

OFFICE OF RESEARCH AND PROJECT ADMINISTRATION

ANNUAL REPORT
OF
SPONSORED PROGRAM ACTIVITIES

Fiscal Year 2006

UNIVERSITY OF ROCHESTER

INTRODUCTION

This report, prepared by the Office of Research and Project Administration (ORPA), provides an overview of sponsored program activities for the fiscal year ending June 30, 2006. An Executive Summary of the information contained herein may be found at www.rochester.edu/orpa. This Annual Report provides the detail behind the executive summary, as well as other statistics of interest.

Revenue from sponsored program activities, vital to the sustaining of 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.

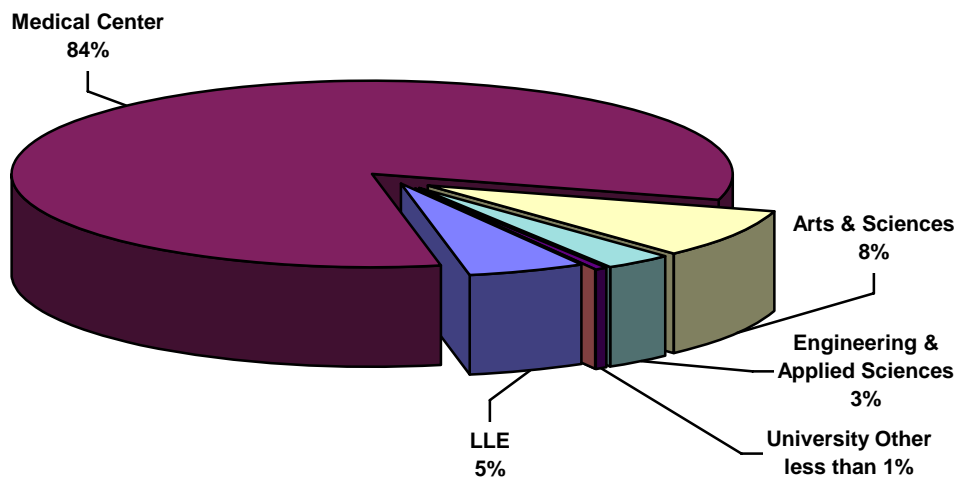
TABLE OF CONTENTS

Introduction	2
Table Of Contents	2
Proposal and Award Activity	3
Sponsored Program Awards by Purpose	8
Overview of Sponsored Program Expenditures	9
Sponsored Program Expenditures by College/School/Division	10
Direct Costs and F&A Costs Expenditures	15
Sponsored Program Expenditures by Funding Agency	17
Sponsored Program Expenditures by Cost Element	19
The University's Ranking among its Peers	20
FY 2003 Federal Obligations for Science and Engineering Research and Development	21
Outlook for FY 2007	22

PROPOSAL AND AWARD ACTIVITY

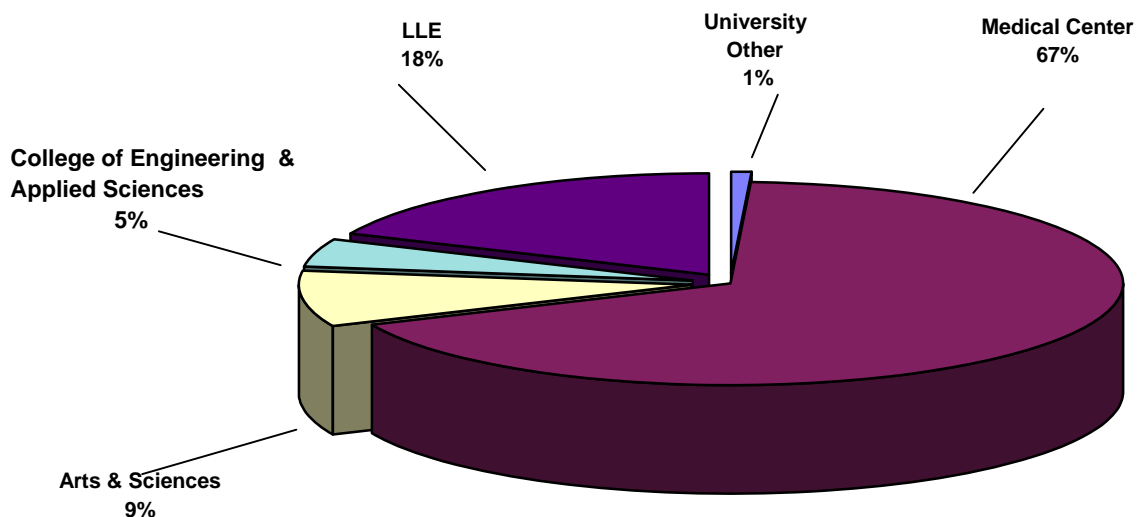
While the expenditure statistics noted later in this report have been the historical basis for measuring the University's sponsored program levels, information on proposal and award activities provides another measurement of current and future trends in external funding for project support.

Chart A
Dollar Value of Proposals Submitted - FY 2006



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 **2,129** new, continuation, and renewal proposals were submitted in FY 2006 for sponsored program funding.

Chart B
Awards Dollars Received - FY 2006



In FY 2006 **3,137** award actions were processed by ORPA. These award actions include new and renewal awards, non competing continuations, extensions of the award termination date, and other administrative modifications made by the sponsoring agency.

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.

Table 1
Proposals – Total Amount Requested
(Dollars in thousands)

College/School/Division	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006
<u>Medical Center</u>					
Medicine & Dentistry	\$729,717	\$893,177	\$978,526	\$1,155,061	\$1,153,245
Nursing	20,578	18,826	22,370	14,508	17,926
Eastman Dental Center	34	0	0	0	0
Hospitals and Clinics	593	2,909	2,862	2,765	3,118
Medical Center Administration	0	4,760	126	572	53
<u>The College</u>					
Arts and Sciences	158,160	141,809	107,367	134,941	120,657
Engineering & Applied Sciences	34,831	81,148	99,074	58,982	44,149
<u>Other Schools and Divisions</u>					
Laboratory for Laser Energetics	264,671 ¹	16,709	68,320	115,321	75,138
Warner School of Education	3,528	2,403	10,338	2,537	4,994
Memorial Art Gallery	466	240	121	248	435
Simon School of Business	696	138	83	357	380
Eastman School of Music	1,475	0	240	156	286
University Other	708	2,953	4,555	693	892
TOTAL	\$1,215,457	\$1,165,072	\$1,293,982	\$1,486,141	\$1,421,273

Source: UR-Coeus Sponsored Programs Management Database

¹This includes the renewal proposal for the DOE-UR Cooperative Agreement

Table 2
Awards – Annual Funding Received
(Dollars in thousands)

College/School/Division	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006
<u>Medical Center</u>					
Medicine & Dentistry	\$164,293	\$196,633	\$213,961	\$222,285	\$230,639
Nursing	2,570	4,250	6,417	5,446	5,148
Hospitals and Clinics	1,039	1,320	756	1,146	983
Medical Center Administration	50	295	200	510	57
<u>The College</u>					
Arts and Sciences	28,041	40,301	35,404	29,733	31,643
Engineering & Applied Sciences	16,451	16,441	10,306	16,680	15,906
<u>Other Schools and Divisions</u>					
Laboratory for Laser Energetics	36,929	47,124	62,875	71,513	63,940
Warner School of Education	2,347	844	1,284	4,732	806
Memorial Art Gallery	259	311	176	193	41
Simon School of Business	70	97	58	38	152
Eastman School of Music	375	434	347	173	48
University Other	362	83	1,279	324	1,698
TOTAL	\$252,786	\$308,133	\$333,063	\$352,802	\$351,061

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.
- University Other includes Rush Rhees Library, Susan B. Anthony Center and University Central Administration.

As indicated in Chart D on page 17, 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 3 provides funding information on University sponsors that provided \$1,000,000 or more in FY 2006.

Table 3
Sponsors Awarding \$1,000,000 or More Annually
FY 2006

Sponsor Name	Dollars Awarded	Direct \$	Indirect \$
DHHS/PHS/NIH	\$164,317,367	\$117,746,552	\$46,570,815
Department of Energy	67,656,417	43,990,709	23,665,708
National Science Foundation	11,509,400	8,240,036	3,269,364
Cephalon, Inc	6,505,854	5,041,894	1,463,960
Guidant Corporation	5,831,092	4,916,154	914,938
DOD/Army	4,667,987	3,463,235	1,204,752
NYS/Health	3,750,464	3,611,842	138,622
NYSTAR	3,432,700	3,197,716	234,984
DOD/Air Force	3,028,058	2,496,563	531,495
DHHS/PHS/CDC	2,894,360	2,053,979	840,381
DHHS/PHS/HRSA	2,893,343	2,671,659	221,684
EPA	2,744,618	2,049,887	694,731
Health Research Inc.	2,557,797	2,358,185	199,612
Johnson & Johnson, Inc.	1,559,969	1,120,654	439,315
Amarin Neurosciences	1,397,026	1,074,636	322,390
Philip Morris, USA	1,367,441	938,234	429,207
Prestwick Pharmaceuticals, Inc.	1,215,486	934,988	280,498
DOD/Navy	1,208,224	958,963	249,261
Imperial Tobacco Company	1,175,227	754,607	420,620
Hauptman Woodman Institute	1,122,563	764,823	357,740
Rochester Institute of Technology	1,107,718	736,505	371,213
University of Iowa	1,101,598	771,166	330,432
University of Washington	1,085,165	830,533	254,632
Department of Education	1,054,673	945,155	109,518
NYS/NYSERDA	1,050,000	993,023	56,977
High Q Foundation	1,049,859	1,049,859	0
Grand Total:	\$297,284,406	\$213,711,557	\$83,572,849

Source: UR-COEUS Sponsored Programs Management Database

Table 4 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 2006. This table does not include funding for undergraduate financial aid.

Table 4
Summary of Active Projects
As of 6/30/06

College/School/Division	Number of Active Projects
<u>Medical Center</u>	
Medicine & Dentistry	2,012
Nursing	53
Strong Memorial Hospital	8
Medical Center Administration	3
<u>The College</u>	
Arts & Sciences	315
Engineering and Applied Sciences	145
<u>Other Schools and Divisions</u>	
Laboratory for Laser Energetics	12
Warner School of Education	14
Memorial Art Gallery	10
Simon School of Business	3
Eastman School of Music	4
River Campus General	9
University General	3
TOTAL ACTIVE PROJECTS	2,591

Source: UR-COEUS Sponsored Programs Management Database So

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 5
Total Sponsored Program Awards
By Purpose
(Dollars in thousands)

Purpose	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006
Research ¹	\$196,859	\$232,426	\$247,114	\$268,217	\$277,905
Fellowships & Training	17,631	27,484	27,630	26,246	26,841
Clinical Drug Trials	24,100	23,545	24,791	26,914	27,889
Libraries & Museums	525	349	636	206	365
Conference & Travel	77	234	133	141	414
Equipment	307	2,524	1,194	1,798	956
Miscellaneous Activities	13,277	17,831	17,955	22,129	16,691
TOTAL	\$252,786	\$308,133	\$333,022	\$345,651	\$351,061

¹ The Medical Center accounts for 67% of all externally sponsored research expenditures. 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.

Source: UR-Coeus Sponsored Programs Management Database

OVERVIEW OF SPONSORED PROGRAMS EXPENDITURES

In Fiscal Year 2006, the University of Rochester expended in excess of \$355 million for sponsored activities, an increase of 4 percent from Fiscal Year 2005.

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

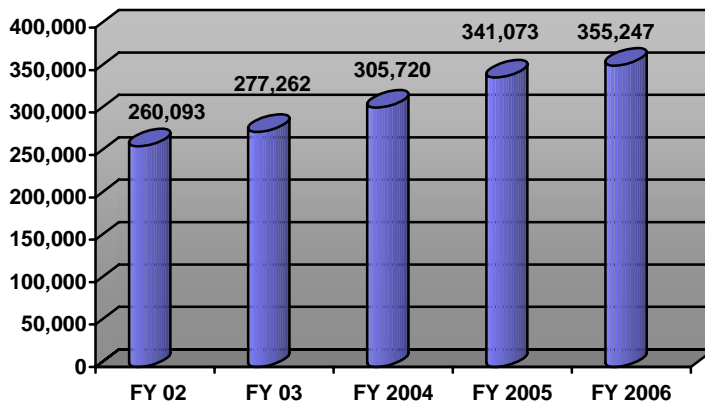


Table 6
Sponsored Program Expenditures
Total University
(Dollars in thousands)

	FY2002	FY2003	FY 2004	FY 2005	FY 2006
Total University	\$260,093	\$277,262	\$305,720	\$341,073	\$355,247

Source: University Accounting System Report ABQ361

SPONSORED PROGRAM EXPENDITURE BY
COLLEGE / SCHOOL / DIVISION

Table 6.1 and supporting tables provide a breakdown of expenditures by college, school or division.

Table 6.1
Total Sponsored Program Expenditures by College/School/Division¹
(Dollars in thousands)

College/School/Division	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006
<u>Medical Center</u>					
Medicine & Dentistry	\$162,163	\$179,483	\$201,178	\$214,958	\$215,571
Nursing	2,449	4,025	4,733	5,655	5,400
Hospitals and Clinics	754	1,155	1,056	1,046	1,036
Medical Center Administration ²	3,992	203	308	705	325
<u>The College</u>					
Arts and Sciences	32,135	31,406	34,937	33,570	34,338
Engineering & Applied Sciences	14,284	14,660	12,983	13,684	14,336
<u>Other Schools and Divisions</u>					
Laboratory for Laser Energetics	38,269	39,259	43,581	63,277	76,519
Warner School of Education	1,154	1,391	1,765	2,214	2,259
Memorial Art Gallery	228	356	245	166	193
Simon School of Business	42	206	57	46	66
Eastman School of Music	685	818	760	772	510
University Other ³	3,938	4,300	4,117	4,980	4,694
TOTAL	\$260,093	\$277,262	\$305,720	\$341,073	\$355,247

Source: University Accounting System Report ABQ361

¹Includes facilities & administrative costs.

²Includes Eastman Dental Center (Department of Community Dentistry)

³Includes funding for undergraduate student financial aid.

Table 6.2.1
Total Sponsored Program Expenditures
The College
(Dollars in thousands)

Arts and Sciences	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006
Dean's Office	\$179	\$171	\$111	\$16	\$628
Art and Art History	39	34	24	13	3
Biology	3,722	3,523	3,665	3,753	4,212
Brain & Cognitive Sciences	2,786	3,022	5,116	4,553	4,332
Chemistry	3,239	2,934	3,462	3,441	3,223
Clinical and Social Sciences in Psychology	6,319	5,889	5,587	4,676	4,734
Computer Science	2,715	2,402	3,280	2,922	2,474
Earth and Environmental Sciences	689	705	1,122	779	833
Economics	0	0	0	19	0
English	19	64	69	40	10
Linguistics	18	18	21	24	20
Mathematics	274	363	347	343	202
Philosophy	3	2	24	0	0
Physics and Astronomy	9,000	8,379	7,397	7,445	8,053
Political Science	7	2	2	9	5
Undergraduate Studies	334	412	314	318	89
Visual Science	2,364	2,665	3,829	4,748	5,126
Wallis Institute of Political Economy	429	821	567	471	394
Subtotal	\$32,135	\$31,406	\$34,937	\$33,570	\$34,338

Source: University Accounting System Report ABQ353

Table 6.2.2
Total Sponsored Program Expenditures
The College
(Dollars in thousands)

Engineering & Applied Sciences	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006
Dean's Office	N/A	N/A	N/A	\$55	\$1
Center for Future Health	926	1,060	1,275	401	518
Biomedical Engineering	974	730	799	1,500	1,452
Chemical Engineering	792	705	695	563	415
Electrical & Computer Engineering	2,827	3,016	2,620	3,349	2,859
Mechanical Engineering	162	363	691	1,119	1,989
Optics	4,196	4,296	3,667	4,571	5,891
Center for Electronic Imaging Systems ¹	1,617	2,080	2,072	1,593	1,211
Center for Optoelectronics & Imaging ²	2,790	2,410	1,164	533	0
Subtotal	\$14,284	\$14,660	\$12,983	\$13,684	\$14,336
 TOTAL THE COLLEGE	 \$39,940	 \$43,253	 \$44,573	 \$47,254	 \$48,674

¹Prior to FY 2002, expenditures for CEIS were included under COI.

²During FY 2002, CEIS expenditures were moved into a separate designation.

Source: University Accounting System Report ABQ 353

Table 6.3
Total Sponsored Program Expenditures
School of Medicine and Dentistry
(Dollars in thousands)

Medicine and Dentistry	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006
Dean's Office	\$3,013	\$2,542	\$1,636	\$318	\$29
Anesthesiology	1,355	593	942	1,715	1,151
Biochemistry and Biophysics	8,292	8,872	9,110	8,227	6,969
Biomedical Engineering	NA	NA	NA	NA	362
Biomedical Genetics (previously Center for Cancer Biology)	1,298	2,404	3,095	3,980	3,790
Biostatistics and Computational Biology	308	986	1,742	1,687	3,173
Cancer Center	2,303	7,369	10,353	9,428	9,447
Center for Human Genetics & Molecular Pediatric Disease	0	1,612	2,236	2,419	2,166
Center for Oral Biology	4,930	4,497	5,304	5,820	4,955
Center for the Study of Rochester's Health	767	1,230	1,632	1,872	1,482
Center for Vaccine Biology	2,951	4,798	6,656	6,408	4,084
Center on Aging	68	107	-18	0	0
Center for Aging and Developmental Biology	6,015	6,479	8,221	10,807	8,869
Clinical Research Institute	0	4	-4	0	0
Community and Preventive Medicine	4,201	3,453	3,952	4,319	5,264
Dermatology	1,542	1,614	1,566	938	1,137
Eastman Dept. of Dentistry	890	1,199	1,252	1,507	1,214
Emergency Medicine	378	428	623	849	1,542
Environmental Medicine	10,101	10,861	10,166	11,933	11,525
Family Medicine	2,096	2,309	2,529	2,425	1,761
Genetics	561	20	0	0	0
Imaging Sciences (previously Radiology)	1,386	1,574	2,194	2,246	2,217
Medicine	31,330	29,174	31,617	36,864	40,578

(Continued on next page)

Expenditures for the Community Dentistry Outreach Programs of the Eastman Dental Center are being reported under Medical Center Administration

OFFICE OF RESEARCH
AND PROJECT ADMINISTRATION

Medicine and Dentistry cont'd	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006
Microbiology and Immunology	7,921	8,459	8,489	8,498	7,727
Neurobiology and Anatomy	5,001	4,808	5,540	6,248	6,208
Neurology	18,270	23,171	26,885	28,951	28,633
Neurosurgery	2,100	2,226	2,987	2,301	2,161
Obstetrics and Gynecology	3,049	3,114	4,193	4,765	5,275
Ophthalmology	1,096	572	654	1,607	2,733
Orthopaedics	2,029	2,157	3,012	3,856	4,658
Otolaryngology	NA	NA	NA	1,186	803
Pathology	2,057	3,487	3,981	4,281	2,677
Pediatrics	15,958	15,656	16,982	14,234	14,448
Pharmacology and Physiology	7,175	8,221	7,707	8,502	9,287
Physical Medicine and Rehab	88	56	55	13	-1
Psychiatry	6,370	8,245	8,943	9,888	10,333
Radiation Oncology	1,635	1,147	990	1,811	4,237
Surgery	4,124	4,424	4,071	2,791	2,578
Urology	708	1,024	945	1,201	1,186
SMD Other ¹	798	591	940	1,063	913
TOTAL	\$162,261	\$179,483	\$201,178	\$214,958	\$215,571

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 7.1 and Table 7.2 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 7.1
Direct Cost Expenditures
(Dollars in thousands)

College/School/Division	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006
<u>Medical Center</u>					
Medicine & Dentistry	\$121,836	\$133,215	\$151,156	\$163,008	\$161,228
Nursing	1,878	3,351	3,854	4,679	4,343
Hospitals and Clinics	738	1,138	1,042	1,005	981
Medical Center Administration	3,889	206	284	604	310
<u>The College</u>					
Arts and Science	25,446	24,173	27,355	25,961	27,056
Engineering & Applied Sciences	11,273	11,433	9,836	11,006	11,720
<u>Other Schools and Divisions</u>					
Laboratory for Laser Energetics	29,947	30,702	34,330	53,174	65,226
Warner School of Education	1,043	1,253	1,527	1,741	1,661
Simon School of Business	49	158	57	46	66
Eastman School of Music	685	818	759	770	510
Memorial Art Gallery	228	356	245	166	193
University Other	3,395	4,274	4,087	4,971	4,676
TOTAL	\$162,261	\$179,483	\$201,178	\$214,958	\$277,970

Source: University Accounting System Report ABQ361

Table 7.2
Facilities & Administrative Costs Recovery
(Dollars in thousands)

College/Unit	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006
<u>Medical Center</u>					
Medicine & Dentistry	\$40,425	\$46,268	\$50,022	\$51,590	\$54,344
Nursing	571	674	879	976	1,057
Hospitals and Clinics	16	16	14	41	55
Medical Center Administration	5	-3	24	102	15
<u>The College</u>					
Arts and Sciences	6,780	7,234	7,582	7,609	7,281
Engineering & Applied Sciences	2,921	3,228	3,147	2,680	2,617
<u>Other Schools and Divisions</u>					
Laboratory for Laser Energetics	8,322	8,557	9,251	10,102	11,293
Warner School of Education	111	137	238	473	598
Simon School of Business	-7	48	0	-2	0
Eastman School of Music	0	0	1	1	0
Memorial Art Gallery	0	0	0	0	0
University Other	2	26	30	10	17
TOTAL	\$59,146	\$66,185	\$71,188	\$73,942	\$77,277

Source: University Accounting System Report ABQ361

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 8.1, which indicates the total University expenditures by type of funding agency.

Chart D
Expenditures by Agency Type – FY 2006

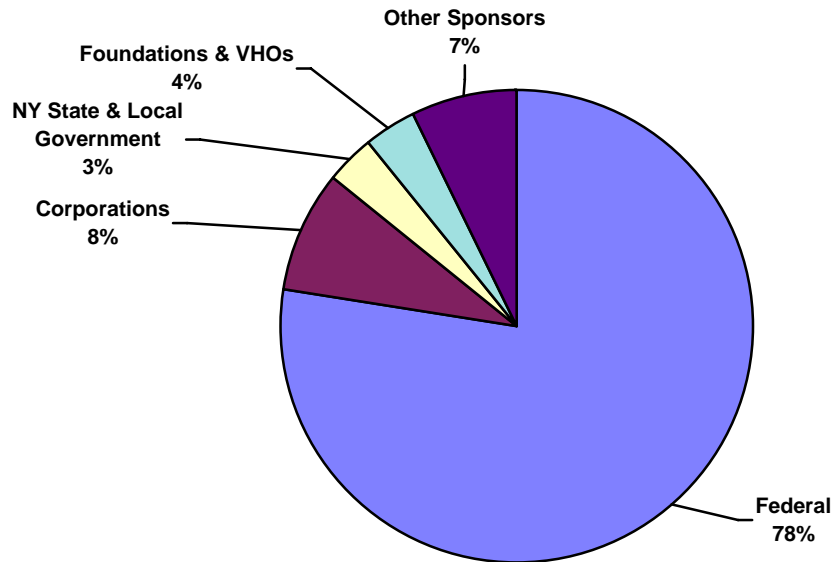


Table 8.1
Sponsored Program Expenditures
By Agency Type
(Dollars in thousands)

Agency Type	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006
Federal	\$193,086	\$204,955	\$226,737	\$257,756	\$275,332
Corporations	24,653	25,303	27,919	31,143	29,489
NY State & Local Government	12,172	13,279	14,750	13,332	11,799
Foundations & Voluntary Health Organizations	12,879	13,178	10,485	15,517	12,545
Other Sponsors ¹	17,303	20,547	25,829	23,325	26,082
TOTAL	\$260,093	\$277,262	\$305,720	\$341,073	\$355,247

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 8.2
Sponsored Program Expenditures
By Federal Agency
(Dollars in thousands)

Federal Agency	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006
Public Health Service (includes NIH)	\$124,454	\$135,184	\$151,862	\$161,529	\$166,388
Department of Energy	41,158	42,343	47,435	66,554	80,384
National Science Foundation	8,021	8,409	12,029	10,890	10,436
Department of Defense	9,047	9,229	6,477	9,398	9,149
Department of Education	5,856	6,171	5,816	6,552	6,550
National Aeronautics and Space Administration	1,664	1,244	631	601	530
NEA/NEH ¹	40	81	105	74	35
Other Sponsors	2,846	2,294	2,382	2,158	1,860
TOTAL	\$193,086	\$204,955	\$226,737	\$257,756	\$275,332

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 9 indicate the expenditure of funds by major cost element. Sponsored program expenditures for FY 2006 included approximately \$48 million for faculty salaries, \$14 million for graduate student salaries and stipends and \$2 million for undergraduate student salaries.

Chart E

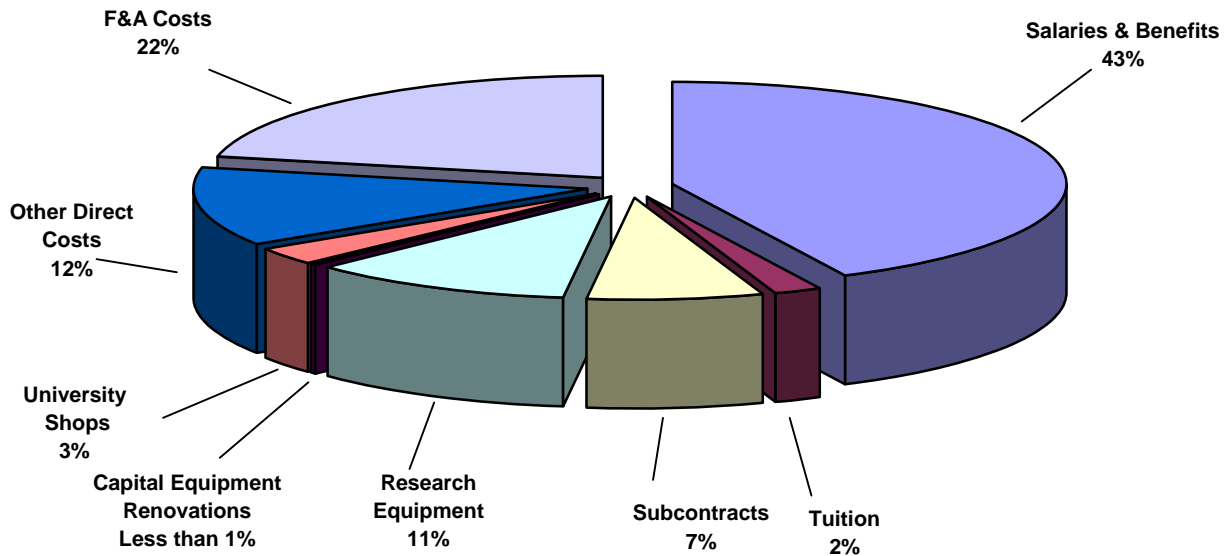


Table 9
Sponsored Program Expenditures by Cost Element
(Dollars in thousands)

Cost Element	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006
Salaries & Benefits	\$115,737	\$127,785	\$138,003	\$148,692	\$152,425
Tuition	6,242	6,842	6,699	6,312	6,364
Subcontracts	16,093	16,652	21,385	26,372	25,853
Research Equipment	17,728	15,373	15,175	32,078	38,407
Capital Equipment/Renovations	4,103	649	2,505	372	645
University Shops	6,425	6,698	8,346	8,872	10,635
Other Direct Costs ¹	34,619	37,078	42,419	44,434	43,641
Total Direct Costs	200,947	211,077	234,532	267,131	277,970
Facilities & Administrative Costs	59,146	66,185	71,188	73,941	77,277
TOTAL	\$260,093	\$277,262	\$305,720	\$341,073	\$355,247

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: FY 2005 figures are not available for this set of information as of the date of this publication, with the exception of the NIH ranking information. Data will be updated on the ORPA website when it becomes available.**

On An Expenditure Basis¹

- **34th** in Federally financed research and development (R&D) expenditures at universities and colleges: fiscal year 2004
(33rd in FY 2003)
- **16th** in Industry-sponsored R&D expenditures at universities and colleges: fiscal year 2004
(22nd^h in FY 2003)
- **15th** among private universities

On An Obligation Basis²

- **29th** in Federal obligations for science and engineering R&D: FY 2003
(29th in FY 2002)
- **24th** in Federal obligations for fellowships, traineeships, and training grants: FY 2003
(27th in FY 2002)
- **3rd** in Federal obligations for science and engineering to New York universities and colleges: FY 2003 (*rank order: Columbia, Cornell, and Rochester*)
- **29th** in NIH extramural awards to medical schools: FY 2005
(30th in FY 2004)

The Carnegie Foundation for the Advancement of Teaching places the University of Rochester in the category Research Universities I. 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. They award fifty or more doctoral degrees each year and they receive \$40 million or more in federal support.

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 10
FY 2003 Federal Obligations for Science and Engineering
Research and Development
(Dollars in thousands)

Rank	Institution	Total Obligations
1	Johns Hopkins University	1,137,366
2	University of Washington	631,144
3	University of Michigan	520,754
4	University of Pennsylvania	495,264
5	University of California Los Angeles	475,651
6	Stanford University	467,153
7	University of California San Diego	466,450
8	University of Wisconsin Madison	422,125
9	Washington University at St. Louis	419,014
10	Columbia University	412,694
11	Duke University	412,069
12	University of Pittsburgh	394,701
13	University of California San Francisco	393,078
14	Harvard University	384,891
15	University of Colorado	367,867
16	Yale University	349,560
17	Boston University	347,152
18	Pennsylvania State University	345,920
19	University of Minnesota	345,802
20	University of North Carolina Chapel Hill	344,601
21	Cornell University	334,108
22	Baylor College of Medicine	297,252
23	Massachusetts Institute of Technology	291,879
24	University of Southern California	279,442
25	Vanderbilt University	263,812
26	University of Alabama Birmingham	253,617
27	University of California Berkeley	245,570
28	University of Illinois at Urbana-Champaign	242,985
29	University of Rochester	228,985
30	Emory University	214,970

Source: National Science Foundation/SRS, Survey of Federal Science and Engineering Support to Universities, Colleges and Nonprofit Institutions, Fiscal Year 2003

OUTLOOK FOR FY 2007

As of this date, Congress has not completed work on the FY 2007 federal budget, and in all likelihood will not do so until the Democrats take over power in January. Only 1 of the 11 appropriation bills, Defense, has cleared both the House and Senate. What this means is that the remaining R&D funding agencies will have to operate on a continuing resolution at the lowest of House, Senate, or FY 2006 funding levels through at least December 8. Overall, the federal investment in research and development (R&D) would hit another record of \$138.3 billion in FY 2007 Senate appropriations, a \$3.0 billion or 2.2 percent increase over 2006. Nearly the entire increase would go to weapons development in the Air Force and Missile Defense Agency (MDA) within the Department of Defense (DOD) and the National Aeronautics and Space Administration (NASA) for new spacecraft, leaving the overall federal investment in basic and applied research and R&D facilities in decline. R&D spending for DOD will increase by \$3.5 billion or 4.8 percent to a record-breaking \$78.6 billion. The research-oriented Defense Advanced Research Projects Agency (DARPA) would see its budget increase by 1.4 percent to \$3.0 billion. Under the President's American Competitiveness Initiative program, the Office of Science within the Department of Energy (DOE) would receive an increase of 15 percent or more to \$4.2 billion, the National Science Foundation \$439 million or 8 percent, and the National Institute of Standards and Technology within the Commerce Department 21 percent to \$382 million. After several years of rapid increases, the Department of Homeland Security's (DHS) R&D funding would fall for the first time in the 2007 budget, by 10.3 percent, down to \$1.1 billion. Although NASA's R&D funding would climb \$871 million or 7.7 percent to \$12.2 billion in the Senate appropriation, the entire increase and more would go to the effort to develop the next generation of human space vehicles, leaving all other NASA R&D programs with sharp funding cuts, following similar cuts in 2006. Within the health category, the bulk of the funding is targeted to the National Institutes of Health, the largest component of the Department of Health and Human Services, and the largest single source of funds for university research. NIH would have flat funding for the second year in a row in the proposed FY 2007 budget. Within the NIH, the biggest increase (30 percent) will go to the Office of the Director to boost funding for the two NIH priorities of biodefense R&D and the Roadmap for Biomedical Research. The Roadmap will receive \$443 million in FY 2007 (up 34.4 percent). Four agencies provide nearly all of the support for natural resources and environment R&D: The Department of the Interior's budget would fall 6.2 percent to \$595 million in FY 2007. The Environmental Protection Agency (EPA) would receive a \$43 million or 7.1 percent cut to \$557 million. Funding for most EPA research areas would decline, with the exception of homeland security. The Department of Transportation's (DOT) funding would fall 8.5 percent or \$71 million to \$767 million. The Department of Veterans Affairs (VA) would maintain a flat R&D budget of \$765 million in FY 2007.

CONTACT INFORMATION

Office of Research and Project Administration
University of Rochester
Hylan Building, 5th Floor, RC Box 271040
Rochester, NY 14627-0140
Phone 585.275.5373 • Fax 585.275.9492
Email: resadmin@orpa.rochester.edu
Website: <http://www.rochester.edu/orpa>

COPYRIGHT NOTICE

Copyright © 2006 University of Rochester. All rights reserved.