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**OFFICE OF RESEARCH AND PROJECT  
ADMINISTRATION**

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**ANNUAL REPORT OF  
SPONSORED PROGRAM ACTIVITIES  
FISCAL YEAR 2021**

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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 2021 ending June 30<sup>th</sup>, 2021, which showcases the University of Rochester's 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](mailto:resadmin@orpa.rochester.edu)

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## In This Report

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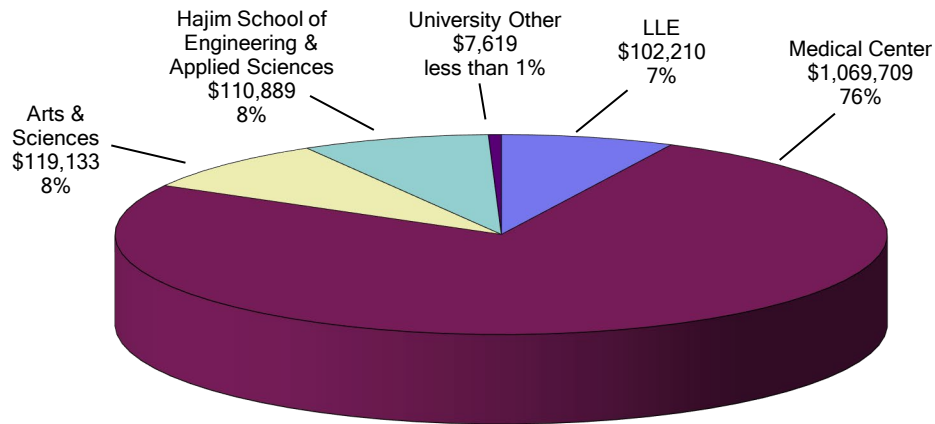
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## Proposal and Award Activity

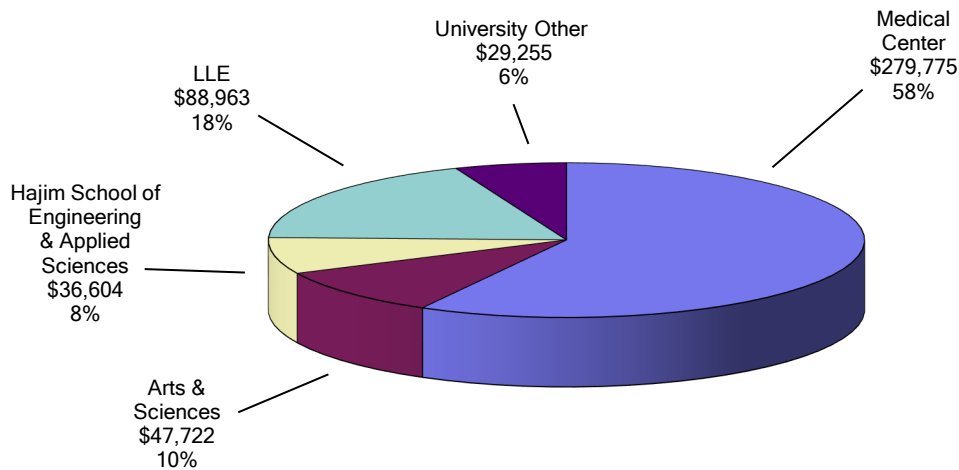
The School of Medicine and Dentistry submits the majority of proposals and as is also indicated in the award statistics, receives the majority of sponsored program funding. On an overall University basis **1,628** new, continuation, supplemental, and renewal proposals were submitted in FY 2021 and **1,934** awards received sponsored program funding.

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

**Chart A**  
**Dollar Value of Proposals Submitted - FY 2021**

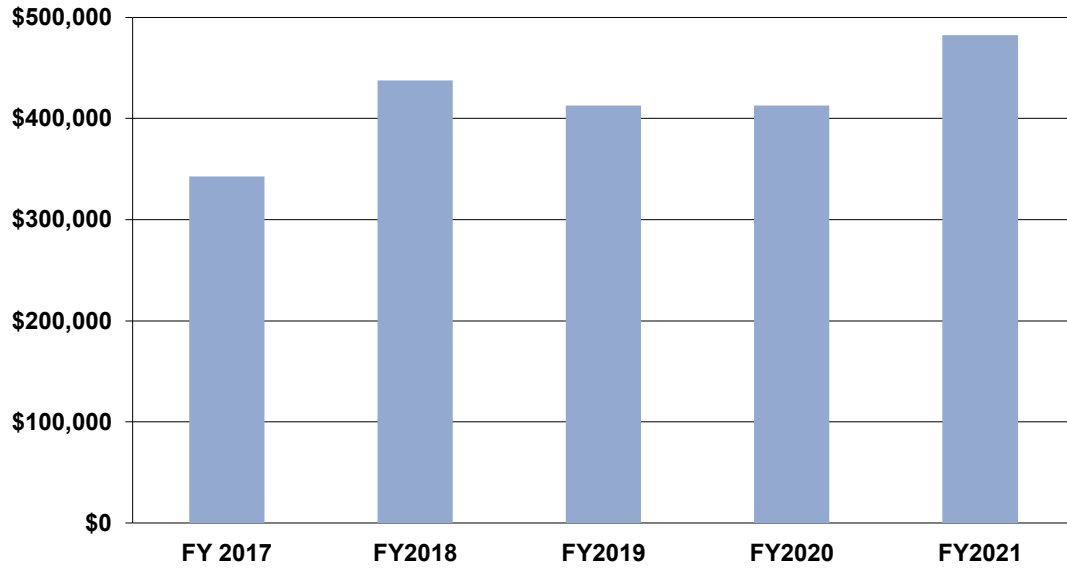


**Chart B**  
**Awards Dollars Received - FY 2021**



**Please note: The 2021 proposal and award figures shown on pages 3 - 11 of this report reflect the information that was available as of April 2022 and may be subject to change as necessary.**

**Chart C**  
**Award Dollars Received During Last Five Fiscal Years**



Fiscal Year 2021 award dollars have increased by 16% due to a rise in the amount of funding received from NIH as well as CARES Act support received from the U.S. Department of Education.

Sources: UR-Coeus Sponsored Programs Database; Integrated Online Research Administration (IORA) Grants

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, as well as one-year amounts for continuation proposals and singular projects. Awarded amounts, however, indicate only funding actually obligated by the sponsor during FY 2021, 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 value of proposals submitted and award funding 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**

<b>College/School/Company</b>	<b>FY 2017</b>	<b>FY 2018</b>	<b>FY 2019</b>	<b>FY 2020</b>	<b>FY 2021</b>
<b>Medical Center</b>					
Medicine and Dentistry	\$920,906	\$990,421	\$1,063,918	\$975,735	\$1,043,935
Nursing	13,572	30,581	31,530	22,279	20,865
Hospitals and Clinics	250	363	279	197	5
Medical Center Administration	506	1,650	75	0	0
<b>Subtotal URM</b>	<b>935,234</b>	<b>1,023,015</b>	<b>1,095,802</b>	<b>998,212</b>	<b>1,064,805</b>
<b>Arts, Sciences and Engineering</b>					
Arts and Sciences	102,569	141,222	94,923	118,842	119,133
Hajim School of Engineering & Applied Sciences	135,924	109,021	126,988	131,404	110,889
<b>Subtotal for AS&amp;E</b>	<b>238,493</b>	<b>250,243</b>	<b>221,911</b>	<b>250,246</b>	<b>230,022</b>
Laboratory for Laser Energetics	375,764	126,801	47,688	99,803	102,210
<b>Other Schools and Companies</b>					
Eastman Institute for Oral Health	3,110	15,387	10,984	13,007	4,904
Warner School of Education	2,180	6,983	6,056	6,019	4,574
Memorial Art Gallery	787	364	1,705	1,030	502
Simon School of Business	300	0	123	100	25
Eastman School of Music	0	678	875	4	10
University Other	3,094	7,025	8,650	8,735	2,508
<b>Subtotal Other</b>	<b>9,471</b>	<b>30,437</b>	<b>28,393</b>	<b>28,895</b>	<b>12,523</b>
<b>Total University</b>	<b>\$1,558,962</b>	<b>\$1,430,496</b>	<b>\$1,393,794</b>	<b>\$1,379,130</b>	<b>\$1,409,560</b>
<b>Number of Proposals Submitted <sup>1</sup></b>	<b>1,686</b>	<b>1,686</b>	<b>1,673</b>	<b>1,677</b>	<b>1,628</b>

Sources: UR-Coeus Sponsored Programs Database; Integrated Online Research Administration (IORA) Grants

<sup>1</sup> Continuation proposals submitted electronically to the sponsor by the Principal Investigator as part of the Research Project Proposal Report (RPPR) are not reflected in these numbers.

**Table 2**  
**Awards - Annual Funding Received by College/School/Company**

College/School/Company	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
<b>Medical Center</b>					
Medicine and Dentistry	\$227,728	\$236,254	\$243,762	\$237,342	\$271,685
Nursing	3,245	5,083	4,589	3,798	5,413
Hospitals and Clinics	115	299	355	465	299
Medical Center Administration	1,661	-41	1,769	0	0
<b>Subtotal URMC</b>	<b>232,749</b>	<b>241,595</b>	<b>250,475</b>	<b>241,605</b>	<b>277,397</b>
<b>Arts, Sciences and Engineering</b>					
Arts and Sciences	36,616	38,308	45,166	46,877	47,722
Hajim School of Engineering & Applied Sciences	22,290	29,162	28,612	26,619	36,604
<b>Subtotal AS &amp; E</b>	<b>58,906</b>	<b>67,470</b>	<b>73,778</b>	<b>73,496</b>	<b>84,326</b>
Laboratory for Laser Energetics	43,231	111,573	81,184	86,674	88,963
<b>Other Schools and Companies</b>					
Eastman Institute for Oral Health	2,240	3,243	3,092	1,395	2,378
Warner School of Education	2,740	4,922	1,589	2,755	3,580
Memorial Art Gallery	287	70	363	313	356
Simon School of Business	0	100	0	8	50
Eastman School of Music	0	23	10	17	10
University Other	2,744	8,799	2,182	6,506	25,259
<b>Subtotal Other</b>	<b>8,010</b>	<b>17,157</b>	<b>7,236</b>	<b>10,994</b>	<b>31,633</b>
<b>Total University</b>	<b>\$342,896</b>	<b>\$437,795</b>	<b>\$412,673</b>	<b>\$412,769</b>	<b>\$482,319</b>
<b>Number of Awards Received</b>	<b>1,859</b>	<b>1,891</b>	<b>1,892</b>	<b>1,890</b>	<b>1,934</b>

Source: UR-Coeus Sponsored Programs Database; Integrated Online Research Administration (IORA) Grants

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
- University Other includes Rush Rhees Library, River Campus General and University Central Administration
- Number of Awards Received includes continuation awards

Chart D

Awards - Sponsored Program Funding by Agency Type - FY 2021

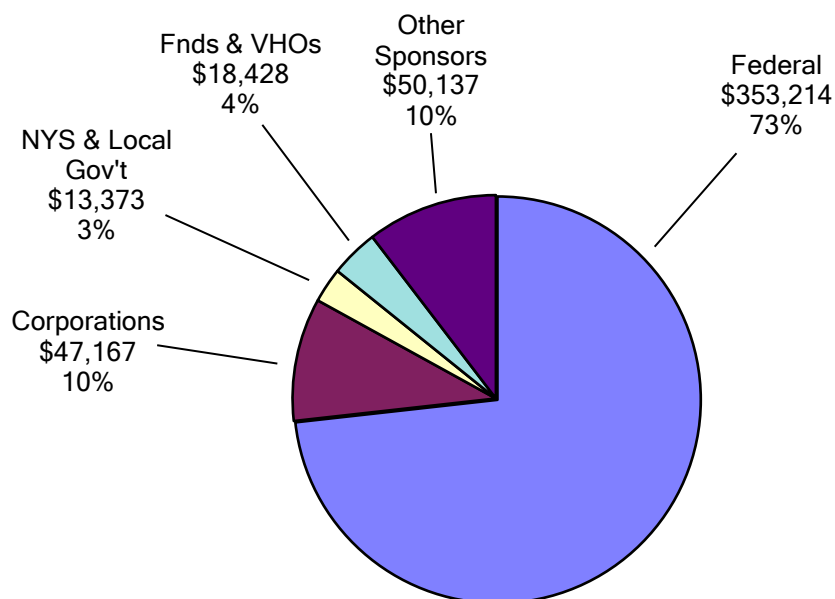


Table 3  
Sponsored Program Funding by Agency Type

Agency Type	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Federal	\$241,709	\$330,396	\$290,805	\$305,208	\$353,214
Corporations	26,812	26,910	39,634	30,912	47,167
NY State & Local Government	17,417	16,717	14,465	16,071	13,373
Foundations & Voluntary Health Organizations	14,987	16,250	17,262	15,255	18,428
Other Sponsors <sup>1</sup>	41,971	47,522	50,507	45,323	50,137
<b>TOTAL</b>	<b>\$342,896</b>	<b>\$437,795</b>	<b>\$412,673</b>	<b>\$412,769</b>	<b>\$482,319</b>

Sources: UR-Coeus Sponsored Programs Database; Integrated Online Research Administration (IORA) Grants

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**

<b>Federal Agency</b>	<b>FY 2017</b>	<b>FY 2018</b>	<b>FY 2019</b>	<b>FY 2020</b>	<b>FY 2021</b>
Health and Human Services (excluding NIH)	\$11,110	\$9,323	\$10,758	\$17,516	\$13,406
NIH	151,243	169,793	165,380	154,232	188,719
<b>Total Health and Human Services</b>	<b>162,353</b>	<b>179,116</b>	<b>176,139</b>	<b>171,748</b>	<b>202,125</b>
Department of Energy	47,074	113,306	79,452	93,194	92,356
Department of Defense	8,380	7,995	10,808	10,312	12,569
National Science Foundation	17,970	24,389	18,805	20,374	19,256
Department of Education <sup>1</sup>	3,775	3,472	3,109	7,171	24,515
National Aeronautics and Space Administration	1,778	1,203	1,839	1,490	1,140
National Endowment for the Arts / National Endowment for the Humanities	89	174	130	120	152
Other Federal Sponsors	290	741	523	799	1,101
<b>TOTAL</b>	<b>\$241,709</b>	<b>\$330,396</b>	<b>\$290,805</b>	<b>\$305,208</b>	<b>\$353,214</b>

Sources: UR-Coeus Sponsored Programs Database; Integrated Online Research Administration (IORA) Grants

<sup>1</sup>Includes CARES Act funding in FY's 2020 and 2021



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 also.

**Table 4**  
**Sponsors Awarding \$1 Million or More Annually - FY 2021**

Sponsor	Total \$ Awarded
National Institutes of Health	\$188,719
Department of Energy	\$92,356
U.S. Department of Education	\$24,515
National Science Foundation	\$19,256
Huntington Study Group	\$18,274
Department of Defense	\$12,569
New York State	\$8,441
State University of New York (SUNY) System	\$5,123
Centers for Disease Control and Prevention	\$5,063
Monroe County	\$4,932
Fred Hutchinson Cancer Research Center	\$3,023
Health Research Services Administration	\$2,884
Johns Hopkins University	\$2,747
Merck	\$2,660
NYS Energy Research & Development Authority	\$2,413
Pfizer Inc	\$2,403
Health Research Inc.	\$2,340
University of Colorado at Denver	\$1,796
Biogen	\$1,747
Boston University	\$1,698
Mother Cabrini Health Foundation	\$1,672
Sana Biotechnology	\$1,622
Kite Pharma, Inc.	\$1,377
Oscine Therapeutics	\$1,277
Arnold & Mabel Beckman Foundation	\$1,200
Scriptr Global	\$1,185
Parkinson's Foundation	\$1,173
Tesaro, Inc.	\$1,164
National Aeronautics & Space Administration	\$1,140

Sources: UR-Coeus Sponsored Programs Database; Integrated Online Research Administration (IORA) Grants

Table 5 provides information on the number of active awards in University colleges, schools or other units. This number encompasses all types of sponsored activities and may include awards received prior to FY 2021 that were active at any point during FY 2021. This table does not include funding for undergraduate financial aid.

**Table 5**  
**Summary of Awards Active at any Point in FY 2021<sup>1</sup>**  
**by College/School/Company**

College/School/Company	Number of Active Awards
<b>Medical Center</b>	
Medicine & Dentistry	1,865
Nursing	31
Strong Memorial Hospital	6
Medical Center Administration	1
<b>Arts, Sciences, and Engineering</b>	
Arts & Sciences	317
Hajim School of Engineering and Applied Sciences	254
<b>Other Schools and Companies</b>	
Laboratory for Laser Energetics	33
Eastman Institute for Oral Health	24
Warner School of Education	20
Memorial Art Gallery	19
Simon School of Business	3
Eastman School of Music	3
River Campus General	19
University General	2
<b>Total Active Projects</b>	<b>2,597</b>

Source: Integrated Online Research Administration (IORA) Grants

<sup>1</sup> Beginning in FY 21, the UR Financials Award (AWD) number is now used to identify projects in IORA. As a result, what had previously been counted as a single project in prior years may possibly be reported as two or more awards (AWDs) in IORA.

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 2017</b>	<b>FY 2018</b>	<b>FY 2019</b>	<b>FY 2020</b>	<b>FY 2021</b>
Research <sup>1</sup>	\$284,921	\$363,951	\$343,949	\$334,299	\$388,101
Fellowships & Training	25,067	29,808	28,595	23,171	22,164
Clinical Drug Trials	12,801	13,171	16,632	18,026	19,937
Libraries & Museums <sup>2</sup>	356	509	761	335	-
Conference & Travel	328	414	283	266	297
Equipment	754	10,885	2,534	2,408	5,716
Miscellaneous Activities	18,669	19,057	19,919	34,264	46,104
<b>Total</b>	<b>\$342,896</b>	<b>\$437,795</b>	<b>\$412,473</b>	<b>\$412,769</b>	<b>\$482,319</b>

Sources: UR-Coeus Sponsored Programs Database; Integrated Online Research Administration (IORA) Grants

<sup>1</sup>The Medical Center accounts for 58% 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 by NIH 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.

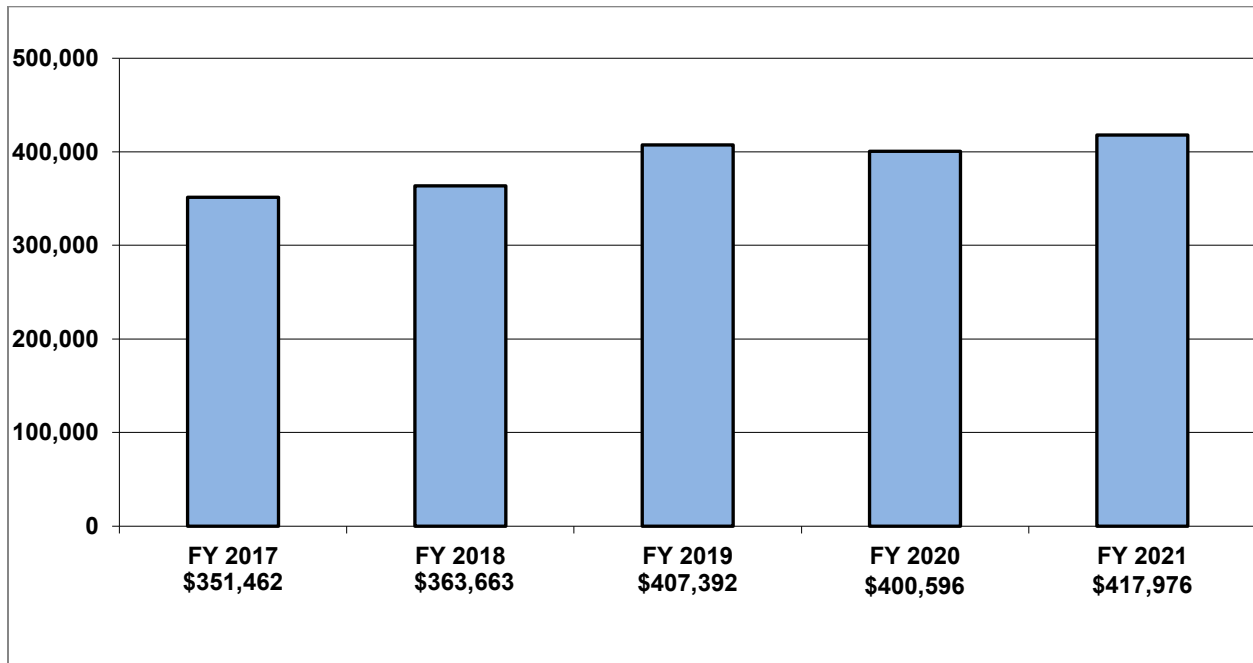
<sup>2</sup>Funding for Libraries & Museums is now reported under Miscellaneous Activities.

## Overview of Sponsored Programs Expenditures

In Fiscal Year 2021, the University of Rochester expended nearly \$418 million for sponsored activities, an increase of just over 4 percent from Fiscal Year 2020.

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/Company

School/Company	FY 2017	FY 2018	FY 2019	FY 2020	FY2021
<b>Medical Center</b>					
School of Medicine and Dentistry	\$217,228	\$221,516	\$228,874	\$228,952	\$242,162
School of Nursing	3,585	3,997	4,386	3,828	4,375
Hospitals and Clinics	418	312	302	299	339
Medical Center Administration <sup>1</sup>	593	2,013	314	-370	0
<b>Total URMC</b>	<b>221,824</b>	<b>227,838</b>	<b>233,876</b>	<b>232,709</b>	<b>246,876</b>
<b>Arts &amp; Sciences &amp; Engineering</b>					
Arts and Sciences	35,561	36,404	37,845	39,945	42,730
Hajim School of Engineering and Applied Sciences	18,696	26,956	30,624	26,304	25,565
<b>Total AS&amp;E</b>	<b>54,247</b>	<b>63,360</b>	<b>68,469</b>	<b>66,249</b>	<b>68,295</b>
Laboratory for Laser Energetics	72,942	75,817	88,903	80,193	79,826
<b>Other Schools and Companies</b>					
Warner School of Education	2,979	2,575	2,741	2,951	2,724
Eastman Institute for Oral Health	2,620	2,809	2,885	2,417	2,784
Memorial Art Gallery	217	255	253	379	210
Simon School of Business	0	48	0	7	48
Eastman School of Music	552	537	556	527	1,082
University Other <sup>2</sup>	8,272	9,327	9,709	15,164	16,131
<b>Total Other</b>	<b>14,640</b>	<b>15,551</b>	<b>16,144</b>	<b>21,445</b>	<b>22,979</b>
<b>Total University</b>	<b>\$363,663</b>	<b>\$382,566</b>	<b>\$407,392</b>	<b>\$400,596</b>	<b>\$417,976</b>

Source: UR Financials

<sup>1</sup>Includes Directors Office, UR Medical Faculty Group, Miner Library, Medical Center Finance, and some of Health Sciences (formerly Center for Community Health and Prevention) grants

<sup>2</sup>Includes funding for undergraduate student financial aid and Central Administration offices

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

Arts and Sciences	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Dean's Office	\$531	\$550	\$683	\$1,179	\$781
Anthropology	39	28	79	187	27
Art and Art History	0	0	8	1	0
Biology	6,540	7,650	6,709	7,601	9,551
Brain & Cognitive Sciences	4,100	3,192	1,826	1,169	1,619
Center for Visual Sciences	3,345	3,336	3,748	4,241	5,407
Chemistry	4,224	4,158	4,500	4,418	4,971
Clinical and Social Sciences in Psychology	4,789	5,803	6,103	6,560	5,927
Dance Program	4	0	0	0	0
Dean of Students	225	30	0	0	0
Earth and Environmental Sciences	2,383	2,347	2,342	2,762	2,399
English	46	45	73	34	37
History	17	49	60	191	101
Institute for Data Science	1,928	1,439	2,199	1,451	620
Kearns Center	581	43	12	4	0
Linguistics	92	24	9	60	235
Mathematics	310	362	232	210	211
McNair Program	191	223	-45	0	0
Modern Languages and Culture	0	2	0	15	11
Music	0	0	41	9	0
Physics and Astronomy	6,078	6,773	9,011	7,190	7,638
Religion	24	162	35	63	35
Rochester Data Science Consortium	0	0	0	2,304	2,989
Skalny Center for Polish/European Studies	63	61	62	60	26
Susan B Anthony Institute for Gender	0	0	0	0	0
Undergraduate Studies	0	0	0	44	64
Wallis Institute of Political Economy	51	127	158	192	81
<b>Subtotal A &amp; S</b>	<b>\$35,561</b>	<b>\$36,404</b>	<b>\$37,845</b>	<b>\$39,945</b>	<b>\$42,730</b>

Source: UR Financials

**Table 7.2.2**  
**Total Sponsored Program Expenditures - Engineering & Applied Sciences**  
**By Department / Cost Center**

Engineering & Applied Sciences	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Dean's Office Arts and Science	\$473	\$471	\$12	\$12	\$433
Dean's Office HSEAS	0	4,262	5,069	647	311
Biomedical Engineering	2,818	3,693	4,216	4,045	4,155
Center for Emerging & Innovative Sciences	1,664	1,463	847	748	620
Ain Center for Entrepreneurship	0	0	0	0	87
Center for Medical Technology Innovation	5	0	0	0	0
Chemical Engineering	494	519	982	764	815
Computer Science	2,553	3,015	3,606	3,908	3,662
Electrical & Computer Engineering	2,725	3,708	4,110	3,948	4,427
IMAXED	-	-	-	-	439
Institute for Data Science	51	84	81	50	0
Mechanical Engineering	732	1,125	1,782	3,213	3,804
Del Monte Neuromedicine Institute	0	0	2	0	0
Institute of Optics	6,947	8,400	9,444	8,747	6,529
Pathology and Lab Medicine	9	13	0	0	0
Imaging Sciences	8	10	1	0	0
Surgery	-9	0	0	0	0
Ophthalmology	-4	0	0	0	0
Orthopaedic Surgery	230	193	124	222	283
<b>Subtotal HSEAS</b>	<b>\$18,696</b>	<b>\$26,956</b>	<b>\$30,625</b>	<b>\$26,304</b>	<b>\$25,565</b>
<b>Total AS &amp; E</b>	<b>\$54,257</b>	<b>\$63,360</b>	<b>\$68,470</b>	<b>\$66,249</b>	<b>\$68,295</b>

Source: UR Financials

Note: Due to the manner in which some FAO's have been set up in URF, some expenditures for the SMD cost Centers that appear above are being reported in HSEAS due to the SMD investigator's collaboration on projects awarded to HSEAS investigators

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

Medicine and Dentistry	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Dean for Research	\$0	\$0	\$7	\$3	\$5
Anesthesiology	2,552	2,765	2,442	2,282	2,730
Biochemistry and Biophysics	5,815	5,299	5,865	7,069	8,338
Biomedical Engineering	927	1,180	1,649	1,564	1,306
Biomedical Genetics	2,457	3,057	5,537	4,324	5,253
Biostatistics and Computational Biology	1,550	1,115	2,034	2,057	1,892
Brain and Cognitive Sciences	0	11	15	0	0
Cancer Center	8,206	7,261	11,416	13,576	16,529
Center for Human Experimental Therapeutics	11,646	10,361	10,008	12,398	11,746
Center for Experiential Learning	20	3	0	0	0
Center for Neural Development and Disease	3,851	3,447	3,105	2,639	1,438
Center for Oral Biology	2,139	1,800	1,995	2,130	2,381
Center for Pediatric Biomedical Research	2,287	1,893	1,327	714	1,121
Center for Translational Neuromedicine	6,746	7,162	6,320	7,195	6,723
Center for Vaccine Biology	10,917	11,463	12,170	12,119	11,365
Center for Visual Science	0	54	197	45	48
Clinical Dentistry	66	-22	113	-235	-40
Clinical and Translational Science Institute	7,400	9,471	10,768	10,997	10,086
Development Center for AIDS Research	1,545	1,694	908	353	-4
Dermatology	1,225	1,999	3,194	2,583	3,080
Emergency Medicine	1,168	1,165	1,917	1,799	2,055
Environmental Medicine	9,399	10,037	8,642	9,540	8,653
Family Medicine	2,323	1,163	1,221	1,227	999
Imaging Sciences	308	194	180	211	227
Medicine <sup>1</sup>	34,647	33,348	30,401	29,849	32,177

(Continued on next page)

Note: Due to the manner in which expenditures are reported in UR Financials, some cost centers may appear in more than one division



Medicine and Dentistry cont'd	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Microbiology and Immunology	8,563	8,109	7,354	6,512	6,161
Neurobiology and Anatomy	4,581	6,549	7,854	7,065	9,795
Neurology	12,919	13,375	14,501	14,172	14,119
Delmonte Neuromedicine Institute	0	26	149	255	189
Neurosurgery	275	317	255	552	454
Obstetrics and Gynecology	2,969	2,928	2,870	3,159	3,107
Ophthalmology	3,985	5,299	6,022	6,093	5,303
Orthopaedics	5,782	6,512	6,675	6,231	6,080
Otolaryngology	664	757	951	1,148	1,457
Pathology and Lab Medicine	3,465	2,836	1,602	980	1,186
Pediatrics	21,342	21,173	19,788	18,630	22,493
Pharmacology and Physiology	6,210	6,141	7,832	7,608	6,680
Physical Medicine and Rehab	41	11	16	4	1
Psychiatry	12,840	15,530	14,827	13,886	15,476
Psychology (formerly Clinical and Social Psychology)				13	77
Public Health Sciences (formerly Department of Community and Preventive Medicine)	4,333	3,880	6,775	7,828	7,619
Radiation Oncology	394	551	608	602	630
Surgery	8,591	8,093	8,359	9,008	12,247
Urology	397	494	506	365	615
SMD Other <sup>2</sup>	410	409	499	415	365
<b>Total SMD</b>	<b>\$217,228</b>	<b>\$221,516</b>	<b>\$228,874</b>	<b>\$228,952</b>	<b>\$242,162</b>

Source: UR Financials

<sup>1</sup>Excludes expenditures in the Wilmot Cancer Center

<sup>2</sup>Includes Medical Student Financial Affairs Office, Offices for Medical Education and Medical Center Finance Office

**Table 7.2.4**  
**Total Sponsored Program Expenditures - School of Medicine and Dentistry**  
**Department of Medicine by Unit / Cost Center**

<b>Cost Center</b>	<b>FY 2017</b>	<b>FY 2018</b>	<b>FY 2019</b>	<b>FY 2020</b>	<b>FY 2021</b>
Aab Cardiovascular Research Institute	\$5,360	\$5,752	\$7,275	\$6,593	\$6,203
Cardiology (Heart and Vascular)	7,657	3,010	1,161	1,224	660
Clinical Cardiovascular Research Ctr	1,333	2,989	3,043	3,396	3,435
Endocrinology	828	566	601	826	332
Gastroenterology	256	317	337	259	375
General Medicine	52	0	0	0	0
Hematology/Oncology <sup>1</sup>	177	160	62	0	--
Highland Hospital	235	123	0	57	90
Hospitalist Medicine	5	0	10	0	0
Immunology	1,550	1,811	2,406	2,548	2,640
Infectious Diseases	11,773	13,153	10,052	9,436	12,295
Monroe Community Hospital	825	820	997	883	1,247
Nephrology	1,454	1,607	1,848	2,761	2,939
Palliative Care	173	255	173	94	87
Pulmonary	2,970	2,785	2,436	1,772	1,874
<b>Total Department of Medicine</b>	<b>\$34,647</b>	<b>\$33,348</b>	<b>\$30,401</b>	<b>\$29,849</b>	<b>\$32,177</b>

Source: UR Financials

<sup>1</sup>Expenditures are now reported under Cancer Center

**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**

<b>College/Company</b>	<b>FY 2017</b>	<b>FY 2018</b>	<b>FY 2019</b>	<b>FY 2020</b>	<b>FY 2021</b>
<b><u>Medical Center</u></b>					
Medicine & Dentistry	\$164,531	\$166,567	\$172,760	\$172,155	\$182,902
Nursing	2,975	3,192	3,445	2,944	3,416
Hospitals and Clinics	409	296	286	285	324
Medical Center Administration	503	2,003	0	-372	0
<b><u>Arts, Sciences and Engineering</u></b>					
Arts and Science	27,707	28,591	29,884	31,360	33,021
Hajim School of Engineering & Applied Sciences	14,483	21,676	24,320	19,754	18,869
<b><u>Other Schools and Companies</u></b>					
Laboratory for Laser Energetics	55,473	58,197	71,090	61,293	60,528
Eastman Institute for Oral Health	1,915	2,068	2,266	1,911	2,216
Warner School of Education	2,724	2,266	2,404	2,556	2,255
Simon School of Business	0	48	0	5	47
Eastman School of Music	549	536	556	519	1,080
Memorial Art Gallery	217	255	251	361	230
University Other	8,157	9,112	9,783	15,137	16,049
<b>Total University Direct Costs</b>	<b>\$279,644</b>	<b>\$294,807</b>	<b>\$317,045</b>	<b>\$307,908</b>	<b>\$320,937</b>

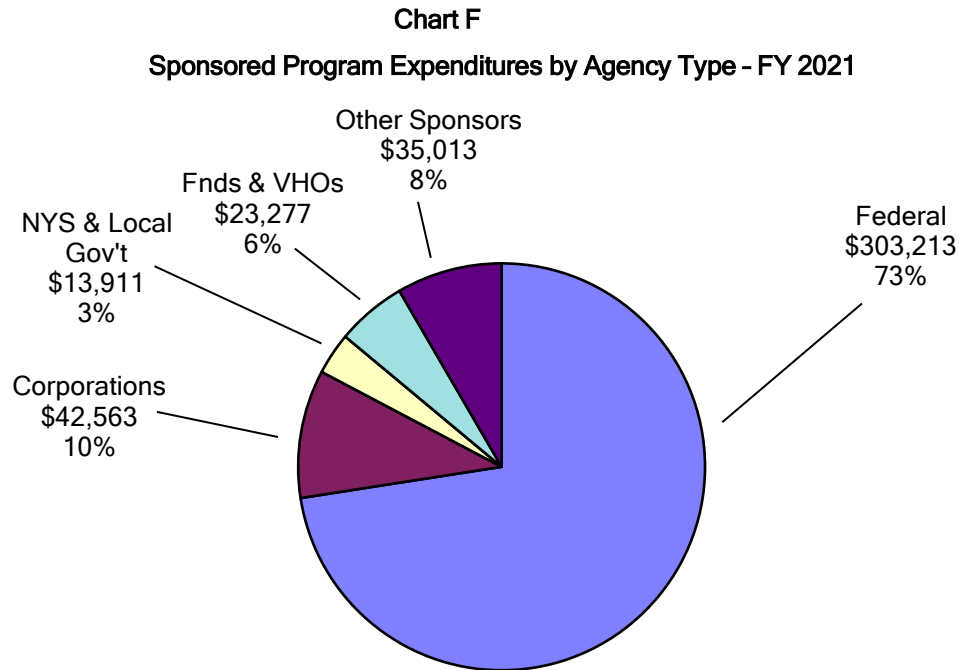
Source: UR Financials

**Table 8.1**  
**Facilities & Administrative Costs Recovery**

<b>College/Company</b>	<b>FY 2017</b>	<b>FY 2018</b>	<b>FY 2019</b>	<b>FY 2020</b>	<b>FY 2021</b>
<b><u>Medical Center</u></b>					
Medicine & Dentistry	\$52,698	\$54,949	\$56,114	\$56,798	\$59,260
Nursing	609	805	941	884	959
Hospitals and Clinics	9	16	16	13	15
Medical Center Administration	90	11	0	2	0
<b><u>Arts, Sciences and Engineering</u></b>					
Arts and Sciences	7,854	7,813	7,961	8,585	9,709
Hajim School of Engineering & Applied Sciences	4,212	5,280	6,304	6,550	6,697
<b><u>Other Schools and Companies</u></b>					
Laboratory for Laser Energetics	17,469	17,619	17,813	18,900	19,298
Eastman Institute for Oral Health	705	740	618	506	568
Warner School of Education	256	310	337	394	469
Simon School of Business	0	0	0	2	0
Eastman School of Music	3	0	1	8	2
Memorial Art Gallery	0	0	2	18	-20
University Other	44	216	240	27	82
<b>Total University F&amp;A Costs</b>	<b>\$84,019</b>	<b>\$87,759</b>	<b>\$90,347</b>	<b>\$92,687</b>	<b>\$97,039</b>

Source: UR Financials

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 2017	FY 2018	FY 2019	FY 2020	FY 2021
Federal	\$266,049	\$281,455	\$299,171	\$292,175	\$303,213
Corporations	33,268	27,901	34,563	40,730	42,563
NY State & Local Government	16,511	14,166	13,072	11,805	13,911
Foundations & Voluntary Health Organizations	21,776	23,682	22,621	22,851	23,277
Other Sponsors <sup>1</sup>	26,059	35,362	37,965	33,035	35,013
<b>TOTAL</b>	<b>\$363,663</b>	<b>\$382,566</b>	<b>\$407,392</b>	<b>\$400,596</b>	<b>\$417,977</b>

Source: UR Financials

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**

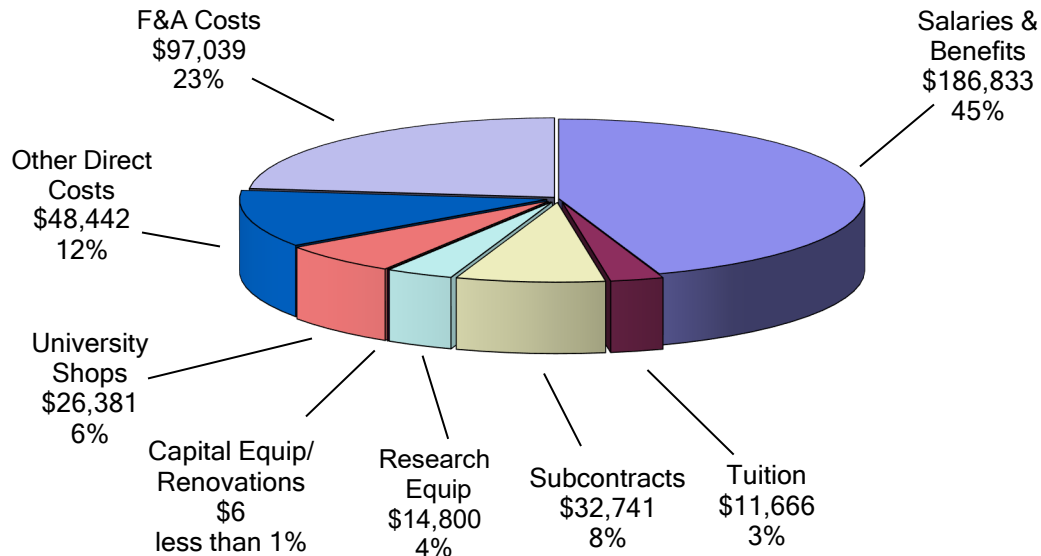
Federal Agency	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Health and Human Services (includes NIH)	\$160,155	\$166,982	\$165,927	\$163,157	\$174,009
Department of Energy	72,924	78,373	92,186	82,021	82,438
Department of Defense	5,116	6,068	9,022	11,469	10,877
National Science Foundation	14,624	16,890	19,110	17,840	18,090
Department of Education	10,902	11,563	10,679	15,550	15,783
National Aeronautics and Space Administration	1,752	1,099	1,656	1,323	1,272
Other Federal Sponsors	576	480	591	815	744
<b>TOTAL</b>	<b>\$266,049</b>	<b>\$281,455</b>	<b>\$299,171</b>	<b>\$292,175</b>	<b>\$303,213</b>

Source: UR Financials

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 2017	FY 2018	FY 2019	FY 2020	FY 2021
Salaries & Benefits	\$161,433	\$165,924	\$171,763	\$179,595	\$186,833
Tuition	10,156	9,639	9,586	12,371	11,666
Subcontracts	30,488	30,881	28,645	31,474	32,741
Research Equipment	14,671	21,365	33,975	13,300	14,800
Capital Equipment/Renovations	228	324	10	6	75
University Shops	20,659	22,434	26,559	25,347	26,381
Other Direct Costs <sup>1</sup>	42,010	44,240	46,507	45,816	48,442
<b>Total Direct Costs</b>	<b>279,645</b>	<b>294,807</b>	<b>317,045</b>	<b>307,909</b>	<b>320,937</b>
Facilities & Administrative Costs	84,018	87,759	90,347	92,687	97,039
<b>TOTAL</b>	<b>\$363,663</b>	<b>\$382,566</b>	<b>\$407,392</b>	<b>\$400,596</b>	<b>\$417,976</b>

Source: UR Financials

<sup>1</sup>"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 2020 is the latest data available online at the time of this printing.

By Federally Financed Research and Development Expenditures		
1	Johns Hopkins University	\$2,682,410
2	University of Washington	1,024,195
3	University of Michigan	884,880
4	Georgia Institute of Technology	790,518
5	Columbia University	762,289
6	Stanford University	751,414
7	University of California, San Diego	727,289
8	University of Pennsylvania	721,308
9	Duke University	707,746
10	University of North Carolina, Chapel Hill	706,145
11	University of Pittsburgh	689,273
12	University of Maryland	689,125
13	University of California, San Francisco	676,331
14	University of California, Los Angeles	655,030
15	Pennsylvania State University	638,930
16	University of Wisconsin, Madison	632,558
17	Harvard University	605,603
18	Yale University	585,170
19	University of Southern California	562,120
20	Cornell University	562,021
21	University of Washington, St. Louis	559,882
22	Ohio State University	539,359
23	Northwestern University	531,654
24	Texas A&M University	517,489
25	Vanderbilt University	514,299
26	University of Minnesota	514,092
27	University of Texas, Austin	500,409
28	Massachusetts Institute of Technology	488,471
29	Icahn School of Medicine at Mt. Sinai	480,452
30	Emory University	452,636
31	New York University	448,850



By Federally Financed Research and Development Expenditures		
32	University of Colorado, Boulder	427,689
33	University of Alabama, Birmingham	400,110
34	University of Florida	397,202
35	University of Illinois, Urbana-Champaign	387,853
36	University of California, Davis	380,965
37	Case Western Reserve University	357,589
38	University of Chicago	352,447
39	University of California, Berkeley	349,989
40	University of Colorado, Denver	348,724
41	Indiana University	343,876
42	Boston University	339,172
43	Michigan State University	329,748
44	University of Arizona	328,807
45	Oregon Health and Science University	321,572
46	California Institute of Technology	316,519
47	Baylor College of Medicine	315,101
48	University of Utah	314,023
49	Rutgers University	311,743
50	University of Virginia, Charlottesville	300,348
<b>51</b>	<b>University of Rochester</b>	<b>296,241</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.

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

By Federally Financed Research and Development Expenditures		
1	Columbia University	\$762,289
2	Cornell University	562,021
3	Icahn School of Medicine at Mt. Sinai	480,452
4	New York University	448,850
<b>5</b>	<b>University of Rochester</b>	<b>296,241</b>

Source: National Center for Science and Engineering Statistics (NCSES), *Higher Education Research and Development Survey Fiscal Year 2020, Table 23*, NSF 22-311. National Science Foundation.

The University has two departments ranked in the top 10 of FY 2021 NIH funding

Top 10 Departments in NIH Funding FY 2020 - 2021		
	FY 2020	FY 2021
Department of Biomedical Engineering	9	7
Department of Orthopaedics	7	6

Note: NIH ranking data corresponds to the federal government fiscal year, which begins October 1 and ends September 30.

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.

The Material Transfer function within ORPA also includes responsibility for the review and negotiation of any Confidential Disclosure Agreement (CDA) that binds the University as well as Data Use Agreements (DUAs).

Table 11

	FY18	FY19	FY20	FY21
Total # of CDA	355	323	454	454
Total # of DUA	70	119	315	271
Total # of MTA	244	235	289	295
Total # of Agreements	669	677	1,058	1,020
<b>Average Agreements per Month</b>	<b>56</b>	<b>56</b>	<b>88</b>	<b>85</b>

### CONTACT INFORMATION

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