
**OFFICE OF RESEARCH AND PROJECT
ADMINISTRATION**

**ANNUAL REPORT OF
SPONSORED PROGRAM ACTIVITIES
FISCAL YEAR 2015**



Introduction

We are pleased to present the Office of Research and Project Administration (ORPA) Annual Report for Fiscal Year 2015 ending June 30th, 2015, which showcases the University of Rochester's outstanding ability to attract external support for research and other sponsored programs activities year after year. 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 **1,933** new, continuation, supplemental, and renewal proposals were submitted in FY 2015 for sponsored program funding.

NOTE: All dollars throughout this report are in thousands

Chart A

Dollar Value of Proposals Submitted

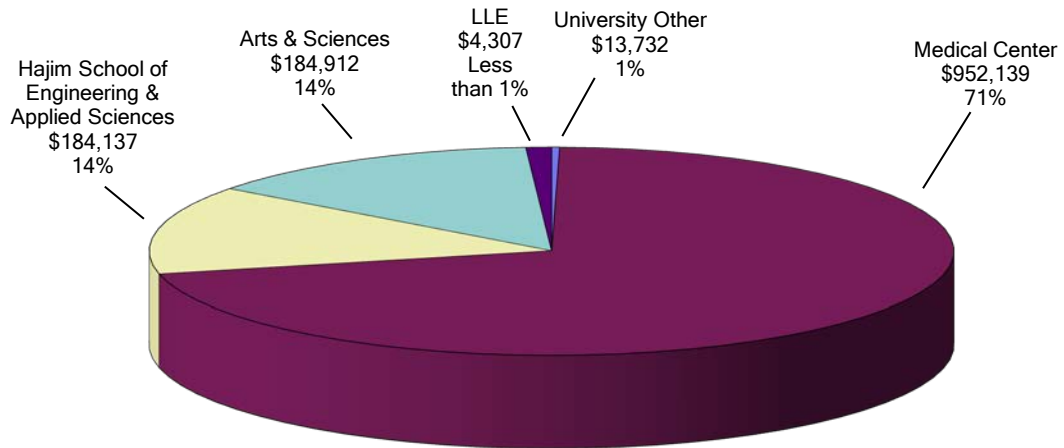


Chart B

Awards Dollars Received - FY 2015

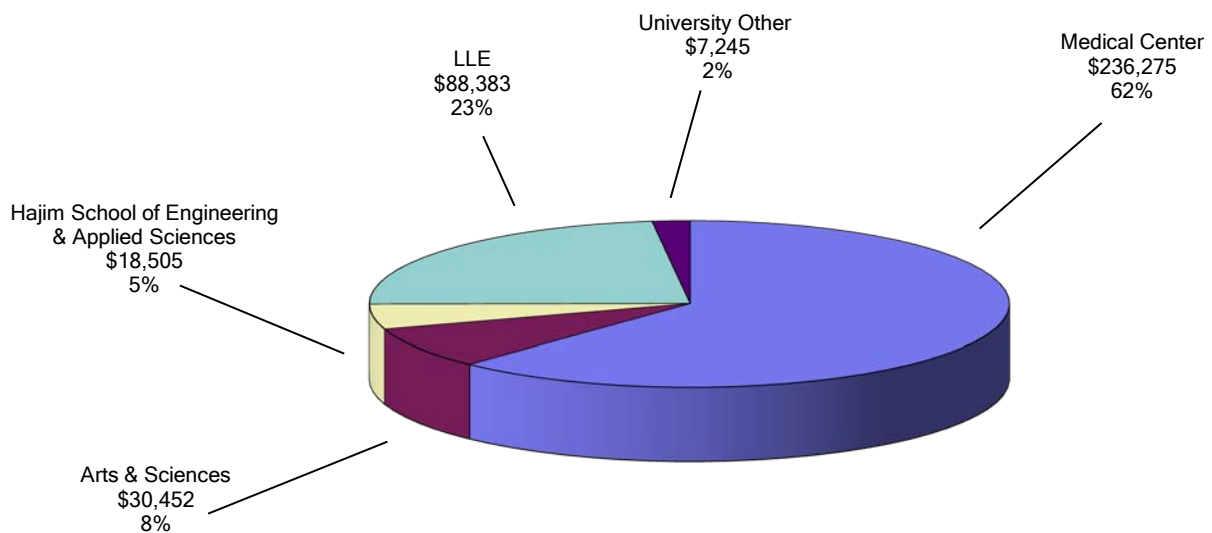
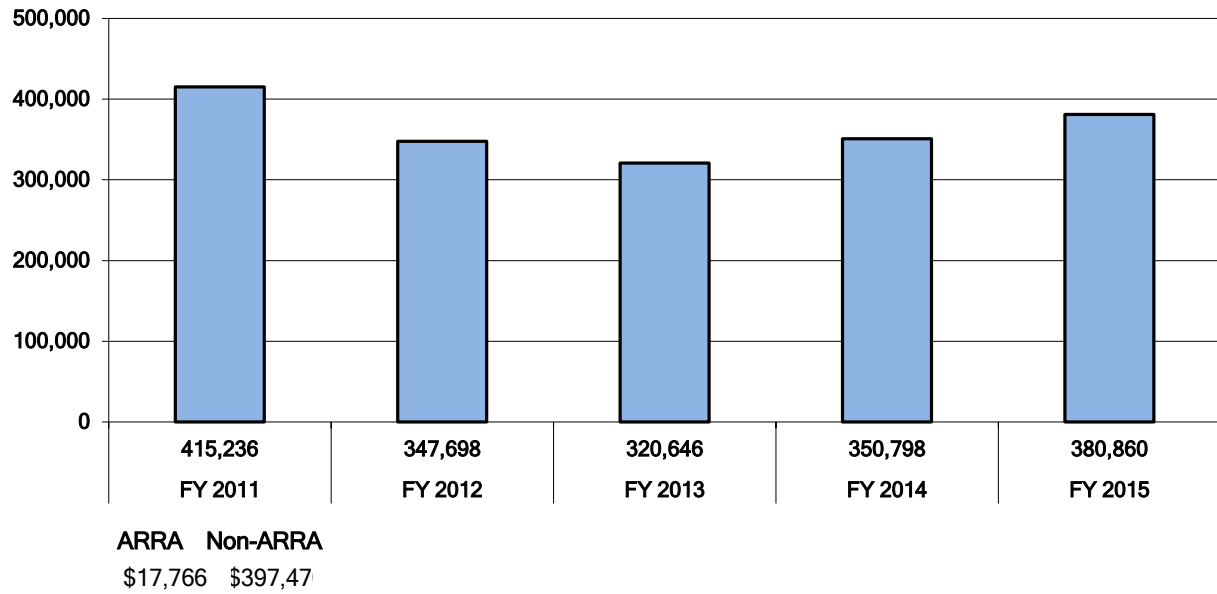


Chart C
Award Dollars Received During Last Five Fiscal Years
(Inclusive of ARRA awards)



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 2015, 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.

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

College/School/Company	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015
Medical Center					
Medicine and Dentistry	\$1,159,008	\$1,143,900	\$1,102,015	\$966,198	\$921,265
Nursing	20,849	11,115	15,647	21,432	18,918
Hospitals and Clinics	380	303	517	234	416
Medical Center Administration	15,869	15,823	7,527	11,010	11,540
Subtotal URMC	1,196,106	1,171,141	1,125,706	998,874	952,139
Arts, Sciences and Engineering					
Arts and Sciences	124,475	137,620	137,204	146,254	184,912
Hajim School of Engineering & Applied Sciences	95,670	123,461	89,286	64,277	184,137
Subtotal for AS&E	220,145	261,081	226,490	210,531	369,049
Laboratory for Laser Energetics	11,736	416,613	352,516	75,117	4,307
Other Schools and Divisions					
Warner School of Education	10,352	3,215	7,179	10,624	6,902
Memorial Art Gallery	121	112	65	212	18
Simon School of Business	687	557	175	0	0
Eastman School of Music	623	87	5	14	14
University Other	3,573	8,658	11,092	1,140	6,798
Subtotal Other	15,356	12,629	18,516	11,990	13,732
Total University	\$1,443,343	\$1,861,464	\$1,723,228	\$1,296,512	\$1,339,227

Source: UR-Coeus Sponsored Programs Management Database

Table 2

Awards - Annual Funding Received By College/School/Company

College/School/Company	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015
Medical Center					
Medicine and Dentistry	\$282,943	\$211,770	\$200,174	\$223,658	\$229,151
Nursing	4,932	4,344	1,690	1,132	2,890
Hospitals and Clinics	519	379	327	142	463
Medical Center Administration ¹	3,397	4,243	4,119	3,997	3,771
Subtotal URMC	291,791	220,736	206,310	228,929	236,275
Arts, Sciences and Engineering					
Arts and Sciences	33,548	38,759	37,471	35,599	30,452
Hajim School of Engineering & Applied Sciences	19,373	18,263	21,144	15,915	18,505
Subtotal AS & E	52,921	57,022	58,615	51,514	48,957
Laboratory for Laser Energetics	64,703	65,160	46,659	67,572	88,383
Other Schools and Divisions					
Warner School of Education	3,877	3,173	2,440	1,959	1,272
Memorial Art Gallery	137	14	153	0	29
Simon School of Business	375	158	0	35	-196
Eastman School of Music	332	0	5	0	0
University Other	1,100	1,435	6,464	789	6,140
Subtotal Other Schools	5,821	4,780	9,062	2,783	7,245
Total University	\$415,236	\$347,698	\$320,646	\$350,798	\$380,860

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
- A \$71 million DOE continuation proposal was submitted by LLE after June 30, 2015 and is not reflected in Table 1
- Eastman Institute of Oral Health is included in Medical Center Administration figure
- 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
- 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 D

Awards - Sponsored Program Funding by Agency Type - FY 2015

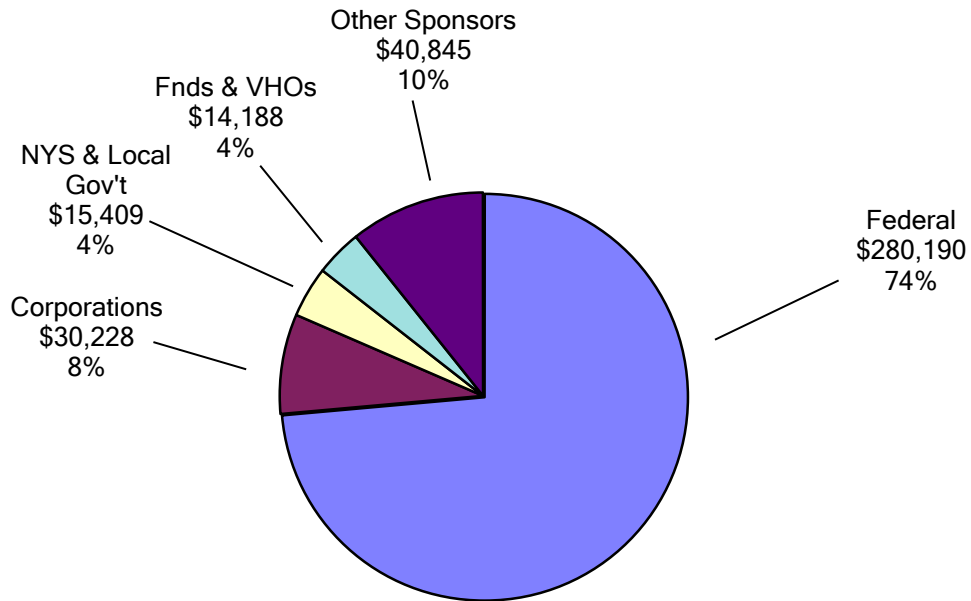


Table 3

Sponsored Program Funding by Agency Type

Agency Type	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015
Federal	\$328,423	\$275,811	\$243,024	\$260,179	\$280,190
Corporations	28,023	18,267	20,169	20,911	30,228
NY State & Local Government	18,294	14,116	10,783	15,759	15,409
Foundations & Voluntary Health Organizations	12,044	11,822	12,920	15,942	14,188
Other Sponsors ¹	28,452	27,682	33,750	38,007	40,845
TOTAL	\$415,236	\$347,698	\$320,646	\$350,798	\$380,860

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 2011	FY 2012	FY 2013	FY 2014	FY 2015
Health and Human Services (excluding NIH)	\$8,729	\$12,676	\$12,971	\$12,886	\$11,452
NIH	217,477	165,113	149,575	158,615	157,784
Total Health and Human Services	226,206	177,789	162,546	171,501	169,236
Department of Energy	72,409	69,953	53,659	68,205	86,299
Department of Defense	10,544	8,926	5,381	4,897	4,329
National Science Foundation	14,520	15,110	16,743	11,922	16,360
Department of Education	1,865	2,355	2,280	1,834	2,248
National Aeronautics and Space Administration	617	1,189	1,059	1,449	1,361
NEA/NEH ¹	310	151	260	-5	60
Other Federal Sponsors	1,952	338	1,096	376	297
TOTAL	\$328,423	\$275,811	\$243,024	\$260,179	\$280,190

Source: UR-Coeus Sponsored Programs Management Database

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

As indicated in Chart D 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 2015.

Table 4
Sponsors Awarding \$1,000,000 or More Annually - FY 2015

Sponsor	Number of Awards	Total \$\$ Awarded
National Institutes of Health	416	\$157,784,103
Department of Energy	12	\$86,298,605
National Science Foundation	98	\$16,359,888
New York State	49	\$12,336,149
ZOLL Lifecor Corporation	2	\$6,661,447
Empire State Development Corporation	1	\$5,000,000
Centers for Disease Control and Prevention	7	\$4,367,004
Department of Defense	29	\$4,328,888
Health Research Services Administration	18	\$4,118,386
Logos Technologies	1	\$3,557,959
Huntington Study Group	3	\$3,099,930
Patient Centered Office of Research Institute	5	\$2,976,971
SUNY Upstate Medical University	2	\$2,958,990
Monroe County	4	\$2,638,759
Health Research Inc.	18	\$2,583,218
Gilead Sciences, Inc.	23	\$2,263,624
U.S Department of Education	9	\$2,248,359
The Michael J. Fox Foundation for Parkinson's Disease	7	\$1,651,303
Greater Rochester Health Foundation	10	\$1,441,027
National Aeronautical and Space Administration	13	\$1,361,340
H.M. Jackson Foundation for Advancement of Military Medicine	1	\$1,200,615
CHDI Foundation	3	\$1,178,802
Emory University	5	\$1,120,651
Pfizer Inc.	11	\$1,031,476

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 2015 that were active at any point during FY 2015. This table does not include funding for undergraduate financial aid.

Table 5
Summary of Projects Active at any Point in FY 2015
by College/School/Company

College/School/Division	Number of Active Projects
Medical Center	
Medicine & Dentistry	1,762
Nursing	30
Strong Memorial Hospital	8
Medical Center Administration ¹	30
Arts, Sciences, and Engineering	
Arts & Sciences	301
Hajim School of Engineering and Applied Sciences	193
Other Schools and Divisions	
Laboratory for Laser Energetics	10
Warner School of Education	15
Memorial Art Gallery	3
Simon School of Business	3
Eastman School of Music	0
River Campus General	13
University General	3
Total Active Projects	2,371

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) and Eastman Institute of Oral Health

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 2011	FY 2012	FY 2013	FY 2014	FY 2015
Research ¹	\$339,043	\$290,873	\$263,099	\$292,990	\$318,520
Fellowships & Training	35,008	28,203	21,984	27,881	28,847
Clinical Drug Trials	27,694	16,074	15,670	13,478	13,757
Libraries & Museums	573	238	374	126	249
Conference & Travel	171	303	110	235	315
Equipment	933	-131	6,861	353	899
Miscellaneous Activities	11,814	12,138	12,548	15,735	18,273
Total	\$415,236	\$347,698	\$320,646	\$350,798	\$380,860

Source: UR-Coeus Sponsored Programs Management Database

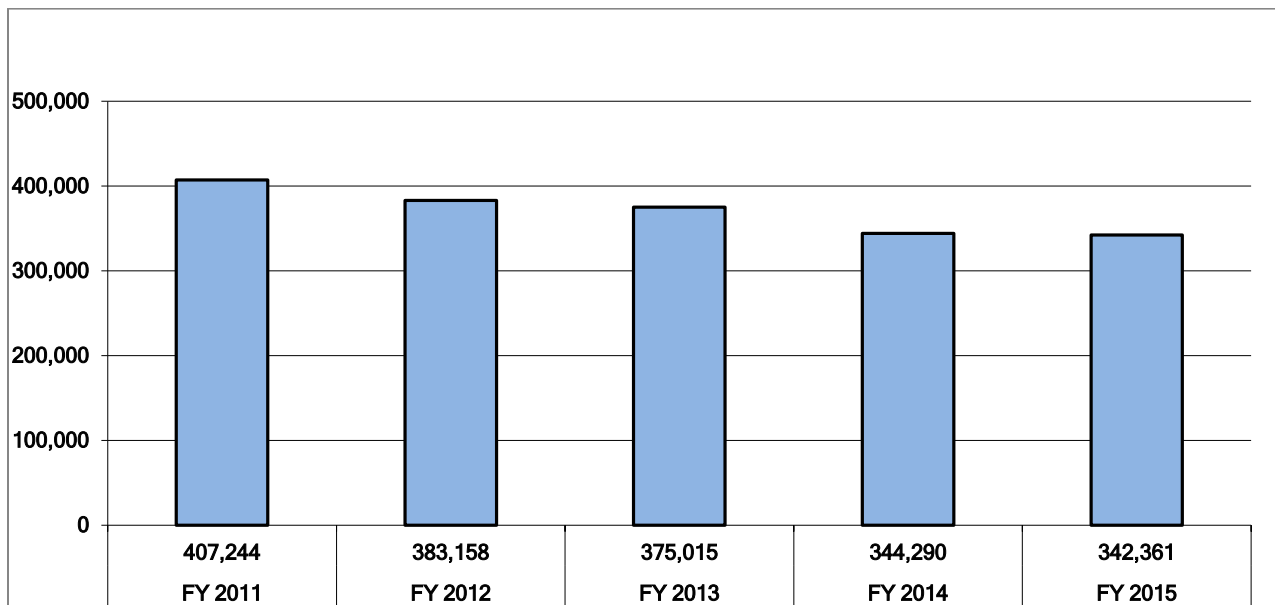
¹The Medical Center accounts for 62% of all externally sponsored research funding. Of that amount, roughly half is related to clinical research, according to the Clinical Research Resource Inventory, a survey of principal investigators at the Medical Center. Clinical research is defined as research conducted 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 2015, the University of Rochester expended in excess of \$342 million for sponsored activities, a decrease of less than 1 percent from Fiscal Year 2014.

Chart E

Sponsored Program Expenditures - Total University (Dollars in thousands)



Source: UR Financials Reporting Database

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/Company¹

School/Company	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015
Medical Center					
School of Medicine and Dentistry	\$268,075	\$237,087	\$227,471	\$208,384	\$206,321
School of Nursing	5,123	4,586	3,475	3,013	2,437
Hospitals and Clinics	426	413	228	784	161
Medical Center Administration ²	3,680	4,125	4,033	3,460	3,258
Total URMC	277,304	246,211	235,207	215,641	212,177
Arts & Sciences & Engineering					
Arts and Sciences	42,214	40,217	37,411	35,061	33,840
Hajim School of Engineering and Applied Sciences	17,717	17,511	20,078	17,707	17,745
Total AS & E	59,931	57,728	57,489	52,768	51,585
Laboratory for Laser Energetics	60,241	69,620	67,754	61,948	66,372
Other Schools and Companies					
Warner School of Education	1,163	1,613	2,120	2,844	3,056
Memorial Art Gallery	156	104	157	74	42
Simon School of Business	2	121	63	129	58
Eastman School of Music	727	722	560	455	494
University Other ³	7,720	7,039	11,665	10,431	8,577
Total Other	9,768	9,599	14,565	13,933	12,227
Total University	\$407,244	\$383,158	\$375,015	\$344,290	\$342,361

Source: UR Financials Reporting Database

¹Includes indirect costs

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

³Includes funding for undergraduate student financial aid and Central Administration offices

Table 7.2.1
Total Sponsored Program Expenditures - Arts & Sciences
By Department/Cost Center

Arts and Sciences	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015
Dean's Office	\$383	\$470	\$651	\$616	\$211
Art & Art History	0	0	50	5	35
Biology	6,182	5,646	4,525	3,899	4,729
Brain & Cognitive Sciences	5,719	5,959	5,170	4,183	3,735
Chemistry	5,504	5,879	5,903	5,716	5,310
Clinical and Social Sciences in Psychology	7,878	7,916	7,052	6,675	6,509
Earth and Environmental Sciences	631	716	1,138	1,230	1,711
English	83	98	122	27	51
Center for Entrepreneurship	0	0	0	0	4
History	28	32	0	0	0
Kearns Center	771	656	744	787	797
Linguistics	69	51	111	73	26
Mathematics	729	410	512	507	371
McNair Program	216	229	278	289	242
Philosophy	9	19	8	0	0
Physics and Astronomy	9,671	7,662	7,073	5,747	5,636
Skalny Center for Polish/European Studies	75	65	47	44	39
Susan B Anthony Institute for Gender Studies	0	0	3	1	9
Center for Visual Sciences	4,077	4,399	4,007	5,228	4,421
Wallis Institute of Political Economy	189	10	17	34	4
Subtotal A & S	\$42,214	\$40,217	\$37,411	\$35,061	\$33,840

Source: UR Financials Reporting Database

Table 7.2.2

Total Sponsored Program Expenditures - Engineering & Applied Sciences

By Department/Cost Center

Engineering & Applied Sciences	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015
Dean's Office	\$259	\$241	\$127	\$164	\$-9
Biomedical Engineering	630	1,242	1,740	2,321	2,075
Center for Emerging & Innovative Sciences	1,002	960	1,645	1,601	1,525
Chemical Engineering	862	778	1,856	1,263	761
Computer Science	2,556	2,890	3,008	2,534	2,646
Electrical & Computer Engineering	4,706	4,080	3,554	3,383	3,029
Institute for Data Science	0	0	0	0	63
Mechanical Engineering	2,156	1,991	2,335	2,193	2,520
Institute of Optics	5,546	5,329	5,813	4,248	5,135
Subtotal HSEAS	\$17,717	\$17,511	\$20,078	\$17,707	\$17,745
Total AS & E	\$59,931	\$57,728	\$57,489	\$52,768	\$51,585

Source: UR Financials Reporting Database

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

Medicine and Dentistry	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015
Dean for Research	\$-45	\$15	\$133	\$15	\$28
Anesthesiology	2,420	2,406	2,340	2,067	2,134
Biochemistry and Biophysics	8,899	6,483	6,549	6,331	6,713
Biomedical Engineering	2,024	4,004	3,632	3,209	2,501
Biomedical Genetics	6,556	4,228	3,406	2,888	4,971
Biostatistics and Computational Biology	7,792	7,763	7,353	6,194	6,459
Cancer Center	10,774	11,182	10,679	6,868	5,865
Center for Human Experimental Therapeutics	10,193	7,400	10,139	8,467	7,783
Center for Experiential Learning	0	0	0	0	98
Center for Neural Development and Disease	4,304	3,690	3,680	3,813	3,834
Center for Pediatric Biomedical Research	3,009	3,123	3,567	3,221	2,550
Center for Neurovascular Brain Disease	2,659	764	78	0	0
Center for Translational Neuromedicine	4,913	5,189	5,596	5,824	7,173
Center for Oral Biology	5,228	3,685	3,145	2,974	2,518
Center for Vaccine Biology	3,542	3,627	6,851	7,752	9,638
Clinical Translational Science Institute ¹	0	8,660	5,395	5,336	5,383
Development Center for AIDS Research	885	1,162	1,419	1,616	1,666
Dermatology	2,492	2,311	2,315	2,461	2,354
Eastman Institute for Oral Health ²	1,952	1,624	1,888	1,095	1,101
Emergency Medicine	1,077	1,434	1,653	1,988	1,429
Environmental Medicine	10,053	9,392	8,306	8,390	10,366
Family Medicine	1,862	2,560	2,398	2,348	2,698
Imaging Sciences	1,909	1,046	769	662	506
Medicine	53,455	47,225	38,409	34,914	33,065

(Continued on next page)

¹The Clinical Translational Science Institute was established in 2012 and is no longer represented under expenditures for the Department of Community and Preventive Medicine

²Expenditures 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 2011	FY 2012	FY 2013	FY 2014	FY 2015
Microbiology and Immunology	9,306	9,185	8,383	5,135	5,663
Neurobiology and Anatomy	6,532	4,727	4,632	3,709	3,721
Neurology	14,838	12,579	12,124	11,455	12,101
Neurosurgery	671	1,004	718	483	666
Obstetrics and Gynecology	3,650	3,217	2,985	1,799	1,566
Ophthalmology	4,093	3,843	4,015	3,836	4,199
Orthopaedics	7,185	5,063	6,842	6,716	4,305
Otolaryngology	1,032	1,019	900	343	604
Pathology	4,770	3,841	3,482	2,894	3,069
Pediatrics	20,698	21,490	23,847	22,784	21,894
Pharmacology and Physiology	11,505	8,714	8,389	6,640	6,293
Physical Medicine and Rehab	4	33	17	5	23
Psychiatry	11,077	9,658	9,113	9,895	10,171
Radiation Oncology	7,715	4,309	3,550	4,099	1,197
Public Health Sciences (formerly Department of Community and Preventive Medicine)	15,578	5,914	5,509	4,808	3,978
Surgery	1,911	2,098	1,827	4,166	4,963
Urology	1,110	877	751	563	442
SMD Other ³	477	543	687	621	630
Total SMD	\$268,075	\$237,087	\$227,471	\$208,384	\$206,321

Source: UR Financials Database

³Includes 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 Unit/Cost Center

Cost Center	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015
General Medicine	379	89	-14	\$164	\$148
New Medicine Unit/Cost Center in UR Financials	0	0	0	0	1,039
Infectious Diseases	18,048	16,879	14,680	12,830	10,227
Pulmonary/Critical Care	3,244	3,660	2,682	2,497	3,309
Cardiology	8,370	7,197	6,824	6,312	6,921
Endocrinology	749	825	1,013	776	668
Gastroenterology	1,112	1,042	374	291	339
Nephrology	1,641	1,330	1,930	1,598	1,719
Immunology	9,720	6,870	2,855	2,187	2,013
Monroe Community Hospital	924	997	1,026	974	1,007
Primary Care	35	5	4	0	0
Highland Hospital	403	694	404	448	339
Palliative Care	30	30	68	196	100
Aab Cardiovascular Research Institute	8,800	7,607	6,563	6,641	5,236
Total Department of Medicine	\$53,455	\$47,225	\$38,409	\$34,914	\$33,065

Source: UR Financials 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/Company	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015
<u>Medical Center</u>					
Medicine & Dentistry	\$200,892	\$177,235	\$171,312	\$156,680	\$155,790
Nursing	4,465	3,885	2,918	2,463	1,977
Hospitals and Clinics	377	374	202	796	1,043
Medical Center Administration ¹	3,131	3,703	3,724	3,185	2,915
<u>Arts, Sciences and Engineering</u>					
Arts and Science	33,407	31,547	29,060	27,118	25,955
Hajim School of Engineering & Applied Sciences	13,578	13,189	15,427	13,570	13,586
<u>Other Schools and Companies</u>					
Laboratory for Laser Energetics	47,112	54,873	53,212	46,667	51,279
Warner School of Education	1,065	1,480	1,906	2,571	2,856
Simon School of Business	2	90	40	96	38
Eastman School of Music	689	659	557	455	494
Memorial Art Gallery	156	104	157	74	42
University Other	7,682	7,039	11,663	10,435	8,584
Total University Direct Costs	\$312,556	\$294,178	\$290,178	\$264,110	\$264,559

Source: UR Financials Database

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/Company	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015
<u>Medical Center</u>					
Medicine & Dentistry	\$67,183	\$59,852	\$56,160	\$51,700	49,641
Nursing	658	701	557	550	461
Hospitals and Clinics	50	39	26	-12	8
Medical Center Administration ¹	550	412	312	275	341
<u>Arts, Sciences and Engineering</u>					
Arts and Sciences	8,807	8,670	8,351	7,943	7,897
Hajim School of Engineering & Applied Sciences	4,139	4,322	4,651	4,137	4,139
<u>Other Schools and Companies</u>					
Laboratory for Laser Energetics	13,129	14,748	14,541	15,281	15,093
Warner School of Education	97	133	214	249	200
Simon School of Business	0	31	22	33	20
Eastman School of Music	38	63	3	0	0
Memorial Art Gallery	0	0	0	0	0
University Other	37	5	0	0	2
Total University F&A Costs	\$94,688	\$88,980	\$84,837	\$80,180	\$77,802

Source: UR Financials Database

¹Includes the Eastman Institute for Oral Health and 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.

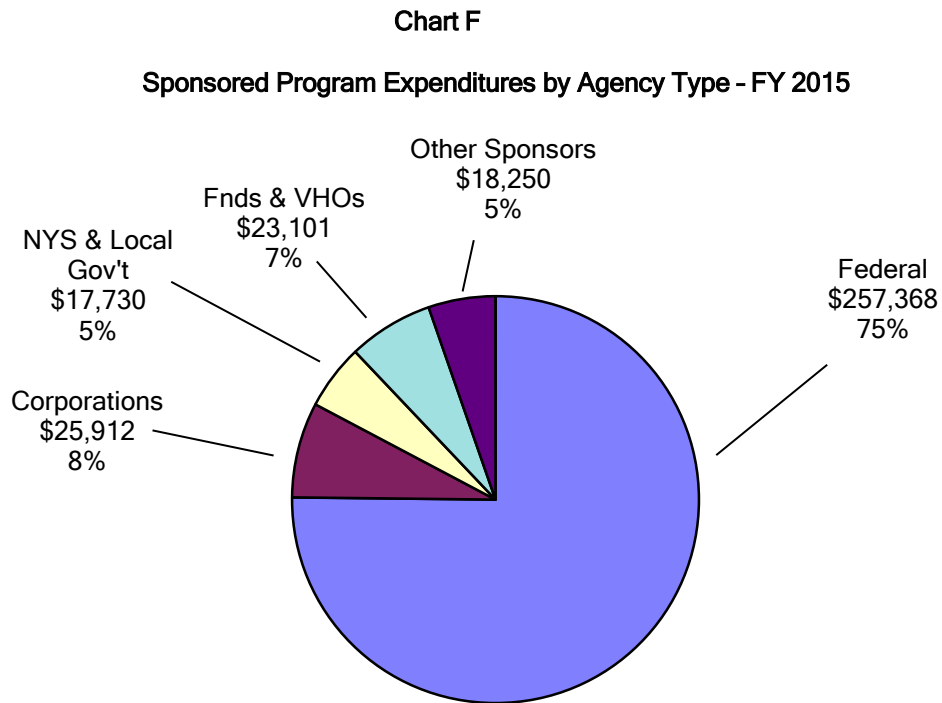


Table 9
Sponsored Program Expenditures by Agency Type

Agency Type	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015
Federal	\$332,352	\$309,811	\$293,150	\$264,610	\$257,368
Corporations	21,166	16,854	19,928	17,651	25,912
NY State & Local Government	15,673	17,617	20,684	17,433	17,730
Foundations & Voluntary Health Organizations	12,688	12,384	11,935	12,904	23,101
Other Sponsors ¹	25,365	26,492	29,318	31,692	18,250
TOTAL	\$407,244	\$383,158	\$375,015	\$344,290	\$342,361

Source: UR Financials 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 subrecipient.

Table 9.1

Sponsored Program Expenditures by Federal Agency

Federal Agency	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015
Health and Human Services (includes NIH)	\$224,180	\$198,001	\$186,641	\$168,693	\$158,799
Department of Energy	67,048	76,004	73,013	65,400	67,852
Department of Defense	10,633	8,997	7,211	4,384	5,544
National Science Foundation	14,953	13,652	14,483	14,856	13,299
Department of Education	10,951	9,474	9,298	8,720	9,299
National Aeronautics and Space Administration	500	840	1,062	1,214	1,810
NEA/NEH ¹	180	237	191	111	0
Other Federal Sponsors ²	3,907	2,606	1,251	1,232	765
TOTAL	\$332,352	\$309,811	\$293,150	\$264,610	\$257,368

Source: UR Financials Database

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

²NEAH is now included under Other Federal Sponsors in the new UR Financials systems

The chart below and its supporting Table 10 indicate the expenditure of funds by major cost element.

Chart G

Sponsored Program Expenditures by Cost Element

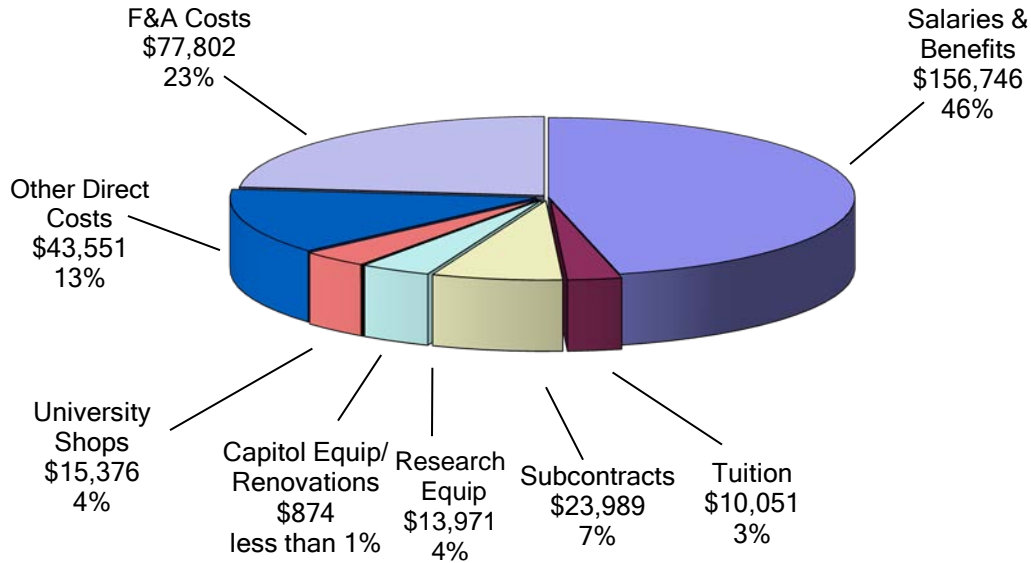


Table 10

Sponsored Program Expenditures by Cost Element

Cost Element	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015
Salaries & Benefits	\$181,369	\$174,188	\$167,001	\$159,333	\$156,746
Tuition	10,094	9,291	9,571	9,784	10,051
Subcontracts	33,362	29,248	28,941	23,710	23,989
Research Equipment	18,615	18,273	19,175	12,827	13,971
Capital Equipment/Renovations	307	1,159	3,123	174	874
University Shops	11,393	12,317	12,519	12,256	15,376
Other Direct Costs ¹	57,416	49,702	49,848	46,026	43,552
Total Direct Costs	312,556	294,178	290,178	264,110	264,559
Facilities & Administrative Costs	94,688	88,980	84,837	80,180	77,802
TOTAL	\$407,244	\$383,158	\$375,015	\$344,290	\$342,361

Source: UR Financials Database

¹"Other Direct Costs" includes adjustment made for "Other Expense Credits" category, which represents transfers and other adjustments in Financial Accounting Objects (FAOs)

The University's Ranking Among Its Peers

Note: FY 2014 is the latest data available online at the time of this printing.

By Federally Financed Research and Development Expenditures		FY 2014
1	Johns Hopkins University	\$1,950,016
2	University of Washington	909,034
3	University of Michigan	742,160
4	Stanford University	637,730
5	University of Pennsylvania	620,396
6	University of North Carolina, Chapel Hill	610,664
7	Columbia University	608,588
8	University of California, San Diego	599,095
9	University of Pittsburgh	582,136
10	Harvard University	572,198
11	Duke University	581,695
12	University of Wisconsin at Madison	548,388
13	University of California, San Francisco	544,697
14	Pennsylvania State University	520,574
15	Georgia Institute of Technology	512,015
16	University of Minnesota	489,767
17	Massachusetts Institute of Technology	483,891
18	Yale University	480,384
19	University of California, Los Angeles	465,170
20	Ohio State University	454,484
21	Cornell University	439,770
22	University of Southern California	431,430
23	Vanderbilt University	442,448
24	Northwestern University	391,946
25	Washington University, St. Louis	383,734
26	Rutgers University	360,157
27	University of Illinois, Urbana-Champaign	343,275
28	University of Maryland, College Park	333,409
29	University of Texas at Austin	332,758
30	New York University	330,484

By Federally Financed Research and Development Expenditures		FY 2014
31	Emory University	330,378
32	University of California, Davis	330,367
33	Case Western Reserve University	329,320
34	University of Colorado, Bolder	314,890
35	University of California, Berkeley	313,390
36	Texas A&M, College Station	311,920
37	Mt. Sinai School of Medicine	300,667
38	Scripps Research Institute	292,268
39	University of Arizona	290,370
40	University of Florida	289,327
41	University of Utah	288,514
42	University of Colorado, Denver	285,017
43	University of Chicago	281,464
44	University of Alabama, Birmingham	280,333
45	California Institute of Technology	279,515
46	University of Rochester	266,767

¹Expenditure 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 20,

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

Note: FY 2014 is the latest data available online at the time of this printing

By Federally Financed Research and Development Expenditures		FY 2014
1	Columbia University	\$608,058
2	Cornell University	439,770
3	New York University	330,484
4	Mt. Sinai School of Medicine	300,667
5	University of Rochester	266,767

Source: Table 20,

National Science Foundation/National Center for Science and Engineering Statistics Higher Education Research and Development Survey

The University also has several departments ranked in the top 10 in FY 2014 NIH funding

Top 10 Departments in NIH Funding FY 2014 ¹	
5	Department of Orthopaedics
6	Department of Health Sciences
7	Department of Neurology

In addition, URM ranked 33rd in NIH funding to medical schools, and the School of Nursing ranked 35th

¹This is the latest data available from this source

Source: Blue Ridge Institute for Medical Research - www.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 2015, UR received a total of 606 MTAs, 427 for incoming materials and 179 for outgoing materials. We experienced an increase of 30% in agreements received in fiscal year 2015 compared to those received in fiscal year 2014.

For Fiscal Year 2015 the average time it took for negotiation of contract terms and execution by U of R was 1 business day.

General data facts of the types of agreements negotiated:

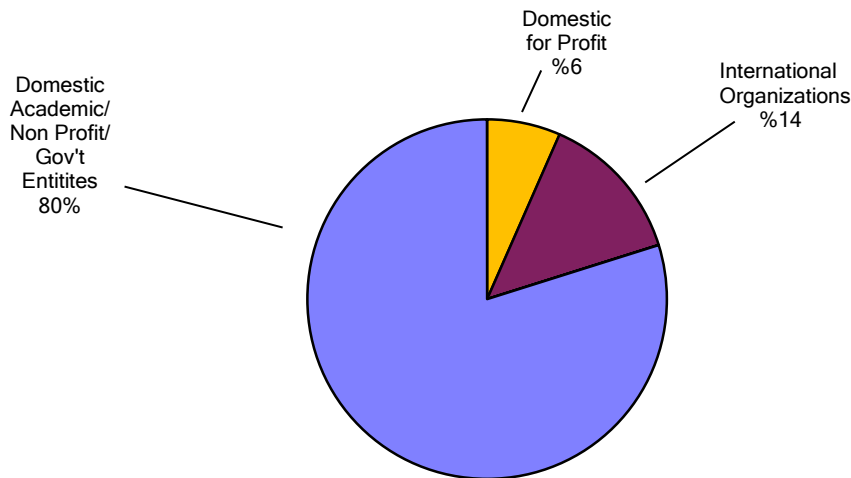
484 - agreements with other domestic academic/non-profit institutions/government entities

82 - agreements with international organizations

40 - agreements with domestic for profits

Chart H

MTA's Processed in FY 2015 by Institution Type



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 336 CDAs were reviewed during Fiscal Year 2015. There was a 34% increase in the number of CDAs from that received in fiscal year 2014. Note: 101 CDAs were processed by UR Ventures for disclosures related to licensing and commercialization that are not reflected in the total number of CDAs processed/reviewed by ORPA.

ORPA is also responsible for reviewing and processing both incoming and outgoing Data Use Agreements (DUAs) in fiscal year 2015. In fiscal year 2015, a total of 70 Data Use Agreements were executed. Of the total DUAs received, 43 were for data being received and 27 were for data being sent by University researchers. This represents a 52% increase over the total number of DUAs executed last year. Note: A total of 3 DUAs were processed by UR Ventures for disclosures related to licensing and commercialization that are not reflected in the total number of DUAs processed by ORPA.

Outlook for FY 2016

A month after avoiding a shutdown, Congress approved and President Obama signed the Bipartisan Budget Act of 2015, a two-year deal to partially roll back the spending caps and increase discretionary spending in FY 2016 by \$50 billion or 5.2 percent, to be split evenly between defense and nondefense. The deal allows federal agencies to avoid a return to sequestration-level spending, while suspending the debt ceiling for over a year. The 5.2 percent increase in discretionary spending is good news for science funding, because discretionary spending and R&D tend to move hand-in-hand. The \$4.0 trillion FY 2016 federal budget request reprises some common themes from past years, including advanced manufacturing, clean energy technology, climate change research, STEM education, neuroscience, and a permanent R&D tax credit. It will now be up to the appropriators to figure out how they can spend the additional money they've been given. The proposed appropriations bills offer a useful starting point for how spending decisions might go.

The Department of Defense remains by far the largest contributor to federal R&D. Research funding for the DOD science & technology budget, which includes basic and applied research, and advanced technology development, would increase by \$12 billion, or 3.9 percent in FY 2016. Medical research would receive a 5.2% reduction in the House bill, while the Senate bill proposes a 3.9% increase. DARPA, however, would see a slight decrease in funding.

The second largest supporter of R&D is the National Institutes of Health (NIH). Both houses of Congress proposed an increase in NIH's budget that topped the administration's request. The House by \$100 million, for a 3.6 increase and the Senate's by \$1 billion or 6.6 percent increase. If approved, the Senate's appropriation would represent the largest single-year increase since the end of the agency's budget doubling over a decade ago. Administration priorities include investments in Alzheimer's research, new initiatives in precision medicine and antibiotic-resistant bacteria, big data, and the BRAIN Initiative. The FY 2016 budget for the National Science Foundation (NSF) would remain essentially flat at 7.4 billion. The Department of Energy (DOE) would receive a slight increase in funding. Under the Senate Appropriations Committee the National Aeronautics and Space Administration (NASA) would just about keep pace with inflation, while the House proposal is \$240 million more and matches the administration's request. The Environmental Protection Agency would see a 5.5% decrease in funding. Both houses propose a significant decrease of \$337 million in funding for The Department of Homeland Security (DHS). Within the Department of Commerce, the budget for the National Institute for Standards and Technology (NIST) would remain essentially flat.

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