



UNIVERSITY *of*  
ROCHESTER

**OFFICE OF RESEARCH AND PROJECT  
ADMINISTRATION**

**ANNUAL REPORT OF**

**SPONSORED PROGRAM ACTIVITIES**

**FISCAL YEAR 2013**

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## **Introduction**

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We are pleased to present the Office of Research and Project Administration (ORPA) Annual Report for Fiscal Year 2013 ending June 30<sup>th</sup>, 2013, 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](mailto:resadmin@orpa.rochester.edu)

## **In This Report**

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Introduction	2
Table Of Contents	2
Proposal and Award Activity	3
Sponsored Program Awards by Funding Agency	7
Sponsors Awarding \$1M or More Annually	9
Summary of Active Projects	10
Sponsored Program Awards by Purpose	11
Overview of Sponsored Program Expenditures	12
Sponsored Program Expenditures by College/School/Division	13
Direct Costs and F&A Costs Expenditures	19
Sponsored Program Expenditures by Funding Agency	21
Sponsored Program Expenditures by Cost Element	23
The University's Ranking among its Peers	24
Overview of Material Transfer Agreements Activity	27
Outlook for FY 2013	28

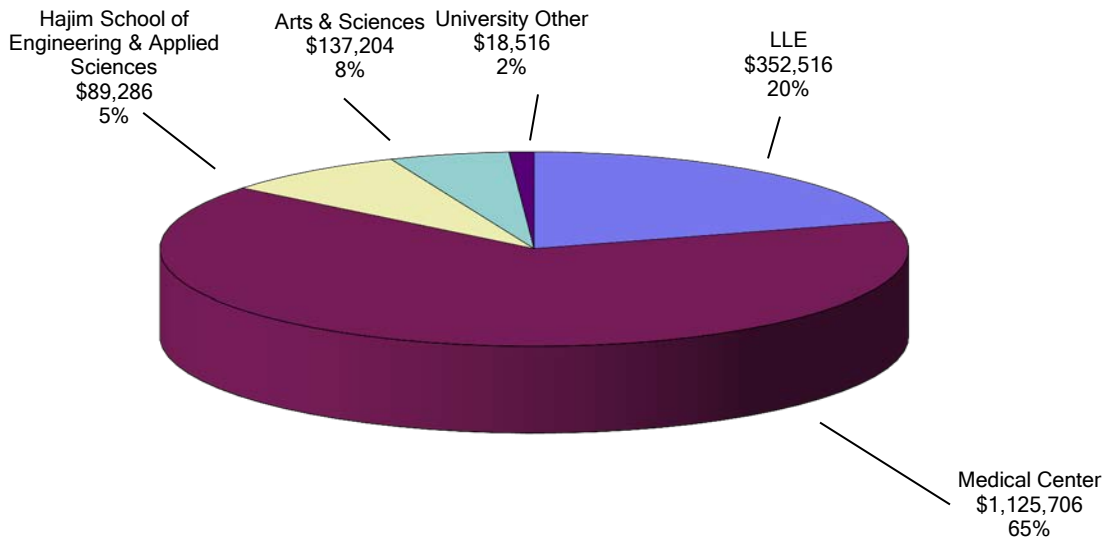
## Proposal and Award Activity

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 **1,936** new, continuation, supplemental, and renewal proposals were submitted in FY 2013 for sponsored program funding.

**NOTE: All dollars throughout this report are in thousands**

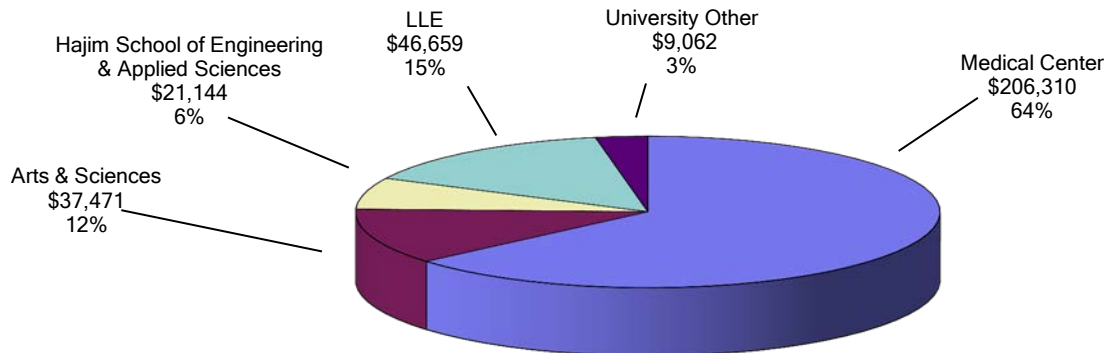
### Chart A

#### Dollar Value of Proposals Submitted - FY 2013



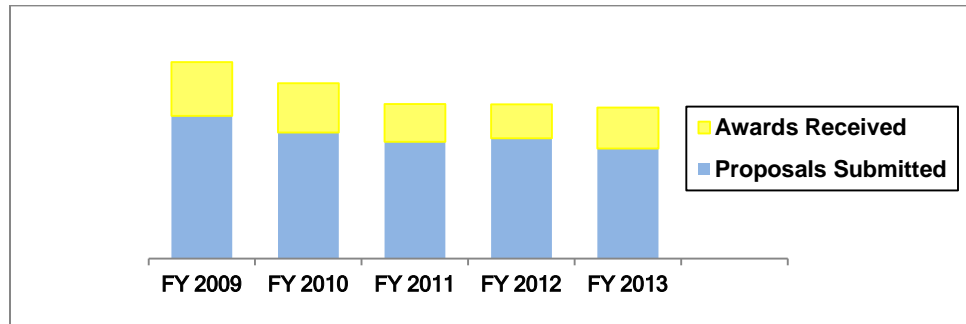
### Chart B

#### Awards Dollars Received - FY 2013



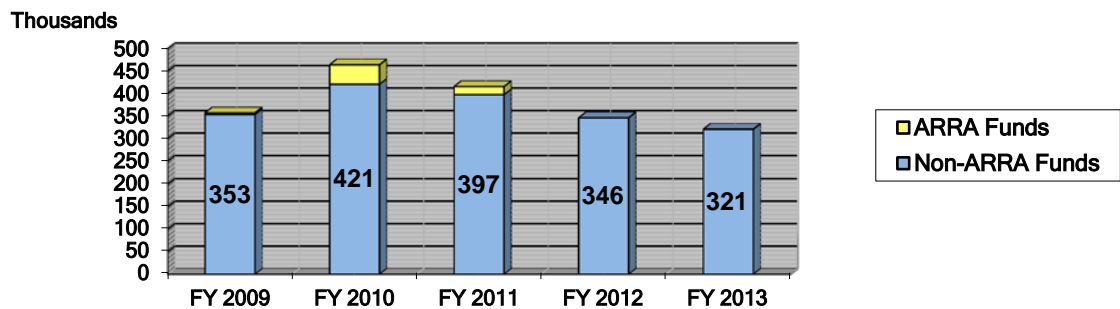
As shown below, the University's success rate rose significantly in FY 2013, and continues to be better than the national average. Note: Figures for FY 2013 proposals are not final at this time, due to the fact that there is approximately a ten month period of time between when a proposal is submitted 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 2009	FY 2010	FY 2011	FY 2012	FY 2013
Proposals Submitted	1,913	1,690	1,558	1,596	1,475
Awards Received	723	660	507	455	548
Success Rate	38%	39%	33%	28%	37%

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



FY 2009		FY 2010		FY 2011		FY 2012		FY 2013	
\$354,667		\$460,522		\$415,236		\$347,698		\$320,646	
ARRA	Non-ARRA	ARRA	Non-ARRA	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 2013, 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 2009	FY 2010	FY 2011	FY 2012	FY 2013
<b>Medical Center</b>					
Medicine and Dentistry	\$1,486,282	\$1,092,474	\$1,159,008	\$1,143,900	\$1,102,015
Nursing	29,974	20,586	20,849	11,115	15,647
Hospitals and Clinics	6,638	1,545	380	303	517
Medical Center Administration	6,584	19,560	15,869	15,823	7,527
<b>Subtotal URMC</b>	<b>1,529,478</b>	<b>1,134,165</b>	<b>1,196,106</b>	<b>1,171,141</b>	<b>1,125,706</b>
<b>Arts, Sciences and Engineering</b>					
Arts and Sciences	162,380	176,082	124,475	137,620	137,204
Hajim School of Engineering & Applied Sciences	66,725	89,137	95,670	123,461	89,286
<b>Subtotal AS &amp; E</b>	<b>229,105</b>	<b>265,219</b>	<b>220,145</b>	<b>261,081</b>	<b>226,490</b>
Laboratory for Laser Energetics	3,808	136,395	11,736	416,613	352,516
<b>Other Schools and Divisions</b>					
Warner School of Education	7,228	7,643	10,352	3,215	7,179
Memorial Art Gallery	719	5,503	121	112	65
Simon School of Business	113	0	687	557	175
Eastman School of Music	611	0	623	87	5
University Other	1,265	6,422	3,573	8,658	11,092
<b>Subtotal Other</b>	<b>9,936</b>	<b>19,568</b>	<b>15,356</b>	<b>12,629</b>	<b>18,516</b>
<b>Total University</b>	<b>\$1,772,327</b>	<b>\$1,555,347</b>	<b>\$1,443,343</b>	<b>\$1,861,464</b>	<b>\$1,723,228</b>

Source: UR-Coeus Sponsored Programs Management Database

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

College/School/Division	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013
<b>Medical Center</b>					
Medicine and Dentistry	\$240,937	\$313,102	\$282,943	\$211,770	\$200,174
Nursing	5,540	5,631	4,932	4,344	1,690
Hospitals and Clinics	1,056	909	519	379	327
Medical Center Administration	2,213	3,993	3,397	4,243	4,119
<b>Subtotal URMC</b>	<b>249,746</b>	<b>323,635</b>	<b>291,791</b>	<b>220,736</b>	<b>206,310</b>
<b>Arts, Sciences and Engineering</b>					
Arts and Sciences	33,355	46,681	33,548	38,759	37,471
Hajim School of Engineering & Applied Sciences	13,896	20,841	19,373	18,263	21,144
<b>Subtotal AS &amp; E</b>	<b>47,251</b>	<b>67,522</b>	<b>52,921</b>	<b>57,022</b>	<b>58,615</b>
Laboratory for Laser Energetics	53,752	67,439	64,703	65,160	46,659
<b>Other Schools and Divisions</b>					
Warner School of Education	616	881	3,877	3,173	2,440
Memorial Art Gallery	234	450	137	14	153
Simon School of Business	38	38	375	158	0
Eastman School of Music	402	44	332	0	5
University Other	2,628	513	1,100	1,435	6,464
<b>Subtotal Other Schools</b>	<b>3,918</b>	<b>1,926</b>	<b>5,821</b>	<b>4,780</b>	<b>9,062</b>
<b>Total University</b>	<b>\$354,667</b>	<b>\$460,522</b>	<b>\$415,236</b>	<b>\$347,698</b>	<b>\$320,646</b>

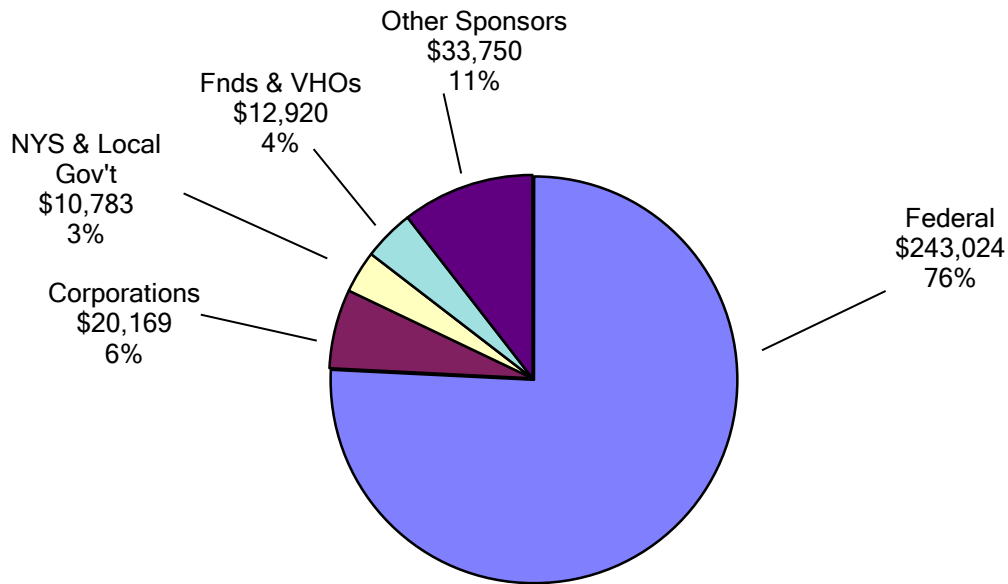
Source: UR-Coeus Sponsored Programs Management Database

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
- 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
- A \$16 million increment to LLE's DOE award for FY 2013 was received after July 1, 2013 and is not included in these numbers

**Chart E**

**Awards – Sponsored Program Funding by Agency Type – FY 2013**



**Table 3**

**Sponsored Program Funding by Agency Type**

Agency Type	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013
Federal	\$274,222	\$376,244	\$328,423	\$275,811	\$243,024
Corporations	27,051	24,982	28,023	18,267	20,169
NY State & Local Government	13,664	18,493	18,294	14,116	10,783
Foundations & Voluntary Health Organizations	13,779	13,311	12,044	11,822	12,920
Other Sponsors <sup>1</sup>	25,951	27,492	28,452	27,682	33,750
<b>TOTAL</b>	<b>\$354,667</b>	<b>\$460,522</b>	<b>\$415,236</b>	<b>\$347,698</b>	<b>\$320,646</b>

Source: UR-Coeus Sponsored Programs Management Database

<sup>1</sup>Other 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 2009	FY 2010	FY 2011	FY 2012	FY 2013
Health and Human Services (excluding NIH)	\$5,855	\$10,664	\$8,729	\$12,676	\$12,971
NIH	181,128	249,941	217,477	165,113	149,575
Total Health and Human Services	186,983	260,605	226,206	177,789	162,546
Department of Energy	57,145	74,696	72,409	69,953	53,659
Department of Defense	9,218	10,560	10,544	8,926	5,381
National Science Foundation	11,978	20,177	14,520	15,110	16,743
Department of Education	1,495	1,626	1,865	2,355	2,280
National Aeronautics and Space Administration	454	470	617	1,189	1,059
NEA/NEH <sup>1</sup>	378	299	310	151	260
Other Federal Sponsors	6,571	7,811	1,952	338	1,096
<b>TOTAL</b>	<b>\$274,222</b>	<b>\$376,244</b>	<b>\$328,423</b>	<b>\$275,811</b>	<b>\$243,024</b>

Source: UR-Coeus Sponsored Programs Management Database

<sup>1</sup>National 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 2013.

**Table 4**  
**Sponsors Awarding \$1,000,000 or More Annually - FY 2013**

Sponsor	Number of Awards	Total \$ Awarded
National Institutes of Health	457	\$149,574,826
Department of Energy	26	53,658,842
National Science Foundation	98	16,743,423
New York State	49	7,339,638
Centers for Disease Control and Prevention	13	5,629,973
Empire State Development Agency	1	5,000,000
Health Research Services Administration	12	3,212,622
U.S. Army	19	3,037,595
Monroe County	7	2,968,388
Health Research Inc.	16	2,770,360
Prana Biotechnology	1	2,725,956
U.S. Department of Education	9	2,279,680
Boston Scientific Corp.	5	2,107,039
The Michael J. Fox Foundation for Parkinson's Disease	8	1,918,792
American Cancer Society	3	1,858,167
Agency for Healthcare Research and Quality	6	1,731,643
Federal Drug Administration	3	1,497,299
American Heart Association	26	1,482,964
Emory University	5	1,431,706
Cornell University	10	1,389,846
Department of Defense (excluding Air Force, Army and Navy)	6	1,270,685
National Aeronautical and Space Administration	8	1,059,377
Gilead Sciences Inc.	14	1,120,520

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 2013 that were active at any point during FY 2013. This table does not include funding for undergraduate financial aid.

**Table 5**  
**Summary of Projects Active at any Point in FY 2013**  
**by College/School/Division**

College/School/Division	Number of Active Projects
<b><u>Medical Center</u></b>	
Medicine & Dentistry	1,763
Nursing	31
Strong Memorial Hospital	6
Medical Center Administration <sup>1</sup>	32
<b><u>Arts, Sciences, and Engineering</u></b>	
Arts & Sciences	312
Hajim School of Engineering and Applied Sciences <sup>2</sup>	192
<b><u>Other Schools and Divisions</u></b>	
Laboratory for Laser Energetics	12
Warner School of Education	24
Memorial Art Gallery	6
Simon School of Business	3
Eastman School of Music	2
River Campus General	20
University General	1
<b>Total Active Projects</b>	<b>2,404</b>

Source: UR-COEUS Sponsored Programs Management Database

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

<sup>2</sup> The Department of Computer Science moved from the College of Arts and Science to the Hajim School of Engineering and Applied Sciences effective 7/1/2013

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**

<b>Purpose</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>
Research <sup>1</sup>	\$288,603	\$378,276	\$339,043	\$290,873	\$263,099
Fellowships & Training	26,559	32,764	35,008	28,203	21,984
Clinical Drug Trials	22,711	26,467	27,694	16,074	15,670
Libraries & Museums	901	600	573	238	374
Conference & Travel	162	202	171	303	110
Equipment	948	5,156	933	-131	6,861
Miscellaneous Activities	14,783	17,057	11,814	12,138	12,548
<b>Total</b>	<b>\$354,667</b>	<b>\$460,522</b>	<b>\$415,236</b>	<b>\$347,698</b>	<b>\$320,646</b>

Source: UR-Coeus Sponsored Programs Management Database

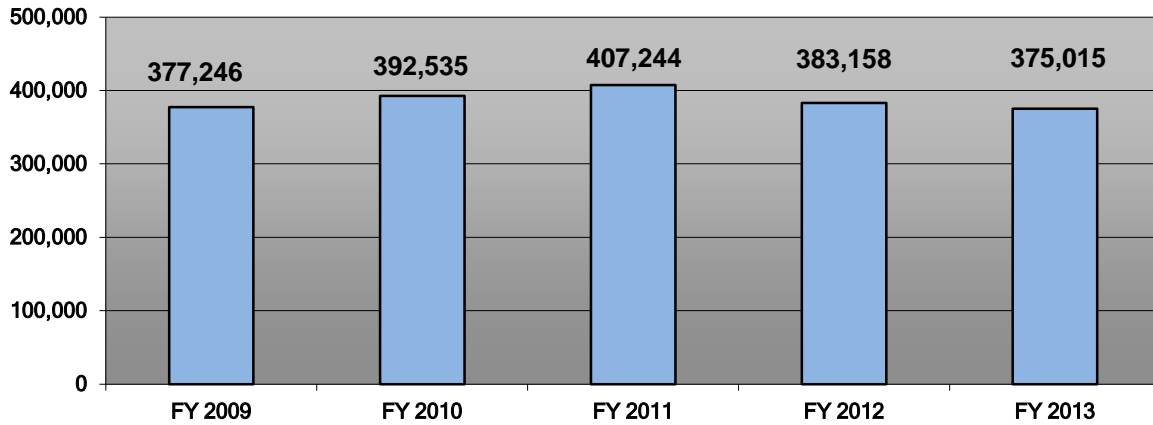
<sup>1</sup>The Medical Center accounts for 64% of all externally sponsored research funding. Of that amount, roughly half is related to clinical research, according to the Clinical Research Resource Inventory, a survey of principal investigators at the Medical Center. Clinical research is defined as 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 2013, the University of Rochester expended in excess of \$375 million for sponsored activities, a decrease of slightly less than 1 percent from Fiscal Year 2012.

**Chart F**

### Sponsored Program Expenditures - Total University



(Dollars in thousands)

### Sponsored Program Expenditures - Total University

	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013
Total University	\$377,246	\$392,535	\$407,244	\$383,158	\$375,015

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/Division<sup>1</sup>**

College/School/Division	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013
<b>Medical Center</b>					
School of Medicine and Dentistry	\$239,699	\$259,755	\$268,075	\$237,087	\$227,471
School of Nursing	6,250	6,370	5,123	4,586	3,475
Hospitals and Clinics	1,264	598	426	413	228
Medical Center Administration <sup>2</sup>	2,420	2,855	3,680	4,125	4,033
<b>Total URMC</b>	<b>249,633</b>	<b>269,578</b>	<b>277,304</b>	<b>246,211</b>	<b>235,207</b>
<b>Arts &amp; Sciences &amp; Engineering</b>					
Arts and Sciences	38,640	38,252	42,214	40,217	37,411
Hajim School of Engineering and Applied Sciences	16,898	18,750	17,717	17,511	20,078
<b>Total AS &amp; E</b>	<b>55,538</b>	<b>57,002</b>	<b>59,931</b>	<b>57,728</b>	<b>57,489</b>
Laboratory for Laser Energetics	63,024	55,962	60,241	69,620	67,754
<b>Other Schools and Divisions</b>					
Warner School of Education	927	745	1,163	1,613	2,120
Memorial Art Gallery	134	246	156	104	157
Simon School of Business	63	32	2	121	63
Eastman School of Music	532	847	727	722	560
University Other <sup>3</sup>	7,395	8,123	7,720	7,039	11,665
<b>Total Other</b>	<b>9,051</b>	<b>9,993</b>	<b>9,768</b>	<b>9,599</b>	<b>14,565</b>
<b>Total University</b>	<b>\$377,246</b>	<b>\$392,535</b>	<b>\$407,244</b>	<b>\$383,158</b>	<b>\$375,015</b>

Source: University Accounting System Report ABQ361

<sup>1</sup>Includes indirect costs

<sup>2</sup>Includes 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)

<sup>3</sup>Includes funding for undergraduate student financial aid

**Table 7.2.1**  
**Total Sponsored Program Expenditures - Arts & Sciences**  
**By Department**

Arts and Sciences	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013
Dean's Office	\$84	\$207	\$383	\$470	\$651
Art & Art History	0	0	0	0	50
Biology	6,715	6,404	6,182	5,646	4,525
Brain & Cognitive Sciences	4,362	4,836	5,719	5,959	5,170
Chemistry	4,002	4,915	5,504	5,879	5,903
Clinical and Social Sciences in Psychology	5,666	6,532	7,878	7,916	7,052
Computer Science	2,355	0	0	0	0
Earth and Environmental Sciences	867	722	631	716	1,138
English	100	78	83	98	122
History	0	0	28	32	0
Kearns Center	842	916	771	656	744
Linguistics	26	34	69	51	111
Mathematics	549	597	729	410	512
McNair Program	317	277	216	229	278
Philosophy	21	36	9	19	8
Physics and Astronomy	8,582	8,153	9,671	7,662	7,073
Skalny Center for Polish/European Studies	48	49	75	65	47
Susan B Anthony Institute for Gender Studies	0	0	0	0	3
Undergraduate Studies	54	67	0	0	0
Center for Visual Sciences	3,837	4,228	4,077	4,399	4,007
Wallis Institute of Political Economy	213	201	189	10	17
<b>Subtotal A &amp; S</b>	<b>\$38,640</b>	<b>\$38,252</b>	<b>\$42,214</b>	<b>\$40,217</b>	<b>\$37,411</b>

Source: University Accounting System Report ABQ353

<sup>1</sup> 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**

<b>Engineering &amp; Applied Sciences</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>
Dean's Office	\$275	\$139	\$259	\$241	\$127
Center for Future Health	92	-4	0	0	0
Biomedical Engineering	1,344	824	630	1,242	1,740
Computer Science <sup>1</sup>	0	2,389	2,556	2,890	3,008
Chemical Engineering	607	1,004	862	778	1,856
Electrical & Computer Engineering	3,685	4,306	4,706	4,080	3,554
Mechanical Engineering	2,473	2,265	2,156	1,991	2,335
Institute of Optics	6,263	6,549	5,546	5,329	5,813
Center for Emerging & Innovative Sciences	2,103	1,231	1,002	960	1,645
Center for Institute Ventures	56	47	0	0	0
<b>Subtotal HSEAS</b>	<b>\$16,898</b>	<b>\$18,750</b>	<b>\$17,717</b>	<b>\$17,511</b>	<b>\$20,078</b>
<b>Total AS &amp; E</b>	<b>\$55,538</b>	<b>\$57,002</b>	<b>\$59,931</b>	<b>\$57,728</b>	<b>\$57,489</b>

Source: University Accounting System Report ABQ 353

<sup>1</sup>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 7.2.3**  
**Total Sponsored Program Expenditures - School of Medicine and Dentistry**  
**By Department**

<b>Medicine and Dentistry</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>
Dean's Office	\$0	\$0	\$-45	\$15	\$133
Anesthesiology	1,568	1,772	2,420	2,406	2,340
Biochemistry and Biophysics	7,746	8,475	8,899	6,483	6,549
Biomedical Engineering	862	1,665	2,024	4,004	3,632
Biomedical Genetics	4,451	5,302	6,556	4,228	3,406
Biostatistics and Computational Biology	6,975	7,080	7,792	7,763	7,353
Cancer Center	9,998	10,468	10,774	11,182	10,679
Center for Human Experimental Therapeutics <sup>1</sup>	0	7,959	10,193	7,400	10,139
Center for Neural Development and Disease	6,036	5,449	4,304	3,690	3,680
Center for Pediatric Biomedical Research	2,473	3,893	3,009	3,123	3,567
Center for Neurovascular Brain Disease	2,523	1,832	2,659	764	78
Center for Translational Neuromedicine	4,963	4,107	4,913	5,189	5,596
Center for Oral Biology	5,200	4,485	5,228	3,685	3,145
Center for Vaccine Biology	4,879	4,130	3,542	3,627	6,851
Clinical Translational Science Institute <sup>2</sup>	0	0	0	8,660	5,395
Community and Preventive Medicine	5,192	12,559	15,578	5,914	5,509
Development Center for AIDS Research	509	755	885	1,162	1,419
Dermatology	1,942	2,465	2,492	2,311	2,315
Eastman Institute for Oral Health <sup>3</sup>	1,917	2,034	1,952	1,624	1,888
Emergency Medicine	1,702	1,020	1,077	1,434	1,653
Environmental Medicine	10,964	9,748	10,053	9,392	8,306
Family Medicine	1,859	1,869	1,862	2,560	2,398
Imaging Sciences	2,048	2,637	1,909	1,046	769
Medicine	41,599	49,180	53,455	47,225	38,409

(Continued on next page)

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

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

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



<b>Medicine and Dentistry cont'd</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>
Microbiology and Immunology	9,048	8,783	9,306	9,185	8,383
Neurobiology and Anatomy	6,795	7,538	6,532	4,727	4,632
Neurology	23,470	18,153	14,838	12,579	12,124
Neurosurgery	696	582	671	1,004	718
Obstetrics and Gynecology	9,976	2,734	3,650	3,217	2,985
Ophthalmology	3,541	4,242	4,093	3,843	4,015
Orthopaedics	5,047	7,149	7,185	5,063	6,842
Otolaryngology	628	924	1,032	1,019	900
Pathology	4,064	4,706	4,770	3,841	3,482
Pediatrics	17,612	20,293	20,698	21,490	23,847
Pharmacology and Physiology	9,816	10,901	11,505	8,714	8,389
Physical Medicine and Rehab	73	31	4	33	17
Psychiatry	12,550	11,296	11,077	9,658	9,113
Radiation Oncology	6,530	8,658	7,715	4,309	3,550
Surgery	2,787	2,770	1,911	2,098	1,827
Urology	1,306	1,513	1,110	877	751
SMD Other <sup>4</sup>	354	598	477	543	687
<b>Total SMD</b>	<b>\$239,699</b>	<b>\$259,755</b>	<b>\$268,07</b>	<b>\$237,087</b>	<b>\$227,471</b>

Source: University Accounting System Report ABQ353

<sup>4</sup>Includes 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**

<b>Unit</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>
General Medicine	674	528	379	89	-14
Infectious Diseases	13,716	16,494	18,048	16,879	14,680
Pulmonary/Critical Care	2,213	2,799	3,244	3,660	2,682
Cardiology	7,632	6,456	8,370	7,197	6,824
Endocrinology	1,279	2,057	749	825	1,013
Gastroenterology	484	656	1,112	1,042	374
Nephrology	1,626	1,403	1,641	1,330	1,930
Immunology	6,028	9,161	9,720	6,870	2,855
Monroe Community Hospital	958	858	924	997	1,026
Primary Care	43	48	35	5	4
Highland Hospital	272	348	403	694	404
Unity Health	173	-2	0	0	0
Palliative Care	99	103	30	30	68
Aab Cardiovascular Research Institute	6,402	8,272	8,800	7,607	6,563
<b>Total Department of Medicine</b>	<b>\$41,599</b>	<b>\$49,181</b>	<b>\$53,455</b>	<b>\$47,225</b>	<b>\$38,409</b>

Source: Cognos Financials Reporting 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 2009	FY 2010	FY 2011	FY 2012	FY 2013
<b><u>Medical Center</u></b>					
Medicine & Dentistry	\$179,953	\$193,469	\$200,892	\$177,235	\$171,312
Nursing	5,105	5,538	4,465	3,885	2,918
Hospitals and Clinics	1,185	543	377	374	202
Medical Center Administration <sup>1</sup>	2,209	2,649	3,131	3,703	3,724
<b><u>Arts, Sciences and Engineering</u></b>					
Arts and Science	29,382	30,365	33,407	31,547	29,060
Hajim School of Engineering & Applied Sciences	14,534	14,350	13,578	13,189	15,427
<b><u>Other Schools and Divisions</u></b>					
Laboratory for Laser Energetics	50,231	43,521	47,112	54,873	53,212
Warner School of Education	958	649	1,065	1,480	1,906
Simon School of Business	48	32	2	90	40
Eastman School of Music	521	795	689	659	557
Memorial Art Gallery	134	246	156	104	157
University Other	7,376	8,172	7,682	7,039	11,663
<b>Total University</b>	<b>\$291,636</b>	<b>\$300,329</b>	<b>\$312,556</b>	<b>\$294,178</b>	<b>\$290,178</b>

Source: University Accounting System Report ABQ361

<sup>1</sup>Includes 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**

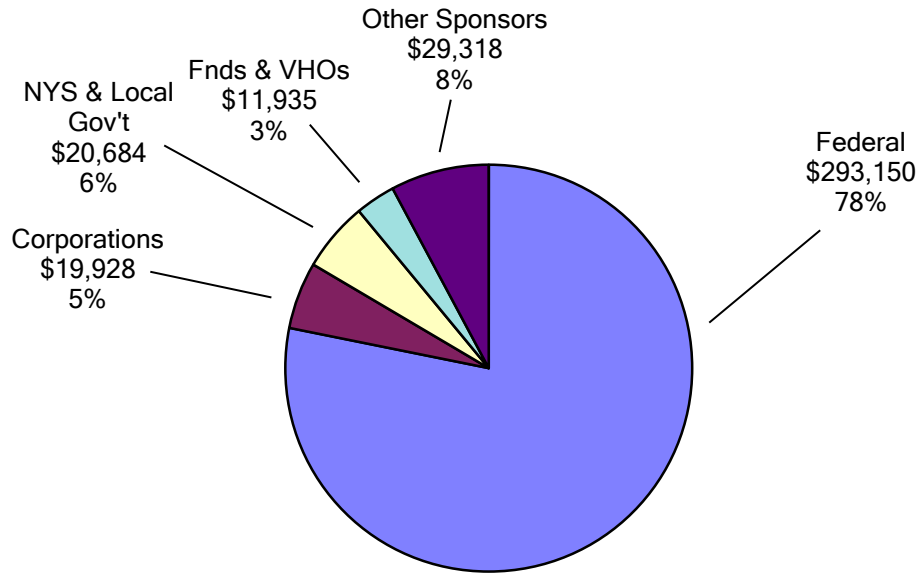
<b>College/Unit</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>
<b><u>Medical Center</u></b>					
Medicine & Dentistry	\$59,746	\$66,286	\$67,183	\$59,852	\$56,160
Nursing	1,146	833	658	701	557
Hospitals and Clinics	79	54	50	39	26
Medical Center Administration <sup>1</sup>	210	212	550	412	312
<b><u>Arts, Sciences and Engineering</u></b>					
Arts and Sciences	7,696	7,887	8,807	8,670	8,351
Hajim School of Engineering & Applied Sciences	3,927	4,401	4,139	4,322	4,651
<b><u>Other Schools and Divisions</u></b>					
Laboratory for Laser Energetics	12,793	12,440	13,129	14,748	14,541
Warner School of Education	-32	96	97	133	214
Simon School of Business	15	-15	0	31	22
Eastman School of Music	11	52	38	63	3
Memorial Art Gallery	0	0	0	0	0
University Other	19	-40	37	5	0
<b>Total University</b>	<b>\$85,610</b>	<b>\$92,206</b>	<b>\$94,688</b>	<b>\$88,980</b>	<b>\$84,837</b>

Source: University Accounting System Report ABQ361

<sup>1</sup>Includes 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 and 9.1 indicate the total University expenditures by type of funding agency.

**Chart G**



**Table 9**

**Sponsored Program Expenditures by Agency Type**

Agency Type	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013
Federal	\$295,185	\$313,724	\$332,352	\$309,811	\$293,150
Corporations	23,990	24,757	21,166	16,854	19,928
NY State & Local Government	15,040	14,178	15,673	17,617	20,684
Foundations & Voluntary Health Organizations	16,991	12,302	12,688	12,384	11,935
Other Sponsors <sup>1</sup>	26,040	27,574	25,365	26,492	29,318
<b>TOTAL</b>	<b>\$377,246</b>	<b>\$392,535</b>	<b>\$407,244</b>	<b>\$383,158</b>	<b>\$375,015</b>

Source: University Accounting System Report ABM123

<sup>1</sup>Other 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 9.1**

**Sponsored Program Expenditures by Federal Agency**

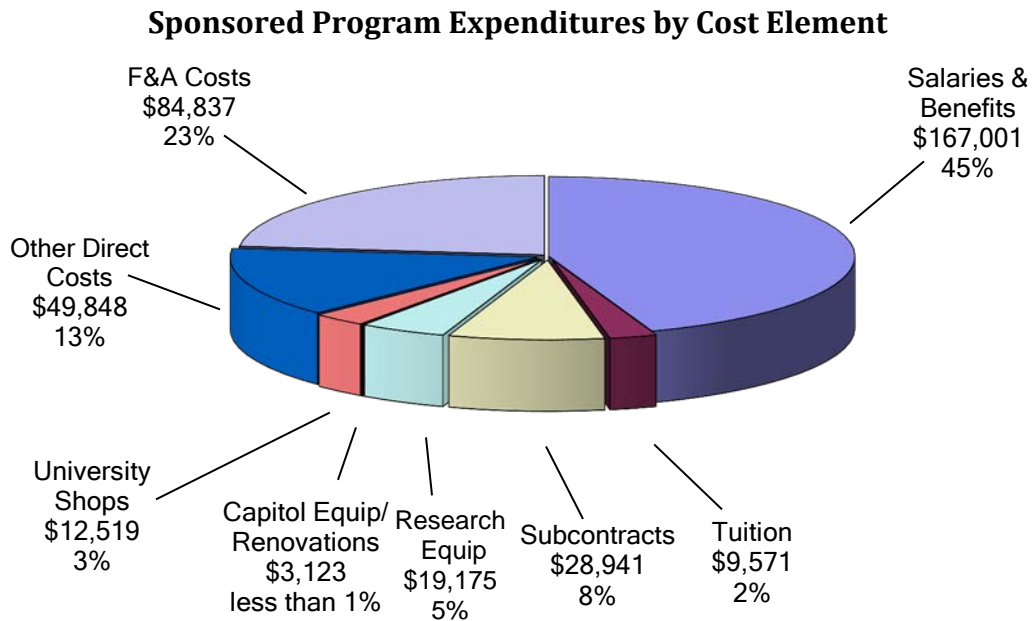
<b>Federal Agency</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>
Health and Human Services (includes NIH)	\$192,309	\$215,623	\$224,180	\$198,001	\$186,641
Department of Energy	67,278	60,449	67,048	76,004	73,013
Department of Defense	11,798	10,733	10,633	8,997	7,211
National Science Foundation	11,122	12,877	14,953	13,652	14,483
Department of Education	8,498	10,391	10,951	9,474	9,298
National Aeronautics and Space Administration	602	467	500	840	1,062
NEA/NEH <sup>1</sup>	137	250	180	237	191
Other Federal Sponsors	3,441	2,934	3,907	2,606	1,251
<b>TOTAL</b>	<b>\$295,185</b>	<b>\$313,724</b>	<b>\$332,352</b>	<b>\$309,811</b>	<b>\$293,150</b>

Source: University Accounting System Report ABM123

<sup>1</sup>National 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 2013 included approximately \$52 million for faculty salaries, \$19 million for graduate student salaries and stipends and \$6 million for undergraduate student salaries.

**Chart H**



**Table 10**

**Sponsored Program Expenditures by Cost Element**

Cost Element	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013
Salaries & Benefits	\$173,271	\$177,844	\$181,369	\$174,188	\$167,001
Tuition	8,973	10,820	10,094	9,291	9,571
Subcontracts	24,651	26,946	33,362	29,248	28,941
Research Equipment	18,982	18,809	18,615	18,273	19,175
Capital Equipment/Renovations	219	152	307	1,159	3,123
University Shops	14,430	11,714	11,393	12,317	12,519
Other Direct Costs <sup>1</sup>	51,110	54,044	57,416	49,702	49,848
<b>Total Direct Costs</b>	<b>291,636</b>	<b>300,329</b>	<b>312,556</b>	<b>294,178</b>	<b>290,178</b>
Facilities & Administrative Costs	85,610	92,206	94,688	88,980	84,837
<b>TOTAL</b>	<b>\$377,246</b>	<b>\$392,535</b>	<b>\$407,244</b>	<b>\$383,158</b>	<b>\$375,015</b>

<sup>1</sup>“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 2011 is the latest data available online at the time of this printing.

<b>By Federally Financed Research and Development Expenditures</b>		<b>FY 2011</b>
1	Johns Hopkins University	\$1,884,025
2	University of Washington	948,976
3	University of Michigan	820,125
4	University of Pennsylvania	707,051
5	University of Pittsburgh	662,471
6	Stanford University	656,114
7	Columbia University	645,233
8	University of California, San Diego	636,879
9	University of Wisconsin, Madison	593,633
10	Duke University	585,262
11	University of California, San Francisco	570,116
12	University of California, Los Angeles	563,560
13	University of North Carolina, Chapel Hill	561,708
14	Harvard University	543,097
15	Yale University	519,844
16	Ohio State University	493,130
17	University of Minnesota	489,480
18	Massachusetts Institute of Technology	489,080
19	Cornell University	476,583
20	Washington University at St. Louis	469,490
21	Pennsylvania State University	468,705
22	Vanderbilt University	458,173
23	University of Southern California	453,283



<b>by Expenditures (con't)</b>		<b>FY 2011</b>
24	Georgia Institute of Technology	427,867
25	Northwestern University	399,719
26	University of Chicago	372,288
27	Emory University	369,982
28	University of California, Davis	362,976
29	University of Texas, Austin	355,437
30	Case Western Reserve University	353,470
31	University of Alabama, Birmingham	344,164
32	California Institute of Technology	342,945
33	University of Maryland, College Park	338,780
<b>34</b>	<b>University of Rochester</b>	<b>337,907</b>

<sup>1</sup> 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 16,  
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**

<b>By Research Expenditures</b>		<b>FY 2011</b>
1	Columbia University	\$878,900
2	Cornell University	781,651
3	New York University	430,752
4	<b>University of Rochester</b>	<b>429,034</b>
5	SUNY Albany	397,403
6	Mt. Sinai School of Medicine	363,091
7	SUNY Buffalo	353,172
8	Yeshiva University	283,673
9	Rockefeller University	272,491
10	SUNY Stony Brook	211,356

Source: Table 34,  
National Science Foundation/National Center for Science and Engineering Statistics  
Higher Education Research and Development Survey

## **Top 10 Departments in NIH Funding FY 2012<sup>1</sup>**

The University also has several departments ranked in the top 10 in FY 2012 for NIH funding:

The Department of Orthopaedics ranked 1st

The Departments of Neurology and Preventive Medicine both ranked 8<sup>th</sup>

In addition, the School of Nursing ranked 25th

<sup>1</sup> This is the latest data available from this source

Source: Blue Ridge Institute for Medical Research - [brimr.org](http://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 2013, UR received/drafted a total of 399 MTAs, 282 for incoming materials and 117 for outgoing materials. This represents a decrease of 19% from the prior fiscal year. This decrease in incoming MTAs was most likely attributable to the decrease in sponsored programs funding to the University.

General data facts of the types of agreements negotiated:

**275** - agreements were with domestic academic/non-profit institutions/government entities

**73** - agreements with international academic/non-profit institutions

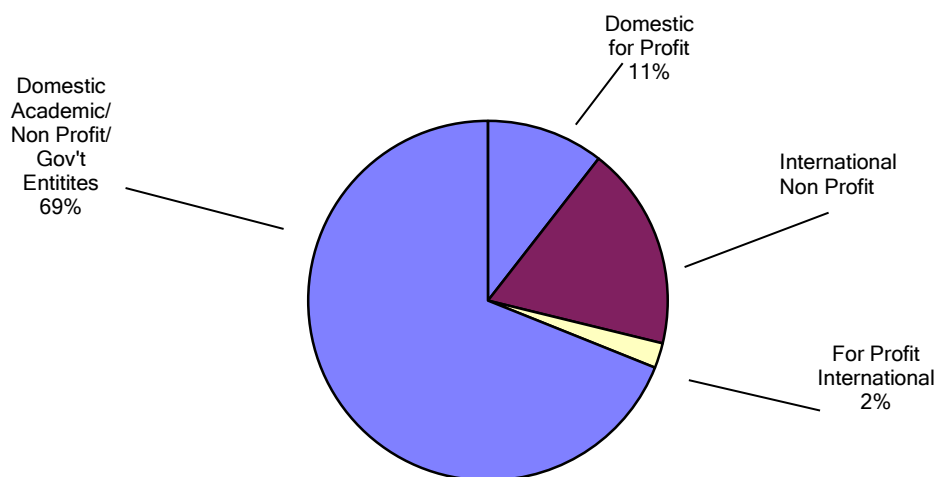
**42** - agreements were with domestic for profits

**9** - agreements were with international for profits

**Total = 399**

**Chart I**

### MTA's Processed in FY 2013 by Institution Type



2

The Material Transfer function within ORPA also includes responsibility for the review and negotiation of any Confidential Disclosure Agreement (CDA) that binds the University. A total of 258 CDAs were reviewed during Fiscal Year 2013, with a total of 234 fully executed (of the 234 fully executed, 6 were received in fiscal year 2012). There was a 4% increase in the number of CDAs over that received in fiscal year 2012. The increase in the number of incoming CDAs may 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 also responsible for reviewing and processing both incoming and outgoing Data Use Agreements (DUAs) in fiscal year 2013. A total of 26 Data Use Agreements were reviewed during fiscal year 2013, with a total of 21 fully executed. Of the 26 received, 16 were for data being received and 10 were for data being sent by University researchers.

## **Outlook for FY 2014**

The outlook for the FY 2014 federal budget in general and for research funding in particular is very uncertain at the time of this publication, due in large part to the gridlock in Congress over passing the federal budget. After a 16 day partial government shutdown, a temporary bill was passed on October 16<sup>th</sup> that funds the government until January 15<sup>th</sup>. What will happen after that is anybody's guess. Added to that is the possibility of another round of sequestration cuts in February of 2014, leading to even more of a detrimental effect on funding. The first sequestration cuts that went into effect on 3/1/2013 have already had an impact on the University in the form of a \$4.9 million decrease in grant funding as of 9/4/13 from one of our biggest funders, NIH. Additional financial impact can be inferred in the loss of awards because various other institutes/centers within NIH, along with other sponsors, have responded to sequestration by funding fewer grants and by the reduction in the number of years funded for new grants from five to four or less.

Following the same outline as his State of the Union address, the President's proposed FY2014 budget makes major investments in advance manufacturing and clean energy. It also continues to propose increases for the three physical science agencies targeted in the America COMPETES Act, and seeks general increases in basic and applied nondefense research. In addition, the budget proposal advances an initiative to substantially reorganize the federal science, technology engineering, and math (STEM) education portfolio. Overall federal investment in research and development (R&D) would increase slightly (1.1 percent) from FY2012 levels, but nondefense R&D would reach an all-time high if the budget's proposal to roll discretionary spending back to pre-sequestration levels succeeds.

Defense R&D spending would decrease by \$4.3 billion (5.5 percent), but this would be more than offset by a \$5.9 billion (9.2 percent) increase in nondefense R&D. In total dollars, agencies with the biggest increases include the Department of Energy (DOE); \$1.9 billion increase to \$12.7 billion total, the National Science Foundation (NSF); \$534 million increase to \$6.2 billion total, the Department of Homeland Security (DHS); \$893 million increase to \$1.3 billion total, and the National Institutes of Health (NIH); \$478 million increase to \$30.5 billion total. The Department of Commerce would receive an enormous increase of \$1.4 billion to \$2.7 billion total; however, \$1.2 billion of this proposal consists of one-time mandatory funding for advanced manufacturing and technology initiatives at the National Institute for Standards and Technology (NIST). Even without these mandatory proposals, however, research agencies within Commerce would still receive large increases.

## **CONTACT INFORMATION**

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