



**OFFICE OF RESEARCH AND PROJECT
ADMINISTRATION**

ANNUAL REPORT OF

SPONSORED PROGRAM ACTIVITIES

FISCAL YEAR 2012



Introduction

We are pleased to present the Office of Research and Project Administration (ORPA) Annual Report for Fiscal Year 2012 ending June 30th, 2012, which showcases the University of Rochester's outstanding ability to attract external support for research and other sponsored programs activities year after year, even in difficult economic times.

Revenue from sponsored program activities, vital to sustaining research and graduate programs, remains an essential component of the University's current fund expenditures and general budget.

This report is divided between proposals submitted and awards made, and expenditure statistics. The proposal and award statistics will, when looked at over a particular period of time, provide an indication of funding trends. Since expenditures typically follow funding received, those statistics not only provide an indication of the level of expenditure for research, training, and other associated sponsored program activities at the University, but also a basis for comparison with other colleges and universities nationwide and within New York State. The expenditures reported may differ slightly from the University's end-of-year financial statements. These differences are reconciled by various ledger adjustments and other transfers not shown in this report.

The validity of this report depends on how useful end users find it. To this end, comments about the report and suggestions for future improvements are welcomed at resadmin@orpa.rochester.edu

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Proposal and Award Activity

The School of Medicine and Dentistry submits the majority of proposals and, as is also indicated in the award statistics, receives the majority of sponsored program funding. On an overall University basis, over **2,070** new, continuation, supplemental, and renewal proposals were submitted in FY 2012 for sponsored program funding.

NOTE: All dollars throughout this report are in thousands

Chart A

Dollar Value of Proposals Submitted - FY 2012

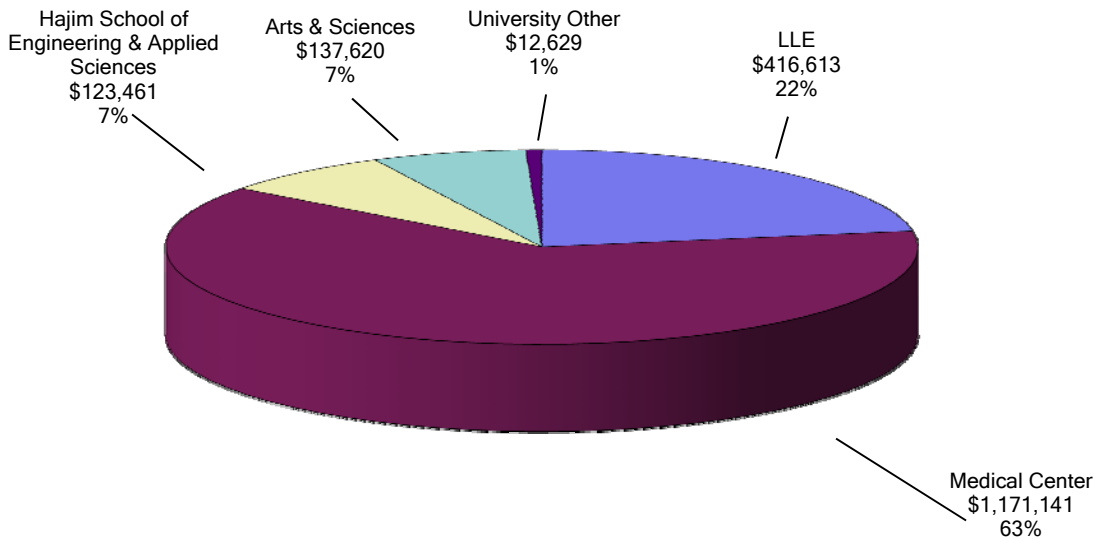
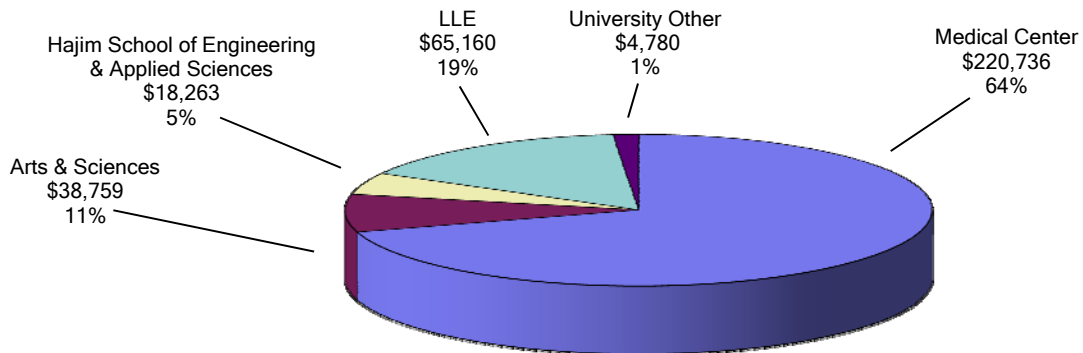


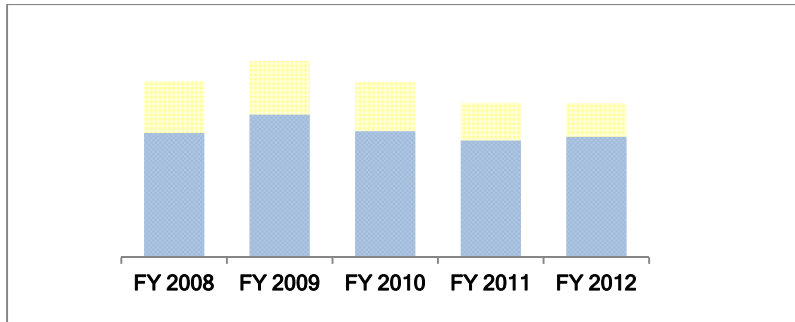
Chart B

Awards Dollars Received - FY 2012



It is worth noting that although the awards received amount shows a slight decline from FY 2011, the University's overall success rate has remained relatively steady over the last five fiscal years, as shown below, and continues to be better than the national average. Note: Figures for FY 2012 are not final at this time, due to the fact that there is approximately a ten month period of time between when a proposal is submitted to and reviewed by NIH, which is our principal funder, and when it is awarded.

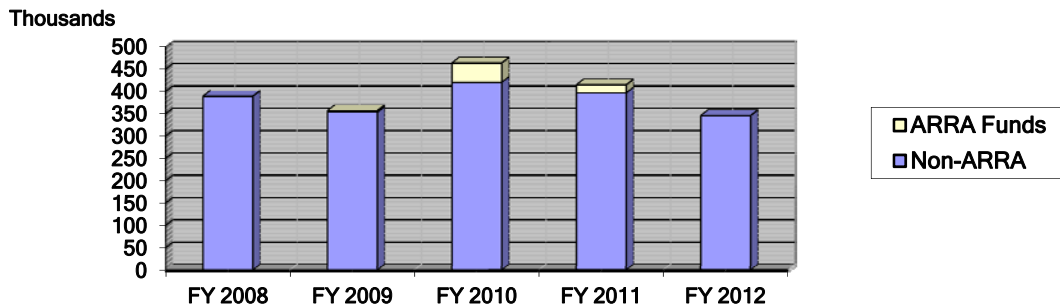
Chart C
Competitive Proposals Submitted versus Awards Received
During Last Five Fiscal Years



	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012
Proposals Submitted	1,667	1,913	1,690	1,558	1,596
Awards Received	694	723	660	507	455
Success Rate	42%	38%	39%	33%	28%

Chart D
Award Dollars Received During Last Five Fiscal Years
(Inclusive of ARRA awards)

Funds Awarded Under The American Recovery And Reinvestment Act (ARRA) of 2009 Have Ended



FY 2008	FY 2009		FY 2010		FY 2011		FY 2012
\$389,228	\$354,667		\$460,522		\$415,236		\$347,698
	ARRA	Non-ARRA	ARRA	Non-ARRA	ARRA	Non-ARRA	
	\$3,545	\$351,122	\$43,087	\$417,435	\$17,766	\$397,470	

Source: UR-Coeus Sponsored Programs Management Database

The first two tables that follow provide information on a college, school or division basis for proposals submitted and awards received in the five most recent fiscal years. It should be noted that the proposal amounts include funds requested for the entire project period of the proposed activity, which could be two years or more, along with one year amounts for continuation proposals and singular projects. Awarded amounts, however, indicate only amounts actually received during FY 2012, regardless of whether additional funds are anticipated over the life of the project. Additionally, neither of the tables includes funds requested or received for direct student financial aid. On an annual basis, both the dollar values of proposals submitted and awards received should be viewed with some caution, as those actions are dependent upon program announcements, funding trends, availability of funds, and timing of award actions. This is especially true for FY 2009, where the number and dollar value of proposals submitted increased dramatically under the American Recovery and Reinvestment Act (ARRA) of 2009.

Table 1
Proposals - Total Amount Requested By College/School/Division

College/School/Division	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012
Medical Center					
Medicine and Dentistry	\$974,826	\$1,486,282	\$1,092,474	\$1,159,008	\$1,143,900
Nursing	23,220	29,974	20,586	20,849	11,115
Hospitals and Clinics	582	6,638	1,545	380	303
Medical Center Administration	2,623	6,584	19,560	15,869	15,823
Subtotal URMC	1,001,251	1,529,478	1,134,165	1,196,106	1,171,141
Arts, Sciences and Engineering					
Arts and Sciences	135,387	162,380	176,082	124,475	137,620
Hajim School of Engineering & Applied Sciences	50,808	66,725	89,137	95,670	123,461
Subtotal AS & E	186,195	229,105	265,219	220,145	261,081
Laboratory for Laser Energetics	64,081	3,808	136,395	11,736	416,613
Other Schools and Divisions					
Warner School of Education	5,604	7,228	7,643	10,352	3,215
Memorial Art Gallery	222	719	5,503	121	112
Simon School of Business	0	113	0	687	557
Eastman School of Music	486	611	0	623	87
University Other	1,206	1,265	6,422	3,573	8,658
Subtotal Other	7,518	9,936	19,568	15,356	12,629
Total University	\$1,259,044	\$1,772,327	\$1,555,347	\$1,443,343	\$1,861,464

Source: UR-Coeus Sponsored Programs Management Database

Table 2
Awards – Annual Funding Received By College/School/Division

College/School/Division	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012
Medical Center					
Medicine and Dentistry	\$248,592	\$240,937	\$313,102	\$282,943	\$211,770
Nursing	9,676	5,540	5,631	4,932	4,344
Hospitals and Clinics	808	1,056	909	519	379
Medical Center Administration	2,459	2,213	3,993	3,397	4,243
Subtotal URMC	261,535	249,746	323,635	291,791	220,736
Arts, Sciences and Engineering					
Arts and Sciences	36,372	33,355	46,681	33,548	38,759
Hajim School of Engineering & Applied Sciences	15,696	13,896	20,841	19,373	18,263
Subtotal AS & E	52,068	47,251	67,522	52,921	57,022
Laboratory for Laser Energetics	71,619	53,752	67,439	64,703	65,160
Other Schools and Divisions					
Warner School of Education	1,884	616	881	3,877	3,173
Memorial Art Gallery	177	234	450	137	14
Simon School of Business	0	38	38	375	158
Eastman School of Music	47	402	44	332	0
University Other	1,898	2,628	513	1,100	1,435
Subtotal Other Schools	4,006	3,918	1,926	5,821	4,780
Total University	\$389,228	\$354,667	\$460,522	\$415,236	\$347,698

Source: UR-Coeus Sponsored Programs Management Database

Notes for Tables 1 and 2:

- In Table 1, amounts requested include the entire project period of the proposal for new or competing renewal proposals and may fluctuate due to large program requests
- Funding received in Table 2 indicates actual amount awarded which is usually for periods of one year or less. Future year commitments are not included
- Beginning in FY 2008, included under Medical Center Administration is the Center for Community Health and Eastman Institute for Oral Health
- The Department of Computer Science moved from the College of Arts and Sciences to the Hajim School of Engineering and Applied Sciences effective 7/1/2009
- University Other includes Rush Rhees Library, Susan B. Anthony Center and University Central Administration

Chart E

Awards – Sponsored Program Funding by Agency Type – FY 2012

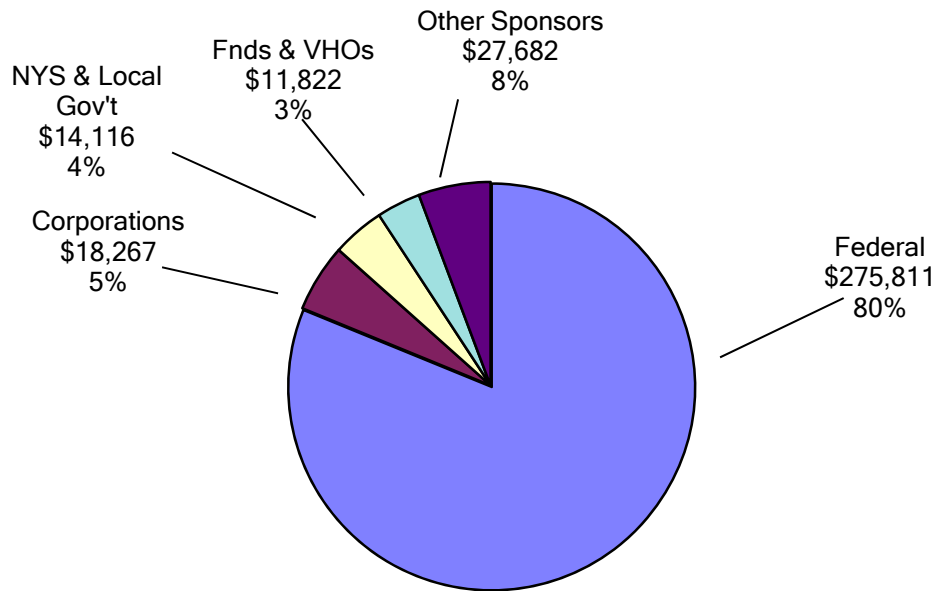


Table 3

Sponsored Program Funding by Agency Type

Agency Type	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012
Federal	\$303,658	\$274,222	\$376,244	\$328,423	\$275,811
Corporations	27,326	27,051	24,982	28,023	18,267
NY State & Local Government	10,779	13,664	18,493	18,294	14,116
Foundations & Voluntary Health Organizations	18,414	13,779	13,311	12,044	11,822
Other Sponsors ¹	29,051	25,951	27,492	28,452	27,682
TOTAL	\$389,228	\$354,667	\$460,522	\$415,236	\$347,698

Source: UR-Coeus Sponsored Programs Management Database

¹Other sponsors include national laboratories and other non-profit institutions (including subcontracts from other colleges and universities). The majority of these funds result from federal funding to a primary sponsor for whom the University is a sub-recipient.

Table 3.1
Sponsored Program Funding by Federal Agency

Federal Agency	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012
Health and Human Services (excluding NIH)	\$9,311	\$5,855	\$10,664	\$8,729	\$12,676
NIH	188,575	181,128	249,941	217,477	165,113
Total Health and Human Services	197,886	186,983	260,605	226,206	177,789
Department of Energy	76,633	57,145	74,696	72,409	69,953
Department of Defense	13,920	9,218	10,560	10,544	8,926
National Science Foundation	9,492	11,978	20,177	14,520	15,110
Department of Education	2,247	1,495	1,626	1,865	2,355
National Aeronautics and Space Administration	318	454	470	617	1,189
NEA/NEH ¹	10	378	299	310	151
Other Federal Sponsors	3,152	6,571	7,811	1,952	338
TOTAL	\$303,658	\$274,222	\$376,244	\$328,423	\$275,811

Source: UR-Coeus Sponsored Programs Management Database

¹National Endowment for the Arts/National Endowment for the Humanities

As indicated in Chart E on page 7, the federal government is the primary source of sponsored program funding. However, the University receives significant funding from other sources. Table 4 provides funding information on University sponsors that provided \$1,000,000 or more in FY 2012.

Table 4
Sponsors Awarding \$1,000,000 or More Annually - FY 2012

Sponsor	Number of Awards	Total \$\$ Awarded
National Institutes of Health	513	\$165,112,546
Department of Energy	21	69,952,577
National Science Foundation	96	15,110,315
New York State	72	11,373,823
Centers for Disease Control and Prevention	12	5,249,493
Health Research Services Administration	18	3,822,200
U.S. Army	18	3,275,651
Department of Defense (excluding Air Force, Army and Navy)	9	2,283,317
Office of Naval Research	4	2,044,561
Boston Scientific Corp.	5	3,139,173
Health Research Inc.	19	2,546,695
U.S. Department of Education	12	2,354,660
Monroe County	12	2,322,095
The Michael J. Fox Foundation for Parkinson's Disease	5	1,655,279
Duke University	17	1,640,244
American Heart Association	26	1,542,405
CHDI Foundation, Inc.	3	1,379,701
U.S. Air Force	9	1,322,750
Agency for Healthcare Research and Quality	5	1,265,784
National Aeronautical and Space Administration	8	1,188,940
Cornell University	9	1,162,570
Johns Hopkins University	13	1,142,930
Administration on Developmental Disabilities	2	1,089,000
National Jewish Medical and Research Center	1	1,038,047

Source: UR-Coeus Sponsored Programs Management Database

Table 5 provides information on the number of active projects in University colleges, schools or other units. This number encompasses all types of sponsored activities and may include awards received prior to FY 2012 that were active at any point during FY 2012. This table does not include funding for undergraduate financial aid.

Table 5
Summary of Projects Active at any Point in FY 2012
by College/School/Division

College/School/Division	Number of Active Projects
<u>Medical Center</u>	
Medicine & Dentistry	1,866
Nursing	44
Strong Memorial Hospital	6
Medical Center Administration ¹	36
<u>Arts, Sciences, and Engineering</u>	
Arts & Sciences	301
Hajim School of Engineering and Applied Sciences ²	176
<u>Other Schools and Divisions</u>	
Laboratory for Laser Energetics	10
Warner School of Education	25
Memorial Art Gallery	4
Simon School of Business	3
Eastman School of Music	2
River Campus General	22
University General	2
Total Active Projects	2,497

Source: UR-COEUS Sponsored Programs Management Database

¹Includes Center for Community Health (formerly Center for Study of Rochester's Health under Medicine and Dentistry division)

² The Department of Computer Science moved from the College of Arts and Science to the Hajim School of Engineering and Applied Sciences effective 7/1/2009

The table below illustrates the breakdown of awards by purpose. Research remains the primary component of sponsored program awards. In contrast to the expenditure figures reported later in this report, sponsored program award statistics do not include financial aid.

Table 6
Total Sponsored Program Awards by Purpose

Purpose	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012
Research ¹	\$316,160	\$288,603	\$378,276	\$339,043	\$290,873
Fellowships & Training	33,986	26,559	32,764	35,008	28,203
Clinical Drug Trials	24,806	22,711	26,467	27,694	16,074
Libraries & Museums	944	901	600	573	238
Conference & Travel	425	162	202	171	303
Equipment	994	948	5,156	933	-131
Miscellaneous Activities	11,913	14,783	17,057	11,814	12,138
Total	\$389,228	\$354,667	\$460,522	\$415,236	\$347,698

Source: UR-Coeus Sponsored Programs Management Database

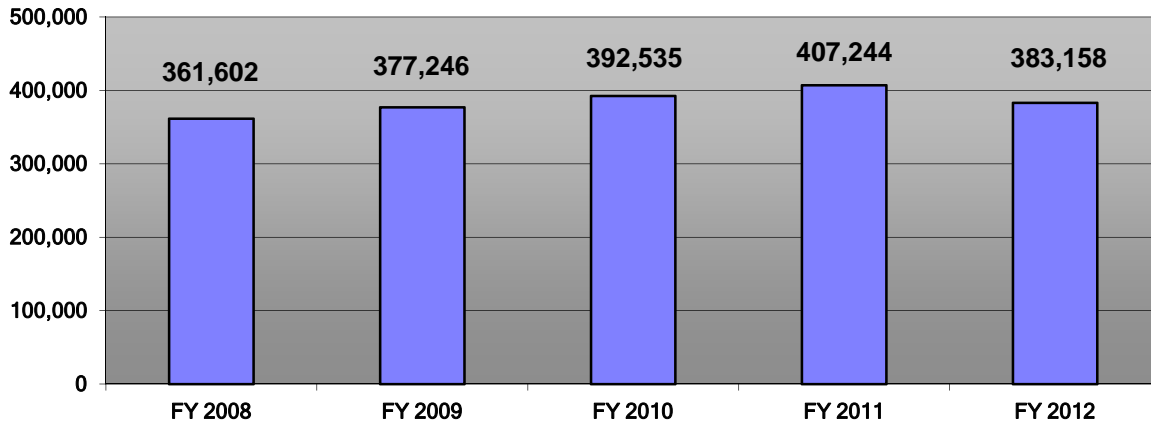
¹The Medical Center accounts for 64% of all externally sponsored research funding. Of that amount, roughly half is related to clinical research, according to the Clinical Research Resource Inventory, a survey of principal investigators at the Medical Center. Clinical research is defined as research conducted with human subjects or on material of human origin for which an investigator directly interacts with human subjects. It also includes epidemiological and behavioral studies and outcomes research and health services research.

Overview of Sponsored Programs Expenditures

In Fiscal Year 2012, the University of Rochester expended in excess of \$383 million for sponsored activities, a decrease of slightly more than 6 percent from Fiscal Year 2011.

Chart F

Sponsored Program Expenditures - Total University



(Dollars in thousands)

Sponsored Program Expenditures - Total University

	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012
Total University	\$361,602	\$377,246	\$392,535	\$407,244	\$383,158

Source: University Accounting System Report ABQ361

Table 7.1 and supporting tables provide a breakdown of expenditures by college, school or division.

Table 7.1
Total Sponsored Program Expenditures by College/School/Division¹

College/School/Division	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012
Medical Center					
School of Medicine and Dentistry	\$232,991	\$239,699	\$259,755	\$268,075	\$237,087
School of Nursing	5,214	6,250	6,370	5,123	4,586
Hospitals and Clinics	1,347	1,264	598	426	413
Medical Center Administration ²	1,782	2,420	2,855	3,680	4,125
Total URMC	241,334	249,633	269,578	277,304	246,211
Arts & Sciences & Engineering					
Arts and Sciences	36,241	38,640	38,252	42,214	40,217
Hajim School of Engineering and Applied Sciences	17,195	16,898	18,750	17,717	17,511
Total AS & E	53,436	55,538	57,002	59,931	57,728
Laboratory for Laser Energetics	57,380	63,024	55,962	60,241	69,620
Other Schools and Divisions					
Warner School of Education	1,724	927	745	1,163	1,613
Memorial Art Gallery	71	134	246	156	104
Simon School of Business	30	63	32	2	121
Eastman School of Music	644	532	847	727	722
University Other ³	6,983	7,395	8,123	7,720	7,039
Total Other	9,542	9,051	9,993	9,768	9,599
Total University	\$361,602	\$377,246	\$392,535	\$407,244	\$383,158

Source: University Accounting System Report ABQ361

¹Includes indirect costs

²Includes Eastman Institute for Oral Health (Department of Community Dentistry) and Center for Community Health (formerly Center for Study of Rochester's Health under Medicine and Dentistry division)

³Includes funding for undergraduate student financial aid

Table 7.2.1
Total Sponsored Program Expenditures – Arts & Sciences
By Department

Arts and Sciences	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012
Dean's Office	\$0	\$84	\$207	\$383	\$470
Biology	6,065	6,715	6,404	6,182	5,646
Brain & Cognitive Sciences	4,398	4,362	4,836	5,719	5,959
Chemistry	3,807	4,002	4,915	5,504	5,879
Clinical and Social Sciences in Psychology	5,456	5,666	6,532	7,878	7,916
Computer Science	2,491	2,355	0	0	0
Earth and Environmental Sciences	842	867	722	631	716
English	49	100	78	83	98
History	0	0	0	28	32
Kearns Center	327	842	916	771	656
Linguistics	30	26	34	69	51
Mathematics	568	549	597	729	410
McNair Program	251	317	277	216	229
Philosophy	0	21	36	9	19
Physics and Astronomy	7,412	8,582	8,153	9,671	7,662
Skalny Center for Polish/European Studies	37	48	49	75	65
Undergraduate Studies	70	54	67	0	0
Center for Visual Sciences	4,266	3,837	4,228	4,077	4,399
Wallis Institute of Political Economy	172	213	201	189	10
Subtotal A & S	\$36,241	\$38,640	\$38,252	\$42,214	\$40,217

Source: University Accounting System Report ABQ353

¹ The Department of Computer Science moved from the College of Arts and Sciences to the Hajim School of Engineering and Applied Sciences effective 7/1/2009

Table 7.2.2
Total Sponsored Program Expenditures – Engineering & Applied Sciences
By Department

Engineering & Applied Sciences	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012
Dean's Office	\$-19	\$275	\$139	\$259	\$241
Center for Future Health	21	92	-4	0	0
Biomedical Engineering	1,650	1,344	824	630	1,242
Computer Science ¹	0	0	2,389	2,556	2,890
Chemical Engineering	686	607	1,004	862	778
Electrical & Computer Engineering	4,049	3,685	4,306	4,706	4,080
Mechanical Engineering	2,381	2,473	2,265	2,156	1,991
Institute of Optics	6,633	6,263	6,549	5,546	5,329
Center for Emerging & Innovative Sciences	1,724	2,103	1,231	1,002	960
Center for Institute Ventures	70	56	47	0	0
Subtotal HSEAS	\$17,195	\$16,898	\$18,750	\$17,717	\$17,511
Total AS & E	\$53,436	\$55,538	\$57,002	\$59,931	\$57,728

Source: University Accounting System Report ABQ 353

¹The Department of Computer Science moved from the College of Arts and Sciences to the Hajim School of Engineering and Applied Sciences effective 7/1/2009

Table 7.2.3
Total Sponsored Program Expenditures - School of Medicine and Dentistry
By Department

Medicine and Dentistry	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012
Dean's Office	\$13	\$0	\$0	\$-45	\$15
Anesthesiology	2,069	1,568	1,772	2,420	2,406
Biochemistry and Biophysics	6,617	7,746	8,475	8,899	6,483
Biomedical Engineering	722	862	1,665	2,024	4,004
Biomedical Genetics	3,071	4,451	5,302	6,556	4,228
Biostatistics and Computational Biology	4,707	6,975	7,080	7,792	7,763
Cancer Center	8,974	9,998	10,468	10,774	11,182
Center for Human Experimental Therapeutics ¹	0	0	7,959	10,193	7,400
Center for Neural Development and Disease	5,536	6,036	5,449	4,304	3,690
Center for Pediatric Biomedical Research	2,366	2,473	3,893	3,009	3,123
Center for Neurovascular Brain Disease	2,731	2,523	1,832	2,659	764
Center for Translational Neuromedicine	5,508	4,963	4,107	4,913	5,189
Center for Oral Biology	5,313	5,200	4,485	5,228	3,685
Center for Vaccine Biology	4,235	4,879	4,130	3,542	3,627
Clinical Translational Science Institute ²	0	0	0	0	8,660
Community and Preventive Medicine	4,953	5,192	12,559	15,578	5,914
Development Center for AIDS Research	0	509	755	885	1,162
Dermatology	1,312	1,942	2,465	2,492	2,311
Eastman Institute for Oral Health ³	2,459	1,917	2,034	1,952	1,624
Emergency Medicine	1,863	1,702	1,020	1,077	1,434
Environmental Medicine	12,016	10,964	9,748	10,053	9,392
Family Medicine	1,509	1,859	1,869	1,862	2,560
Imaging Sciences	1,958	2,048	2,637	1,909	1,046
Medicine	38,616	41,599	49,180	53,455	47,225

(Continued on next page)

¹The Center for Human Experimental Therapeutics was established in 2010 and is no longer represented under expenditures for the Department of Neurology

²The Clinical Translational Science Institute was established in 2012 and is no longer represented under expenditures for the Department of Community and Preventive Medicine

³Expenditures for the Community Dentistry Outreach Programs of the Eastman Institute for Oral Health are being reported under Medical Center Administration

Medicine and Dentistry cont'd	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012
Microbiology and Immunology	7,593	9,048	8,783	9,306	9,185
Neurobiology and Anatomy	6,611	6,795	7,538	6,532	4,727
Neurology	25,224	23,470	18,153	14,838	12,579
Neurosurgery	384	696	582	671	1,004
Obstetrics and Gynecology	12,603	9,976	2,734	3,650	3,217
Ophthalmology	5,229	3,541	4,242	4,093	3,843
Orthopaedics	5,719	5,047	7,149	7,185	5,063
Otolaryngology	737	628	924	1,032	1,019
Pathology	3,786	4,064	4,706	4,770	3,841
Pediatrics	16,841	17,612	20,293	20,698	21,490
Pharmacology and Physiology	8,894	9,816	10,901	11,505	8,714
Physical Medicine and Rehab	0	73	31	4	33
Psychiatry	12,973	12,550	11,296	11,077	9,658
Radiation Oncology	5,796	6,530	8,658	7,715	4,309
Surgery	2,372	2,787	2,770	1,911	2,098
Urology	1,150	1,306	1,513	1,110	877
SMD Other ⁴	531	354	598	477	543
Total SMD	\$232,991	\$239,699	\$259,755	\$268,07	\$237,087

Source: University Accounting System Report ABQ353

⁴Includes Medical Student Financial Affairs Office and Offices for Medical Education

Table 7.2.4**Total Sponsored Program Expenditures - School of Medicine and Dentistry****Department of Medicine by Units**

Unit	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012
General Medicine	821	674	528	379	89
Infectious Diseases	13,353	13,716	16,494	18,048	16,879
Pulmonary/Critical Care	2,645	2,213	2,799	3,244	3,660
Cardiology	8,356	7,632	6,456	8,370	7,197
Endocrinology	713	1,279	2,057	749	825
Gastrology	387	484	656	1,112	1,042
Clinical Research Center	-70	0	0	0	0
Nephrology	1,425	1,626	1,403	1,641	1,330
Immunology	4,112	6,028	9,161	9,720	6,870
Monroe Community Hospital	661	958	858	924	997
Primary Care	52	43	48	35	5
Highland Hospital	238	272	348	403	694
Unity Health	371	173	-2	0	0
Palliative Care	0	99	103	30	30
Aab Cardiovascular Research Institute	5,552	6,402	8,272	8,800	7,607
Total Department of Medicine	\$38,616	\$41,599	\$49,181	\$53,455	\$47,225

Source: UR-COEUS Sponsored Programs Management Database

Direct Costs and F&A Costs Expenditures

The University recovers the costs of its sponsored program expenditures in two ways; direct costs and facilities & administrative (F&A) costs, sometimes referred to as indirect costs. F&A costs cover expenses associated with conducting sponsored program activities such as utilities, building maintenance, etc. Table 8 and Table 8.1 indicate the breakdown by college, school or division for these two cost categories.

Expenditures vary from year to year because of changes in the government's interests and needs, and types of programs. F&A recovery is subject to variation by sponsor as well as to changes in the university's federally negotiated rate, types of direct costs supported by sponsors (e.g., salaries vs. equipment), amounts subcontracted to other institutions, and cost allowability as determined by federal regulations and audit practices.

Table 8
Direct Cost Expenditures

College/Unit	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012
<u>Medical Center</u>					
Medicine & Dentistry	\$177,371	\$179,953	\$193,469	\$200,892	\$177,235
Nursing	4,232	5,105	5,538	4,465	3,885
Hospitals and Clinics	1,249	1,185	543	377	374
Medical Center Administration ¹	1,638	2,209	2,649	3,131	3,703
<u>Arts, Sciences and Engineering</u>					
Arts and Science	28,340	29,382	30,365	33,407	31,547
Hajim School of Engineering & Applied Sciences	13,889	14,534	14,350	13,578	13,189
<u>Other Schools and Divisions</u>					
Laboratory for Laser Energetics	45,764	50,231	43,521	47,112	54,873
Warner School of Education	1,471	958	649	1,065	1,480
Simon School of Business	60	48	32	2	90
Eastman School of Music	643	521	795	689	659
Memorial Art Gallery	71	134	246	156	104
University Other	6,910	7,376	8,172	7,682	7,039
Total University	\$281,638	\$291,636	\$300,329	\$312,556	\$294,178

Source: University Accounting System Report ABQ361

¹Includes the Center for Community Health (formerly Center for the Study of Rochester's Health under Medicine and Dentistry) and the Eastman Institute of Oral Health

Table 8.1
Facilities & Administrative Costs Recovery

College/Unit	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012
<u>Medical Center</u>					
Medicine & Dentistry	\$55,620	\$59,746	\$66,286	\$67,183	\$59,852
Nursing	982	1,146	833	658	701
Hospitals and Clinics	98	79	54	50	39
Medical Center Administration ¹	139	210	212	550	412
<u>Arts, Sciences and Engineering</u>					
Arts and Sciences	7,901	7,696	7,887	8,807	8,670
Hajim School of Engineering & Applied Sciences	3,308	3,927	4,401	4,139	4,322
<u>Other Schools and Divisions</u>					
Laboratory for Laser Energetics	11,616	12,793	12,440	13,129	14,748
Warner School of Education	252	-32	96	97	133
Simon School of Business	-30	15	-15	0	31
Eastman School of Music	9	11	52	38	63
Memorial Art Gallery	0	0	0	0	0
University Other	69	19	-40	37	5
Total University	\$79,964	\$85,610	\$92,206	\$94,688	\$88,980

Source: University Accounting System Report ABQ361

¹Includes the Center for Community Health (formerly Center for the Study of Rochester's Health, which was reported under Medicine and Dentistry up to Fiscal Year 2011)

While the federal government is the primary source of sponsored program funding, the University receives project support from many other sponsors. The chart below and accompanying Table 9 indicate the total University expenditures by type of funding agency.

Chart G

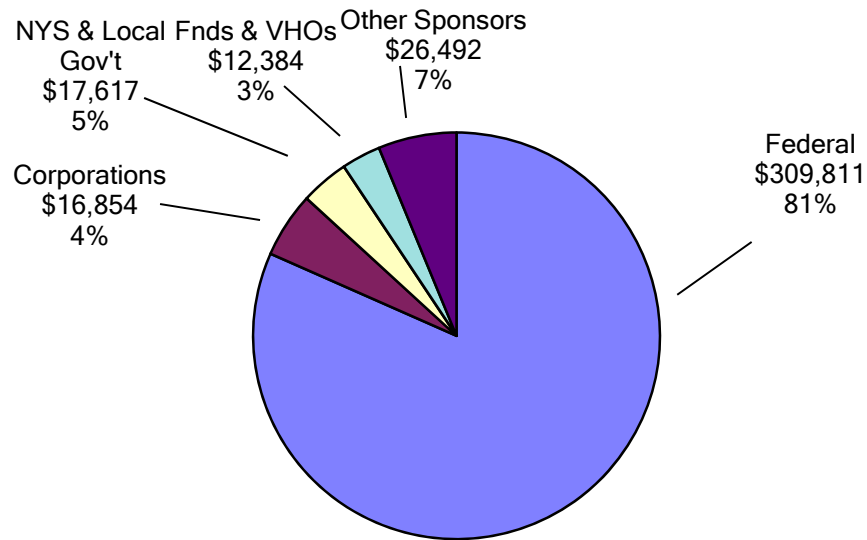


Table 9

Sponsored Program Expenditures by Agency Type

Agency Type	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012
Federal	\$278,273	\$295,185	\$313,724	\$332,352	\$309,811
Corporations	28,388	23,990	24,757	21,166	16,854
NY State & Local Government	13,492	15,040	14,178	15,673	17,617
Foundations & Voluntary Health Organizations	16,545	16,991	12,302	12,688	12,384
Other Sponsors ¹	24,904	26,040	27,574	25,365	26,492
TOTAL	\$361,602	\$377,246	\$392,535	\$407,244	\$383,158

Source: University Accounting System Report ABM123

¹Other sponsors include national laboratories and other non-profit institutions (including subcontracts from other colleges and universities). The majority of these funds result from federal funding to a primary sponsor for whom the University is a subrecipient.

Table 9
Sponsored Program Expenditures by Federal Agency

Federal Agency	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012
Health and Human Services (includes NIH)	\$181,303	\$192,309	\$215,623	\$224,180	\$198,001
Department of Energy	62,212	67,278	60,449	67,048	76,004
Department of Defense	12,889	11,798	10,733	10,633	8,997
National Science Foundation	10,661	11,122	12,877	14,953	13,652
Department of Education	8,023	8,498	10,391	10,951	9,474
National Aeronautics and Space Administration	424	602	467	500	840
NEA/NEH ¹	51	137	250	180	237
Other Federal Sponsors	2,710	3,441	2,934	3,907	2,606
TOTAL	\$278,273	\$295,185	\$313,724	\$332,352	\$309,811

Source: University Accounting System Report ABM123

¹National Endowment for the Arts /National Endowment for the Humanities

The chart below and its supporting Table 10 indicate the expenditure of funds by major cost element. Sponsored program expenditures for FY 2012 included approximately \$52 million for faculty salaries, \$17 million for graduate student salaries and stipends and \$2 million for undergraduate student salaries.

Chart H

Sponsored Program Expenditures by Cost Element

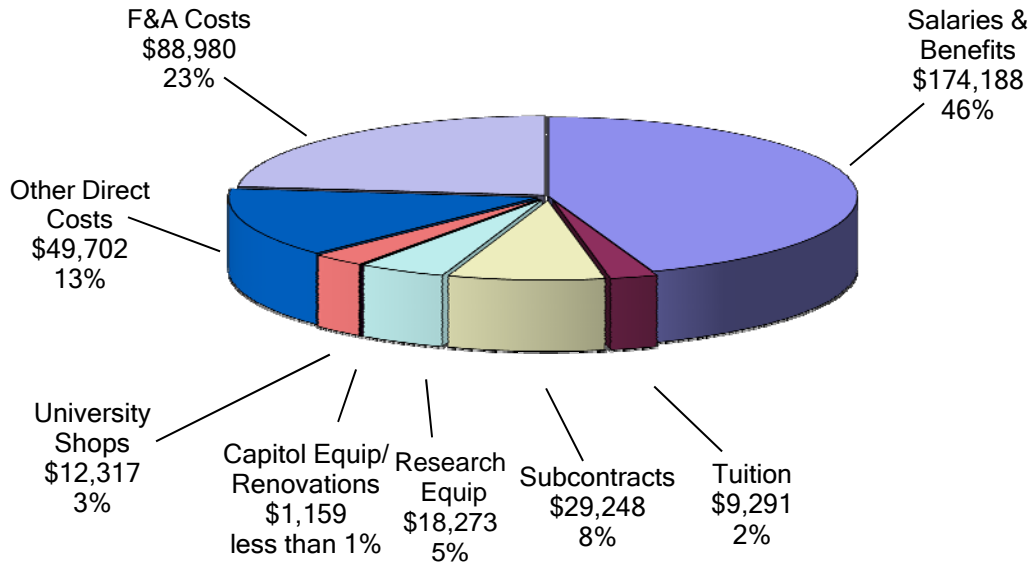


Table 10

Sponsored Program Expenditures by Cost Element

Cost Element	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012
Salaries & Benefits	\$166,137	\$173,271	\$177,844	\$181,369	\$174,188
Tuition	8,142	8,973	10,820	10,094	9,291
Subcontracts	27,240	24,651	26,946	33,362	29,248
Research Equipment	18,918	18,982	18,809	18,615	18,273
Capital Equipment/Renovations	3,621	219	152	307	1,159
University Shops	11,456	14,430	11,714	11,393	12,317
Other Direct Costs ¹	46,124	51,110	54,044	57,416	49,702
Total Direct Costs	281,638	291,636	300,329	312,556	294,178
Facilities & Administrative Costs	79,964	85,610	92,206	94,688	88,980
TOTAL	\$361,602	\$377,246	\$392,535	\$407,244	\$383,158

¹“Other Direct Costs” includes adjustment made for “Other Expense Credits” category, which represents transfers and other adjustments in ledger 5 accounts.

Source: University Accounting System Report ABQ361

The University's Ranking Among Its Peers

The Carnegie Foundation for the Advancement of Teaching places the University of Rochester in the category RU/VHR (Research University/Very High Research). Institutions in this category offer a full range of baccalaureate programs, are committed to graduate education through the doctorate level, and give high priority to research. Note: FY 2010 is the latest data available online at the time of this printing.

By Federally Financed Research and Development Expenditures		FY 2010
1	Johns Hopkins University	\$1,737,261
2	University of Washington	829,885
3	University of Michigan	747,778
4	University of Pennsylvania	642,180
5	University of Pittsburgh	594,675
6	Stanford University	593,016
7	University of California, San Diego	580,279
8	Columbia University	572,213
9	University of North Carolina, Chapel Hill	545,993
10	University of Wisconsin, Madison	545,189
11	University of California, Los Angeles	538,521
12	University of California, San Francisco	514,693
13	Duke University	514,084
14	Yale University	475,794
15	Harvard University	474,899
16	Washington University at St. Louis	468,642
17	Pennsylvania State University	464,750
18	Massachusetts Institute of Technology	457,575
19	Cornell University	448,085
20	University of Minnesota	426,359
21	University of Southern California	408,564
22	Ohio State University	399,942
23	Vanderbilt University	397,656

By Research Expenditures (con't)		FY 2010
24	Northwestern University	379,648
25	Georgia Institute of Technology	372,122
26	University of Chicago	352,728
27	University of Texas, Austin	350,308
28	Emory University	336,986
29	Case Western Reserve University	333,689
30	University of California, Davis	332,325
31	California Institute of Technology	328,522
32	University of Alabama, Birmingham	325,103
33	University of Rochester	322,048

¹ Expenditure statistics are reported to the National Science Foundation by the University and are based on year-end accounting reports for a given fiscal year

Source: Table 18,
National Science Foundation/National Center for Science and Engineering Statistics
Higher Education Research and Development Survey

The University's Ranking In New York State among Public and Private Institutions

By Research Expenditures		FY 2010
1	Columbia University	\$807,235
2	Cornell University	749,721
3	University of Rochester	414,655
4	Mount Sinai School of Medicine	370,666
5	New York University	365,944
6	SUNY Albany	359,364
7	SUNY Buffalo	349,670
8	Yeshiva University	314,240
9	Rockefeller University	265,750
10	Syracuse University	107,024

Source: Table C-2,
National Science Foundation/National Center for Science and Engineering Statistics
Higher Education Research and Development Survey

Departments Ranked in the Top 10 in FY 2011¹

The University also has several departments ranked in the top 10 in FY 2011 for federal expenditures:

The Department of Orthopaedics ranked 2nd

The Departments of Neurosurgery and Preventive Medicine both ranked 5th

The Department of Neurology ranked 7th

In addition, the School of Nursing ranked 18th

¹ This is the latest data available from this source

Source: Blue Ridge Institute for Medical Research - brimr.org

Overview of Material Transfer Activity

As a general definition, a Material Transfer Agreement (hereinafter MTA) is a contract executed between two entities which outlines the rights and responsibilities of each party that arise due to the transfer of materials for research purposes from one party to the other. The MTA will dictate how the materials and the results from using the materials can be used, along with other significant terms, conditions and obligations. Typically, there is a minimal to no fee associated with such a transfer.

In Fiscal Year 2012, UR received a total of 494 MTAs, 365 for incoming materials and 129 for outgoing materials. UR executed a total of 433 agreements; this includes agreements pending from the previous fiscal year. Of this total 419 were received during FY 2012, an increase of 14%. The increase in incoming MTAs was most likely attributable to the increased awareness of the research community of the importance of establishing a formal agreement for shared research materials.

General data facts of the types of agreements negotiated:

439 agreements were with other academic/non-profit institutions/government entities

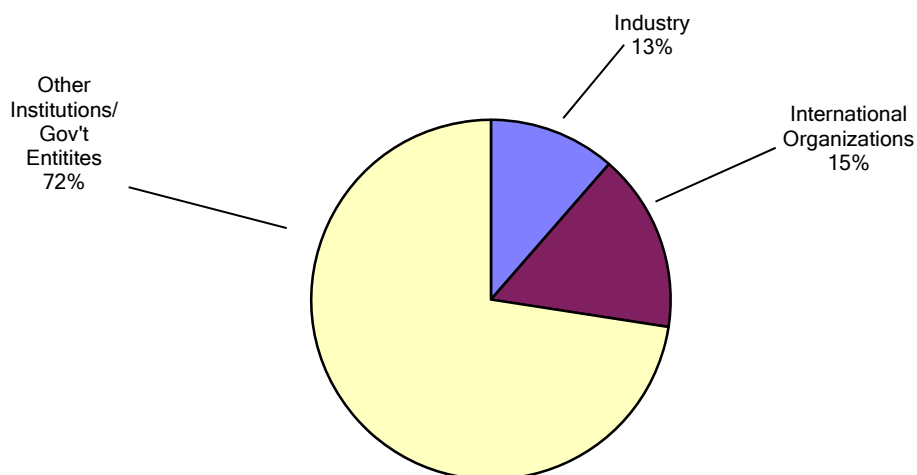
69 agreements were with industry

97 agreements were with international organizations

Total = 508 (494 FY 2012 & 14 FY 2011)

Chart I

MTA's Processed in FY 2012 by Institution Type



The Material Transfer function within the Office of Research and Project Administration also includes responsibility for the review and negotiation of any Confidential Disclosure Agreement (CDA) that binds the University. A total of 248 CDAs were reviewed during Fiscal Year 2012, with a total of 204 fully executed. This was a 26% increase in the number of CDAs over that received in fiscal year 2011. The increase in the number of incoming CDAs can be largely attributed to a greater number of scientists and/or pharmaceutical companies actively pursuing potential clinical trials along with an increased awareness on the part of researchers of the need to protect confidential and proprietary information during these negotiations.

The Material Transfer Administrators were given the responsibility of also reviewing and processing both incoming and outgoing Data Use Agreements (DUAs) in fiscal year 2012. A total of 31 Data Use Agreements were reviewed during fiscal year 2012, with a total of 29 fully executed and 2 pending. Of the 31 received, 8 were incoming and 23 were outgoing.

Outlook for FY 2013

The outlook for the FY 2013 federal budget in general and for research funding in particular is hard to predict for several reasons. A change in the Presidency would most likely introduce different priorities and policies. The same would be true for both houses of Congress. And there is the issue of sequestration, whereby automatic, across-the-board cuts of about 8-10 percent would take place on January 2, 2013 if Congress and the White House cannot agree on alternative budget-control strategies. These cuts would be split between defense and non-defense discretionary funding. The result could be a total reduction in federal research and development (R&D) of up to 12 percent.

The President's FY2013 budget request includes modest increases in R&D funding for the three President's Plan for Science and Innovation agencies (National Science Foundation (NSF), National Institute for Standards and Technology (NIST) and Department of Energy's (DOE) Office of Science) but would fall well short of the doubling pace established in the America COMPETES Act. As a share of the total federal budget however, R&D investment would fall to its lowest level in more than 50 years under the president's proposal.

NSF would receive a total budget increase of 4.8 percent to \$7.4 billion, NIST laboratories would see a total budget increase of 14.9 percent to \$574 million, and DOE's Office of Science budget would increase 2.5 percent to \$5 billion.

The National Institutes of Health (NIH) would receive a flat R&D budget after a very modest increase last year. The NIH flat budget of \$30.1 billion would represent a more than 2 percent decline when factoring in inflation.

The Department of Defense (DOD) would receive flat funding for basic research, while virtually all other R&D accounts would decline. Basic research would remain at \$2.1 billion, while applied research would be cut by 5.5 percent or \$261 million. Basic research at DARPA would increase by 6.3 percent to \$309 million, but DARPA's overall R&D budget would remain flat.

Because Congress has not approved federal funding appropriations for FY 2013, a Continuing Resolution bill has been passed in the House which would fund the government through March of 2013,

CONTACT INFORMATION

Office of Research and Project Administration /University of Rochester

Hylan Building, 5th Floor, RC Box 271040/Rochester, NY 14627-0140

Phone 585.275.4031 • Fax 585.275.9492/Email: resadmin@orpa.rochester.edu/Website:
<http://www.rochester.edu/orpa>

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