
**OFFICE OF RESEARCH AND PROJECT
ADMINISTRATION**

**ANNUAL REPORT OF
SPONSORED PROGRAM ACTIVITIES
FISCAL YEAR 2022**



Introduction

We are pleased to present the Office of Research and Project Administration (ORPA) Annual Report for Fiscal Year 2022 ending June 30th, 2022, 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

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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 **1,606** new, continuation, supplemental, and renewal proposals were submitted in FY 2022 and **1,908** awards received sponsored program funding actions.

Note: All dollars throughout this report are in thousands

Chart A
Dollar Value of Proposals Submitted - FY 2022

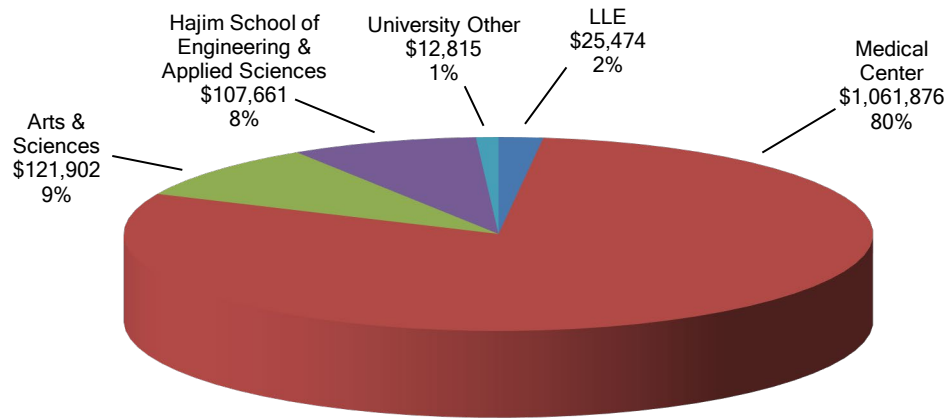
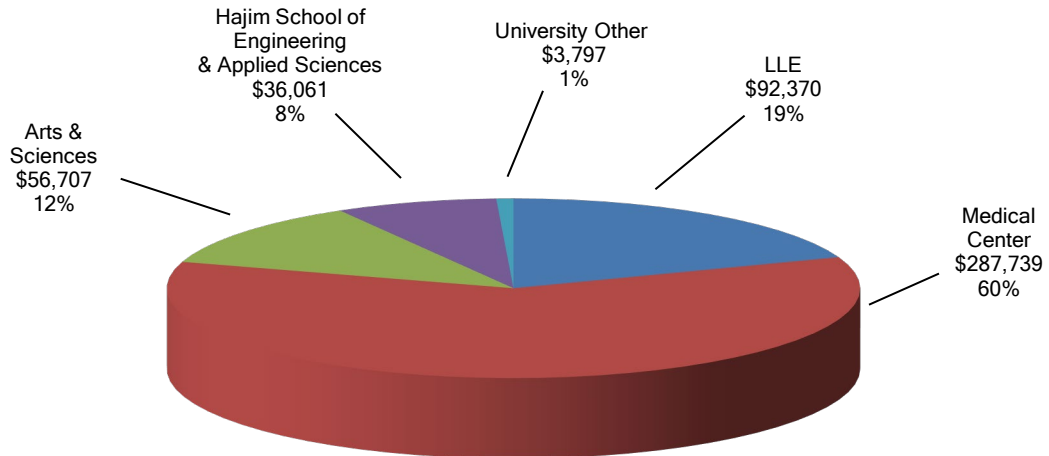


Chart B
Awards Dollars Received - FY 2022

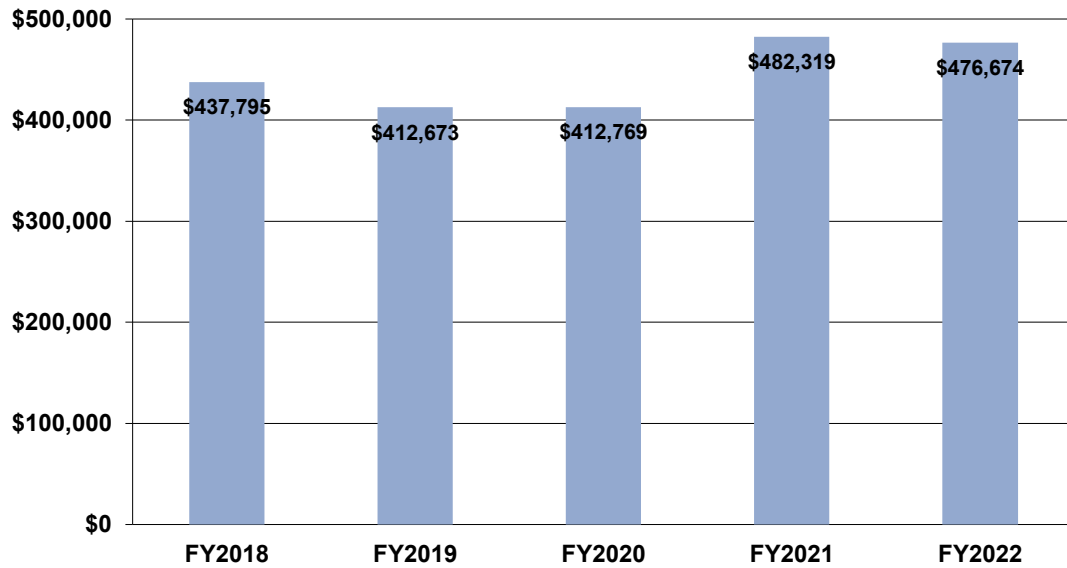


Please note: The 2022 proposal and award figures shown on pages 3 - 11 of this report reflect the information that was available as of February 2023 and may be subject to change as necessary.

Overview of Sponsored Programs Funding

In Fiscal Year 2022, the University of Rochester received over \$476 million in funding, a slight decrease of 1% from Fiscal Year 2021.

Chart C
Award Dollars Received During Last Five Fiscal Years



Fiscal Year 2021 award dollars 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 2022, 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

| College/School/Company | FY 2018 | FY 2019 | FY 2020 | FY 2021 | FY 2022 |
|---|--------------------|--------------------|--------------------|--------------------|--------------------|
| Medical Center | | | | | |
| Medicine and Dentistry | \$990,421 | \$1,063,918 | \$975,735 | \$1,043,935 | \$1,040,490 |
| Nursing | 30,581 | 31,530 | 22,279 | 20,865 | 11,032 |
| Hospitals and Clinics | 363 | 279 | 197 | 5 | 1,474 |
| Eastman Institute for Oral Health | 15387 | 10,984 | 13,007 | 4,904 | 7,881 |
| Medical Center Administration | 1,650 | 75 | 0 | 0 | 999 |
| Subtotal URM | 1,038,402 | 1,106,786 | 1,011,218 | 1,069,709 | 1,061,876 |
| Arts, Sciences and Engineering | | | | | |
| Arts and Sciences | 141,222 | 94,923 | 118,842 | 119,133 | 121,902 |
| Hajim School of Engineering & Applied Sciences | 109,021 | 126,988 | 131,404 | 110,889 | 107,661 |
| Subtotal for AS&E | 250,243 | 221,911 | 250,246 | 230,022 | 229,563 |
| Laboratory for Laser Energetics | 126,801 | 47,688 | 99,803 | 102,210 | 25,474 |
| Other Schools and Companies | | | | | |
| Warner School of Education | 6,983 | 6,056 | 6,019 | 4,574 | 6,699 |
| Memorial Art Gallery | 364 | 1,705 | 1,030 | 502 | 825 |
| Simon School of Business | 0 | 123 | 100 | 25 | 304 |
| Eastman School of Music | 678 | 875 | 4 | 10 | 84 |
| University Other | 7,025 | 8,650 | 8,735 | 2,508 | 4,903 |
| Subtotal Other | 15,050 | 17,409 | 15,888 | 7,619 | 12,815 |
| Total University | \$1,430,496 | \$1,393,794 | \$1,377,155 | \$1,409,560 | \$1,329,728 |
| Number of Proposals Submitted ¹ | 1,686 | 1,673 | 1,677 | 1,628 | 1,606 |

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

¹ 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 2018 | FY 2019 | FY 2020 | FY 2021 | FY 2022 |
|--|------------------|------------------|------------------|------------------|------------------|
| Medical Center | | | | | |
| Medicine and Dentistry | \$236,254 | \$243,762 | \$237,342 | \$271,685 | \$275,745 |
| Nursing | 5,083 | 4,589 | 3,798 | 5,413 | 5,575 |
| Hospitals and Clinics | 299 | 355 | 465 | 299 | 325 |
| Eastman Institute for Oral Health | 3,243 | 3,092 | 1,395 | 2,378 | 5,098 |
| Medical Center Administration | -41 | 1,769 | 0 | 0 | 996 |
| Subtotal URMC | 244,838 | 253,567 | 243,000 | 279,775 | 287,739 |
| Arts, Sciences and Engineering | | | | | |
| Arts and Sciences | 38,308 | 45,166 | 46,877 | 47,722 | 56,707 |
| Hajim School of Engineering & Applied Sciences | 29,162 | 28,612 | 26,619 | 36,604 | 36,061 |
| Subtotal for AS&E | 67,470 | 73,778 | 73,496 | 84,326 | 92,768 |
| Laboratory for Laser Energetics | 111,573 | 81,184 | 86,674 | 88,963 | 92,370 |
| Other Schools and Companies | | | | | |
| Warner School of Education | 4,922 | 1,589 | 2,755 | 3,580 | 1,479 |
| Memorial Art Gallery | 70 | 363 | 313 | 356 | 239 |
| Simon School of Business | 100 | 0 | 8 | 50 | -44 |
| Eastman School of Music | 23 | 10 | 17 | 10 | 10 |
| University Other | 8,799 | 2,182 | 6,506 | 25,259 | 2,113 |
| Subtotal Other | 13,914 | 4,144 | 9,599 | 29,255 | 3,797 |
| Total University | \$437,795 | \$412,673 | \$412,769 | \$482,319 | \$476,674 |
| Number of Awards Received | 1,891 | 1,892 | 1,890 | 1,934 | 1,909 |

Sources: 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 2022

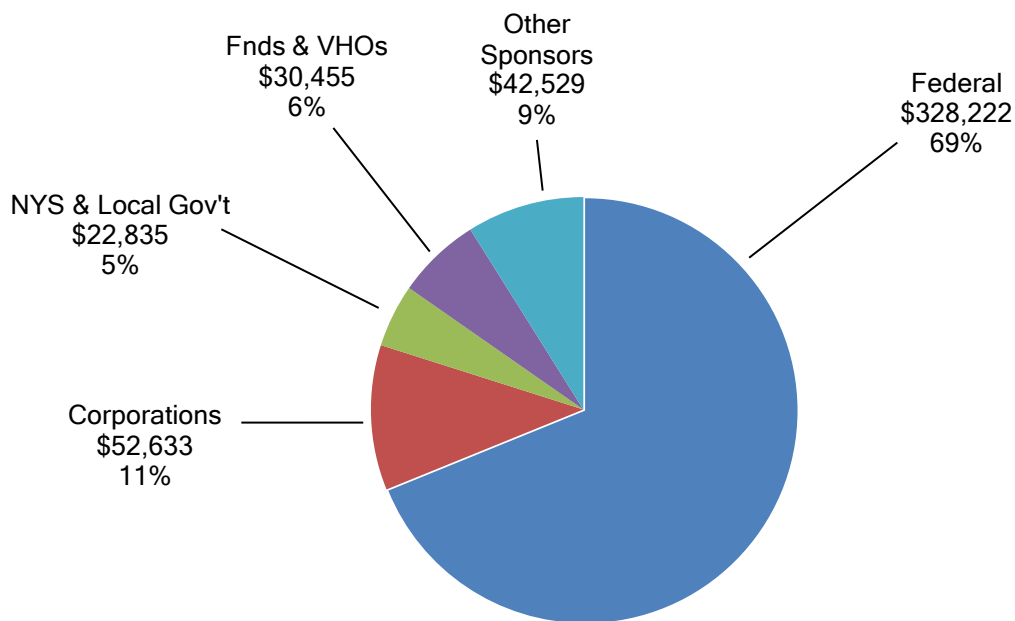


Table 3
Sponsored Program Funding by Agency Type

| Agency Type | FY 2018 | FY 2019 | FY 2020 | FY 2021 | FY 2022 |
|--|------------------|------------------|------------------|------------------|------------------|
| Federal | \$330,396 | \$290,805 | \$305,208 | \$353,214 | \$328,222 |
| Corporations | 26,910 | 39,634 | 30,912 | 47,167 | 52,633 |
| NY State & Local Government | 16,717 | 14,465 | 16,071 | 13,373 | 22,835 |
| Foundations & Voluntary Health Organizations | 16,250 | 17,262 | 15,255 | 18,428 | 30,455 |
| Other Sponsors ¹ | 47,522 | 50,507 | 45,323 | 50,137 | 42,529 |
| Total | \$437,795 | \$412,673 | \$412,769 | \$482,319 | \$476,674 |

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

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 2018 | FY 2019 | FY 2020 | FY 2021 | FY 2022 |
|--|------------------|------------------|------------------|------------------|------------------|
| Health & Human Services (excludes NIH) | \$9,323 | \$10,758 | \$17,516 | \$13,406 | \$14,317 |
| National Institutes of Health | 169,793 | 165,380 | 154,232 | 188,719 | 182,390 |
| Total Health & Human Services | 179,116 | 176,139 | 171,748 | 202,125 | 196,707 |
| Department of Energy | 113,306 | 79,452 | 93,194 | 92,356 | 89,611 |
| Department of Defense | 7,995 | 10,808 | 10,312 | 12,569 | 13,118 |
| National Science Foundation | 24,389 | 18,805 | 20,374 | 19,256 | 24,556 |
| Department of Education ¹ | 3,472 | 3,109 | 7,171 | 24,515 | 2,096 |
| National Aeronautics & Space Administration | 1,203 | 1,839 | 1,490 | 1,140 | 951 |
| National Endowment for the Arts / National Endowment for the Humanities ² | 174 | 130 | 120 | 152 | - |
| Other Federal Sponsors | 741 | 523 | 799 | 1,101 | 1,183 |
| Total | \$330,396 | \$290,805 | \$305,208 | \$353,214 | \$328,222 |

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

¹Includes CARES Act funding in FY's 2020 and 2021

²Reported under Other Federal Sponsors beginning 2022

As indicated in Chart D on page 7, the federal government is the primary source of sponsored program funding. However, the University also receives significant funding from other sources.

Table 4
Sponsors Awarding \$1 Million or More Annually - FY 2022

| Sponsor | Total \$ Awarded |
|--|------------------|
| National Institutes of Health | \$182,390 |
| Department of Energy | \$89,611 |
| National Science Foundation | \$24,556 |
| New York State | \$20,417 |
| Department of Defense | \$13,118 |
| Health Research Inc. | \$9,165 |
| Health Research Services Administration | \$8,013 |
| Huntington Study Group | \$6,843 |
| State University of New York (SUNY) System | \$4,569 |
| Meta Platforms Technologies | \$4,281 |
| Sana Biotechnology | \$4,065 |
| Centers for Disease Control and Prevention | \$3,499 |
| CEA CESTA | \$2,810 |
| Fred Hutchinson Cancer Research Center | \$2,458 |
| Monroe County | \$2,418 |
| U.S. Department of Education | \$2,096 |
| Mt. Sinai School of Medicine | \$2,039 |
| University of Colorado at Denver | \$1,855 |
| Templeton World Charity Foundation | \$1,831 |
| Unearthly Materials Inc | \$1,751 |
| Massachusetts General Hospital | \$1,700 |
| Johns Hopkins University | \$1,570 |
| Pfizer Inc | \$1,503 |
| Astrazeneca | \$1,362 |
| Stanford University | \$1,269 |
| Averitas Pharma Inc | \$1,199 |
| University of Southern California | \$1,165 |
| Merck Sharpe & Dohme | \$1,145 |
| Parkinson's Foundation | \$1,104 |
| Genentech Inc. | \$1,081 |
| Cystic Fibrosis Foundation | \$1,050 |
| University of California at Los Angeles | \$1,031 |
| Good Ventures Foundation | \$1,014 |

Source: 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 2022 that were active at any point during FY 2022. This table does not include funding for undergraduate financial aid.

Table 5
Summary of Awards Active at any Point in FY 2022¹
by College/School/Company

| College/School/Company | Number of Active Awards |
|--|-------------------------|
| Medical Center | |
| Medicine & Dentistry | 1,871 |
| Nursing | 33 |
| Strong Memorial Hospital | 6 |
| Eastman Institute for Oral Health | 26 |
| Medical Center Administration | 1 |
| Arts, Sciences, and Engineering | |
| Arts & Sciences | 328 |
| Hajim School of Engineering and Applied Sciences | 229 |
| Other Schools and Companies | |
| Laboratory for Laser Energetics | 35 |
| Warner School of Education | 14 |
| Memorial Art Gallery | 21 |
| Simon School of Business | 2 |
| Eastman School of Music | 2 |
| River Campus General | 16 |
| University General | 3 |
| Total Active Projects | 2,587 |

Source: Integrated Online Research Administration (IORA) Grants

¹ Beginning in FY 21, the UR Financials Award (AWD) number is being used to count projects in IORA. As a result, awards previously 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

| Purpose | FY 2018 | FY 2019 | FY 2020 | FY 2021 | FY 2022 |
|----------------------------------|------------------|------------------|------------------|------------------|------------------|
| Research ¹ | \$363,951 | \$343,949 | \$334,299 | \$388,101 | \$388,652 |
| Fellowships & Training | 29,808 | 28,595 | 23,171 | 22,164 | 25,000 |
| Clinical Drug Trials | 13,171 | 16,632 | 18,026 | 19,937 | 29,946 |
| Libraries & Museums ² | 509 | 761 | 335 | - | - |
| Conference & Travel | 414 | 283 | 266 | 297 | 69 |
| Equipment | 10,885 | 2,534 | 2,408 | 5,716 | 1,347 |
| Miscellaneous Activities | 19,057 | 19,919 | 34,264 | 46,104 | 31,660 |
| Total | \$437,795 | \$412,673 | \$412,769 | \$482,319 | \$476,674 |

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

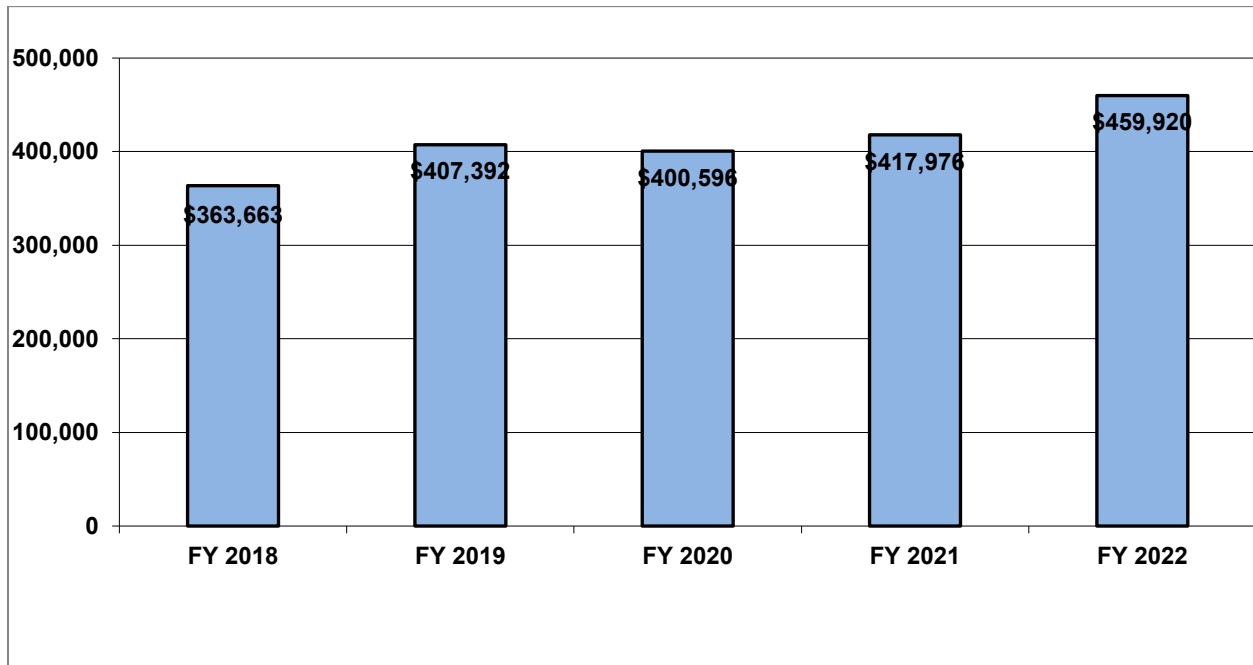
¹The Medical Center accounts for 59% of all externally sponsored research funding. Of that amount, roughly half is related to clinical research, according to the Clinical Research Resource Inventory, a survey of principal investigators at the Medical Center. Clinical research is defined by NIH as research 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.

²Libraries & Museums funding now reported under Miscellaneous Activities.

Overview of Sponsored Programs Expenditures

In Fiscal Year 2022, the University of Rochester expended nearly \$460 million for sponsored activities, an increase of 10 percent from Fiscal Year 2021.

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**

| College/School/Company | FY 2018 | FY 2019 | FY 2020 | FY 2021 | FY 2022 |
|--|------------------|------------------|------------------|------------------|------------------|
| Medical Center | | | | | |
| Medicine and Dentistry | \$221,516 | \$228,874 | \$228,952 | \$242,162 | \$255,666 |
| Nursing | 3,997 | 4,386 | 3,828 | 4,375 | 4,897 |
| Hospitals and Clinics | 312 | 302 | 299 | 339 | 124 |
| Eastman Institute for Oral Health | 2,809 | 2,885 | 2,417 | 2,784 | 3,196 |
| Medical Center Administration ¹ | 2,013 | 314 | -370 | 0 | 635 |
| Subtotal URMC | 230,647 | 236,761 | 235,126 | 249,660 | 264,518 |
| Arts, Sciences and Engineering | | | | | |
| Arts and Sciences | 36,404 | 37,845 | 39,945 | 42,730 | 46,664 |
| Hajim School of Engineering & Applied Sciences | 26,956 | 30,624 | 26,304 | 25,565 | 32,633 |
| Subtotal for AS&E | 63,360 | 68,469 | 66,249 | 68,295 | 79,297 |
| Laboratory for Laser Energetics | 75,817 | 88,903 | 80,193 | 79,826 | 86,434 |
| Other Schools and Companies | | | | | |
| Warner School of Education | 2,575 | 2,741 | 2,951 | 2,724 | 2,959 |
| Memorial Art Gallery | 255 | 253 | 379 | 210 | 459 |
| Simon School of Business | 48 | 0 | 7 | 48 | 1 |
| Eastman School of Music | 537 | 556 | 527 | 1,082 | 2,182 |
| University Other ² | 9,327 | 9,709 | 15,164 | 16,131 | 24,070 |
| Subtotal Other | 12,742 | 13,259 | 19,028 | 20,195 | 29,671 |
| Total University | \$382,566 | \$407,392 | \$400,596 | \$417,976 | \$459,920 |

Source: UR Financials

¹Includes Directors Office, UR Medical Faculty Group, Miner Library, Medical Center Finance, and some Center for Community Health and Prevention grants

²Includes 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 & Sciences | FY 2018 | FY 2019 | FY 2020 | FY 2021 | FY 2022 |
|--|-----------------|-----------------|-----------------|-----------------|-----------------|
| Dean's Office | \$550 | \$683 | \$1,179 | \$781 | \$1,811 |
| Anthropology | 28 | 79 | 187 | 27 | 142 |
| Art and Art History | 0 | 8 | 1 | 0 | 0 |
| Biology | 7,650 | 6,709 | 7,601 | 9,551 | 10,129 |
| Brain & Cognitive Sciences | 3,192 | 1,826 | 1,169 | 1,619 | 1,880 |
| Center for Energy and the Environment | - | - | - | - | 3 |
| Center for Visual Sciences | 3,336 | 3,748 | 4,241 | 5,407 | 7,550 |
| Chemistry | 4,158 | 4,500 | 4,418 | 4,971 | 5,901 |
| Clinical and Social Sciences in Psychology | 5,803 | 6,103 | 6,560 | 5,927 | 6,605 |
| Dance Program | 0 | 0 | 0 | 0 | 0 |
| Dean of Students | 30 | 0 | 0 | 0 | 0 |
| Earth and Environmental Sciences | 2,347 | 2,342 | 2,762 | 2,399 | 2,566 |
| English | 45 | 73 | 34 | 37 | 48 |
| History | 49 | 60 | 191 | 101 | 157 |
| Institute for Data Science | 1,439 | 2,199 | 1,451 | 620 | 836 |
| Kearns Center | 43 | 12 | 4 | 0 | 0 |
| Linguistics | 24 | 9 | 60 | 235 | 126 |
| Mathematics | 362 | 232 | 210 | 211 | 183 |
| McNair Program | 223 | -45 | 0 | 0 | 0 |
| Modern Languages and Culture | 2 | 0 | 15 | 11 | 0 |
| Music | 0 | 41 | 9 | 0 | 0 |
| Physics and Astronomy | 6,773 | 9,011 | 7,190 | 7,638 | 8,255 |
| Religion | 162 | 35 | 63 | 35 | 0 |
| Rochester Data Science Consortium | 0 | 0 | 2,304 | 2,989 | 86 |
| Skalny Center for Polish/European Studies | 61 | 62 | 60 | 26 | 28 |
| Susan B Anthony Institute for Gender Studies | 0 | 0 | 0 | 0 | 0 |
| Undergraduate Studies | 0 | 0 | 44 | 64 | 0 |
| Wallis Institute of Political Economy | 127 | 158 | 192 | 81 | 358 |
| Subtotal Arts & Sciences | \$36,404 | \$37,845 | \$39,945 | \$42,730 | \$46,664 |

Source: UR Financials

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

| Engineering & Applied Sciences | FY 2018 | FY 2019 | FY 2020 | FY 2021 | FY 2022 |
|--|-----------------|-----------------|-----------------|-----------------|-----------------|
| Dean's Office Arts and Science | \$471 | \$12 | \$12 | \$433 | \$8 |
| Dean's Office HSEAS | 4,262 | 5,069 | 647 | 311 | 0 |
| Ain Center for Entrepreneurship | 0 | 0 | 0 | 87 | 281 |
| Biomedical Engineering | 3,693 | 4,216 | 4,045 | 4,155 | 4,207 |
| Center for Emerging & Innovative Sciences | 1,463 | 847 | 748 | 620 | 849 |
| Chemical Engineering | 519 | 982 | 764 | 815 | 1,295 |
| Computer Science | 3,015 | 3,606 | 3,908 | 3,662 | 3,003 |
| Electrical & Computer Engineering | 3,708 | 4,110 | 3,948 | 4,427 | 5,449 |
| IMAXED | - | - | - | 439 | 1,866 |
| Institute for Data Science | 84 | 81 | 50 | 0 | 0 |
| Institute of Optics | 8,400 | 9,444 | 8,747 | 6,529 | 10,366 |
| Mechanical Engineering | 1,125 | 1,782 | 3,213 | 3,804 | 5,303 |
| Del Monte Neuromedicine Institute | 0 | 2 | 0 | 0 | 0 |
| Imaging Sciences | 10 | 1 | 0 | 0 | 0 |
| Orthopaedic Surgery | 193 | 124 | 222 | 283 | 6 |
| Pathology and Lab Medicine | 13 | 0 | 0 | 0 | 0 |
| Subtotal Engineering & Applied Sciences | \$26,956 | \$30,276 | \$26,304 | \$25,565 | \$32,633 |
| Total Arts, Sciences & Engineering | \$63,360 | \$68,121 | \$66,249 | \$68,295 | \$79,297 |

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 2018 | FY 2019 | FY 2020 | FY 2021 | FY 2022 |
|--|----------------|----------------|----------------|----------------|----------------|
| Dean for Research | \$0 | \$7 | \$3 | \$5 | \$6 |
| Anesthesiology | 2,765 | 2,442 | 2,282 | 2,730 | 3,153 |
| Biochemistry and Biophysics | 5,299 | 5,865 | 7,069 | 8,338 | 8,806 |
| Biomedical Engineering | 1,180 | 1,649 | 1,564 | 1,306 | 1,221 |
| Biomedical Genetics | 3,057 | 5,537 | 4,324 | 5,253 | 4,984 |
| Biostatistics and Computational Biology | 1,115 | 2,034 | 2,057 | 1,892 | 2,059 |
| Brain and Cognitive Sciences | 11 | 15 | 0 | 0 | 0 |
| Cancer Center | 7,261 | 11,416 | 13,576 | 16,529 | 17,595 |
| Center for Community Health & Prevention | 2,606 | 2,739 | 3,123 | 3,198 | 4,499 |
| Center for Human Experimental Therapeutics | 10,361 | 10,008 | 12,398 | 11,746 | 11,410 |
| Center for Experiential Learning | 3 | 0 | 0 | 0 | 188 |
| Center for Neural Development and Disease | 3,447 | 3,105 | 2,639 | 1,438 | 819 |
| Center for Oral Biology | 1,800 | 1,995 | 2130 | 2,381 | 872 |
| Center for Pediatric Biomedical Research | 1,893 | 1,327 | 714 | 1,121 | 1,348 |
| Center for Translational Neuromedicine | 7,162 | 6,320 | 7,195 | 6,723 | 9,311 |
| Center for Vaccine Biology | 11,463 | 12,170 | 12,119 | 11,365 | 7,480 |
| Center for Visual Science | 54 | 197 | 45 | 48 | 62 |
| Clinical Dentistry | -22 | 113 | -235 | -40 | 100 |
| Clinical and Translational Science Institute | 9,471 | 10,768 | 10,997 | 10,086 | 10,662 |
| Development Center for AIDS Research | 1,694 | 908 | 353 | -4 | 0 |
| Dermatology | 1,999 | 3,194 | 2,583 | 3,080 | 3,354 |
| Emergency Medicine | 1,165 | 1,917 | 1,799 | 2,055 | 2,151 |
| Environmental Medicine | 10,037 | 8,642 | 9,540 | 8,653 | 8,108 |
| Family Medicine | 1,163 | 1,221 | 1,227 | 999 | 1,046 |
| Imaging Sciences | 194 | 180 | 211 | 227 | 479 |
| Medicine ¹ | 33,348 | 30,401 | 29,849 | 32,177 | 32,920 |

(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 2018 | FY 2019 | FY 2020 | FY 2021 | FY 2022 |
|--|------------------|------------------|------------------|------------------|------------------|
| Microbiology and Immunology | 8,109 | 7,354 | 6,512 | 6,161 | 5,522 |
| Neurobiology and Anatomy | 6,549 | 7,854 | 7,065 | 9,795 | 13,039 |
| Neurology | 13,375 | 14,501 | 14,172 | 14,119 | 15,220 |
| Delmonte Neuroscience Institute | 26 | 149 | 254 | 189 | 156 |
| Neurosurgery | 317 | 255 | 552 | 454 | 854 |
| Obstetrics and Gynecology | 2,928 | 2,870 | 3,159 | 3,107 | 3,147 |
| Ophthalmology | 5,299 | 6,022 | 6,093 | 5,303 | 5,518 |
| Orthopaedics | 6,512 | 6,675 | 6,230 | 6,080 | 6,266 |
| Otolaryngology | 757 | 951 | 1,148 | 1,457 | 1,543 |
| Pathology and Lab Medicine | 2,836 | 1,602 | 980 | 1,186 | 1,248 |
| Pediatrics | 21,173 | 19,788 | 18,630 | 22,493 | 22,545 |
| Pharmacology and Physiology | 6,141 | 7,832 | 7,608 | 6,680 | 7,012 |
| Physical Medicine and Rehabilitation | 11 | 16 | 4 | 1 | 0 |
| Psychiatry | 15,530 | 14,827 | 13,886 | 15,476 | 21,219 |
| Psychology (formerly Clinical and Social Psychology) | | | 13 | 77 | 64 |
| Public Health Sciences | 3,880 | 4,036 | 4,704 | 4,421 | 5,445 |
| Radiation Oncology | 551 | 608 | 602 | 630 | 673 |
| Surgery | 8,093 | 8,359 | 9,008 | 12,247 | 11,619 |
| Urology | 494 | 506 | 365 | 615 | 778 |
| SMD Other ² | 409 | 499 | 405 | 365 | 1,165 |
| Total Medicine & Dentistry | \$221,516 | \$228,874 | \$228,952 | \$242,162 | \$255,666 |

Source: UR Financials

¹Excludes expenditures in the Wilmot Cancer Center

²Includes 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

| Cost Center | FY 2018 | FY 2019 | FY 2020 | FY 2021 | FY 2022 |
|---------------------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|
| Aab Cardiovascular Research Institute | \$5,752 | \$7,275 | \$6,593 | \$6,203 | \$6,004 |
| Cardiology (Heart and Vascular) | 3,010 | 1,161 | 1,224 | 660 | 205 |
| Clinical Cardiovascular Research Ctr | 2,989 | 3,043 | 3,396 | 3,435 | 5,097 |
| Endocrinology | 566 | 601 | 826 | 332 | 481 |
| Gastroenterology | 317 | 337 | 259 | 375 | 294 |
| General Medicine | 0 | 0 | 0 | 0 | 4 |
| Hematology/Oncology ¹ | 160 | 62 | 0 | - | - |
| Highland Hospital | 123 | 0 | 57 | 90 | 79 |
| Hospitalist Medicine | 0 | 10 | 0 | 0 | 0 |
| Immunology | 1,811 | 2,406 | 2,548 | 2,640 | 1,290 |
| Infectious Diseases | 13,153 | 10,052 | 9,436 | 12,295 | 13,928 |
| Monroe Community Hospital | 820 | 997 | 883 | 1,247 | 995 |
| Nephrology | 1,607 | 1,848 | 2,761 | 2,939 | 2,525 |
| Palliative Care | 255 | 173 | 94 | 87 | 85 |
| Pulmonary | 2,785 | 2,436 | 1,772 | 1,874 | 1,933 |
| Total Department of Medicine | \$33,348 | \$30,401 | \$29,849 | \$32,177 | \$32,920 |

Source: UR Financials

¹Expenditures 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

| College/Company | FY 2018 | FY 2019 | FY 2020 | FY 2021 | FY 2022 |
|--|------------------|------------------|------------------|------------------|------------------|
| Medical Center | | | | | |
| Medicine & Dentistry | \$166,567 | \$172,760 | \$172,155 | \$182,902 | \$191,421 |
| Nursing | 3,192 | 3,445 | 2,944 | 3,416 | 3,672 |
| Hospitals and Clinics | 296 | 286 | 285 | 324 | 116 |
| Eastman Institute for Oral Health | 2,068 | 2,266 | 1,911 | 2,216 | 2,458 |
| Medical Center Administration | 2,003 | 0 | -372 | 0 | 635 |
| Subtotal URMC | 174,126 | 178,757 | 176,923 | 188,858 | 198,302 |
| Arts, Sciences and Engineering | | | | | |
| Arts and Science | 28,591 | 29,884 | 31,360 | 33,021 | 35,472 |
| Hajim School of Engineering & Applied Sciences | 21,676 | 24,320 | 19,754 | 18,869 | 25,132 |
| Subtotal AS & E | 50,267 | 54,204 | 51,114 | 51,890 | 60,604 |
| Laboratory for Laser Energetics | 58,197 | 71,090 | 61,293 | 60,528 | 64,509 |
| Other Schools and Companies | | | | | |
| Warner School of Education | 2,266 | 2,404 | 2,556 | 2,255 | 2,418 |
| Simon School of Business | 48 | 0 | 5 | 47 | 1 |
| Eastman School of Music | 536 | 556 | 519 | 1,080 | 2,181 |
| Memorial Art Gallery | 255 | 251 | 361 | 230 | 452 |
| University Other | 9,112 | 9,783 | 15,137 | 16,049 | 23,932 |
| Subtotal Other | 12,217 | 12,994 | 18,578 | 19,661 | 28,984 |
| Total University Direct Costs | \$294,807 | \$317,045 | \$307,908 | \$320,937 | \$352,399 |

Source: UR Financials

Table 8.1
Facilities & Administrative Costs Recovery

| College/Company | FY 2018 | FY 2019 | FY 2020 | FY 2021 | FY 2022 |
|--|-----------------|-----------------|-----------------|-----------------|------------------|
| Medical Center | | | | | |
| Medicine & Dentistry | \$54,949 | \$56,114 | \$56,798 | \$59,260 | \$64,245 |
| Nursing | 805 | 941 | 884 | 959 | 1,225 |
| Hospitals and Clinics | 16 | 16 | 13 | 15 | 9 |
| Eastman Institute of Oral Health | 740 | 618 | 506 | 568 | 738 |
| Medical Center Administration | 11 | 0 | 2 | 0 | 0 |
| Subtotal URMC | 56,521 | 57,689 | 58,203 | 60,802 | 66,217 |
| Arts, Sciences and Engineering | | | | | |
| Arts and Sciences | 7,813 | 7,961 | 8,585 | 9,709 | 11,192 |
| Hajim School of Engineering & Applied Sciences | 5,280 | 6,304 | 6,550 | 6,697 | 7,501 |
| Subtotal AS & E | 13,093 | 14,265 | 15,135 | 16,406 | 18,693 |
| Laboratory for Laser Energetics | 17,619 | 17,813 | 18,900 | 19,298 | 21,925 |
| Other Schools and Companies | | | | | |
| Warner School of Education | 310 | 337 | 394 | 469 | 541 |
| Simon School of Business | 0 | 0 | 2 | 0 | 0 |
| Eastman School of Music | 0 | 1 | 8 | 2 | 1 |
| Memorial Art Gallery | 0 | 2 | 18 | -20 | 6 |
| University Other | 216 | 240 | 27 | 82 | 138 |
| Subtotal Other | 526 | 580 | 449 | 533 | 686 |
| Total University F&A Costs | \$87,759 | \$90,347 | \$92,687 | \$97,039 | \$107,521 |

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.

Chart F
Sponsored Program Expenditures by Agency Type - FY 2022

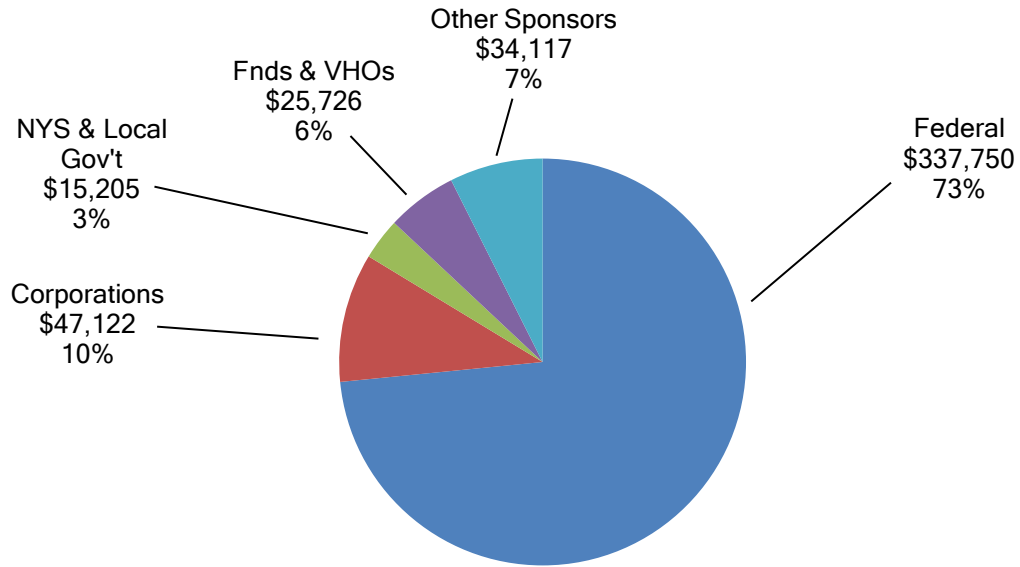


Table 9
Sponsored Program Expenditures by Agency Type

| Agency Type | FY 2018 | FY 2019 | FY 2020 | FY 2021 | FY 2022 |
|--|------------------|------------------|------------------|------------------|------------------|
| Federal | \$281,455 | \$299,171 | \$292,175 | \$303,213 | \$337,750 |
| Corporations | 27,901 | 34,563 | 40,730 | 42,563 | 47,122 |
| NY State & Local Government | 14,166 | 13,072 | 11,805 | 13,911 | 15,205 |
| Foundations & Voluntary Health Organizations | 23,682 | 22,621 | 22,851 | 23,277 | 25,726 |
| Other Sponsors ¹ | 35,362 | 37,965 | 33,035 | 35,013 | 34,117 |
| Total | \$382,566 | \$407,392 | \$400,596 | \$417,977 | \$459,920 |

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 2018 | FY 2019 | FY 2020 | FY 2021 | FY 2022 |
|---|------------------|------------------|------------------|------------------|------------------|
| Health & Human Services (includes NIH) | \$166,982 | \$165,927 | \$163,157 | \$174,009 | \$189,376 |
| Department of Energy | 78,373 | 92,186 | 82,021 | 82,438 | 89,838 |
| Department of Defense | 6,068 | 9,022 | 11,469 | 10,877 | 8,940 |
| National Science Foundation | 16,890 | 19,110 | 17,840 | 18,090 | 20,544 |
| Department of Education ¹ | 11,563 | 10,679 | 15,550 | 15,783 | 26,058 |
| National Aeronautics & Space Administration | 1,099 | 1,656 | 1,323 | 1,272 | 1,623 |
| Other Federal Sponsors | 480 | 591 | 815 | 744 | 1,371 |
| Total | \$281,455 | \$299,171 | \$292,175 | \$303,213 | \$337,750 |

Source: UR Financials

¹ FY22 increase in expenditures was the result of CARES Act funding

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

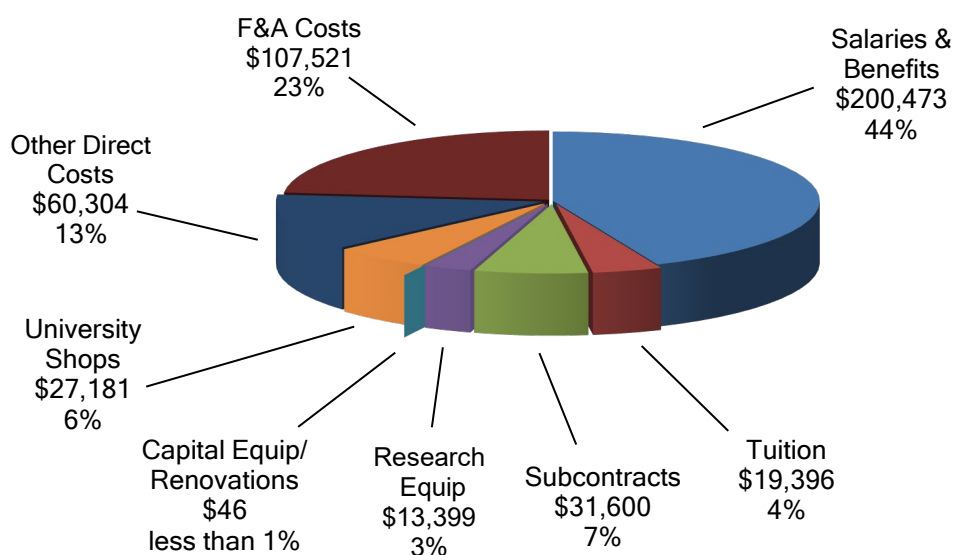


Table 10
Sponsored Program Expenditures by Cost Element

| Cost Element | FY 2018 | FY 2019 | FY 2020 | FY 2021 | FY 2022 |
|-----------------------------------|------------------|------------------|------------------|------------------|------------------|
| Salaries & Benefits | \$165,924 | \$171,763 | \$179,595 | \$186,833 | \$200,473 |
| Tuition | 9,639 | 9,586 | 12,371 | 11,666 | 19,396 |
| Subcontracts | 30,881 | 28,645 | 31,474 | 32,741 | 31,600 |
| Research Equipment | 21,365 | 33,975 | 13,300 | 14,800 | 13,399 |
| Capital Equipment/Renovations | 324 | 10 | 6 | 75 | 46 |
| University Shops | 22,434 | 26,559 | 25,347 | 26,381 | 27,181 |
| Other Direct Costs ¹ | 44,240 | 46,507 | 45,816 | 48,442 | 60,304 |
| Total Direct Costs | 294,807 | 317,045 | 307,909 | 320,938 | 352,399 |
| Facilities & Administrative Costs | 87,759 | 90,347 | 92,687 | 97,039 | 107,521 |
| Total | \$382,566 | \$407,392 | \$400,596 | \$417,977 | \$459,920 |

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 2021 is the latest data available at the time of this printing.

| By Federally Financed Research and Development Expenditures | | |
|---|---|-------------|
| 1 | Johns Hopkins University | \$2,774,643 |
| 2 | University of Washington | 1,046,377 |
| 3 | University of Michigan | 891,125 |
| 4 | Georgia Institute of Technology | 852,319 |
| 5 | Columbia University | 831,648 |
| 6 | Stanford University | 811,183 |
| 7 | University of California, San Diego | 801,117 |
| 8 | University of Pennsylvania | 792,089 |
| 9 | Duke University | 776,632 |
| 10 | University of North Carolina, Chapel Hill | 747,895 |
| 11 | University of Pittsburgh | 724,993 |
| 12 | University of California, Los Angeles | 721,043 |
| 13 | University of Maryland | 713,283 |
| 14 | University of California, San Francisco | 683,179 |
| 15 | Yale University | 647,656 |
| 16 | University of Wisconsin, Madison | 646,764 |
| 17 | Pennsylvania State University | 622,532 |
| 18 | Harvard University | 616,589 |
| 19 | University of Washington, St. Louis | 606,127 |
| 20 | Cornell University | 592,359 |
| 21 | Vanderbilt University | 586,880 |
| 22 | University of Southern California | 574,185 |
| 23 | Northwestern University | 572,975 |
| 24 | University of Minnesota | 570,946 |
| 25 | Ohio State University | 559,797 |
| 26 | Icahn School of Medicine at Mt. Sinai | 554,582 |
| 27 | New York University | 547,027 |
| 28 | Texas A&M University | 528,057 |
| 29 | Emory University | 515,940 |
| 30 | University of Texas, Austin | 489,827 |
| 31 | Massachusetts Institute of Technology | 483,526 |

| By Federally Financed Research and Development Expenditures | | |
|---|---|----------------|
| 32 | University of Colorado, Boulder | 483,526 |
| 33 | University of Alabama, Birmingham | 423,290 |
| 34 | University of Florida | 423,154 |
| 35 | University of Illinois, Urbana-Champaign | 406,612 |
| 36 | Boston University | 402,443 |
| 37 | University of Chicago | 394,275 |
| 38 | University of California, Davis | 373,719 |
| 39 | Baylor College of Medicine | 365,472 |
| 40 | University of Colorado, Anschutz Medical Campus | 363,999 |
| 41 | University of California, Berkeley | 354,478 |
| 42 | University of Arizona | 353,117 |
| 43 | Michigan State University | 349,889 |
| 44 | Case Western Reserve University | 340,438 |
| 45 | University of Utah | 340,434 |
| 46 | Rutgers University | 339,015 |
| 47 | Oregon Health and Science University | 329,016 |
| 48 | Indiana University | 326,326 |
| 49 | University of Rochester | 309,647 |
| 50 | University of Cincinnati | 309,097 |

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.

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

| By Federally Financed Research and Development Expenditures | | |
|---|---------------------------------------|----------------|
| 1 | Columbia University | \$831,648 |
| 2 | Cornell University | 592,359 |
| 3 | Icahn School of Medicine at Mt. Sinai | 554,582 |
| 4 | New York University | 547,027 |
| 5 | University of Rochester | 309,647 |

Source: National Center for Science and Engineering Statistics (NCSES), *Higher Education Research and Development Survey Fiscal Year 2021, Table 24*, NSF 23-304. National Science Foundation.

The University has one department ranked in the top 10 of FY 2021 NIH funding recipients

| Top 10 Departments in NIH Funding FY 2021 - 2022 | | |
|--|---------|---------|
| | FY 2021 | FY 2022 |
| Department of Orthopaedics | 6 | 4 |

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 Unfunded Agreement Activity
(formerly Material Transfer Activity)

A general definition of an Unfunded Agreement is a contract executed between two entities which outlines the rights and responsibilities of each party that arise due to the transfer of confidential information (Confidentiality Disclosure Agreement [CDA]), data (Data Use Agreement [DUA]) or materials (Material Transfer Agreement [MTA]) for research purposes from one party to the other.

The Unfunded Agreement will dictate how the confidential information, data, or materials and the results from using the confidential information or 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.

Table 11

| Agreement Type | FY18 | FY19 | FY20 | FY21 | FY22 |
|-------------------------------------|-------------|-------------|--------------|--------------|--------------|
| Confidential Disclosure (CDA) | 355 | 323 | 454 | 454 | 465 |
| Data Use (DUA) | 70 | 119 | 315 | 271 | 340 |
| Material Transfer (MTA) | 244 | 235 | 289 | 295 | 284 |
| Total Agreements | 669 | 677 | 1,058 | 1,020 | 1,089 |
| Average Agreements per Month | 56 | 56 | 88 | 85 | 91 |
| | | | | | |

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