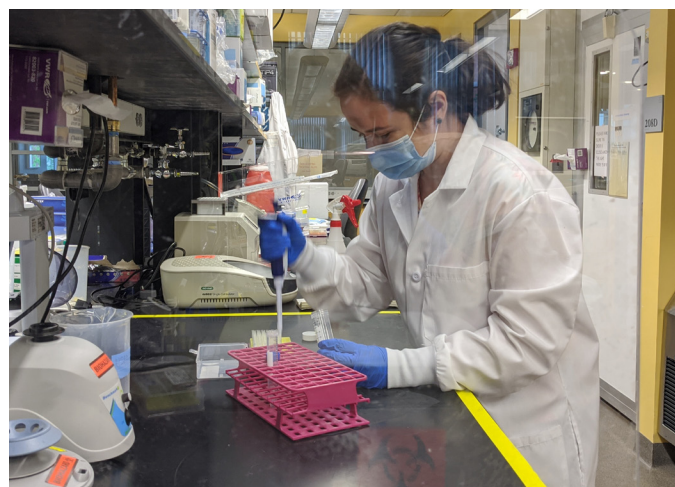
The phased return to scientific research began with close to 2,000 faculty and staff from Science and SEAS. After nearly three months of working remotely, the moment brought a surge of optimism, positivity, and confidence in the community.

The return involved around-the-clock logistical magic and strict protocol of mask-wearing and social distancing. Administrators and principal investigators managed everything from supply-chain issues and airflow regulation to setting occupancy density targets and reconfiguring workspaces that study topics such as quantum science, the laws of physics, and leukemia.

**Zachary Gingo**, Associate Dean for Physical Resources and Planning, said that building retrofits included modest but important changes such as installing more touchless faucets as well as soap and hand sanitizer dispensers. His team added wipe dispensers by doors and upgraded HEPA air filters where needed to ensure proper ventilation while maintaining optimal lab temperatures and humidity levels.

“What made this work was really the thoughtful planning to change operations in a way that could enhance safety while maintaining the ongoing research enterprise,” Gingo said. “That really came down to the different lab groups and the PIs leading them and the graduate students and postdocs and others working for them.”

“The protocols and culture of safety that we put in place have allowed us to continue our community’s work to improve the human condition and our understanding of the world that we live in, and to move the scientific enterprise forward,” added Dean Stubbs.



Fabiana Duarte, postdoctoral fellow in the Department of Stem Cell and Regenerative Biology, in the Buenrostro Lab.



## June 10: #ShutDownAcademia and #ShutDownSTEM

The urgent calls for racial justice across the country were also echoed in the FAS community. All FAS divisions and SEAS engaged in this national day of reflection and reckoning on racial justice across academia. The day provided an opportunity for the entire academic community to educate themselves, reflect seriously on the effects of racial inequities, and lay the seeds for long-term action; discussions, readings, and coffee hours were held as first steps in determining supportive actions.

Actions ranged from addressing pipeline issues to mentoring at all career stages, in addition to internal assessments of department cultures and increasing accountability to make sure commitments to addressing racial inequities are met.

**Benita Wolff**, the FAS Science Equity and Inclusion Administrative Fellow, said that participating in these events was a natural next step in the division's commitment to making and prioritizing an anti-racism agenda.

"It really wasn't much of a discussion around 'will we,' it was more 'we will be doing this,'" Wolff said. "What was really gratifying was that people were willing to tackle this difficult subject and show up for a conversation that they knew would be difficult."

"We talk about it, essentially, every day: about how to carry forward that momentum and achieve genuine lasting systemic change within the institution and the professions that we represent," elaborated Dean Stubbs. "That's a prime objective for our whole division."

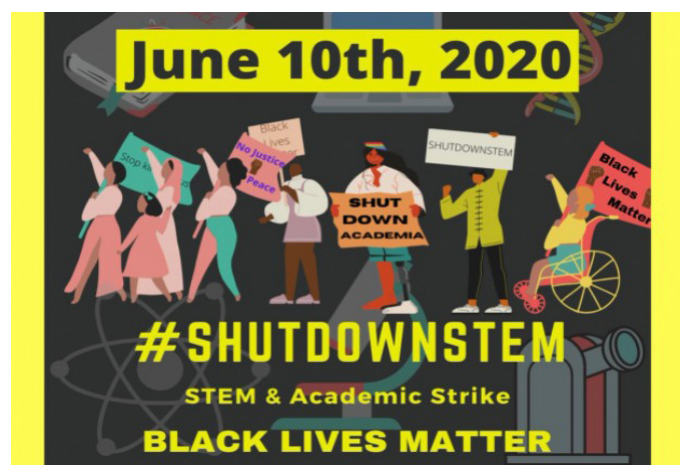
Dean **Lawrence Bobo** convened meetings across the division to brainstorm ideas and developed a set of best practices for the division. Among the first actions was the creation of a searchable public database of courses at the University with substantial [race and racial inequality related content](#) "to underscore the deep and extensive engagement with these issues that already exists at Harvard, particularly in the social sciences."

"Recent events, for me, have sparked a new sense of urgency [and] need for action and results," Bobo said. "Mere dialogue is not enough. Creating new structures to support DIB processes and outcomes, regular monitoring of our progress, and a spirit of innovation coupled with reliance on the best available research and expertise, much of it located right here at Harvard in the social science division, combine to give me hope that we will not only change this institution

in positive ways but will lead and contribute to needed changes in the wider society in response to systemic racism."

**Robin Kelsey**, Dean of Arts and Humanities and Shirley Carter Burden Professor of Photography, held a town hall on racial justice in June, followed by robust organizing efforts at the departmental level to create substantive change in anti-racism and social justice movements. He also held office hours for faculty to share ideas and plans for diversity and inclusion initiatives.

"It is worth emphasizing that we are not just another organization committing itself anew to fairness and equity," Kelsey wrote in a message to department chairs and administrators this summer. "We are a university. For that reason, the most profound changes that we can make will require us to outstrip climate surveys and HR manuals to rethink the fields of knowledge to which our professional lives are dedicated. Now is a time for a fresh assessment of what is worthy of study and why. That will be the hardest work."



An illustrated poster for the June 10, 2020, #ShutDownStem academic strike for Black Lives Matter, showing people of different races, genders, and abilities organizing for racial justice.

Photo: Harvard Magazine

Photo: Stephanie Mitchell.



## Toward 2025: Five-Year Horizon Planning

In early July, the FAS announced its much anticipated decision to bring back some undergraduates to campus for fall 2020. Beyond this decision, as part of the FAS Scenario Planning process, one working group was asked to look forward and articulate a vision for the future coming out of this crisis.

**Maya Jasanoff**, X.D. and Nancy Yang Professor, Coolidge Professor of History, and Harvard College Professor, led the Five-Year Horizon working group and focused on the future implications of COVID-19 and beyond, with a particular focus on the College.

“People in institutions in leadership roles, particularly in times of crisis, have a responsibility to recognize and think about what they’re doing in a broader context,” said Jasanoff. “Thinking about how Harvard ought to bounce back from the pandemic also requires us to think about what kind of society we want to more generally coming out of the pandemic because we have a role in shaping that.”

“Our point of departure was that we all know we’re in a complete crisis in the short term, but there are clearly going to be economic and social ramifications of this for a long time,” Jasanoff continued. “Where do we see opportunity here to highlight or enhance or support certain aspects of the college mission?”

The team drilled down on a renewed commitment to teaching and learning, a reevaluation of the residential system, and a purposeful strategy for our online education efforts, which offers recommendations for Harvard’s continued success as a pedagogical leader in an education landscape turned upside down by the pandemic.

Ultimately, the group proposed a “vigorous commitment to transformational education in the liberal arts and sciences, designed for the incredibly diverse and globalized, yet profoundly unequal, society of today.”

“We must engage in a serious campus-wide conversation about what it means to live in a multiethnic, international society marked by racial, gender-based, economic, legal, and other disparities. We must commit ourselves and our resources to making Harvard College, by 2025, a more just and equitable place,” Jasanoff said.



Photo: Stephanie Mitchell.



Tiya Miles, Professor of History and Radcliffe Alumnae Professor, pictured in the Radcliffe Quad at Harvard University.

## Faculty Feature: Tiya Miles

Amid this past spring's resurgence of protests for racial justice and equity across the country, public discourse has revolved around a frequent refrain: how did we get here?

In "Slavery and Public History," a new seminar course created and taught this spring by **Tiya Miles** '92, Professor of History and Radcliffe Alumnae Professor at the Radcliffe Institute for Advanced Study, students investigated this question through analysis of representations and interpretations of slavery in American popular culture and physical sites.

"Academically trained scholars are not the only people who do history," said Miles, whose award-winning academic research, fiction writing, and mainstream media publications center on African American, Native American, and women's history in the 19th century, with special attention to slavery, interracial relations, and environmental justice.

"Intellectuals and researchers outside of universities, including local and community knowledge holders, oral historians, family historians, historic site staff, and so on, produce and share knowledge that is essential to the building of multifaceted understandings of the past and to the dissemination of those understandings. In fact, public history at its best stands on the disciplinary principles and practices of historical research," she said.

In this course, Miles asked students to investigate the ways in which the legacy of slavery shapes American popular culture and physical landscapes. Along with digital maps and walking tours, art exhibits, and novels (such as science fiction author Octavia Butler's *Kindred*), the group analyzed case studies depicting different historical interpretations of slavery—including the renovation of Philadelphia's Liberty Bell Complex on land where enslaved people once toiled, the commercialization of plantations for tourism and weddings, and the financial

contributions of the slave-owning Royall family of Medford, Massachusetts, to the founding of Harvard Law School.

"I want students to take away two fundamental notions from the course and public history as a field," said Miles. "First, history is vital to how we understand ourselves as individuals and members of communities from the local to the global scale. Second, because history is vital, the way we approach our research and study in the field is critically important. It is especially apparent in our current moment of crisis and uncertainty that we all make history together, for better or for worse. Our study of that complex past should also be interconnected, collaborative, and vibrant."

Beyond the classroom, Miles will continue encouraging collaboration and community-oriented research as the new director of the Charles Warren Center for Studies in American History. She noted the foundational work done by outgoing director Walter Johnson to establish the Global American Studies postdoctoral fellowship program in interdisciplinary arenas such as American studies and ethnicity, indigeneity, and migration. She also sees the Warren Center as a space to continue the public history offerings for undergraduate students encouraged by Evelyn Brooks Higginbotham, outgoing Department of History chair and Victor S. Thomas Professor of History and of African and African American Studies.

"The Warren Center will seek to consolidate, foster, and highlight public history pedagogy and scholarship at Harvard by supporting instruction and collaboration beyond campus," said Miles, highlighting future projects such as training and career workshops for graduate students, a series of conversations on cutting-edge public history scholarship, and a space for collaborative work "that broadens the impact of U.S. history in people's everyday lives and civic engagements."

In all of her research and teaching, Miles is committed to the task of bringing people into conversation with the histories that shape their environments, whether they are studying an academic text, reading a plaque in Harvard Yard, or leafing through a family photo album.

"The power of public history is its capaciousness, vitality, and inclusiveness. Work in this field, from the level of original primary research to the levels of interpretation, explication, exhibition, and conversation, is often porous," Miles said. "I would not be a historian if it were not for public history and its methods. The notion that I might do research that matters to people drew me into the academy. There are many students who also wonder how they might apply humanities training and qualitative social sciences training to work in the world. Public history and the public humanities provide possibilities."



Photo: Courtesy of Special Collections, Fine Arts Library, Harvard University

The Royall House (pictured above) was home to the largest slaveholding family in Massachusetts. The family's financial contributions funded the establishment of Harvard Law School in 1817. Professor Miles' course features the home as a case study on historical interpretations of slavery.





# FACULTY TRENDS

Office for Faculty Affairs  
Academic Year 2019–2020

## Faculty Trends

As of fall 2020, the Faculty of Arts and Sciences (FAS) is comprised of 1,227 total faculty (1,030 full-time equivalents [FTEs]). The table below illustrates how these faculty are distributed across different types of appointments.

Of the 1,227 faculty in the FAS, 39 percent are women and 25 percent are faculty of color. Faculty who identified as Black or African American, Hispanic or Latinx<sup>2</sup>, American Indian or Native Alaskan, or two-or-more races represent 11 percent of the faculty.

The FAS currently includes 728 ladder faculty<sup>3</sup>, an increase from last year's count of 724.

**Figure 1: Total Faculty Counts in the FAS, Fall 2020**

Faculty Category	Head Count	Full-Time Equivalent (FTE)
<b>Ladder Faculty</b>	<b>728</b>	<b>692</b>
Tenured Professor <sup>1</sup>	568	532
Tenure-Track Professor	155	155
Professor in Residence	5	5
<b>Senior Non-Ladder Faculty</b>	<b>94</b>	<b>70</b>
Professor of the Practice	25	16
Senior Lecturer	40	27
Senior Preceptor	28	27
<b>Non-Ladder Faculty</b>	<b>365</b>	<b>250</b>
Associate Senior Lecturer	3	2
Lecturer	237	132
Preceptor	125	116
<b>Visiting Faculty</b>	<b>40</b>	<b>18</b>
<b>Total Faculty</b>	<b>1,227</b>	<b>1,030</b>

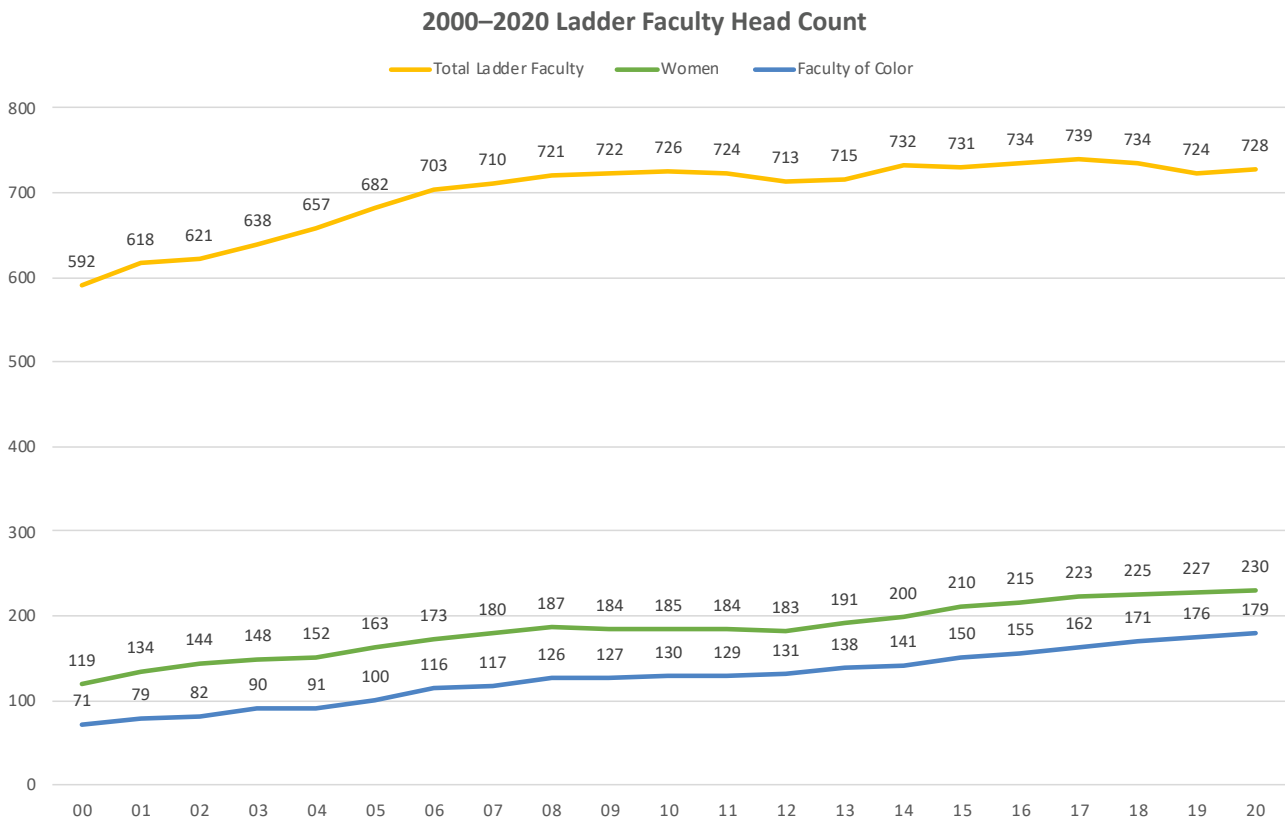
<sup>1</sup> "Tenured Professor" includes University Professor.

<sup>2</sup> Hispanic or Latinx faculty include all faculty who identify as "Hispanic/Latino," regardless of the race with which they identify.

<sup>3</sup> The ladder-faculty ranks include Convertible Instructor, Assistant Professor, Associate Professor, Tenured Professor, Professor in Residence, and University Professor.



**Figure 2: Ladder-Faculty Counts in the FAS, Fall 1999 to Fall 2019**



Currently, the ladder faculty is comprised of 230 women (up from 227 last year) and 179 faculty of color (up from 176 last year). Women now represent 32 percent of the ladder faculty and 46 percent of the tenure-track faculty. Faculty of color represent 25 percent of the ladder faculty and 36 percent of the tenure-track faculty. Faculty who identified as Black or African American, Hispanic or Latinx, American Indian or

Native Alaskan, or two-or-more races represent 10 percent of the ladder faculty and 14 percent of the tenure-track faculty.

The FAS continues to pay close attention to recruitment practices to ensure that we are selecting faculty from broad talent pools. The number of ladder faculty of color has increased for eight consecutive years, though there remains a great deal of work to do.

## From the Pipeline to Applicants to Offers

As we move from the PhD pipeline to FAS tenure-track applicant pools to FAS tenure-track offers, the trend we see in representation among historically underrepresented groups strongly suggests that we must work harder to attract the broadest possible tenure-track faculty applicant pools.

Based on data obtained from the Integrated Postsecondary Education Data System (IPEDS), 16.2 percent of domestic<sup>4</sup> U.S. doctoral degree recipients from arts and sciences fields in 2018 identified as Black or African American, Hispanic or Latinx, American Indian or Native Alaskan, or two-or-more races.

**Figure 3: Percentage of domestic U.S. doctoral recipients in 2018 who identified as Black or African American, Hispanic or Latinx, American Indian or Native Alaskan, or two-or-more Races**

Arts and Humanities	16.9%
Social Science	19.7%
Science	14.4%
SEAS	14.3%
<b>Arts and Sciences Total</b>	<b>16.2%</b>

However, between 2013–2019, only 6.5 percent of applicants to FAS tenure-track positions identified as Black or African American, Hispanic or Latinx, American Indian or Native Alaskan, or two-or-more races. We are significantly underrepresenting the pipeline.

**Figure 4: Percentage of applicants to FAS tenure-track positions between 2013–2019 who identified as Black or African American, Hispanic or Latinx, American Indian or Native Alaskan, or two-or-more Races**

Arts and Humanities	7.6%
Social Science	7.7%
Science	3.5%
SEAS	3.4%
<b>FAS Total</b>	<b>6.5%</b>

The picture is better in terms of candidate selection, but we are still significantly underrepresenting the PhD pipeline. Between 2011–2020, 9.8 percent of offers to FAS tenure-track positions identified as Black or African American, Hispanic or Latinx, American Indian or Native Alaskan, or two-or-more races.

**Figure 5: Percentage of offers to FAS tenure-track candidates between 2011–2020 who identified as Black or African American, Hispanic or Latinx, American Indian or Native Alaskan, or two-or-more Races**

Arts and Humanities	14.7%
Social Science	10.3%
Science	6.3%
SEAS	8.1%
<b>FAS Total</b>	<b>9.8%</b>

<sup>4</sup> IPEDS degree completion data does not include the race or ethnicity of nonresident aliens.



It is clear from this analysis that we must do more to engage with the pipeline, attract diverse applicants, and create inclusive pools.

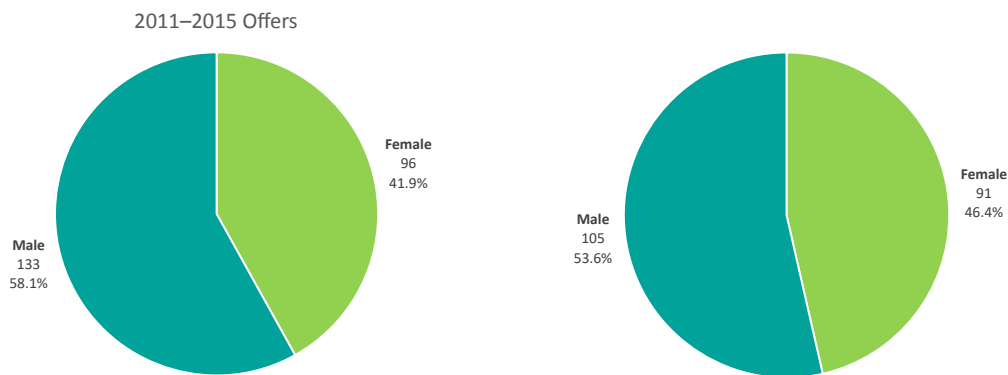
Looking at all ladder-faculty offers—including those to tenured and tenure-track faculty—during academic year (AY) 2019–2020, the FAS conducted 63 ladder-faculty searches, which resulted in 38 offers. Of the 38 offers, 18 were made to women (47 percent) and 20 were made to men (53 percent).

In terms of racial and ethnic diversity, 12 (32 percent) of the

38 offers were made to faculty of color, including six offers (16 percent) that were made to candidates who identified as Black or African American, Hispanic or Latinx, and American Indian or Native Alaskan.

During the last five years (2016–2020), 46 percent of ladder-faculty offers were made to women and 54 percent were made to men. This is an improvement over the preceding five years (2011–2015), in which 42 percent of offers were made to women and 58 percent of offers were made to men.

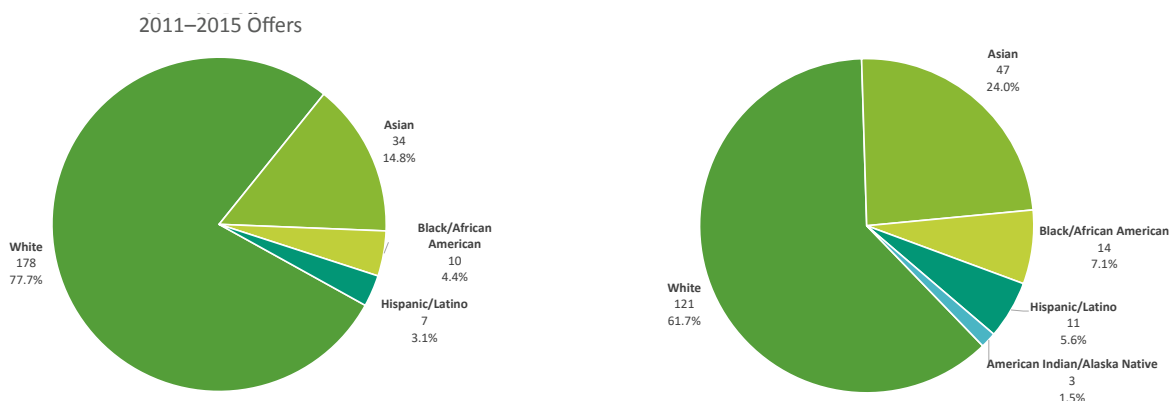
**Figure 6: Ladder-Faculty Offers in the FAS by Gender, 2011–2015 and 2016–2020**



In terms of racial and ethnic diversity, during the last five years (2016–2020), 61.7 percent of offers were made to candidates who identified as White, 24 percent to Asian, 7.1 percent to Black or African American, 5.6 percent to Hispanic or Latinx, and 1.5 percent to American Indian or Native Alaskan.

This is an improvement over the preceding five years (2011–2015), in which 77.7 percent of offers were made to candidates who identified as White, 14.8 percent to Asian, 4.4 percent to Black or African American, and 3.1 percent to Hispanic or Latinx.

**Figure 7: Ladder-Faculty Offers in the FAS by Race/Ethnicity, 2011–2015 and 2016–2020**



**Figure 8: Ladder-Faculty Offer Acceptance Rates in the FAS, 2011–2020**

During the last ten years (2011–2020), the offer acceptance rate has been 71 percent. The acceptance rates by gender and race/ethnicity are shown above.

As the FAS continues to build an extraordinary faculty, we strongly encourage current faculty to continue to follow best practices at every stage of a search, as outlined in such documents as “Recommendations for Ensuring the Integrity of Faculty Searches” and “Building a Deep Candidate Pool, to Identify Outstanding Faculty” (available on the website for FAS faculty and researchers, <https://facultyresources.fas.harvard.edu/handbooks-guides>). The Office for Faculty Affairs (OFA) will partner with **Sheree Ohen**, the new FAS Associate Dean of Diversity, Inclusion, and Belonging, to develop materials, workshops, and training opportunities for faculty search committees.

This year, we will be focusing on training regarding the development of criteria faculty use in searches. Before a search begins, we strongly encourage departments to think deliberately about what their criteria are by which candidates will be measured. These criteria—which are multidimensional and touch on research, teaching and advising, citizenship, and diversity, inclusion, and belonging—should be clearly identified at the outset and then referred to and applied consistently as the search progresses. Discussing criteria before a search begins makes greater clarity possible. The criteria, as always, must meet the FAS bar for the position, and departments can think deeply and specifically about what this means for each particular search. In the coming year, OFA plans to provide more guidance for departments on how they can approach this task.



## Promotions

Nineteen tenure-track faculty were scheduled to be reviewed for promotion to tenure during AY 2019–2020. Of those 19 cases, 15 reviews were completed and 4 faculty chose not to stand for their review.

Of the 15 completed tenure reviews, 8 (53 percent) were successful. The success rate for women was 50 percent, and the success rate for men was 56 percent. Regarding race and ethnicity, the numbers were too small this year for us to report racial and ethnic differences. This year's tenure promotion rate is lower than has been the case during the last ten years. Overall, the tenure promotion rate for faculty who stood for promotion from AY 2008–2009 to AY 2019–2020 was 70 percent (70 percent for women and 70 percent for men; 68 percent for faculty who identified as White and 78 percent for faculty who identified as Asian, Black or African American, Hispanic or Latinx, American Indian or Native Alaskan, or two-or-more races).

## Professional Development Programming

In AY 2019–2020, OFA continued to develop programming to further the professional development of faculty. In addition to offering orientations, trainings, and other events that have been successful in past years, we piloted two new programs that were well received and will be offered again in the future. We are steadily broadening our portfolio of programs to support the FAS faculty.

OFA began AY 2019–2020 with its annual orientations for new faculty—the two-day “New Faculty Institute” for ladder and senior non-ladder faculty and the all-day “Navigating Harvard” orientation for non-ladder faculty. These orientations addressed aspects of teaching, advising, research, career development, and Title IX; they additionally gave faculty opportunities to get to know each other. During the year, additional events for faculty were held.

In particular, three programs in AY 2019–2020 focused on helping tenure-track faculty develop their work and build connections with colleagues. First, in fall 2019, the Standing Committee on Women (SCW) hosted one of its highly successful mini-symposia, this time featuring women tenure-track faculty from the Division of Social Science. These colleagues presented their scholarly work and

discussed it with FAS senior leadership and faculty colleagues from across the division. Due to COVID-19, the SCW's spring 2020 symposium, which was to feature tenure-track women from the Division of Arts and Humanities, was rescheduled for fall 2020.

Second, based on positive feedback the previous year, OFA reprised its Faculty Working Group (FWG) program. This program helps tenure-track faculty form small groups of colleagues who work together on a regular basis, whether through conversations about their research, feedback on works-in-progress, information-sharing about professional events and resources, or other forms of scholarly enrichment and support.

Third, as a pilot program, OFA launched an all-day writing retreat for tenure-track faculty. The January 2020 retreat included two “write-on-site” sessions, a lunch workshop, and a reception at the end of the day. The workshop, led by **Durba Mitra**, assistant professor of women, gender, and sexuality and Carol K. Pforzheimer Assistant Professor at the Radcliffe Institute, focused on the role of editors and on how to use these resources to further the pre-tenure research agenda. This retreat aimed to give tenure-track faculty the space and support to launch or pursue writing projects, aid their progress toward promotion and tenure, and develop a cohort of writing-focused peers. This retreat received positive feedback, and we plan to host another retreat in the future.

As a more individualized form of professional development, OFA continued to offer academic coaching opportunities to any interested tenure-track faculty in AY 2019–2020. Several colleagues signed up for either a single session or a series of four sessions with certified, professional coaches to work on a range of academic issues.

In addition to these forms of tenure-track support, OFA continued its previous years' efforts to more broadly expand management training for faculty. To this end, OFA organized two events in AY 2019–2020.

In fall 2019, in partnership with FAS Human Resources, OFA hosted a program for tenured and tenure-track faculty, entitled “Training for Faculty who Manage Staff.” This session discussed civility in the workplace, bullying and unprofessional conduct, elements that make a good manager, and how to promote a productive work

environment. In spring 2020, OFA held its annual orientation for new department and area chairs. The second half of the orientation was focused on leadership strategies and included a workshop led by **Gillien Todd**, lecturer on education (Harvard Graduate School of Education) and lecturer on law (Harvard Law School).

This workshop—open not only to chairs but also to center directors, directors of undergraduate studies, and directors of graduate studies—was called “Negotiating with Faculty Peers: Moving Forward While Preserving Relationships.”

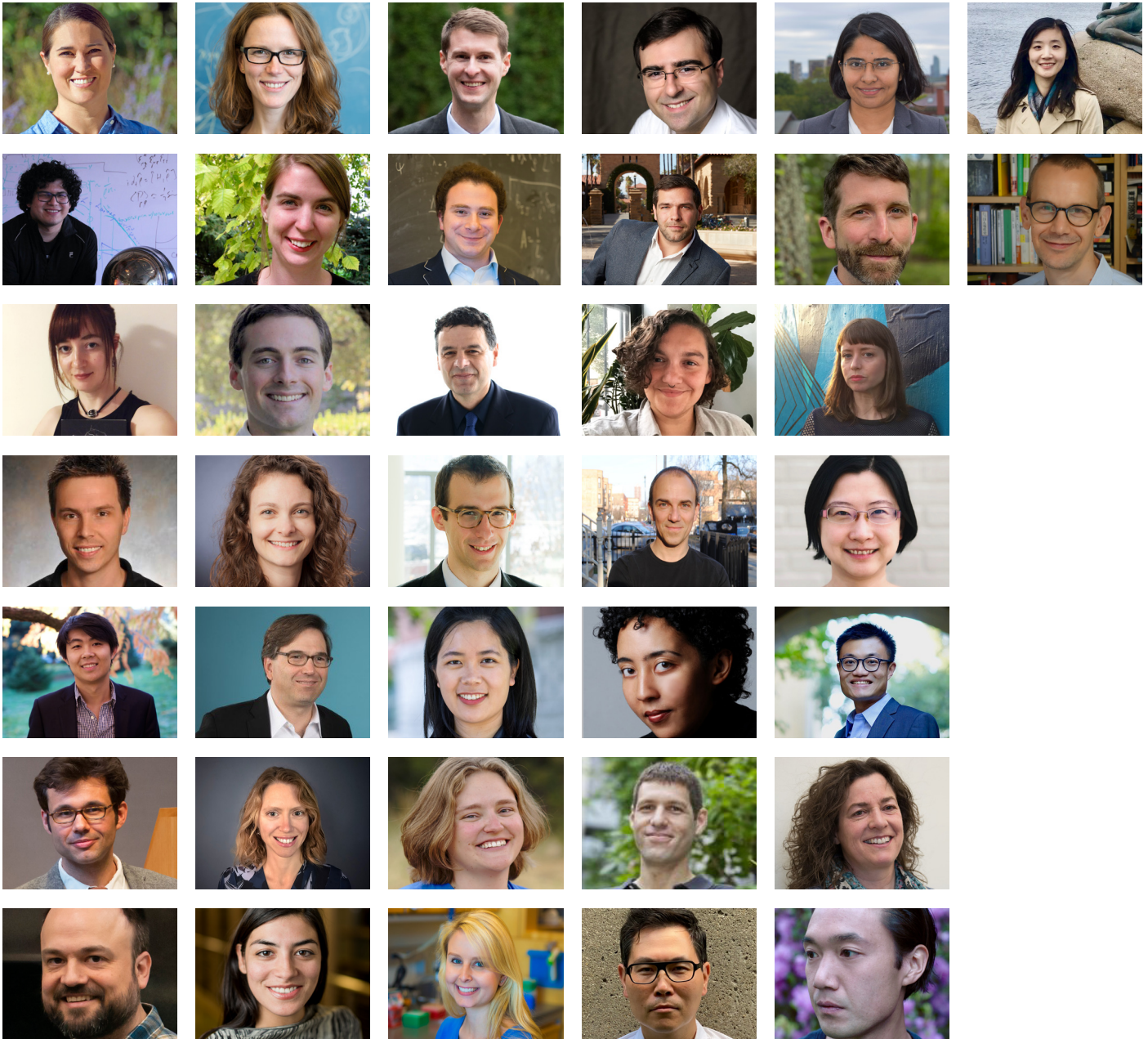
We will continue to develop management training opportunities for faculty.

One of our ongoing goals is to provide more professional development for non-ladder faculty. In AY 2019–2020, OFA piloted a program in partnership with **Stephen Kargère**, director of the FAS Office of Postdoctoral Affairs. Together,

we hosted two workshops for non-ladder faculty—one in fall 2019 and one in spring 2020—entitled “The Academic Job Search: Preparing your Academic Materials.” These interactive presentations helped non-ladder faculty to prepare and polish their academic job materials. Dr. Kargère worked with faculty on reviewing their CVs, cover letters, and teaching, research, and diversity statements. These workshops were well received, and the OFA will continue to partner with Dr. Kargère on events for non-ladder faculty in AY 2020–2021.

Supporting the professional development of our faculty is a priority for OFA and for the FAS. The stronger our faculty are, the more productive our community and the scholarly community at large will be.





Margaret Andrews  
Carlos Argüelles  
Any Bernstein  
Peter Buisseret  
Fei Chen  
Alex Csiszar  
Benjamin de Bivort

Laura DeMarco\*  
Sarah Dimick  
Ryan Flynn  
Ruth Franklin  
Jason Furman\*\*\*  
Irene Garrison  
Stephanie Gil

Mark Hatzenbuehler  
Daniel Jafferis  
Petros Koumoutsakos  
Gabriel Kreindler  
Na Li  
Melanie Matchett Wood\*  
Kara McKinley

Matteo Mitrano  
David Pedulla  
Elle Pérez  
Mihnea Popa  
Namwali Serpell  
Yaron Singer\*  
Nariman Skakov

Pragya Sur  
Benton Taylor  
Laura van den Berg  
Lu Wang  
David Yang  
Susanne Yelin  
Paul Yoon

Xiaoshi Yu  
Alexander Zahlten

\*Appointment began in AY2019-2020

\* Includes Radcliffe Professorship.

\*\*Joint appointment with  
Harvard Kennedy School.

- Appointed to tenured professor; with appointments starting in AY 2020-2021
- Internally promoted to tenured professor; with appointments starting in AY 2020-2021
- Appointed to tenure-track positions, with appointments starting in AY 2020-2021
- Appointed to Professor of the Practice, with appointments starting in AY 2020-2021
- Appointed to Professor in Residence, with appointments starting in AY 2020-2021
- Appointed to Senior Preceptor; with appointments starting in AY 2020-2021

At the time of publication



# FINANCIAL REPORT

Office for Administration and Finance  
Academic Year 2019–2020





## Financial Report

As we have for more than a decade, the FAS has prepared an unaudited set of financial reports for Fiscal Year 2020, which ended on June 30, 2020. The format of this report, “[Faculty of Arts and Sciences Financial Report, Fiscal Year 2020](#),” is unchanged from prior years. The results incorporate the John A. Paulson School of Engineering and Applied Sciences and present operating results in both the Balance Sheet and the Modified Generally Accepted Accounting Principles (GAAP) and Management, or cash, views. Accompanying notes provide context on the results.

In a departure from previous years, the narrative below does not closely track the Financial Report with its focus on the comparison of Fiscal Year 2020 to the prior year. Rather, it illuminates the financial consequences of the COVID-19 pandemic—consequences that occurred in the final quarter of the year and are not readily apparent from a year-over-year comparison. Accordingly, this narrative also provides an advance look at Fiscal Year 2021 and beyond—years that are likely to see significantly greater effects of the pandemic. Read in tandem, the two reports present a full picture of an extraordinary and challenging year.

### A Routine Year, Upended by the Pandemic

As with everything at Harvard, throughout the nation, and around the world, the headline of the FAS’s financial results in Fiscal Year 2020 was the COVID-19 pandemic. Previously, the year had followed a routine financial course for almost three quarters. In mid-March 2020, the pandemic forced unprecedented responses and changed the course of the remainder of the year as well as the foreseeable future. As Dean Gay stated on April 15 in a community-wide message, “Much is unknown, but what is beyond doubt is that the economic context has been fundamentally altered in a matter of weeks, and universities across the country are having to reassess every aspect of their operations. That work begins for us now, understanding that the financial impacts and our responses to them will not be limited to one year, and that we are on a changed trajectory that will persist for some time.”

Immediate responses included the de-densification of campus in mid-March and the support of students in that transition. Lost revenues and direct costs of these actions alone exceeded \$30 million. A rapid reforecast of the FAS’s financial condition in March (Q3) identified other significant risks: disruption to or cancellation of Extension School programs such as Study Abroad, on-campus Summer School, and professional development programs; loss of sponsored research funding with the shuttering of labs; and the effects of the global economic shutdown on philanthropy, the endowment, and the financial needs of students and families. In total, the Q3 reforecast predicted a GAAP deficit of \$42 million, the equivalent of 12 percent of the last quarter’s budget and well in excess of available reserves.

Seeing “no sign of a return to normalcy in the foreseeable

future,” Dean Gay articulated her “North Star priorities,” which would shape our response to the pandemic. These principles acknowledged that difficult tradeoffs would need to be made thoughtfully to steward the resources entrusted to the FAS and protect its mission in perpetuity:

- Put health and safety first
- Protect the academic enterprise, including maintaining the academic progress of our students and remaining a research-active community to the extent possible, ready to increase research activities as soon as conditions allow
- Leverage our breadth and diversity
- Preserve access and affordability without wavering on our leading commitment to financial aid

On April 15, in response to the projected operating deficit in Fiscal Year 2020 and even more significant losses in Fiscal Year 2021, Dean Gay announced a set of critical moves to be taken immediately “in response to the economic reality we face and to prepare for a more challenging future.” These steps included:

- Suspending **faculty and exempt staff salary increases**, as well as all bonus programs
- Suspending ongoing **faculty searches** wherever possible, with only a small number near completion allowed to continue
- Carefully managing **staffing levels**, with new positions requiring decanal review and approval

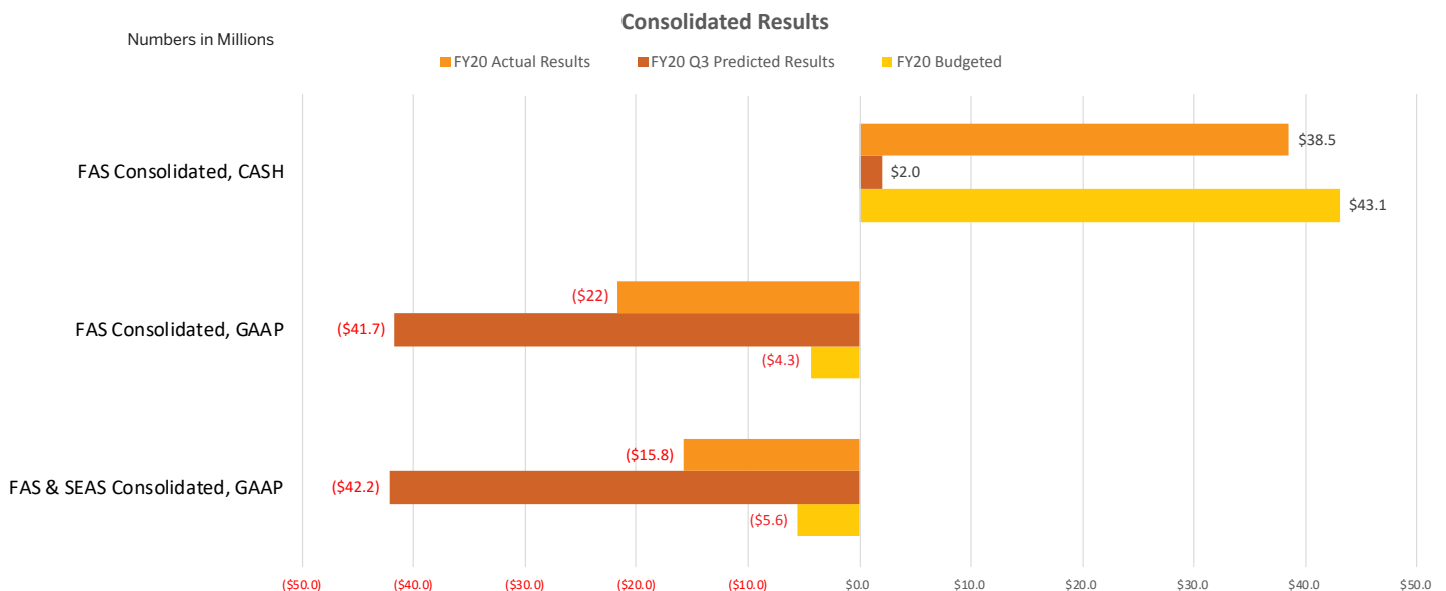
- Suspending and subjecting to new scrutiny all **capital projects** underway, planned, or envisioned in the FAS
- Eliminating **nonessential spending** by delaying, reducing, or canceling activities and programs that are not mission-critical
- Asking **faculty to carefully manage their research budgets**, to slow the pace of spending wherever possible, and to **draw on restricted funds when available**

These actions were initiated in the remainder of Fiscal Year 2020 and produced some early results. Stricter controls on staffing, discretionary spending, and capital projects were effective, as described below. However, at all times it was understood that the measures would need to continue into Fiscal Year 2021 and beyond, given the uncertainties surrounding the trajectory of the pandemic, its effects on the economy, and the prognosis for a return to normal operations on campus.

## Financial Year 2020 Budget, Reforecast and Actual Results

As a result of the steps outlined by Dean Gay and by additional factors, Fiscal Year 2020 actual results were significantly better than the March Q3 reforecast. As illustrated below, the FAS GAAP deficit was reduced from \$42 million to \$22 million. Including SEAS, which ran a

modest surplus, the combined GAAP result for the FAS and SEAS was a deficit of \$15.8 million. These results include a \$16 million accrual for the Voluntary Early Retirement Incentive Program (the 2020 VERIP) described later in this report.



Year over year, total revenues (consolidated GAAP, including SEAS) were \$1.56 billion in Fiscal Year 2020, essentially flat from Fiscal Year 2019. The annual increase in revenues was 0.2 percent for Fiscal Year 2020, compared to the compound annual growth rate (CAGR) of 4.3 percent for the 5 years prior to Fiscal Year 2020. Total expenses were \$1.57 billion in Fiscal Year 2020, up approximately \$32 million from the prior year. The annual increase in expenses was 2.1 percent for Fiscal Year 2020, compared to the compound annual growth rate (CAGR) of 3.2 percent for the 5 years prior to

Fiscal Year 2020. Details can be found in the accompanying “Faculty of Arts and Sciences Financial Report, Fiscal Year 2020.”

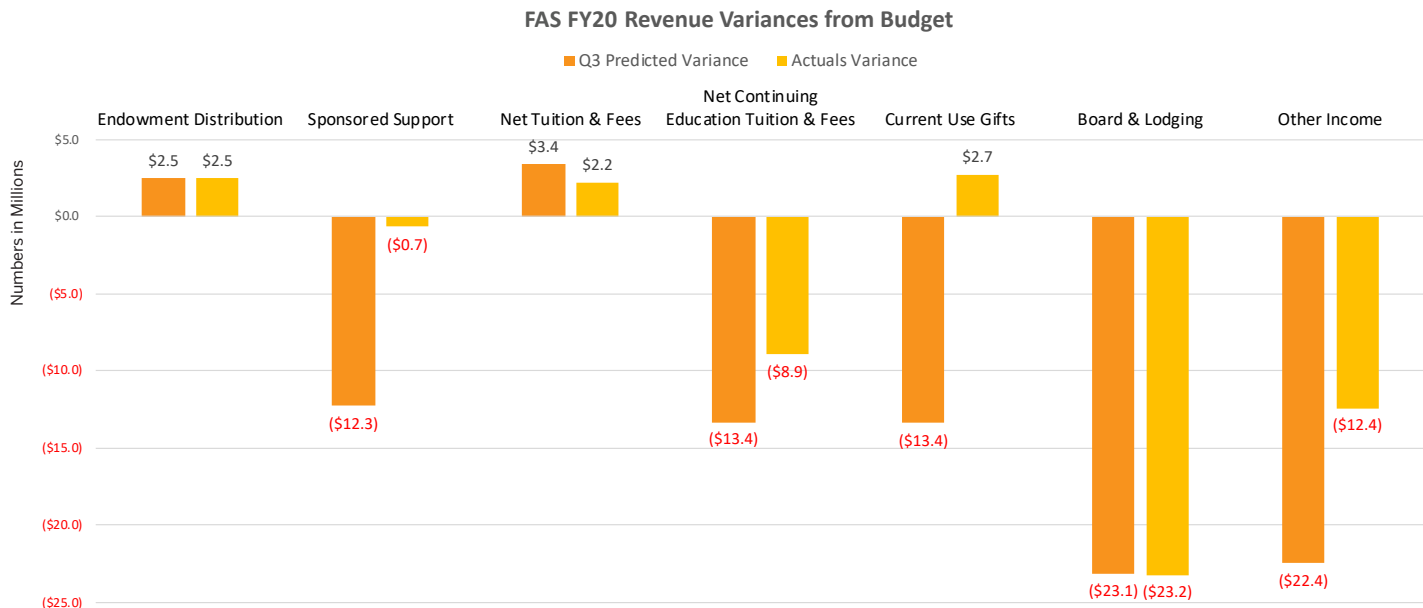
In summary, Fiscal Year 2020 results, while worse than the original budget, were significantly improved over the March Q3 reforecast. It is important to understand the factors that led to this result to grasp that the full impacts of the COVID-19 pandemic will not be so easily mitigated, especially in Fiscal Year 2021.



## Fiscal Year 2020 Revenue Impacts

Focusing in on COVID-19 impacts, the March Q3 reforecast predicted a revenue loss of approximately \$79 million from the Fiscal Year 2020 budgeted revenues. The actual loss was

only about half that, approximately \$38 million. The graph below indicates the factors accounting for this difference.



Some revenue impacts were easy to predict at Q3, including the endowment distribution and the loss in student revenues from refunds issued when students left campus (\$23 million in room refunds from the FAS and \$7 million in board refunds from the University dining budget). However, certain other revenues performed better than expected. For instance,

- A predicted loss of \$14.5 million in federal sponsored research was mitigated when a federal emergency order allowed continued charging of salary to grants, and we were able to reboot laboratory research in early June through a massive safe reopening plan. As a result, the predicted loss was cut almost in half. Nonfederal sponsored revenues grew by \$5.8 million over the reforecast. Net, sponsored federal and non-federal funding ended with a loss of only \$0.7 million rather than the predicted loss of \$12.3 million.
- Division of Continuing Education (DCE) net revenues were predicted to decline by \$13.4 million, but the actual

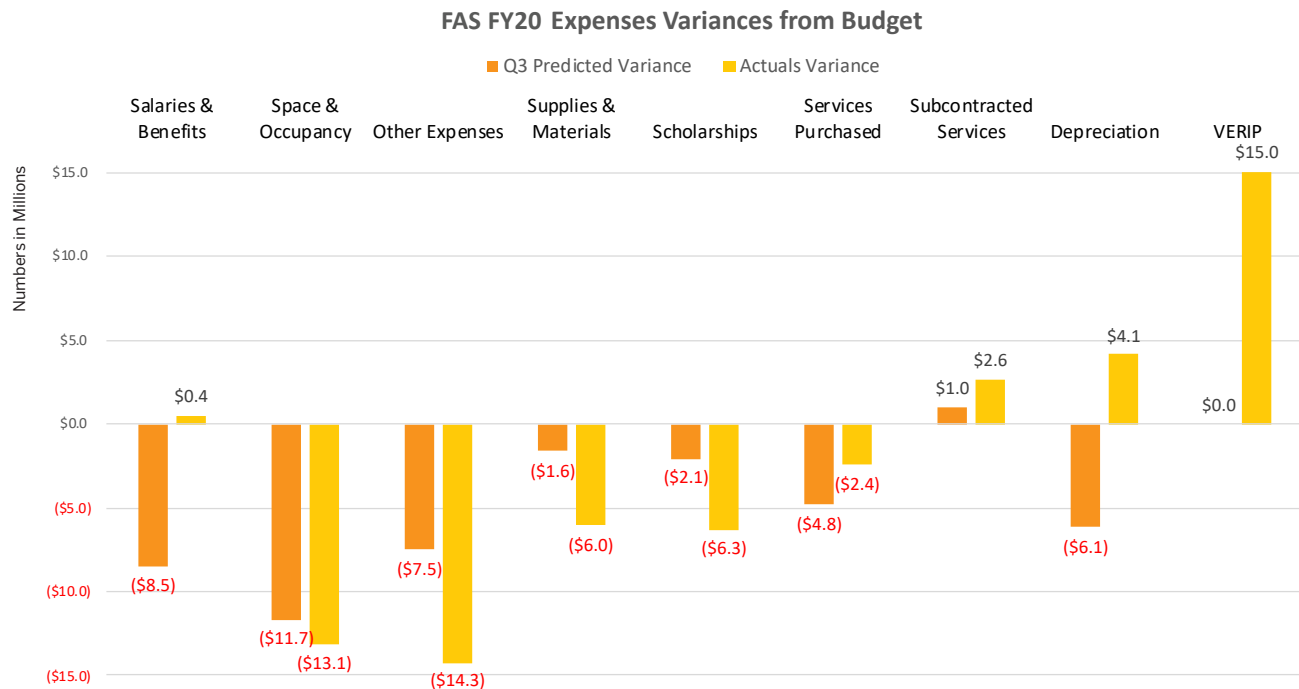
loss was \$8.9 million, as demand for some programs partially offset the declines elsewhere.

- Perhaps most surprisingly, a forecasted decline of \$13.4 million in Current Use Gifts did not materialize; in fact, through the concerted efforts of the Development team and the generosity of alumni who responded to the crisis, Current Use gifts ultimately exceeded the original budget by \$2.7 million. Some gifts were made expressly to assist with the pandemic: examples include graduate student support, unrestricted gifts to help support students in the transition from campus to home and online learning, and a number of generous gifts of unrestricted funds to assist the Dean in making necessary investments in response to the pandemic.
- Other income—a category comprised of royalties, sales of services, rentals, programs and events revenue, publications, and similar revenues—performed \$10 million better in total than the predicted loss of \$22.4 million.

## Expense Impacts

Focusing in on COVID-19 impacts, the March Q3 reforecast predicted expense savings of approximately \$41.3 million. The actual savings was only about half that, approximately

\$21.2 million. The graph below indicates the factors accounting for this difference.



**Pay Protection:** Salaries, wages, and benefits represent half of all FAS expenses, and the original Financial Year 2020 budget included \$674.5 million for compensation and benefits. The Q3 reforecast predicted that we would save \$8.5 million in these expenses through modest reductions in staff wages and benefits. A significant decision was made by Harvard and its schools to protect the pay of all workers through the fiscal year rather than implement furloughs or layoffs. Thus, projected savings were not realized. Additionally, Services Purchased and Subcontracted Services cost more than the reforecast predicted, as the pay protection program was extended to workers in these expense categories, such as custodians and security guards.

**Other Expenses:** The March Q3 reforecast predicted \$26.7 million in nonpersonnel expenses. Following the Dean's guidance on reducing discretionary spending, actual results yielded an additional \$12.9 million in savings (\$39.6 million below the budget). Travel bans imposed by the federal and state government as well as Harvard resulted in large savings

in travel and events (though not without damage to study, research, and collaboration). Significant savings were realized in costs related to space and occupancy, as buildings were generally closed; likewise, supplies and equipment costs were reduced, offset by some technology purchases to enable remote teaching and learning in the remainder of the spring semester, and by investments in building modifications to enable the reopening of labs. Eroding other categories of savings, depreciation rose by \$10.3 million over the Q3 estimate, correcting a system error.

**Retirement Incentive:** To help manage the significant budgetary pressure caused by the pandemic, the University offered a Voluntary Employee Retirement Incentive Program (the 2020 VERIP) for employees at least 60 years old with at least 10 years of service. In the FAS, 159 (46 percent) of the 346 eligible staff members elected to participate in the program. Consistent with the University accounting for the VERIP, the FAS booked a reserve of \$15 million in Fiscal Year 2020 (\$16 million including SEAS) to fund these advance

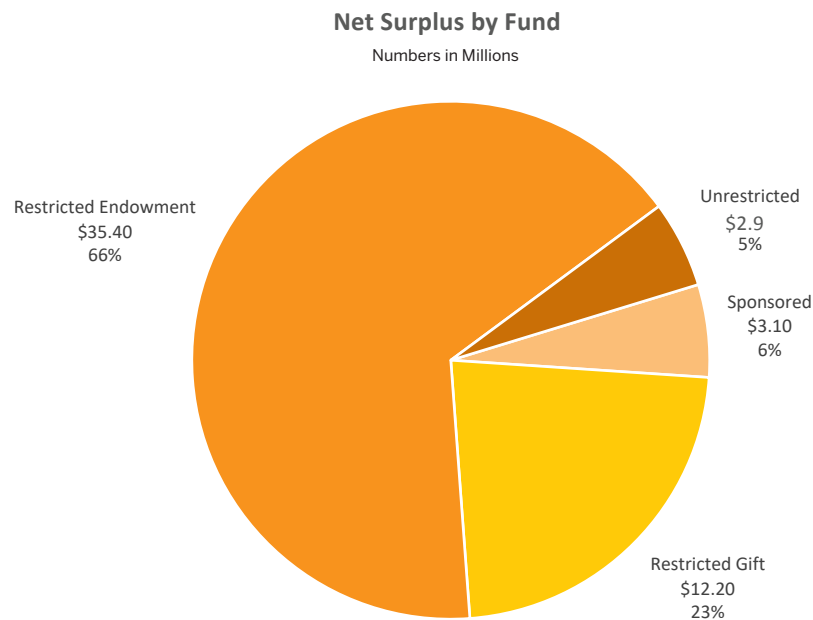


retirement payments. This expense was not anticipated in the original budget or at the time of the reforecast.

In a message on October 7, Dean Gay acknowledged the VERIP would bring both the loss of institutional knowledge and also “the opportunity to look with fresh eyes at how we structure the work of our units and programs, in some cases for the first time in many years, enabling alignment with current academic needs and available resources.” She pledged support for organization planning and strong search processes to assist in responding to the staff transitions.

**Cash Impact:** From a management or cash view, the FAS concluded Fiscal Year 2020 with a \$53.6 million surplus.

(Including SEAS, the surplus was \$62.3 million.) However, nearly all—95 percent—of this surplus is comprised of restricted funds currently unavailable for spending on general operations and key priorities. In contrast, unrestricted cash grew by just \$2.9 million, as illustrated in the table below. As stark as this comparison is, this modest level of unrestricted surplus is actually overstated: unrestricted cash would have been in deficit by \$31.4 million were it not for an operating loan of \$34.3 million from the University, the product of a 2017 agreement to stretch out the FAS’s internal debt payments schedule.



The amounts above do not include the impact of the \$15 million VERIP accrual but do include the \$34 million proceeds from the refinancing FAS completed two years ago. Without refinancing, FAS Unrestricted Results would be in deficit by \$31.4 million.

**The Fiscal Year 2020 Results are Unsustainable:** While we were fortunate that the expected negative impacts of the COVID-19 pandemic were mitigated to a large extent in Fiscal Year 2020, it is important to note that the savings were almost all short-term in nature. Savings were achieved almost solely by curtailing activities that could not continue during the pandemic, rather than by implementing

structural changes. This observation foreshadows further work needed to respond to the greater financial challenges in Fiscal Year 2021, the first full year of the pandemic, starting with redeveloping the Fiscal Year 2021 budget.

## Fiscal Year 2021 Budget: Three versions (and counting)

On schedule, the FAS submitted a budget for Fiscal Year 2021 in early March 2020. This spending plan became moot the moment the pandemic forced the closing of the campus and threw both revenues and expenses into uncertainty.

Significantly, in the wake of the pandemic, the Corporation initially voted to reduce the endowment distribution (the revenue source that funds nearly 50 percent of the FAS budget) by 2 percent. The FAS had already developed its budget based on an increase in the distribution of 2.5 percent. The Corporation's action meant a loss of \$48 million from the Fiscal Year 2021 expectation (and a \$15 million loss from the prior year). To mitigate the impact on unrestricted funds urgently needed to meet immediate challenges, the Corporation also voted an extraordinary special assessment that takes 3 percent from all restricted endowed funds and makes them available for immediate use by the School toward student support and other pandemic response needs. As Dean Gay noted in a community message on June 2, "The flexible funds provided to the FAS through this mechanism will total approximately \$23 million and will help us to address some essential elements of our pandemic response. . . . While welcome, these funds are not scaled to the challenge we face in responding to the pandemic." She reiterated the list of actions she had put in motion in April and expanded the list to include two additional steps that would be necessary through a community-wide effort:

1. Leaning into the **growth potential of the Division of Continuing Education** and its deep expertise in delivering high-quality remote instruction that generates new revenue for the FAS
2. Engaging our **loyal alumni and donors** in our planning and sharing with them our highest academic priorities, which we hope will inspire their support

Subsequently, in July, the Corporation revised the Fiscal Year 2021 endowment distribution guidance. As the performance of the capital markets had improved since the earlier vote, they elected to hold the distribution flat for Fiscal Year 2021 rather than to reduce the amount by 2 percent as previously announced. This produced an improvement of \$14 million in

revenues; however, as Dean Gay noted on August 6, "This is good news, but we still will find ourselves operating in deficit and will need to continue carefully managing resources in the coming year."

The reformulation of the Fiscal Year 2021 budget during the summer of 2020 required several significant elements: modeling the impacts of the fall scenarios for student enrollment and residence, responding to the changed endowment guidance and other updated information, and accommodating investments needed for a successful fall. These included:

**Resources needed to ensure a secure and supportive learning environment for all students**, including loaner laptops, monitors, hot spots, iPads and styluses, headsets and webcams. Close to 2,000 items in all were ordered and shipped to students.

**Adaptation of Houses and dorms to meet new public health standards**: low-density (single bedrooms with a shared bathroom) and physical modifications (e.g., enhanced cleaning schedules; personal safety training and protective equipment for custodians, security guards, and House staff; improved air handling and filtration in shared spaces; hand sanitizer and wipe stations; signage outlining our public health communications; and acquisition of masks and other protective equipment)

**GSAS Emergency Support Initiative**: provides financial support to PhD students who are experiencing disruptions to their research and academic progress due to the pandemic; funding provided for summer research grants, postdoctoral appointments, visiting fellow status post-graduation, and additional semesters of stipend, tuition, and health insurance support beyond the standard guarantee

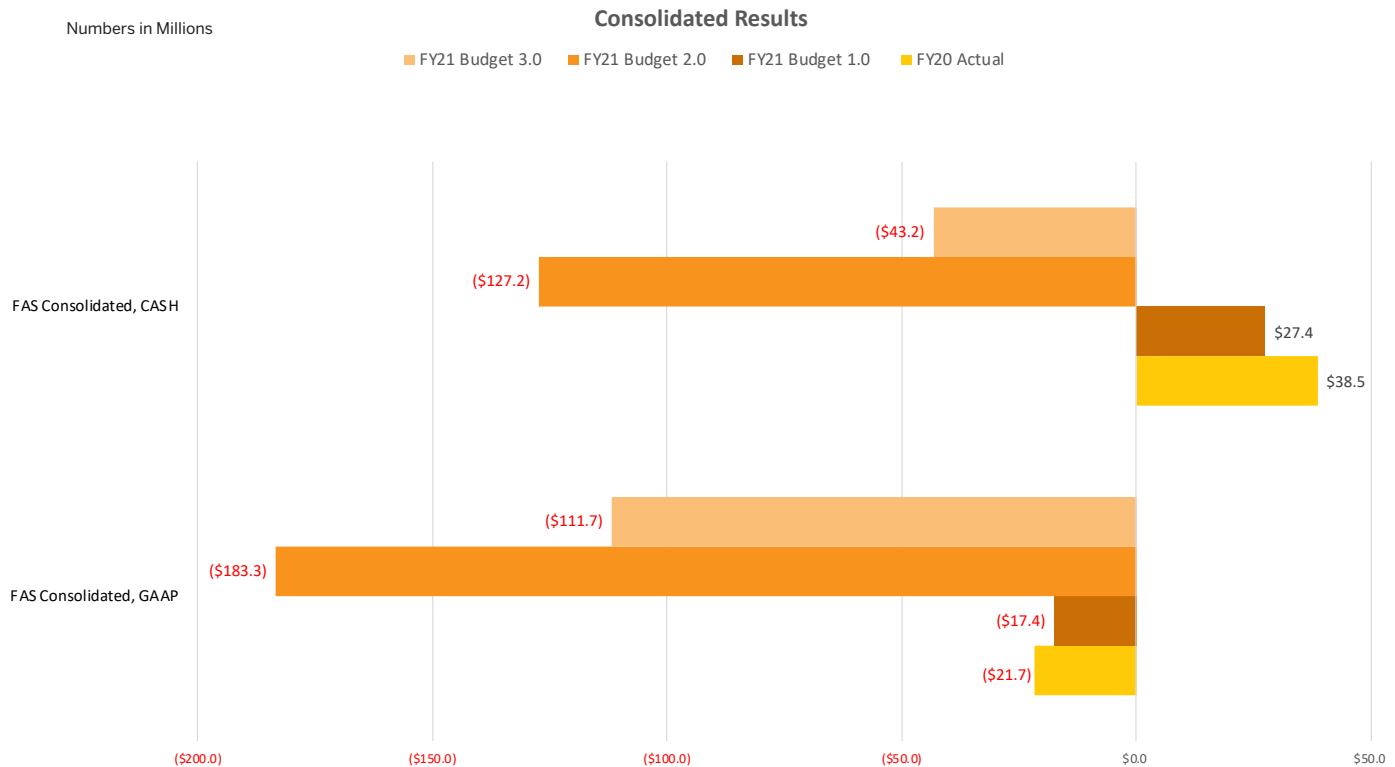
**Financial support for undergraduates**: eliminating room and board charges for students studying remotely away from campus; \$5,000 per semester remote room and board allowance for students receiving financial aid, providing relief from term-time work requirement and substituting with scholarship funds; and providing Summer School credit and financial support (summer 2021)



## The Trajectory of the Fiscal Year 2021 Budget

As illustrated below, the revised budget Version B 2.0 projected deficits of \$183.3 million in GAAP and \$127.2 million in cash, respectively. Through a combination of the additional endowment distribution and the series of measures implemented in Version B 3.0, we now project deficits of \$111.7 million in GAAP and \$43.2 million in cash.

While significantly reduced from the prior version, these deficits still exceed the reserves available to the Dean. Measures to address this gap may include borrowing, decapitalizing the endowment, or making further cuts, all of which entail risks and consequences that need to be weighed.



## Major Contributors to Reducing the Projected Budget Deficit

As previously mentioned, the Corporation decision to hold the endowment distribution flat rather than to reduce it by 2 percent produced an increase of \$14 million in revenues. To lower expenses, Dean Gay issued guidance that departments should seek to achieve budget reductions in the range of 6–10 percent. Most departments were able to achieve savings in this range, primarily through minimizing expenses related to travel and events unlikely to be possible in the short term. Compensation and capital project savings were also significant factors, as described below.

### Compensation Savings and Scrutiny on Positions:

Suspending faculty and exempt staff salary increases, as well

as all bonus programs, saved approximately \$15 million in the FAS Fiscal Year 2021 budget. Nonexempt employees (those represented by union collective bargaining agreements) received their contractual raises without interruption, at a cost of \$2.5 million.

Greater scrutiny was applied to all staff-related requests, including new positions, term extensions, posting of vacant positions, reclassifications, and equity adjustments. A new process was instituted, the Critical Position Review, requiring approval by the FAS Dean on any transaction. Only positions demonstrating strategic and essential importance will pass the high bar set for this review.

**Capital Plan Revision:** In response to the negative financial impact of COVID-19, we revised the FAS five- year capital plan to achieve substantial savings. We established the following principles to guide our decisions: protect investment in research and teaching, maintain critical infrastructure, preserve future flexibility, and defer programmatic improvements. These principles were used to prioritize among the nearly 250 individual projects in the capital plan, reducing the FAS capital budget by approximately \$136 million and annual debt service by \$10.3 million over five years. This included a savings of \$59 million and annual debt service of \$4.4 million in Fiscal Years 2020 and 2021 (combined). In addition, we deferred the start of the Adams House Phase II renewal project (the full renovation of Randolph Hall) for at least one year, postponing \$8 million in debt service for one year and potentially longer.

### Fall 2020 Planning Process

Financial considerations were just one of the elements of the decision framework Dean Gay established to plan for the fall 2020 decision. On May 27, she announced, “In order to lay the groundwork for returning to on-campus operations as soon and safely as possible, we must plan for alternative campus scenarios and develop contingencies that are shaped by both government directives and public health considerations, and most fundamentally our uncompromising commitment to excellence in education.” Eleven working groups were formed to undertake this planning effort, involving over 150 faculty and staff.

The Financial Planning working group, chaired by **John Campbell**, Morton L. and Carole S. Olshan Professor of Economics, was charged with validating the financial impacts of COVID-19, estimating the short-term costs of our campus reopening plans, and looking more broadly at FAS financial sustainability given the pandemic and other challenges.

The Committee pegged the short-term costs of the Fall Campus Plan at \$112 million. This figure was later adjusted upward to \$129 million, partly offset by \$10 million of University support. Included in this total were revenue losses such as tuition, room, board, and fees; rental of isolation space; purchase of personal protective equipment (PPE) and cleaning/sanitation supplies; and testing and tracing costs.

The Committee’s observations on the longer term identified several issues that transcend the COVID-19 pandemic. Foremost among them is that continued heavy reliance on endowment distributions to fund the annual budget subjects the FAS to budget volatility, as small changes in earnings produce wide swings in financial results. With lower endowment returns expected in the future, a structural deficit may emerge, potentially of a magnitude that is too great to address with traditional approaches. A serious review of priorities rather than pro rata cuts will be necessary, requiring hard trade-offs and community-wide collaboration.

In a message on June 2, Dean Gay calibrated the ongoing challenge: “The full financial impact of the pandemic on the FAS will be significant, in the hundreds of millions of dollars, on par with that of the 2008 financial crisis, if not greater. And those impacts will not be limited to one year; we are on a changed trajectory that will persist for some time. The challenge before us is to enable necessary transformation of the FAS to ensure that we remain a vibrant research community and continue to define excellence in education.”

We appreciate the efforts the FAS community has already made in responding to the initial financial challenges of the pandemic, without which the results here would be measurably worse. At the same time, we will rely on your continued focus, creativity, patience, and fiscal discipline to ensure resources are available for the most strategic and essential investments.