

OFFICE OF RESEARCH AND PROJECT ADMINISTRATION

ANNUAL REPORT
OF
SPONSORED PROGRAM ACTIVITIES

Fiscal Year 2010

UNIVERSITY OF ROCHESTER

We are pleased to present the Office of Research and Project Administration (ORPA) Annual Report for Fiscal Year 2010 ending June 30th, 2010, which showcases the University of Rochester's outstanding ability to attract external support for research and other sponsored programs year after year.

Revenue from sponsored program activities, vital to sustaining research and graduate programs, remains an essential component of the University's current fund expenditure and general budget. The University consistently finds itself in the top thirty of colleges and universities receiving funding for research and other sponsored activities. Our continued high ranking is a significant indicator of the quality of the research conducted, of the faculty who perform such research at the University, and of the staff who support their efforts in laboratories and offices throughout the University.

Statistics on proposals submitted and awards accepted are used as a primary point of reference in this report. These statistics portray sponsored programs funding requested and received in the current fiscal year and will, over time, provide an indication of funding trends. Expenditure statistics are also presented. These latter data 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. 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. In addition, there are departmental research activities conducted with funds from gifts or direct University funding. These activities are not reflected in this report.

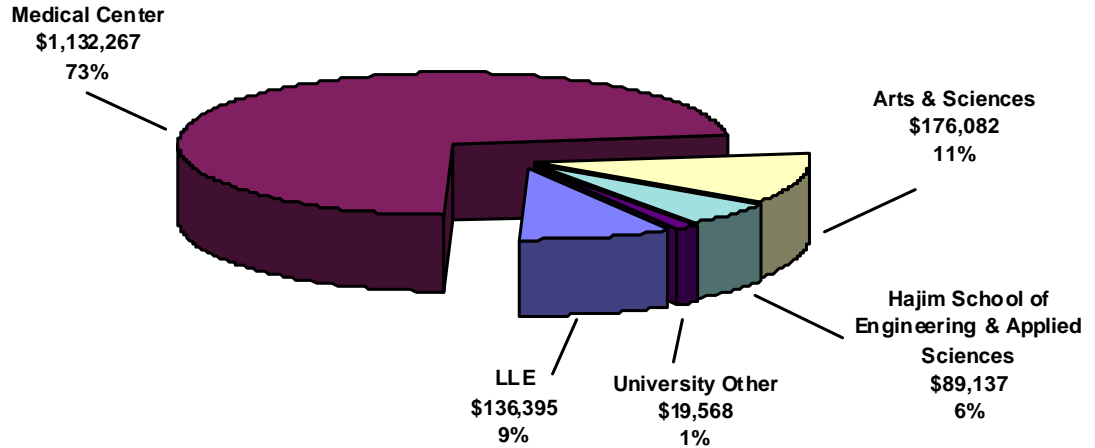
Comments about the report and suggestions for future improvements are welcomed at resadmin@orpa.rochester.edu

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While the expenditure statistics noted later in this report have been the historical basis for measuring the University's sponsored program levels, information on proposal and award activities provides another measurement of current and future trends in external funding for project support.

Chart A
Dollar Value of Proposals Submitted - FY 2010



The School of Medicine and Dentistry submits the majority of proposals and, as is also indicated in the award statistics, receives the preponderance of sponsored program funding. On an overall University basis, over **2,232** new, continuation, supplemental, and renewal proposals were submitted in FY 2010 for sponsored program funding.

Chart B
Awards Dollars Received - FY 2010
(Exclusive of ARRA Awards)

Research funding to the University of Rochester during FY 2010 jumped by 18 percent in 2010 to \$418 million – an increase of more than \$63 million over the previous year. During the same period, the University was also awarded an additional \$42.6 million in research funding under the American Recovery and Reinvestment Act (ARRA), as shown in Table 3, thereby receiving a cumulative amount of \$461 million in sponsored program awards. This represents a historic increase of 30% from FY 2009.

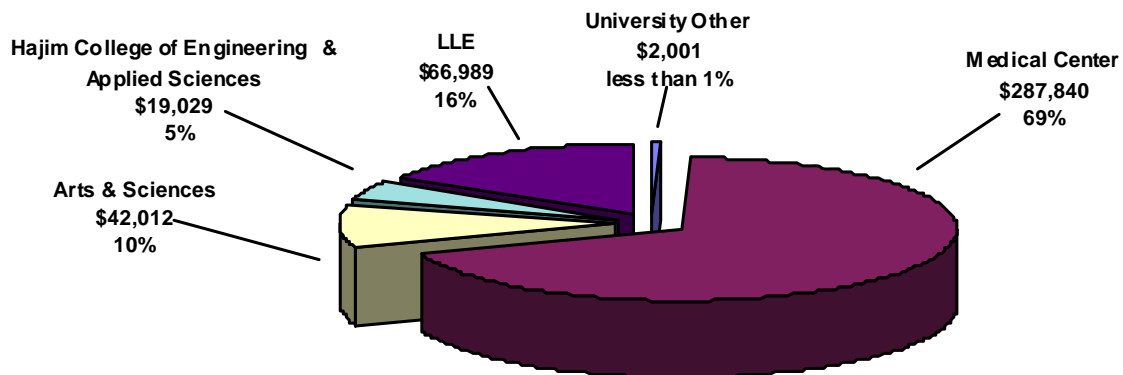
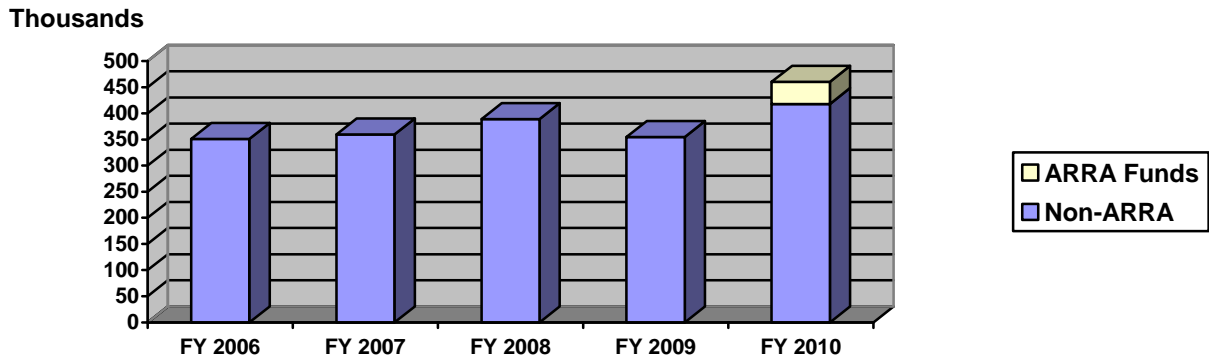


Chart C

Award Dollars Received During Last Five Fiscal Years
(inclusive of ARRA awards)



FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	
\$361,061	\$359,891	\$389,228	\$354,667	\$460,521	
				ARRA	Non-ARRA
				\$42,606	\$417,871

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 requested include the entire project period of the proposal for new or competing renewal proposals. Awarded amounts, however, indicate only amounts actually received regardless of whether additional funds are anticipated. Additionally, neither of the tables includes funds requested or received for direct student financial aid. On an annual basis, both the dollar values of proposals submitted and awards received should be viewed with some caution, as those actions are dependent upon program announcements, funding trends, availability of funds, and timing of award actions. This is especially true for FY 2009, where the number and dollar value of proposals submitted increased dramatically under the American Recovery and Reinvestment Act (ARRA) of 2009.

Table 1
Proposals – Total Amount Requested
By College/School/Division
(Dollars in thousands)

College/School/Division	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
<u>Medical Center</u>					
Medicine & Dentistry	\$1,153,245	\$1,048,228	\$974,826	\$1,486,282	\$1,092,474
Nursing	17,926	37,676	23,220	29,974	20,586
Hospitals and Clinics	3,118	3,252	582	6,638	1,545
Medical Center Administration	53	5,846	2,623	6,584	19,560
<u>Arts, Sciences and Engineering</u>					
Arts and Sciences	120,657	141,628	135,387	162,380	176,082
Hajim School of Engineering & Applied Sciences	44,149	42,794	50,808	66,725	89,137
<u>Other Schools and Divisions</u>					
Laboratory for Laser Energetics	75,138	55,700	64,081	3,808	136,395
Warner School of Education	4,994	5,929	5,604	7,228	7,643
Memorial Art Gallery	435	330	222	719	5,503
Simon School of Business	380	0	0	113	0
Eastman School of Music	286	374	486	611	0
University Other	892	255	1,206	1,265	6,422
TOTAL	\$1,421,273	\$1,342,012	\$1,259,044	\$1,772,327	\$1,555,347

Source: UR-Coeus Sponsored Programs Management Database

Table 2
Awards – Annual Funding Received
By College/School/Division (inclusive of ARRA awards)
(Dollars in thousands)

College/School/Division	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
<u>Medical Center</u>					
Medicine & Dentistry	\$230,639	\$243,511	\$248,592	\$240,937	\$313,102
Nursing	5,148	2,626	9,676	5,540	5,631
Hospitals and Clinics	983	1,297	808	1,056	909
Medical Center Administration	57	575	2,459	2,213	3,993
<u>Arts, Sciences and Engineering</u>					
Arts and Sciences	31,643	45,030	36,372	33,355	46,681
Hajim School of Engineering & Applied Sciences	15,906	19,593	15,696	13,896	20,841
<u>Other Schools and Divisions</u>					
Laboratory for Laser Energetics	63,940	45,174	71,619	53,752	67,439
Warner School of Education	806	570	1,884	616	881
Memorial Art Gallery	41	243	177	234	450
Simon School of Business	152	60	0	38	38
Eastman School of Music	48	86	47	402	44
University Other	1,698	1,126	1,898	2,628	513
TOTAL	\$351,061	\$359,891	\$389,228	\$354,667	\$460,522

Source: UR-Coeus Sponsored Programs Management Database

Notes for Tables 1 and 2:

- In Table 1, amounts requested include the entire project period of the proposal for new or competing renewal proposals and may fluctuate due to large program requests.
- Funding received in Table 2 indicates actual amount awarded which is usually for periods of one year or less. Future year commitments are not included.
- Included under Medicine and Dentistry is the Department of Palliative Care
- Beginning in FY 2008, included under Medical Center Administration is the Center for Community Health and Eastman Institute for Oral Health
- The Department of Computer Science moved from the College of Arts and Science to the Hajim School of Engineering and Applied Sciences effective 7/1/2009
- University Other includes Rush Rhees Library, Susan B. Anthony Center and University Central Administration.

Table 3
ARRA Awards – FY 2010 Dollars Received
By College/School/Division
(Dollars in thousands)

College/School/Division	Number of Awards	Total \$\$ Awarded
<u>Medical Center</u>		
Medicine & Dentistry	122	\$34,864
Nursing	1	500
Hospitals and Clinics	0	0
Medical Center Administration	3	720
<u>Arts, Sciences and Engineering</u>		
Arts and Sciences	19	4,669
Hajim School of Engineering & Applied Sciences	6	1,762
<u>Other Schools and Divisions</u>		
Laboratory for Laser Energetics	0	0
Warner School of Education	0	0
Memorial Art Gallery	1	50
Simon School of Business	0	0
Eastman School of Music	0	0
University Other	3	41
TOTAL	155	\$42,606

Table 4

**ARRA Awards – FY 2010 Dollars Received
By Agency
(Dollars in thousands)**

Agency	Number of Awards	Total \$\$ Received
National Institutes of Health	116	\$35,921
National Science Foundation	10	4,168
Department of Energy	1	444
Other Sponsors ¹	28	2,073
TOTAL	155	\$42,606

¹ Includes ARRA funds received through sub awards from other institutions

As indicated in Chart E on page 19, the federal government is the primary source of sponsored program funding. However, the University receives significant funding from New York State government, foundations, corporate sponsors and individuals. Table 5 provides funding information on University sponsors that provided \$1,000,000 or more in FY 2010.

Table 5
Sponsors Awarding \$1,000,000 or More Annually
FY 2010

Sponsor Name	Number Of Awards	Direct \$	Indirect \$	Dollars Awarded
National Institutes of Health	601	\$180,865,773	\$69,596,648	\$250,462,421
Department of Energy	20	49,689,330	25,006,389	74,695,719
National Science Foundation	103	14,702,343	5,474,684	20,177,027
NYS Department of Health	47	7,747,797	788,403	8,536,200
Centers for Disease Control	11	4,616,992	1,439,834	6,056,826
U. S. Army	22	4,583,394	1,096,225	5,679,619
Monroe County	18	4,734,067	158,595	4,892,662
Guidant/CPI	1	4,019,465	598,084	4,617,549
Biomedical Advanced Research & Development Authority	2	2,643,769	1,301,294	3,945,063
Health Research Services Administration	13	2,843,921	264,840	3,108,761
Health Research Inc.	19	2,392,631	456,453	2,849,084
Medivation, Inc.	6	2,086,895	651,790	2,738,685
Fred Hutchinson Cancer Research Center	5	1,421,373	754,608	2,175,981
Office of Naval Research	10	1,534,032	480,262	2,014,294
NeuroSearch – Sweden AB	1	1,532,266	459,681	1,991,947
CHDI Foundation, Inc.	1	1,895,473	0	1,895,473
Air Force Office of Scientific Research	10	1,288,108	492,043	1,780,151
U.S. Department of Education	12	1,548,975	76,828	1,625,803
American Heart Association	22	1,478,490	133,250	1,611,740
Environmental Protection Agency	1	1,115,836	419,073	1,534,909
Agency for Healthcare Research and Quality	6	1,198,311	308,440	1,506,751
Boston Scientific Corporation	2	1,099,891	226,432	1,326,323
Greater Rochester Health Foundation	9	1,117,324	70,707	1,188,031
NYS Office Mental Health	6	1,094,784	49,870	1,144,654
Johns Hopkins University	9	707,553	381,563	1,089,116
Grand Total	957	\$297,958,793	\$110,685,996	\$408,644,789

Table 6 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 2010. This table does not include funding for undergraduate financial aid.

Table 6
Summary of Active Projects
By College/School/Division
In FY 2010

College/School/Division	Number of Active Projects
<u>Medical Center</u>	
Medicine & Dentistry	2,065
Nursing	57
Strong Memorial Hospital	12
Medical Center Administration ¹	28
<u>Arts, Sciences and Engineering</u>	
Arts & Sciences	315
Hajim School of Engineering and Applied Sciences ²	179
<u>Other Schools and Divisions</u>	
Laboratory for Laser Energetics	12
Warner School of Education	16
Memorial Art Gallery	11
Simon School of Business	2
Eastman School of Music	4
River Campus General	13
University General	4
TOTAL ACTIVE PROJECTS	2,718

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

²The Department of Computer Science moved from the College of Arts and Science to the Hajim School of Engineering and Applied Sciences effective 7/1/2009

Source: UR-COEUS Sponsored Programs Management Database

SPONSORED PROGRAM AWARDS BY PURPOSE

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 7
Total Sponsored Program Awards
By Purpose
(Dollars in thousands)

Purpose	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Research ¹	\$277,905	\$289,363	\$316,160	\$288,603	\$378,276
Fellowships & Training	26,841	26,452	33,986	26,559	32,764
Clinical Drug Trials ²	27,889	25,197	24,806	22,711	26,467
Libraries & Museums	365	599	944	901	600
Conference & Travel	414	247	425	162	202
Equipment	956	4,257	994	948	5,156
Miscellaneous Activities	16,691	13,776	11,840	14,783	17,057
TOTAL	\$351,061	\$359,891	\$389,155	\$354,667	\$460,522

¹ The Medical Center accounts for 70% 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.

² Includes both industry and non-industry sponsored awards

Source: UR-Coeus Sponsored Programs Management Database

OVERVIEW OF SPONSORED PROGRAMS EXPENDITURES

In Fiscal Year 2010, the University of Rochester expended in excess of \$392 million for sponsored activities, an increase of 4.1 percent from Fiscal Year 2009.

Chart D
Sponsored Program Expenditures
Total University
(Dollars in thousands)

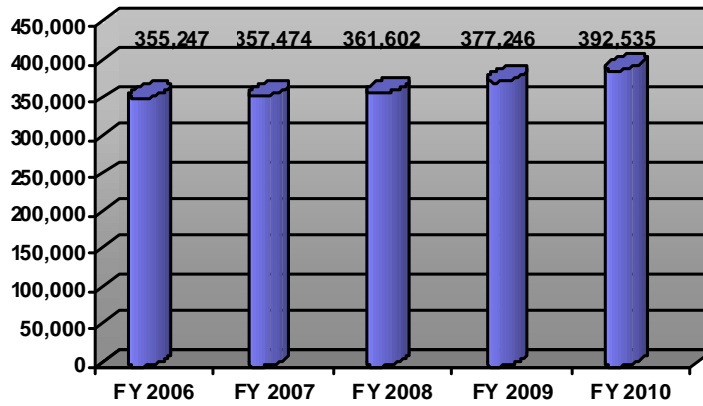


Table 8
Sponsored Program Expenditures
Total University
(Dollars in thousands)

	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Total University	\$355,247	\$357,474	\$361,602	\$377,246	\$392,535

Source: University Accounting System Report ABQ361

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SPONSORED PROGRAM EXPENDITURES BY COLLEGE / SCHOOL / DIVISION

Table 8.1 and supporting tables provide a breakdown of expenditures by college, school or division.

Table 8.1
Total Sponsored Program Expenditures by College/School/Division¹
(Dollars in thousands)

College/School/Division	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
<u>Medical Center</u>					
Medicine & Dentistry	\$215,571	\$219,775	\$232,991	\$239,699	\$259,755
Nursing	5,400	4,692	5,214	6,250	6,370
Hospitals and Clinics	1,036	1,490	1,347	1,264	598
Medical Center Administration ²	325	2,317	1,782	2,420	2,855
<u>Arts, Sciences and Engineering</u>					
Arts and Sciences	34,338	33,812	36,241	38,640	38,252
Hajim School of Engineering & Applied Sciences	14,336	16,732	17,195	16,898	18,750
<u>Other Schools and Divisions</u>					
Laboratory for Laser Energetics	76,519	70,208	57,380	63,024	55,962
Warner School of Education	2,259	2,192	1,724	927	745
Memorial Art Gallery	193	355	71	134	246
Simon School of Business	66	90	30	63	32
Eastman School of Music	510	501	644	532	847
University Other ³	4,694	5,310	6,983	7,395	8,123
TOTAL	\$355,247	\$357,474	\$361,602	\$377,246	\$392,535

Source: University Accounting System Report ABQ361

¹Includes facilities & administrative costs

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

³Includes funding for undergraduate student financial aid

Table 8.2.1
Total Sponsored Program Expenditures
The College
(Dollars in thousands)

Arts and Sciences	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Dean's Office	\$628	\$0	\$0	\$84	\$207
Art and Art History	3	4	0	0	0
Biology	4,212	5,593	6,065	6,715	6,404
Brain & Cognitive Sciences	4,332	3,935	4,398	4,362	4,836
Chemistry	3,223	3,927	3,807	4,002	4,915
Clinical and Social Sciences in Psychology	4,734	5,036	5,456	5,666	6,532
Computer Science ¹	2,474	2,160	2,491	2,355	0
Earth and Environmental Sciences	833	902	842	867	722
English	10	42	49	100	78
Kearns Center	0	75	327	842	916
Linguistics	20	79	30	26	34
Mathematics	202	264	568	549	597
McNair Program	0	0	251	317	277
Philosophy	0	0	0	21	36
Physics and Astronomy	8,053	6,898	7,412	8,582	8,153
Political Science	5	0	0	0	0
Skalny Center for Polish/ European Studies	0	80	37	48	49
Undergraduate Studies	89	1	70	54	67
Visual Science	5,126	4,699	4,266	3,837	4,228
Wallis Institute of Political Economy	394	117	172	213	201
Subtotal	\$34,338	\$33,812	\$36,241	\$38,640	\$38,252

Source: University Accounting System Report ABQ353

¹ The Department of Computer Science moved from the College of Arts and Sciences to the Hajim School of Engineering and Applied Sciences effective 7/1/2009

Table 8.2.2
Total Sponsored Program Expenditures
The College
(Dollars in thousands)

Engineering & Applied Sciences	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Dean's Office	\$1	\$1,581	\$-19	\$275	\$139
Center for Future Health	518	-101	21	92	-4
Biomedical Engineering	1,452	1,326	1,650	1,344	824
Computer Science ¹	0	0	0	0	2,389
Chemical Engineering	415	541	686	607	1,004
Electrical & Computer Engineering	2,859	3,019	4,049	3,685	4,306
Mechanical Engineering	1,989	1,988	2,381	2,473	2,265
Institute of Optics	5,891	6,727	6,633	6,263	6,549
Center for Emerging & Innovative Sciences	1,211	1,460	1,724	2,103	1,231
Center for Institute Ventures	0	0	70	56	47
Subtotal	\$14,336	\$16,732	\$17,195	\$16,898	\$18,750
TOTAL	\$48,674	\$50,544	\$53,436	\$55,538	\$57,002

Source: University Accounting System Report ABQ 353

¹ The Department of Computer Science moved from the College of Arts and Sciences to the Hajim School of Engineering and Applied Sciences effective 7/1/2009

Table 8.3
Total Sponsored Program Expenditures
School of Medicine and Dentistry
(Dollars in thousands)

Medicine and Dentistry	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Dean's Office	\$29	\$0	\$13	\$0	\$0
Anesthesiology	1,151	1,268	2,069	1,568	1,772
Biochemistry and Biophysics	6,969	6,656	6,617	7,746	8,475
Biomedical Engineering	362	600	722	862	1,665
Biomedical Genetics (previously Center for Cancer Biology)	3,790	3,318	3,071	4,451	5,302
Biostatistics and Computational Biology	3,173	3,767	4,707	6,975	7,080
Cancer Center	9,447	9,810	8,974	9,998	10,468
Center for Human Experimental Therapeutics	0	0	0	0	7,959
Center for Neural Development and Disease (previously Center for Aging and Developmental Biology)	8,869	6,600	5,536	6,036	5,449
Center for the Study of Rochester's Health ¹	1,482	0	0	0	0
Center for Pediatric Biomedical Research (previously Center for Human Genetics and Molecular Pediatric Diseases)	2,166	2,195	2,366	2,473	3,893
Center for Neurovascular Brain Disease	NA	NA	2,731	2,523	1,832
Center for Translational Neuromedicine	NA	NA	5,508	4,963	4,107
Center for Oral Biology	4,955	4,743	5,313	5,200	4,485
Center for Vaccine Biology	4,084	2,951	4,235	4,879	4,130
Community and Preventive Medicine	5,264	5,237	4,953	5,192	12,559
Development Center for AIDS Research	0	0	0	509	755
Dermatology	1,137	1,612	1,312	1,942	2,465
Eastman Dept. of Dentistry ²	1,214	1,726	2,459	1,917	2,034
Emergency Medicine	1,542	1,103	1,863	1,702	1,020
Environmental Medicine	11,525	12,788	12,016	10,964	9,748
Family Medicine	1,761	1,522	1,509	1,859	1,869
Imaging Sciences (previously Radiology)	2,217	1,898	1,958	2,048	2,637
Medicine	40,578	41,209	38,616	41,599	49,180

(Continued on next page)

¹Expenditures now being reported as Center for Community Health under Medical Center Administration

²Expenditures for the Community Dentistry Outreach Programs of the Eastman Institute for Oral Health are being reported under Medical Center Administration

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Medicine and Dentistry cont'd	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Microbiology and Immunology	7,727	6,633	7,593	9,048	8,783
Neurobiology and Anatomy	6,208	7,395	6,611	6,795	7,538
Neurology	28,633	27,959	25,224	23,470	18,153
Neurosurgery	2,161	3,955	384	696	582
Obstetrics and Gynecology	5,275	7,671	12,603	9,976	2,734
Ophthalmology	2,733	2,983	5,229	3,541	4,242
Orthopaedics	4,658	5,074	5,719	5,047	7,149
Otolaryngology	803	953	737	628	924
Pathology	2,677	3,300	3,786	4,064	4,706
Pediatrics	14,448	15,781	16,841	17,612	20,293
Pharmacology and Physiology	9,287	9,054	8,894	9,816	10,901
Physical Medicine and Rehab	-1	0	0	73	31
Psychiatry	10,333	10,655	12,973	12,550	11,296
Radiation Oncology	4,237	5,663	5,796	6,530	8,658
Surgery	2,578	2,208	2,372	2,787	2,770
Urology	1,186	1,113	1,150	1,306	1,513
SMD Other ¹	913	375	531	354	598
TOTAL	\$215,571	\$219,775	\$232,991	\$239,699	\$259,755

Source: University Accounting System Report ABQ353

¹Includes Medical Student Financial Affairs Office and Offices for Medical Education

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. Table 9.1 and Table 9.2 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. Recovery of F&A costs is a function of direct cost expenditures. Such recovery is subject to variation as well as to changes in rates, types of direct costs supported by sponsors (e.g., salaries vs. equipment), amounts subcontracted to other institutions, sponsor policies, and cost allowability as determined by federal regulations and audit practices.

Table 9.1
Direct Cost Expenditures
(Dollars in thousands)

College/School/Division	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
<u>Medical Center</u>					
Medicine & Dentistry	\$161,228	\$165,696	\$177,371	\$179,953	\$193,469
Nursing	4,343	3,693	4,232	5,105	5,538
Hospitals and Clinics	981	1,441	1,249	1,185	543
Medical Center Administration ¹	310	1,124	1,638	2,209	2,649
<u>Arts, Sciences and Engineering</u>					
Arts and Science	27,056	26,404	28,340	29,382	30,365
Engineering & Applied Sciences	11,720	14,247	13,889	14,534	14,350
<u>Other Schools and Divisions</u>					
Laboratory for Laser Energetics	65,226	58,532	45,764	50,231	43,521
Warner School of Education	1,661	1,633	1,471	958	649
Simon School of Business	66	60	60	48	32
Eastman School of Music	510	499	643	521	795
Memorial Art Gallery	193	355	71	134	246
University Other	4,676	5,273	6,910	7,376	8,172
TOTAL	\$277,970	\$278,957	\$281,638	\$291,636	\$300,329

Source: University Accounting System Report ABQ361

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

Table 9.2
Facilities & Administrative Costs Recovery
(Dollars in thousands)

College/Unit	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
<u>Medical Center</u>					
Medicine & Dentistry	\$54,344	\$55,228	\$55,620	\$59,746	\$66,286
Nursing	1,057	999	982	1,146	833
Hospitals and Clinics	55	49	98	79	54
Medical Center Administration ¹	15	44	139 ¹	210 ¹	212 ¹
<u>Arts, Sciences and Engineering</u>					
Arts and Sciences	7,281	7,408	7,901	7,696	7,887
Engineering & Applied Sciences	2,616	2,485	3,308	3,927	4,401
<u>Other Schools and Divisions</u>					
Laboratory for Laser Energetics	11,293	11,676	11,616	12,793	12,440
Warner School of Education	598	559	252	-32	96
Simon School of Business	0	30	-30	15	-15
Eastman School of Music	0	2	9	11	52
Memorial Art Gallery	0	0	0	0	0
University Other	17	37	69	19	-40
TOTAL	\$77,277	\$78,517	\$79,964	\$85,610	\$92,206

Source: University Accounting System Report ABQ361

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

SPONSORED PROGRAM EXPENDITURES BY FUNDING AGENCY

While the federal government is the primary source of sponsored program funding, the University receives project support from many other sponsors. The chart below depicts the major sponsor groups. Table 10.1 indicates the total University expenditures by type of funding agency.

Chart E
Expenditures by Agency Type – FY 2010

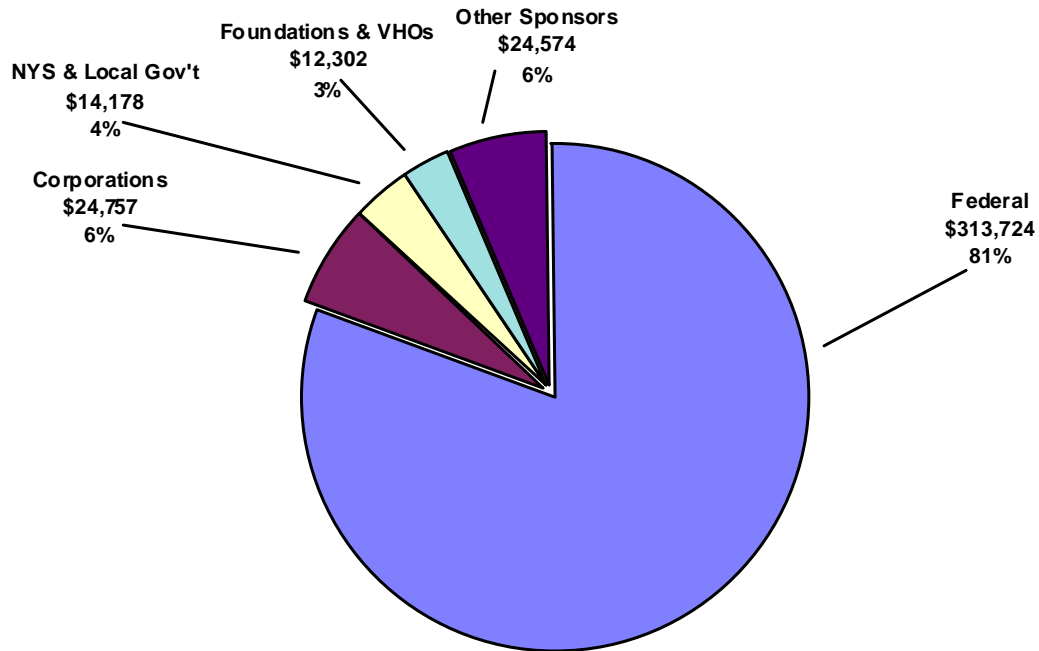


Table 10.1
Sponsored Program Expenditures
By Agency Type
(Dollars in thousands)

Agency Type	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Federal	\$275,332	\$278,017	\$278,273	\$295,185	\$313,724
Corporations	29,489	26,956	28,388	23,990	24,757
NY State & Local Government	11,799	12,019	13,492	15,040	14,178
Foundations & Voluntary Health Organizations	12,545	14,394	16,545	16,991	12,302
Other Sponsors ¹	26,082	26,088	24,904	26,040	27,574
TOTAL	\$355,247	\$357,474	\$361,602	\$377,246	\$392,535

Source: University Accounting System Report ABM123

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 10.2
Sponsored Program Expenditures
By Federal Agency
(Dollars in thousands)

Federal Agency	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Public Health Service (includes NIH)	\$166,388	\$171,736	\$181,303	\$192,309	\$215,623
Department of Energy	80,384	73,277	62,212	67,278	60,449
Department of Defense	9,149	10,024	12,889	11,798	10,733
National Science Foundation	10,436	10,224	10,661	11,122	12,877
Department of Education	6,550	7,793	8,023	8,498	10,391
National Aeronautics and Space Administration	530	2,152	424	602	467
NEA/NEH ¹	35	61	51	137	250
Other Sponsors	1,860	2,750	2,710	3,441	2,934
TOTAL	\$275,332	\$278,017	\$278,273	\$295,185	\$313,724

Source: University Accounting System Report ABM123

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

SPONSORED PROGRAM EXPENDITURES BY COST ELEMENT

The chart below and its supporting Table 11 indicate the expenditure of funds by major cost element. Sponsored program expenditures for FY 2010 included approximately \$56 million for faculty salaries, \$17 million for graduate student salaries and stipends and \$2 million for undergraduate student salaries.

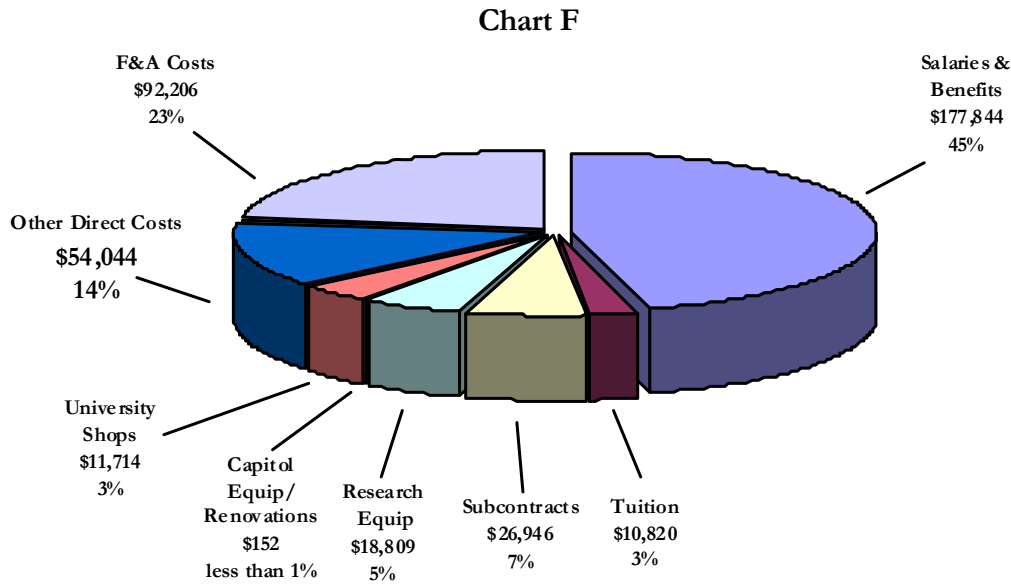


Table 11
Sponsored Program Expenditures by Cost Element
(Dollars in thousands)

Cost Element	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010
Salaries & Benefits	\$152,425	\$158,151	\$166,137	\$173,271	\$177,844
Tuition	6,364	6,554	8,142	8,973	10,820
Subcontracts	25,853	24,485	27,240	24,651	26,946
Research Equipment	38,407	30,437	18,918	18,982	18,809
Capital Equipment/Renovations	645	2,042	3,621	219	152
University Shops	10,635	11,469	11,456	14,430	11,714
Other Direct Costs ¹	43,641	45,819	46,124	51,110	54,044
Total Direct Costs	277,970	278,957	281,638	291,636	300,329
Facilities & Administrative Costs	77,277	78,517	79,964	85,610	92,206
TOTAL	\$355,247	\$357,474	\$361,602	\$377,246	\$392,535

¹“Other Direct Costs” includes adjustment made for “Other Expense Credits” category, which represents transfers and other adjustments in ledger 5 accounts.

Source: University Accounting System Report ABQ361

THE UNIVERSITY'S RANKING AMONG ITS PEERS

The University's ranking of its sponsored program activities compared with colleges and universities nationwide is illustrated in the following statistics. **Please note: NIH is no longer providing ranking information, but it is still available. The figures shown below for Obligation data are the latest available as of the date of this publication. Data will be updated on the ORPA website when it becomes available.**

On An Expenditure Basis¹

- **32nd** in Federally financed research and development (R&D) expenditures at universities and colleges: fiscal year 2009 (*27th in FY 2008*)
- **35th** in Industry-sponsored R&D expenditures at universities and colleges: fiscal year 2009 (*26th in FY 2008*)
- **17th** in R&D expenditures from all funding sources among private universities in fiscal year 2009 (*17th in FY 2008*)

On An Obligation Basis²

- **29th** in Federal obligations for science and engineering R&D: FY 2007 (*27th in FY 2006*)
- **28th** in Federal obligations for fellowships, traineeships, and training grants: FY 2007 (*24th in FY 2006*)
- **3rd** in Federal obligations for science and engineering to New York universities and colleges: FY 2007 (*rank order: Columbia, Cornell, and Rochester*)

The Carnegie Foundation for the Advancement of Teaching places the University of Rochester in the category RU/VHR (Research University/Very High Research). Institutions in this category offer a full range of baccalaureate programs, are committed to graduate education through the doctorate level, and give high priority to research.

¹ 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.

² Obligation statistics are reported to the National Science Foundation by federal agencies and are based on an agency's commitments during a federal fiscal year.

Table 12
FY 2007 Federal Obligations for Science and Engineering
Research and Development *
(Dollars in thousands)

Rank	Institution	Total Obligations
1	Johns Hopkins University	\$1,294,051
2	University of Washington	664,826
3	University of Michigan	559,728
4	University of Pennsylvania	536,396
5	University of California, Los Angeles	515,000
6	Duke University	495,828
7	University of California, San Diego	477,222
8	University of California, San Francisco	470,405
9	Harvard University	466,816
10	Stanford University	460,625
11	Columbia University	451,460
12	University of Pittsburgh	448,269
13	Washington University at St. Louis	438,079
14	University of Wisconsin at Madison	433,159
15	Yale University	417,835
16	University of Minnesota	413,176
17	Massachusetts Institute of Technology	400,337
18	Pennsylvania State University	384,006
19	University of North Carolina, Chapel Hill	382,264
20	Cornell University	372,742
21	University of Colorado	363,235
22	Vanderbilt University	353,539
23	Case Western Reserve University	289,746
24	Northwestern University	272,640
25	University of Southern California	271,131
26	University of Illinois	270,675
27	University of California, Davis	269,980
28	University of Chicago	268,322
29	University of Rochester	267,071
30	Emory University	261,996

Source: National Science Foundation/SRS, Survey of Federal Science and Engineering Support to Universities, Colleges and Nonprofit Institutions, Fiscal Year 2007

* This is the latest data available as of November 2010

Table 13
FY 2009 Federal Science and Engineering
Research and Development Expenditures
(Dollars in thousands)

Rank	Institution	Total Expenditures
1	Johns Hopkins University	\$1,587,547
2	U. MI all campuses	636,216
3	U. of WA	619,353
4	MA Institute of Technology	532,618
5	U. CA, San Diego	511,428
6	U. WI Madison	507,898
7	U. CO all campuses	500,123
8	U. PA	499,498
9	U. CA, San Francisco	483,667
10	Columbia U. in the City of New York	483,111
11	Stanford U.	477,507
12	U. CA, Los Angeles	467,505
13	U. Pittsburgh all campuses	463,192
14	PA State U. all campuses	439,193
15	Duke U.	438,767
16	U. NC Chapel Hill	431,837
17	Washington U. St. Louis	414,045
18	U. MN all campuses	390,602
19	Harvard U.	385,704
20	Yale U.	378,914
21	U. Southern CA	375,024
22	Cornell U. all campuses	363,144
23	OH State U. all campuses	339,820
24	Vanderbilt U.	336,405
25	GA Institute of Technology all campuses	322,452
26	Case Western Reserve U.	313,044
27	U. TX Austin	309,125
28	CA Institute of Technology	305,682
29	U. Chicago	301,159
30	Northwestern U.	300,619
31	U. AL Birmingham	300,130
32	University of Rochester	295,963
33	U. CA, Davis	295,924
34	Emory U.	295,831
35	Scripps Research Institute	288,388

Source: National Science Foundation/SRS, Survey of Research and Development Expenditures at Universities and Colleges FY 2009

OVERVIEW OF MATERIAL TRANSFER OFFICE 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.

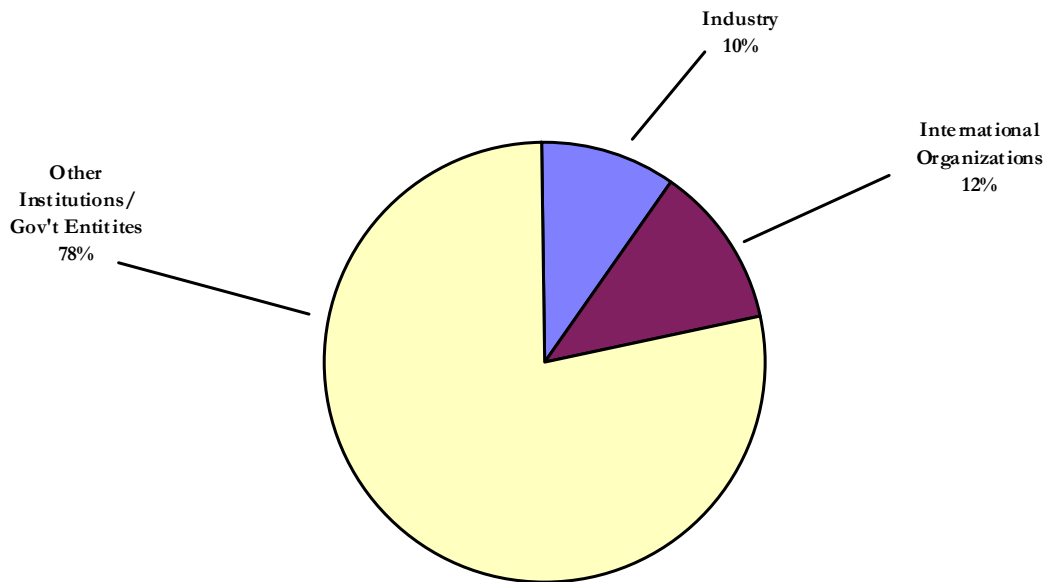
In Fiscal Year 2010, UR received a total of 457 MTAs, 344 for incoming materials and 113 for outgoing materials. UR signed a total of 413 agreements; this includes agreements pending from the previous fiscal year. Of the total agreements signed, 396 were received during the fiscal year 2010, a 4% increase from fiscal year '09.

For fiscal year 2010 the average time it takes for negotiation of contract terms and execution by Rochester is 17 calendar days (9 business days). The types of agreements negotiated are broken down as follows:

- 405 agreements were with other academic/non-profit institutions/government entities
- 52 agreements were with industry
- 61 agreements were with international organizations

Chart G

MTA's Processed in FY 2010 by Institution Type



The Material Transfer function within the Office of Research and Project Administration also includes responsibility for the review and negotiation of any Confidential Disclosure Agreement (CDA) that binds the University. A total of 184 CDAs were reviewed during Fiscal Year 2010, with a total of 127 fully executed. Of the 184, only 10 were terminated or negotiations abandoned.

Federal agencies support nearly two-thirds of the Research & Development (R&D) performed in U.S. colleges and universities. Nearly all federal R&D comes from the discretionary budget, the approximately one-third of the budget that is subject to annual appropriations decided by the President and the Congress. As of this writing, none of the major appropriation bills have been passed by Congress and sent to President Obama to sign. Consequently, all of the statistics shown here are contained in the President's FY 2011 Budget Request. In line with the flat overall discretionary budget, the federal investment in R&D would remain essentially flat from FY 2010 to FY 2011. However, the request contains significant shifts in funding within and between agencies as the administration implements its priorities.

Science agencies fair well under the President's request due to the administration's priority of laying a foundation for economic growth. The three agencies included in the President's Plan for Science and Innovation, the National Science Foundation (NSF), the National Institute for Standards and Technology (NIST) labs, and the Department of Energy (DOE) Office of Science are near the top in R&D gains, in order to keep them on their doubling path from 2006 to 2017. The National Aeronautics and Space Administration (NASA) and the National Oceanic and Atmospheric Administration (NOAA) would receive a budget increase as well. Defense R&D would fall for the first time in recent years, with both the Department of Homeland Security (DHS) and the Department of Defense (DOD) seeing a decrease in overall R&D investment. Science and Technology (S&T) in the Department of Defense would be hit especially hard. Included in the President's request:

- The proposed NSF R&D budget of \$6 billion would be an 8.2 percent increase.
- NIST labs would receive a R&D budget increase of 21.6 percent to \$705 million.
- DOE's Office of Science request for \$4.6 billion would be a 3.8 percent increase, the smallest of the increases under the President's Plan for Science and Innovation.
- The NASA budget request retires the Space Shuttle and cancels the Constellation program, shifting resources to R&D programs which would result in a 17.8 percent increase to \$11 billion in R&D investment.
- NOAA would receive a 22 percent increase in R&D investment to \$949 million.
- The Department of Homeland Security (DHS) R&D portfolio would drop significantly in FY 2011 with a request of \$1.05 billion, a decrease of 9 percent or \$104 million.
- Department of Defense (DOD) R&D would fall for the first time in recent years and DOD Science & Technology (S&T) would be hit particularly hard. Total defense R&D would fall to \$78 billion in 2011, down 5.2 percent from FY 2010.
- Included in the Labor, Health and Human Services, and Education budget request is the National Institutes of Health (NIH) funding. NIH is the second largest supporter of R&D in the federal government, after DOD, and is the largest single source of funds for university research. The NIH budget would increase \$1 billion (3.2 percent) to \$32.2 billion, its largest budget increase since its budget doubling from 1998 – 2003. Buildings and Facilities (B&F) and the National Library of Medicine (NLM) would see the largest percent increases; 25.6 percent to \$126 million, and 7.4 percent to \$365 million respectively.
- After four years of consecutive declines in the R&D budget, the Environmental Protection Agency (EPA) would see its budget increase for the third consecutive year. From FY 2010 to FY 2011 the EPA's R&D budget would increase 1.8 percent or \$11.0 million.
- Total federally funded Veterans Administration (VA) R&D would be \$1.18 billion in FY 2011, up \$18 million or 1.5 percent from FY 2010.

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>