
**OFFICE OF RESEARCH AND PROJECT
ADMINISTRATION**

**ANNUAL REPORT OF
SPONSORED PROGRAM ACTIVITIES
FISCAL YEAR 2016**



Introduction

We are pleased to present the Office of Research and Project Administration (ORPA) Annual Report for Fiscal Year 2016 ending June 30th, 2016, which showcases the University of Rochester's outstanding ability to attract external support for research and other sponsored programs activities year after year in an increasingly difficult environment. 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 1,929 new, continuation, supplemental, and renewal proposals were submitted in FY 2016 for sponsored program funding.

NOTE: All dollars throughout this report are in thousands

Chart A

Dollar Value of Proposals Submitted - FY 2016

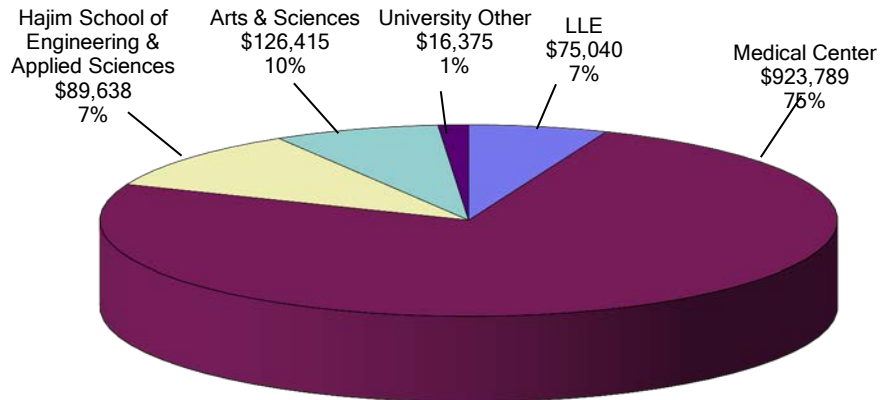
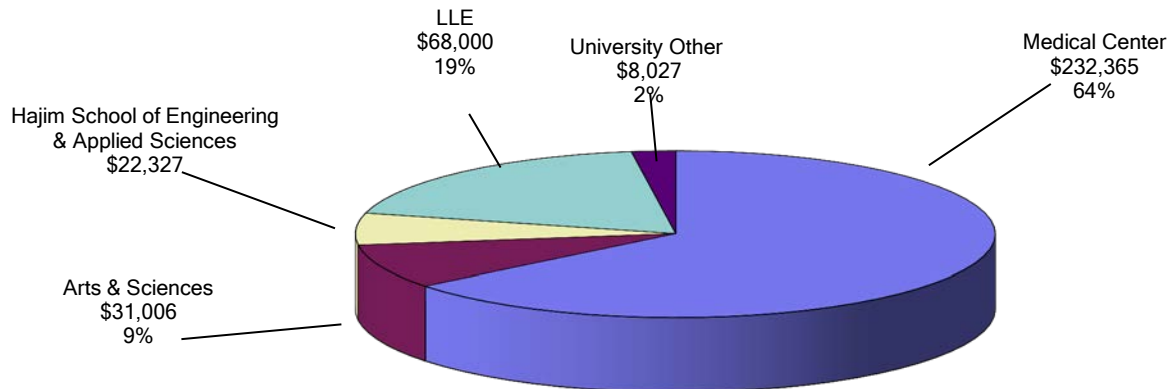


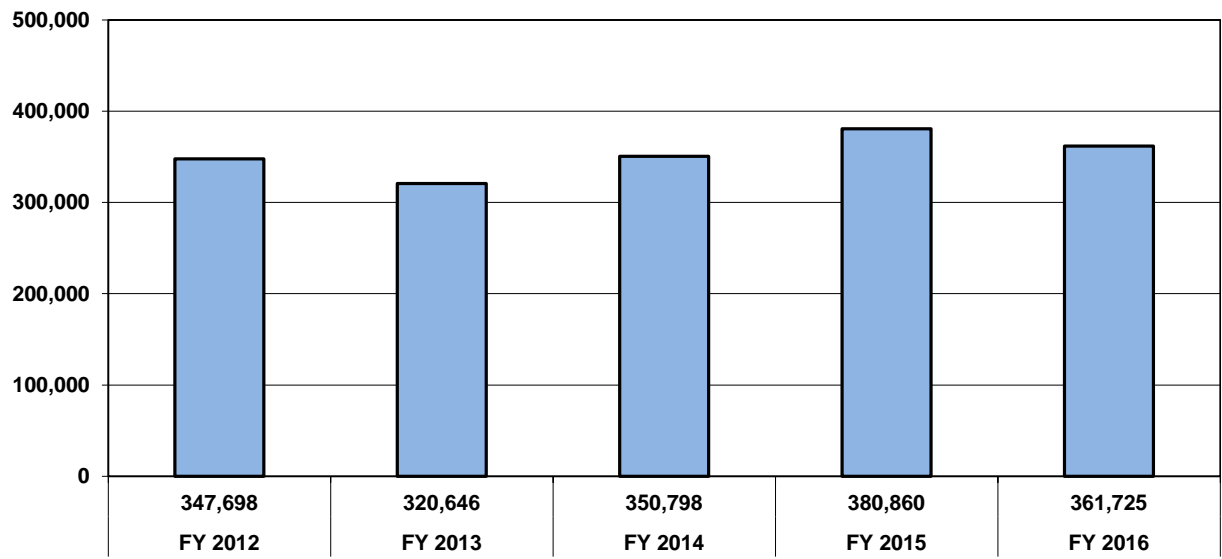
Chart B

Awards Dollars Received - FY 2016



Please note: The 2016 proposal and award figures shown on pages 3 - 11 of this report were current as of December 8th, 2016 and may be subject to change as necessary.

Chart C
Award Dollars Received During Last Five Fiscal Years



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 2016, 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 2012	FY 2013	FY 2014	FY 2015	FY 2016
Medical Center					
Medicine and Dentistry	\$1,143,900	\$1,102,015	\$966,198	\$921,265	\$898,720
Nursing	11,115	15,647	21,432	18,918	18,713
Hospitals and Clinics	303	517	234	416	235
Medical Center Administration	15,823	7,527	11,010	11,540	6,122
Subtotal URMC	1,171,141	1,125,706	998,874	952,139	923,790
Arts, Sciences and Engineering					
Arts and Sciences	137,620	137,204	146,254	184,912	126,415
Hajim School of Engineering & Applied Sciences	123,461	89,286	64,277	184,137	89,638
Subtotal for AS&E	261,081	226,490	210,531	369,049	216,053
Laboratory for Laser Energetics	416,613	352,516	75,117	4,307	75,040
Other Schools and Companies					
Eastman Institute for Oral Health	0	0	0	0	4,783
Warner School of Education	3,215	7,179	10,624	6,902	5,682
Memorial Art Gallery	112	65	212	18	119
Simon School of Business	557	175	0	0	50
Eastman School of Music	87	5	14	14	68
University Other	8,658	11,092	1,140	6,798	5,673
Subtotal Other	12,629	18,516	11,990	13,732	16,374
Total University	\$1,861,464	\$1,723,228	\$1,296,512	\$1,339,227	\$1,231,257

Source: UR-Coeus Sponsored Programs Management Database

Table 2

Awards - Annual Funding Received By College/School/Company

College/School/Company	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Medical Center					
Medicine and Dentistry	\$211,770	\$200,174	\$223,658	\$229,151	\$224,822
Nursing	4,344	1,690	1,132	2,890	3,854
Hospitals and Clinics	379	327	142	463	264
Medical Center Administration	4,243	4,119	3,997	3,771	3,425
Subtotal URMC	220,736	206,310	228,929	236,275	232,365
Arts, Sciences and Engineering					
Arts and Sciences	38,759	37,471	35,599	30,452	31,006
Hajim School of Engineering & Applied Sciences	18,263	21,144	15,915	18,505	22,327
Subtotal AS & E	57,022	58,615	51,514	48,957	\$53,333
Laboratory for Laser Energetics	65,160	46,659	67,572	88,383	68,000
Other Schools and Companies					
Eastman Institute for Oral Health	0	0	0	0	2,061
Warner School of Education	3,173	2,440	1,959	1,272	3,770
Memorial Art Gallery	14	153	0	29	119
Simon School of Business	158	0	35	-196	50
Eastman School of Music	0	5	0	0	39
University Other	1,435	6,464	789	6,140	1,987
Subtotal Other	4,780	9,062	2,783	7,245	8,027
Total University	\$347,698	\$320,646	\$350,798	\$380,860	\$361,725

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 for Oral Health was included in Medical Center Administration figure for FY 2015
- 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 2016

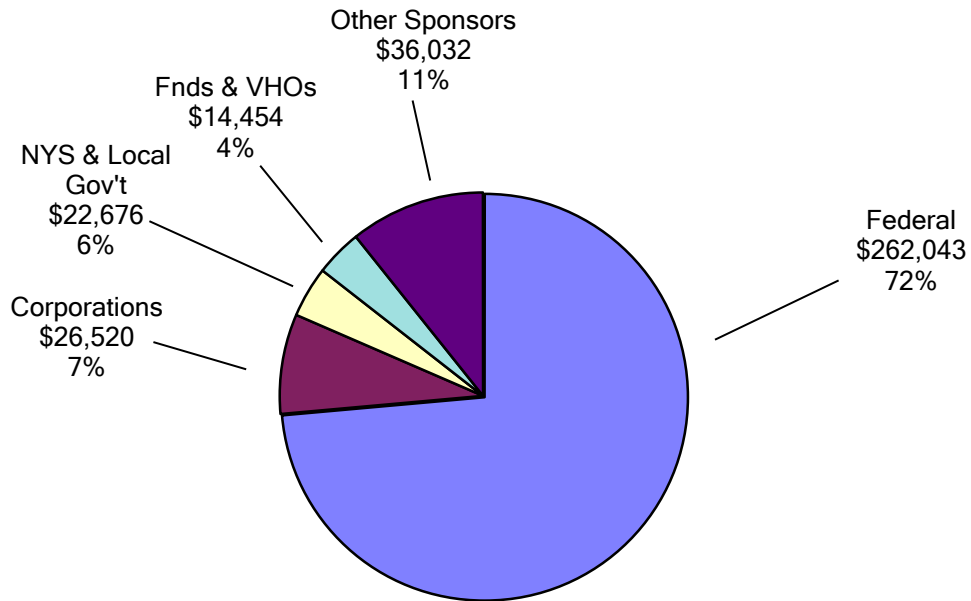


Table 3

Sponsored Program Funding by Agency Type

Agency Type	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Federal	\$275,811	\$243,024	\$260,179	\$280,190	\$262,043
Corporations	18,267	20,169	20,911	30,228	26,520
NY State & Local Government	14,116	10,783	15,759	15,409	22,676
Foundations & Voluntary Health Organizations	11,822	12,920	15,942	14,188	14,454
Other Sponsors ¹	27,682	33,750	38,007	40,845	36,032
TOTAL	\$347,698	\$320,646	\$350,798	\$380,860	\$361,725

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 2012	FY 2013	FY 2014	FY 2015	FY 2016
Health and Human Services (excluding NIH)	\$12,676	\$12,971	\$12,886	\$11,452	\$10,008
NIH	165,113	149,575	158,615	157,784	156,263
Total Health and Human Services	177,789	162,546	171,501	169,236	166,271
Department of Energy	69,953	53,659	68,205	86,299	69,443
Department of Defense	8,926	5,381	4,897	4,329	4,581
National Science Foundation	15,110	16,743	11,922	16,360	17,354
Department of Education	2,355	2,280	1,834	2,248	2,429
National Aeronautics and Space Administration	1,189	1,059	1,449	1,361	1,222
NEA/NEH ¹	151	260	-5	60	289
Other Federal Sponsors	338	1,096	376	297	454
TOTAL	\$275,811	\$243,024	\$260,179	\$280,190	\$262,043

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 2016.

Table 4
Sponsors Awarding \$1,000,000 or More Annually - FY 2016

Sponsor	Number of Awards	Total \$\$ Awarded
National Institutes of Health	429	\$156,263,174
Department of Energy	18	\$69,442,922
New York State	56	\$18,704,521
National Science Foundation	97	\$17,353,652
Department of Defense	30	\$4,581,224
Centers for Disease Control and Prevention	6	\$4,172,038
Monroe County	6	\$3,893,647
Health Research Services Administration	13	\$3,337,428
SUNY Upstate Medical University	2	\$2,958,990
Horizon Pharma	1	\$2,770,187
Health Research Inc.	16	\$2,726,777
Huntington Study Group	5	\$2,709,281
Patient Centered Outcome Research Institute	5	\$2,623,753
U.S Department of Education	10	\$2,428,515
Greater Rochester Health Foundation	13	\$2,280,688
Gilead Sciences, Inc.	21	\$1,727,602
The Michael J. Fox Foundation for Parkinson's Disease	13	\$1,722,965
Washington State University	1	\$1,597,603
Clerio Vision	2	\$1,589,807
Fred Hutchinson Cancer Research Center	9	\$1,478,891
National Aeronautical and Space Administration	9	\$1,221,609
Empire State Development Corporation	3	\$1,217,667
CHDI Foundation	2	\$1,146,205
Emory University	5	\$1,120,651
Massachusetts General Hospital	23	\$1,108,621
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 2016 that were active at any point during FY 2016. This table does not include funding for undergraduate financial aid.

Table 5
Summary of Projects Active at any Point in FY 2016
by College/School/Company

College/School/Company	Number of Active Projects
Medical Center	
Medicine & Dentistry	1,834
Nursing	29
Strong Memorial Hospital	8
Medical Center Administration ¹	27
Arts, Sciences, and Engineering	
Arts & Sciences	299
Hajim School of Engineering and Applied Sciences	202
Other Schools and Companies	
Laboratory for Laser Energetics	14
Eastman Institute for Oral Health ²	11
Warner School of Education	20
Memorial Art Gallery	8
Simon School of Business	3
Eastman School of Music	2
River Campus General	15
University General	3
Total Active Projects	2,475

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)

²Previously reported under Medical Center Administration

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 2012	FY 2013	FY 2014	FY 2015	FY 2016
Research ¹	\$290,873	\$263,099	\$292,990	\$318,520	\$294,521
Fellowships & Training	28,203	21,984	27,881	28,847	30,458
Clinical Drug Trials	16,074	15,670	13,478	13,757	13,433
Libraries & Museums	238	374	126	249	387
Conference & Travel	303	110	235	315	458
Equipment	-131	6,861	353	899	1,644
Miscellaneous Activities	12,138	12,548	15,735	18,273	20,824
Total	\$347,698	\$320,646	\$350,798	\$380,860	\$361,725

Source: UR-Coeus Sponsored Programs Management Database

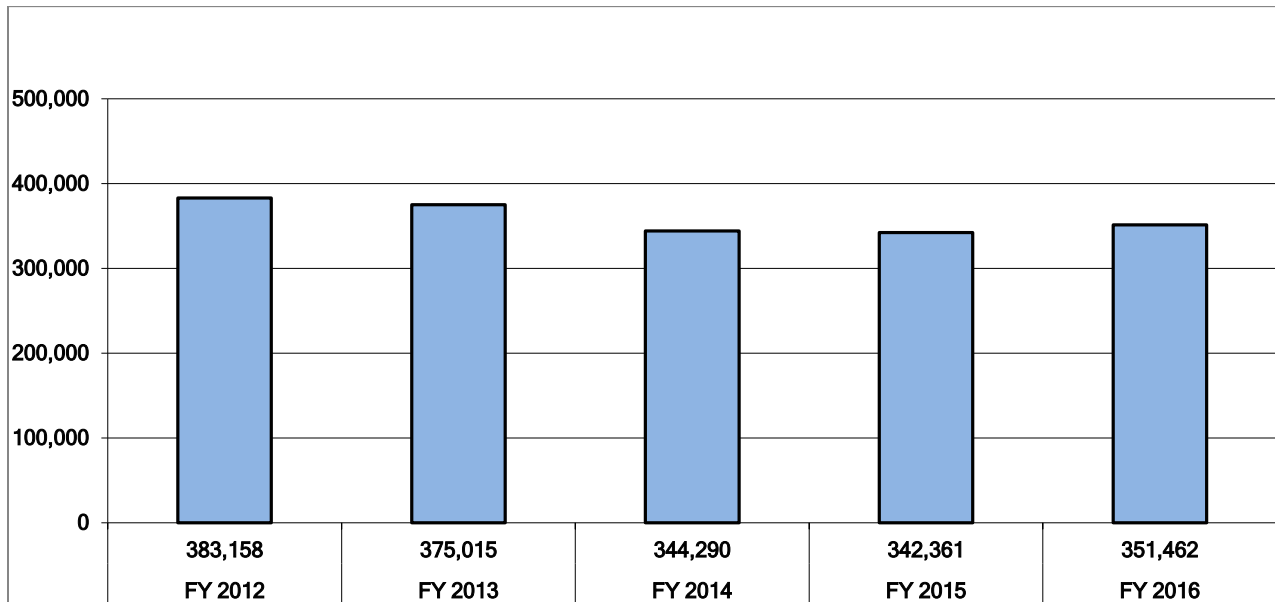
¹The Medical Center accounts for 64% of all externally sponsored research funding. Of that amount, roughly half is related to clinical research, according to the Clinical Research Resource Inventory, a survey of principal investigators at the Medical Center. Clinical research is defined as research conducted 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 2016, the University of Rochester expended in excess of \$351 million for sponsored activities, an increase of 3 percent from Fiscal Year 2015

Chart E

Sponsored Program Expenditures - Total University (Dollars in thousands)



Source: UR Financials

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 2012	FY 2013	FY 2014	FY 2015	FY 2016
<u>Medical Center</u>					
School of Medicine and Dentistry	\$237,087	\$227,471	\$208,384	\$206,321	\$214,612
School of Nursing	4,586	3,475	3,013	2,437	2,707
Hospitals and Clinics	413	228	784	161	273
Medical Center Administration ²	4,125	4,033	3,460	3,258	2,978
Total URMC	246,211	235,207	215,641	212,177	220,570
<u>Arts & Sciences & Engineering</u>					
Arts and Sciences	40,217	37,411	35,061	33,840	34,226
Hajim School of Engineering and Applied Sciences	17,511	20,078	17,707	17,745	17,690
Total AS & E	57,728	57,489	52,768	51,585	51,916
Laboratory for Laser Energetics	69,620	67,754	61,948	66,372	67,157
<u>Other Schools and Companies</u>					
Warner School of Education	1,613	2,120	2,844	3,056	2,631
Eastman Institute for Oral Health ³	0	0	0	0	1,325
Memorial Art Gallery	104	157	74	42	117
Simon School of Business	121	63	129	58	28
Eastman School of Music	722	560	455	494	542
University Other ⁴	7,039	11,665	10,431	8,577	7,176
Total Other	9,599	14,565	13,933	12,227	11,819
Total University	\$383,158	\$375,015	\$344,290	\$342,361	\$351,462

Source: UR Financials

¹Includes indirect costs

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

³Previously reported under Medical Center Administration

⁴ Includes 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 2012	FY 2013	FY 2014	FY 2015	FY 2016
Dean's Office	\$470	\$651	\$616	\$211	\$614
Art & Art History	0	50	5	35	0
Biology	5,646	4,525	3,899	4,729	5,706
Brain & Cognitive Sciences	5,959	5,170	4,183	3,735	3,995
Chemistry	5,879	5,903	5,716	5,310	4,180
Clinical and Social Sciences in Psychology	7,916	7,052	6,675	6,509	5,877
Earth and Environmental Sciences	716	1,138	1,230	1,711	2,053
English	98	122	27	51	84
Center for Entrepreneurship	0	0	0	4	71
History	32	0	0	0	4
Kearns Center	656	744	787	797	559
Linguistics	51	111	73	26	25
Mathematics	410	512	507	371	490
McNair Program	229	278	289	242	203
Philosophy	19	8	0	0	0
Physics and Astronomy	7,662	7,073	5,747	5,636	5,833
Religion	0	0	0	0	1
Skalny Center for Polish/European Studies	65	47	44	39	60
Susan B Anthony Institute for Gender Studies	0	3	1	9	1
Center for Visual Sciences	4,399	4,007	5,228	4,421	4,449
Wallis Institute of Political Economy	10	17	34	4	21
Subtotal A & S	\$40,217	\$37,411	\$35,061	\$33,840	\$34,226

Source: UR Financials

Table 7.2.2

Total Sponsored Program Expenditures - Engineering & Applied Sciences

By Department/Cost Center

Engineering & Applied Sciences	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Dean's Office	\$241	\$127	\$164	\$-9	\$0
Biomedical Engineering	1,242	1,740	2,321	2,075	2,571
Center for Emerging & Innovative Sciences	960	1,645	1,601	1,525	1,442
Chemical Engineering	778	1,856	1,263	761	788
Computer Science	2,890	3,008	2,534	2,646	2,874
Electrical & Computer Engineering	4,080	3,554	3,383	3,029	2,736
Institute for Data Science	0	0	0	63	791
Mechanical Engineering	1,991	2,335	2,193	2,520	1,075
Institute of Optics	5,329	5,813	4,248	5,135	5,413
Subtotal HSEAS	\$17,511	\$20,078	\$17,707	\$17,745	\$17,690
Total AS & E	\$57,728	\$57,489	\$52,768	\$51,585	\$51,916

Source: UR Financials

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

Medicine and Dentistry	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Dean for Research	\$15	\$133	\$15	\$28	\$309
Anesthesiology	2,406	2,340	2,067	2,134	2,640
Biochemistry and Biophysics	6,483	6,549	6,331	6,713	6,710
Biomedical Engineering	4,004	3,632	3,209	2,501	1,251
Biomedical Genetics	4,228	3,406	2,888	4,971	3,737
Biostatistics and Computational Biology	7,763	7,353	6,194	6,459	3,344
Cancer Center	11,182	10,679	6,868	5,865	5,985
Center for Human Experimental Therapeutics	7,400	10,139	8,467	7,783	10,438
Center for Experiential Learning	0	0	0	98	113
Center for Neural Development and Disease	3,690	3,680	3,813	3,834	3,686
Center for Pediatric Biomedical Research	3,123	3,567	3,221	2,550	2,309
Center for Neurovascular Brain Disease	764	78	0	0	0
Center for Translational Neuromedicine	5,189	5,596	5,824	7,173	6,846
Center for Oral Biology	3,685	3,145	2,974	2,518	2,384
Center for Vaccine Biology	3,627	6,851	7,752	9,638	10,926
Clinical Dentistry	0	0	0	0	223
Clinical Translational Science Institute ¹	8,660	5,395	5,336	5,383	5,636
Development Center for AIDS Research	1,162	1,419	1,616	1,666	1,767
Dermatology	2,311	2,315	2,461	2,354	1,864
Eastman Institute for Oral Health ²	1,624	1,888	1,095	1,101	0
Emergency Medicine	1,434	1,653	1,988	1,429	1,122
Environmental Medicine	9,392	8,306	8,390	10,366	8,860
Family Medicine	2,560	2,398	2,348	2,698	2,398
Imaging Sciences	1,046	769	662	506	352
Medicine	47,225	38,409	34,914	33,065	34,763

(Continued on next page)

¹Expenditures for the Community Dentistry Outreach Programs of the Eastman Institute for Oral Health were previously reported under Medical Center Administration

Medicine and Dentistry cont'd	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Microbiology and Immunology	9,185	8,383	5,135	5,663	6,865
Neurobiology and Anatomy	4,727	4,632	3,709	3,721	4,344
Neurology	12,579	12,124	11,455	12,101	14,844
Neurosurgery	1,004	718	483	666	255
Obstetrics and Gynecology	3,217	2,985	1,799	1,566	2,467
Ophthalmology	3,843	4,015	3,836	4,199	4,208
Orthopaedics	5,063	6,842	6,716	4,305	5,747
Otolaryngology	1,019	900	343	604	462
Pathology	3,841	3,482	2,894	3,069	3,283
Pediatrics	21,490	23,847	22,784	21,894	22,296
Pharmacology and Physiology	8,714	8,389	6,640	6,293	7,291
Physical Medicine and Rehab	33	17	5	23	21
Psychiatry	9,658	9,113	9,895	10,171	10,961
Radiation Oncology	4,309	3,550	4,099	1,197	872
Public Health Sciences (formerly Department of Community and Preventive Medicine)	5,914	5,509	4,808	3,978	3,915
Surgery	2,098	1,827	4,166	4,963	7,955
Urology	877	751	563	442	390
SMD Other ³	543	687	621	630	773
Total SMD	\$237,087	\$227,471	\$208,384	\$206,321	\$214,612

Source: UR Financials

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 2012	FY 2013	FY 2014	FY 2015	FY 2016
General Medicine	89	-14	\$164	\$148	\$286
New Medicine Unit/Cost Center in UR Financials	0	0	0	1,039	832
Infectious Diseases	16,879	14,680	12,830	10,227	11,338
Pulmonary/Critical Care	3,660	2,682	2,497	3,309	3,509
Cardiology (Heart and Vascular)	7,197	6,824	6,312	6,921	8,854
Endocrinology	825	1,013	776	668	449
Gastroenterology	1,042	374	291	339	390
Heart Research Follow Up Program	0	0	0	0	43
Hematology/Oncology	0	0	0	0	86
Nephrology	1,330	1,930	1,598	1,719	1,276
Immunology	6,870	2,855	2,187	2,013	1,482
Monroe Community Hospital	997	1,026	974	1,007	855
Primary Care	5	4	0	0	0
Highland Hospital	694	404	448	339	231
Palliative Care	30	68	196	100	124
Aab Cardiovascular Research Institute	7,607	6,563	6,641	5,236	5,008
Total Department of Medicine	\$47,225	\$38,409	\$34,914	\$33,065	\$34,763

Source: UR Financials

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 2012	FY 2013	FY 2014	FY 2015	FY 2016
<u>Medical Center</u>					
Medicine & Dentistry	\$177,235	\$171,312	\$156,680	\$155,790	\$164,535
Nursing	3,885	2,918	2,463	1,977	2,256
Hospitals and Clinics	374	202	796	1,043	860
Medical Center Administration ¹	3,703	3,724	3,185	2,915	1,890
<u>Arts, Sciences and Engineering</u>					
Arts and Science	31,547	29,060	27,118	25,955	27,022
Hajim School of Engineering & Applied Sciences	13,189	15,427	13,570	13,586	12,909
<u>Other Schools and Companies</u>					
Laboratory for Laser Energetics	54,873	53,212	46,667	51,279	51,752
Eastman Institute for Oral Health ²	0	0	0	0	990
Warner School of Education	1,480	1,906	2,571	2,856	2,404
Simon School of Business	90	40	96	38	28
Eastman School of Music	659	557	455	494	540
Memorial Art Gallery	104	157	74	42	117
University Other	7,039	11,663	10,435	8,584	7,299
Total University Direct Costs	\$294,178	\$290,178	\$264,110	\$264,559	\$272,602

Source: UR Financials

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

²Previously reported under Medical Center Administration

Table 8.1
Facilities & Administrative Costs Recovery

College/Company	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
<u>Medical Center</u>					
Medicine & Dentistry	\$59,852	\$56,160	\$51,700	\$49,641	\$50,284
Nursing	701	557	550	461	451
Hospitals and Clinics	39	26	-12	8	10
Medical Center Administration	412	312	275	341	284
<u>Arts, Sciences and Engineering</u>					
Arts and Sciences	8,670	8,351	7,943	7,897	7,835
Hajim School of Engineering & Applied Sciences	4,322	4,651	4,137	4,139	3,990
<u>Other Schools and Companies</u>					
Laboratory for Laser Energetics	14,748	14,541	15,281	15,093	15,405
Eastman Institute for Oral Health ¹	0	0	0	0	335
Warner School of Education	133	214	249	200	227
Simon School of Business	31	22	33	20	0
Eastman School of Music	63	3	0	0	2
Memorial Art Gallery	0	0	0	0	0
University Other	5	0	0	2	37
Total University F&A Costs	\$88,980	\$84,837	\$80,180	\$77,802	\$78,860

Source: UR Financials

¹Previously reported under Medical Center Administration

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 F
Sponsored Program Expenditures by Agency Type - FY 2016

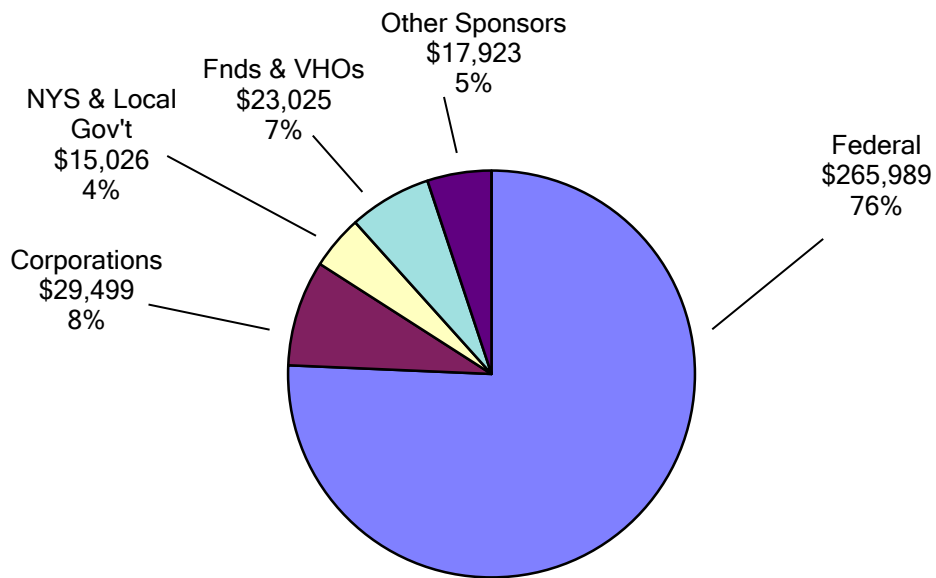


Table 9
Sponsored Program Expenditures by Agency Type

Agency Type	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Federal	\$309,811	\$293,150	\$264,610	\$257,368	\$265,989
Corporations	16,854	19,928	17,651	25,912	29,499
NY State & Local Government	17,617	20,684	17,433	17,730	15,026
Foundations & Voluntary Health Organizations	12,384	11,935	12,904	23,101	23,025
Other Sponsors ¹	26,492	29,318	31,692	18,250	17,923
TOTAL	\$383,158	\$375,015	\$344,290	\$342,361	\$351,462

Source: UR Financials

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 2012	FY 2013	FY 2014	FY 2015	FY 2016
Health and Human Services (includes NIH)	\$198,001	\$186,641	\$168,693	\$158,799	\$164,634
Department of Energy	76,004	73,013	65,400	67,852	67,307
Department of Defense	8,997	7,211	4,384	5,544	4,614
National Science Foundation	13,652	14,483	14,856	13,299	15,194
Department of Education	9,474	9,298	8,720	9,299	9,737
National Aeronautics and Space Administration	840	1,062	1,214	1,810	1,719
NEA/NEH ¹	237	191	111	0	0
Other Federal Sponsors ²	2,606	1,251	1,232	765	2,784
TOTAL	\$309,811	\$293,150	\$264,610	\$257,368	\$265,989

Source: UR Financials

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

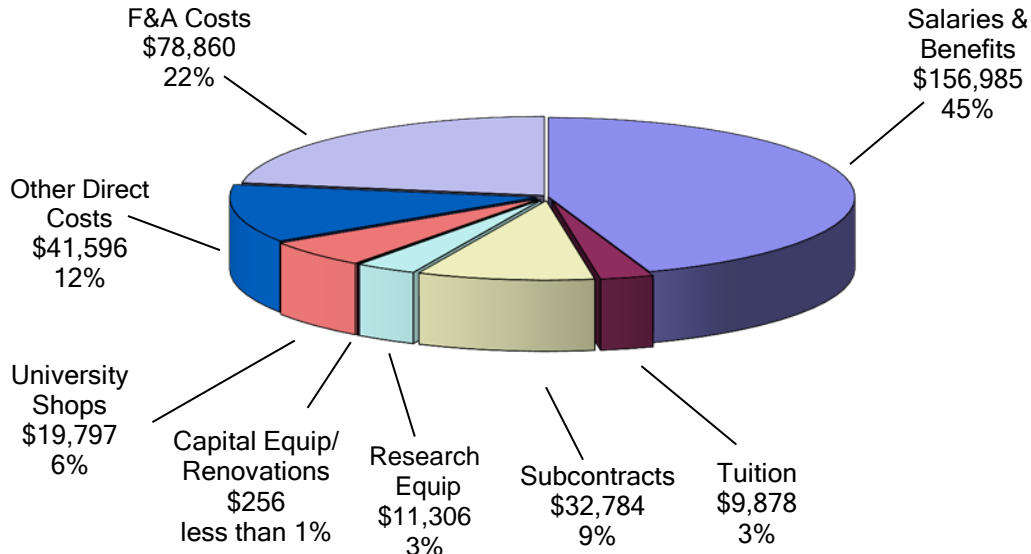


Table 10

Sponsored Program Expenditures by Cost Element

Cost Element	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Salaries & Benefits	\$174,188	\$167,001	\$159,333	\$156,746	\$156,985
Tuition	9,291	9,571	9,784	10,051	9,878
Subcontracts	29,248	28,941	23,710	23,989	32,784
Research Equipment	18,273	19,175	12,827	13,971	11,306
Capital Equipment/Renovations	1,159	3,123	174	874	256
University Shops	12,317	12,519	12,256	15,376	19,797
Other Direct Costs ¹	49,702	49,848	46,026	43,552	41,596
Total Direct Costs	294,178	290,178	264,110	264,559	272,602
Facilities & Administrative Costs	88,980	84,837	80,180	77,802	78,860
TOTAL	\$383,158	\$375,015	\$344,290	\$342,361	\$351,462

Source: UR Financials

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.

FY 2015 data will not be available until March 2017.

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	Icahn School of Medicine at Mt. Sinai	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.

FY 2015 data will not be available until April 2017.

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	Icahn School of Medicine at Mt. Sinai	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 2015 NIH funding

Top 10 Departments in NIH Funding FY 2014 - 2015¹

	FY 2014	FY 2015
Department of Orthopaedics	5	3
Public Health Sciences	6	6
Department of Neurology	7	9

In addition, UR School of Medicine and Dentistry ranked 34th in NIH funding to medical schools, and the School of Nursing moved up from 35th to 25th place in the ranking of Schools of Nursing

¹This is the latest data available from this source

Source: Blue Ridge Institute for Medical Research

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 2016, UR received a total of 318 MTAs, 215 for incoming materials and 103 for outgoing materials. We experienced a decrease of 48% in agreements received in fiscal year 2016 compared to those received in fiscal year 2015. This decrease in MTAs was most impacted by the 60% decrease in Addgene order tracking. A new automated approval process of Addgene orders went into effect in the middle of FY 2016 automatically approving Addgene orders and allowing administrators to input a monthly report instead of individual orders. Addgene is a nonprofit organization that operates as a plasmid repository for the research community. Note: A total of 2 MTAs were processed by UR Ventures due to disclosures related to licensing and commercialization and are not reflected in the total number of MTAs processed/reviewed by ORPA.

General data facts of the types of agreements negotiated:

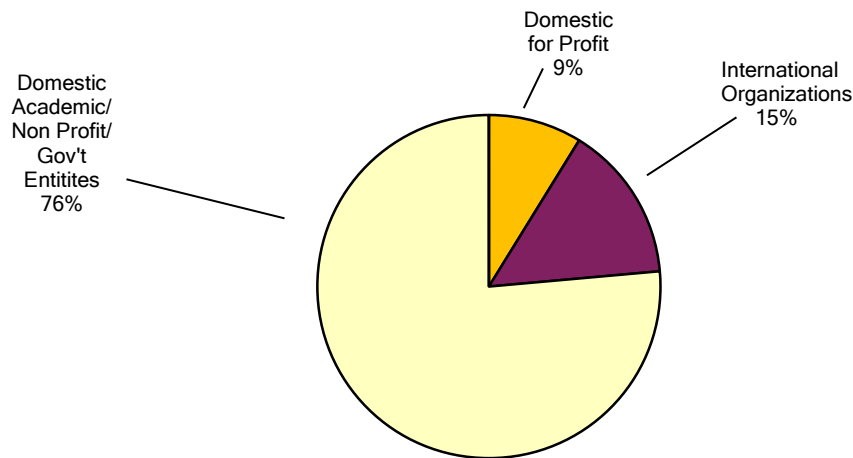
243 - agreements with other domestic academic/non-profit institutions/government entities

47 - agreements with international organizations

28 - agreements with domestic for profits

Chart H

MTA's Processed in FY 2016 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 212 CDAs were processed during Fiscal Year 2016. There was a 40% decrease in the number of CDAs from that received in fiscal year 2015. FY 2016 numbers are reflective of FY 2014 numbers, with FY 2015 numbers reflecting an unusual spike. Note: A total of 60 CDAs were processed by UR Ventures for disclosures related to licensing and commercialization and 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 2016, a total of 44 Data Use Agreements were executed. Of the total DUAs received, 21 were for data being received and 22 were for data being sent by University researchers. This represents a 37% decrease from the total number of DUAs executed last year.

Outlook for FY 2017

With only a few days remaining before a potential shutdown, Congress passed and the President signed into law on September 29 a short-term continuing resolution (CR) that extends current spending levels through December 9, 2016 and postpones finalizing of all but one appropriations bill until after the November elections. The CR contains a full-year appropriation for the Department of Veterans Affairs (VA). VA's medical and prosthetic research account would receive \$675 million or a 7.1 percent increase over last year's level; slightly more than both the House and the Administration's request. This bill marks the first time since 2009 that a regular appropriations bill has been signed into law before the end of the fiscal year.

Discretionary spending, which is the source of most federal science funding, is slated to be held flat at \$1.07 trillion under the second and final year of the 2015 Bipartisan Budget Act, which imposed spending caps on non-defense discretionary spending.

According to the latest estimates, both the House and Senate would provide moderate increases to federal R&D overall in FY 2017; the House at 2.1 percent and the Senate at 3.2 percent. Both amounts would represent real-dollar increases give a rate of inflation of 1.8 percent.

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 remain essentially flat at \$13 billion.

The second largest supporter of R&D is the National Institutes of Health (NIH) within the Department of Health and Human Services (DHHS). NIH accounts for more than 95% of total HHS R&D funding. Other HHS agencies that provide R&D funding include the Centers for Disease Control (CDC), the Food and Drug Administration (FDA), the Agency for Healthcare Research and Quality (AHRQ), Health Resources and Services Administration (HRSA). Although the President's base budget had sought billion-dollar cuts to NIH and NASA as well as a deep cut to DOD basic research, Congress has resoundingly turned down the NIH and NASA cuts and partially turned down the DOD research cuts. NIH has stood out as a significant recipient of Congressional largesse in the FY 2017 appropriations; the agency has received a \$1 billion increase in the House and a \$2 billion increase in the Senate. In addition, House appropriators indicated expectations of a 20 percent success rate for grant applications and 11,175 new research project grants - both metrics well above the Administration's request. Most other nondefense science and technology programs have seen only minimal funding changes from the prior year. As in FY 2016, the FY 2017 budget for research and STEM education under the National Science Foundation (NSF) would remain essentially flat at slightly over \$6 billion. The Department of Energy (DOE) would receive over \$15 billion; \$1 billion less than the president's request, but \$1 billion more than FY 2016. Within DOE, the Advanced Research Projects Agency-Energy (ARPA-E) has managed to secure relatively generous funding increases in both chambers. Congress rejected the president's proposed cuts to the National Aeronautics and Space Administration (NASA) budget, although under both chambers the budget would remain essentially flat. 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 National Oceanic and Atmospheric Administration (NOAA) and the National Institute for Standards and Technology (NIST) would receive substantially less from House and Senate appropriators than what the Administration requested; \$79 million under the House proposal and \$33 million under the Senate proposal for NOAA and \$104 million and \$12 million for NIST.

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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