

OFFICE OF RESEARCH AND PROJECT ADMINISTRATION

ANNUAL REPORT
OF
SPONSORED PROGRAM ACTIVITIES

Fiscal Year 2007

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, 2007.

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.

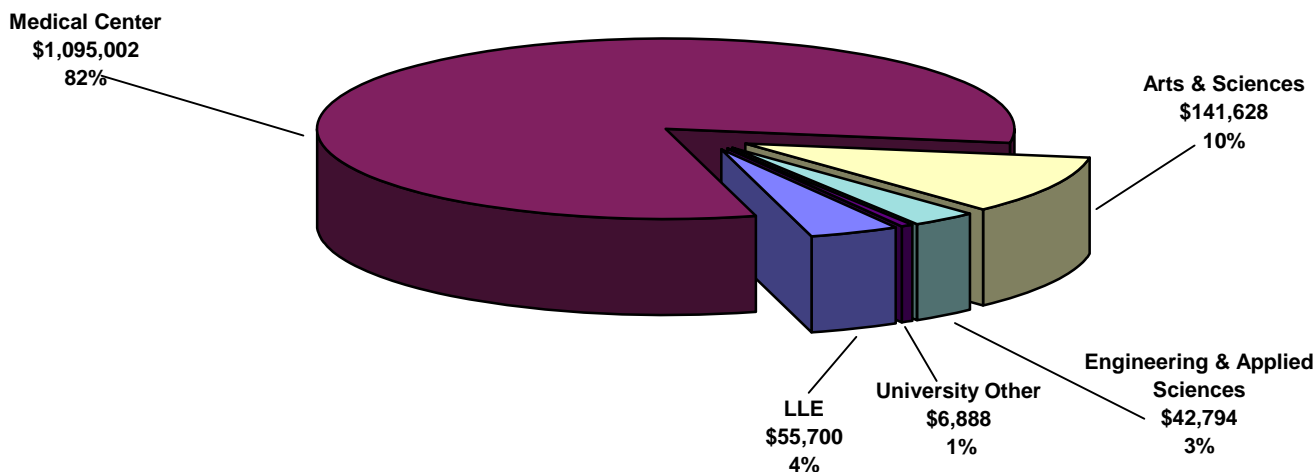
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PROPOSAL AND AWARD ACTIVITY

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 2007

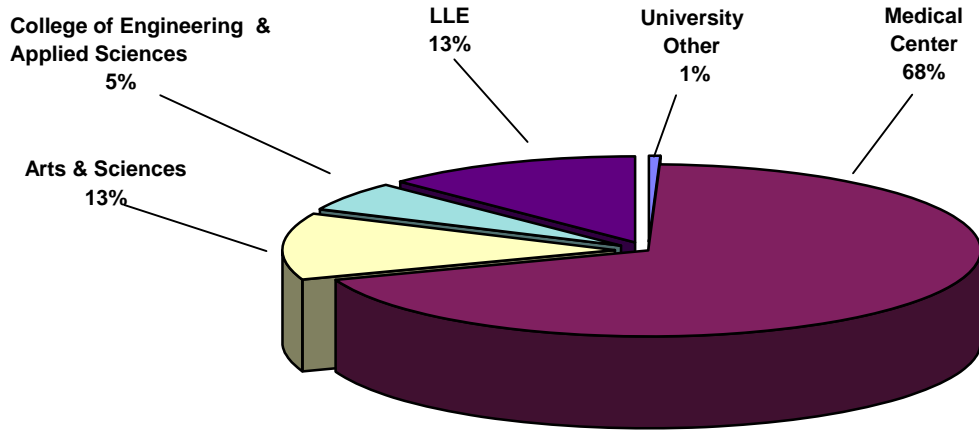


The School of Medicine and Dentistry submits the majority of proposals and, as is also indicated in the award statistics, receives the preponderance of sponsored program funding. On an overall University basis, over **2,139** new, continuation, and renewal proposals were submitted in FY 2007 for sponsored program funding.

Chart B
Awards Dollars Received - FY 2007

In FY 2007, **3,225** 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.

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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 2003	FY 2004	FY 2005	FY 2006	FY 2007
<u>Medical Center</u>					
Medicine & Dentistry	\$893,177	\$978,526	\$1,155,061	\$1,153,245	\$1,048,228
Nursing	18,826	22,370	14,508	17,926	37,676
Hospitals and Clinics	2,909	2,862	2,765	3,118	3,252
Medical Center Administration	4,760	126	572	53	5,846
<u>The College</u>					
Arts and Sciences	141,809	107,367	134,941	120,657	141,628
Engineering & Applied Sciences	81,148	99,074	58,982	44,149	42,794
<u>Other Schools and Divisions</u>					
Laboratory for Laser Energetics	16,709	68,320	115,321	75,138	55,700
Warner School of Education	2,403	10,338	2,537	4,994	5,929
Memorial Art Gallery	240	121	248	435	330
Simon School of Business	138	83	357	380	0
Eastman School of Music	0	240	156	286	374
University Other	2,953	4,555	693	892	255
TOTAL	\$1,165,072	\$1,293,982	\$1,486,141	\$1,421,273	\$1,342,012

Source: UR-Coeus Sponsored Programs Management Database

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

College/School/Division	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007
<u>Medical Center</u>					
Medicine & Dentistry	\$196,633	\$213,961	\$222,285	\$230,639	\$243,511
Nursing	4,250	6,417	5,446	5,148	2,626
Hospitals and Clinics	1,320	756	1,146	983	1,297
Medical Center Administration	295	200	510	57	575
<u>The College</u>					
Arts and Sciences	40,301	35,404	29,733	31,643	45,030
Engineering & Applied Sciences	16,441	10,306	16,680	15,906	19,593
<u>Other Schools and Divisions</u>					
Laboratory for Laser Energetics	47,124	62,875	71,513	63,940	45,174
Warner School of Education	844	1,284	4,732	806	570
Memorial Art Gallery	311	176	193	41	243
Simon School of Business	97	58	38	152	60
Eastman School of Music	434	347	173	48	86
University Other	83	1,279	324	1,698	1,126
TOTAL	\$308,133	\$333,063	\$352,802	\$351,061	\$359,891

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 2007.

Table 3
Sponsors Awarding \$1,000,000 or More Annually
FY 2007

Sponsor Name	Dollars Awarded	Direct \$	Indirect \$
National Institutes of Health	\$177,676,840	\$125,205,761	\$52,471,079
Department of Energy	48,803,553	32,348,803	16,454,750
National Science Foundation	12,537,387	9,597,426	2,939,961
U. S. Dept. of Education	7,794,377	6,937,802	856,575
DOD/Army	5,612,921	4,173,970	1,438,951
NYSTAR	5,254,284	4,973,393	280,891
NYS/Health Department	5,195,956	4,963,445	232,511
Guidant Corporation	5,024,416	4,277,795	746,621
Centers for Disease Control	3,759,022	2,756,301	1,002,721
DOD/Air Force	3,350,542	2,571,147	779,395
DOD/Navy	2,878,240	2,438,293	439,947
Amarin Neurosciences	2,859,160	2,199,354	659,806
Monroe County	2,836,955	2,756,899	80,056
NASA	2,300,668	2,140,998	159,670
Health Resource Services Agency	2,030,945	1,864,072	166,873
Health Research Inc.	1,993,150	1,849,205	143,945
University of Iowa	1,817,456	1,172,333	645,123
Environmental Protection Administration	1,722,808	1,282,633	440,175
Robert Wood Johnson Foundation	1,673,390	1,547,287	126,103
University of California Scripps Institute	1,362,604	873,464	489,140
Hauptman Woodman Institute	1,012,204	648,849	363,355
Grand Total:	\$297,496,878	\$216,579,230	\$80,917,648

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 2007. This table does not include funding for undergraduate financial aid.

Table 4
Summary of Active Projects
As of 6/30/07

College/School/Division	Number of Active Projects
<u>Medical Center</u>	
Medicine & Dentistry	2,424
Nursing	50
Strong Memorial Hospital	13
Medical Center Administration	7
<u>The College</u>	
Arts & Sciences	382
Engineering and Applied Sciences	166
<u>Other Schools and Divisions</u>	
Laboratory for Laser Energetics	7
Warner School of Education	14
Memorial Art Gallery	10
Simon School of Business	1
Eastman School of Music	6
River Campus General	4
University General	7
TOTAL ACTIVE PROJECTS	3,091

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 2003	FY 2004	FY 2005	FY 2006	FY 2007
Research ¹	\$232,426	\$247,114	\$268,217	\$277,905	\$289,363
Fellowships & Training	27,484	27,630	26,246	26,841	26,452
Clinical Drug Trials	23,545	24,791	26,914	27,889	25,197
Libraries & Museums	349	636	206	365	599
Conference & Travel	234	133	141	414	247
Equipment	2,524	1,194	1,798	956	4,257
Miscellaneous Activities	17,831	17,955	22,129	16,691	13,776
TOTAL	\$308,133	\$333,022	\$345,651	\$351,061	\$359,891

¹The Medical Center accounts for 69% 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.

Source: UR-Coeus Sponsored Programs Management Database

OVERVIEW OF SPONSORED PROGRAMS EXPENDITURES

In Fiscal Year 2007, the University of Rochester expended in excess of \$357 million for sponsored activities, an increase of slightly less than 1 percent from Fiscal Year 2006.

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

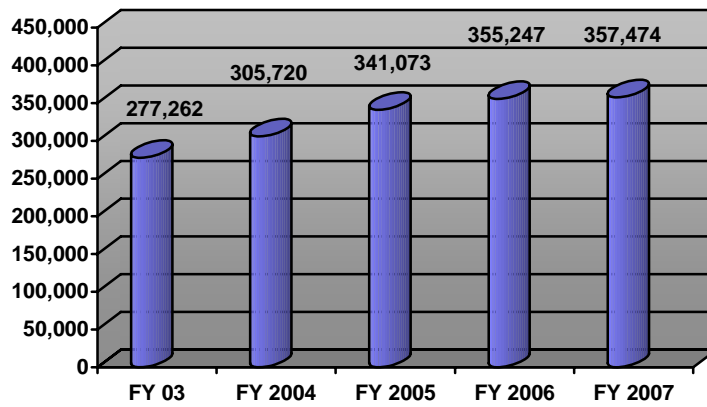


Table 6
Sponsored Program Expenditures
Total University
(Dollars in thousands)

	FY2003	FY 2004	FY 2005	FY 2006	FY 2007
Total University	\$277,262	\$305,720	\$341,073	\$355,247	\$357,474

Source: University Accounting System Report ABQ361

SPONSORED PROGRAM EXPENDITURES 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 2003	FY 2004	FY 2005	FY 2006	FY 2007
<u>Medical Center</u>					
Medicine & Dentistry	\$179,483	\$201,178	\$214,958	\$215,571	\$219,775
Nursing	4,025	4,733	5,655	5,400	4,692
Hospitals and Clinics	1,155	1,056	1,046	1,036	1,490
Medical Center Administration ²	203	308	705	325	2,317
<u>The College</u>					
Arts and Sciences	31,406	34,937	33,570	34,338	33,812
Engineering & Applied Sciences	14,660	12,983	13,684	14,336	16,732
<u>Other Schools and Divisions</u>					
Laboratory for Laser Energetics	39,259	43,581	63,277	76,519	70,208
Warner School of Education	1,391	1,765	2,214	2,259	2,192
Memorial Art Gallery	356	245	166	193	355
Simon School of Business	206	57	46	66	90
Eastman School of Music	818	760	772	510	501
University Other ³	4,300	4,117	4,980	4,694	5,310
TOTAL	\$277,262	\$305,720	\$341,073	\$355,247	\$357,474

Source: University Accounting System Report ABQ361

¹Includes facilities & administrative costs.

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

³Includes funding for undergraduate student financial aid.

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

Arts and Sciences	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007
Dean's Office	\$171	\$111	\$16	\$628	\$0
Art and Art History	34	24	13	3	4
Biology	3,523	3,665	3,753	4,212	5,593
Brain & Cognitive Sciences	3,022	5,116	4,553	4,332	3,935
Chemistry	2,934	3,462	3,441	3,223	3,927
Clinical and Social Sciences in Psychology	5,889	5,587	4,676	4,734	5,036
Computer Science	2,402	3,280	2,922	2,474	2,160
Earth and Environmental Sciences	705	1,122	779	833	902
Economics	0	0	19	0	0
English	64	69	40	10	42
Kearns Center	0	0	0	0	75
Linguistics	18	21	24	20	79
Mathematics	363	347	343	202	264
Philosophy	2	24	0	0	0
Physics and Astronomy	8,379	7,397	7,445	8,053	6,898
Political Science	2	2	9	5	0
Skalny Center for Polish/ European Studies	0	0	0	0	80
Undergraduate Studies	412	314	318	89	1
Visual Science	2,665	3,829	4,748	5,126	4,699
Wallis Institute of Political Economy	821	567	471	394	117
Subtotal	\$31,406	\$34,937	\$33,570	\$34,338	\$33,812

Source: University Accounting System Report ABQ353

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

Engineering & Applied Sciences	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007
Dean's Office	N/A	N/A	\$55	\$1	\$1,581
Center for Future Health	1,060	1,275	401	518	-101
Biomedical Engineering	730	799	1,500	1,452	1,326
Chemical Engineering	705	695	563	415	541
Electrical & Computer Engineering	3,016	2,620	3,349	2,859	3,019
Mechanical Engineering	363	691	1,119	1,989	1,988
Optics	4,296	3,667	4,571	5,891	6,727
Center for Electronic Imaging Systems	2,080	2,072	1,593	1,211	1,460
Center for Optoelectronics & Imaging	2,410	1,164	533	0	0
Subtotal	\$14,660	\$12,983	\$13,684	\$14,336	\$16,732
TOTAL	\$39,940	\$43,253	\$44,573	\$47,254	\$50,544

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 2003	FY 2004	FY 2005	FY 2006	FY 2007
Dean's Office	\$2,542	\$1,636	\$318	\$29	\$0
Anesthesiology	593	942	1,715	1,151	1,268
Biochemistry and Biophysics	8,872	9,110	8,227	6,969	6,656
Biomedical Engineering	NA	NA	NA	362	600
Biomedical Genetics (previously Center for Cancer Biology)	2,404	3,095	3,980	3,790	3,318
Biostatistics and Computational Biology	986	1,742	1,687	3,173	3,767
Cancer Center	7,369	10,353	9,428	9,447	9,810
Center for Human Genetics & Molecular Pediatric Disease	1,612	2,236	2,419	2,166	2,195
Center for Oral Biology	4,497	5,304	5,820	4,955	4,743
Center for the Study of Rochester's Health	1,230	1,632	1,872	1,482	0
Center for Vaccine Biology	4,798	6,656	6,408	4,084	2,951
Center on Aging	107	-18	0	0	0
Center for Aging and Developmental Biology	6,479	8,221	10,807	8,869	6,600
Clinical Research Institute	4	-4	0	0	0
Community and Preventive Medicine	3,453	3,952	4,319	5,264	5,237
Dermatology	1,614	1,566	938	1,137	1,612
Eastman Dept. of Dentistry	1,199	1,252	1,507	1,214	1,726
Emergency Medicine	428	623	849	1,542	1,103
Environmental Medicine	10,861	10,166	11,933	11,525	12,788
Family Medicine	2,309	2,529	2,425	1,761	1,522
Genetics	20	0	0	0	0
Imaging Sciences (previously Radiology)	1,574	2,194	2,246	2,217	1,898
Medicine	29,174	31,617	36,864	40,578	41,209

(Continued on next page)

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

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Medicine and Dentistry cont'd	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007
Microbiology and Immunology	8,459	8,489	8,498	7,727	6,633
Neurobiology and Anatomy	4,808	5,540	6,248	6,208	7,395
Neurology	23,171	26,885	28,951	28,633	27,959
Neurosurgery	2,226	2,987	2,301	2,161	3,955
Obstetrics and Gynecology	3,114	4,193	4,765	5,275	7,671
Ophthalmology	572	654	1,607	2,733	2,983
Orthopaedics	2,157	3,012	3,856	4,658	5,074
Otolaryngology	NA	NA	1,186	803	953
Pathology	3,487	3,981	4,281	2,677	3,300
Pediatrics	15,656	16,982	14,234	14,448	15,781
Pharmacology and Physiology	8,221	7,707	8,502	9,287	9,054
Physical Medicine and Rehab	56	55	13	-1	0
Psychiatry	8,245	8,943	9,888	10,333	10,655
Radiation Oncology	1,147	990	1,811	4,237	5,663
Surgery	4,424	4,071	2,791	2,578	2,208
Urology	1,024	945	1,201	1,186	1,113
SMD Other ¹	591	940	1,063	913	375
TOTAL	\$179,483	\$201,178	\$214,958	\$215,571	\$219,775

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 2003	FY 2004	FY 2005	FY 2006	FY 2007
<u>Medical Center</u>					
Medicine & Dentistry	\$133,215	\$151,156	\$163,008	\$161,228	\$165,696
Nursing	3,351	3,854	4,679	4,343	3,693
Hospitals and Clinics	1,138	1,042	1,005	981	1,441
Medical Center Administration	206	284	604	310	1,124
<u>The College</u>					
Arts and Science	24,173	27,355	25,961	27,056	26,404
Engineering & Applied Sciences	11,433	9,836	11,006	11,720	14,247
<u>Other Schools and Divisions</u>					
Laboratory for Laser Energetics	30,702	34,330	53,174	65,226	58,532
Warner School of Education	1,253	1,527	1,741	1,661	1,633
Simon School of Business	158	57	46	66	60
Eastman School of Music	818	759	770	510	499
Memorial Art Gallery	356	245	166	193	355
University Other	4,274	4,087	4,971	4,676	5,273
TOTAL	\$179,483	\$201,178	\$214,958	\$277,970	\$278,957

Source: University Accounting System Report ABQ361

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

College/Unit	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007
<u>Medical Center</u>					
Medicine & Dentistry	\$46,268	\$50,022	\$51,590	\$54,344	\$55,228
Nursing	674	879	976	1,057	999
Hospitals and Clinics	16	14	41	55	49
Medical Center Administration	-3	24	12	15	44
<u>The College</u>					
Arts and Sciences	7,234	7,582	7,609	7,281	7,408
Engineering & Applied Sciences	3,228	3,147	2,680	2,616	2,485
<u>Other Schools and Divisions</u>					
Laboratory for Laser Energetics	8,557	9,251	10,102	11,293	11,676
Warner School of Education	137	238	473	598	559
Simon School of Business	48	0	-2	0	30
Eastman School of Music	0	1	1	0	2
Memorial Art Gallery	0	0	0	0	0
University Other	26	30	10	17	37
TOTAL	\$66,185	\$71,188	\$73,942	\$77,277	\$78,517

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 indicates the total University expenditures by type of funding agency.

Chart D
Expenditures by Agency Type – FY 2007

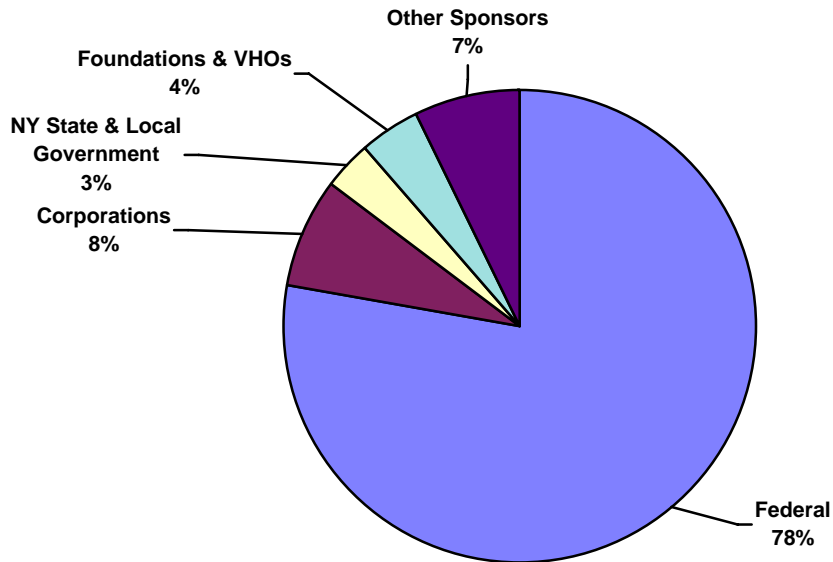


Table 8.1
Sponsored Program Expenditures
By Agency Type
(Dollars in thousands)

Agency Type	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007
Federal	\$204,955	\$226,737	\$257,756	\$275,332	\$278,017
Corporations	25,303	27,919	31,143	29,489	26,956
NY State & Local Government	13,279	14,750	13,332	11,799	12,019
Foundations & Voluntary Health Organizations	13,178	10,485	15,517	12,545	14,394
Other Sponsors ¹	20,547	25,829	23,325	26,082	26,088
TOTAL	\$277,262	\$305,720	\$341,073	\$355,247	\$357,474

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 2003	FY 2004	FY 2005	FY 2006	FY 2007
Public Health Service (includes NIH)	\$135,184	\$151,862	\$161,529	\$166,388	\$171,736
Department of Energy	42,343	47,435	66,554	80,384	73,277
National Science Foundation	8,409	12,029	10,890	10,436	10,224
Department of Defense	9,229	6,477	9,398	9,149	10,024
Department of Education	6,171	5,816	6,552	6,550	7,793
National Aeronautics and Space Administration	1,244	631	601	530	2,152
NEA/NEH ¹	81	105	74	35	61
Other Sponsors	2,294	2,382	2,158	1,860	2,750
TOTAL	\$204,955	\$226,737	\$257,756	\$275,332	278,017

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 2007 included approximately \$50 million for faculty salaries, \$15 million for graduate student salaries and stipends and \$2 million for undergraduate student salaries.

Chart E

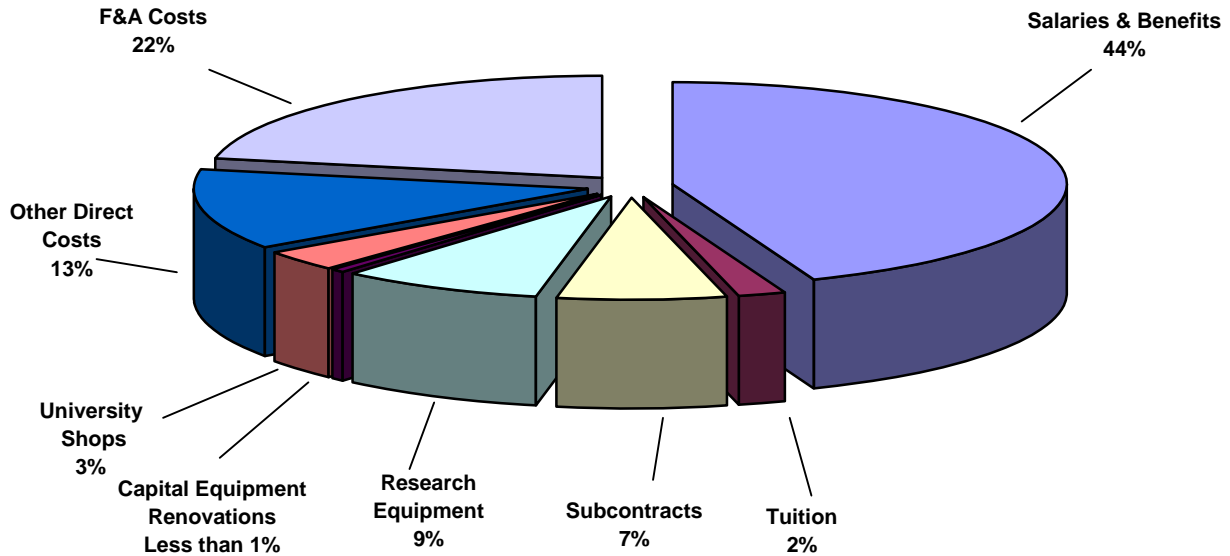


Table 9
Sponsored Program Expenditures by Cost Element
(Dollars in thousands)

Cost Element	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007
Salaries & Benefits	\$127,785	\$138,003	\$148,692	\$152,425	\$158,151
Tuition	6,842	6,699	6,312	6,364	6,554
Subcontracts	16,652	21,385	26,372	25,853	24,485
Research Equipment	15,373	15,175	32,078	38,407	30,437
Capital Equipment/Renovations	649	2,505	372	645	2,042
University Shops	6,698	8,346	8,872	10,635	11,469
Other Direct Costs ¹	37,078	42,419	44,434	43,641	45,819
Total Direct Costs	211,077	234,532	267,131	277,970	278,957
Facilities & Administrative Costs	66,185	71,188	73,941	77,277	78,517
TOTAL	\$277,262	\$305,720	\$341,073	\$355,247	\$357,474

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. FY 2007 figures are not available for the set of information shown below as of the date of this publication. Data will be updated on the ORPA website when it becomes available.**

On An Expenditure Basis¹

- **29th** in Federally financed research and development (R&D) expenditures at universities and colleges: fiscal year 2006
(32nd in FY 2005)
- **20th** in Industry-sponsored R&D expenditures at universities and colleges: fiscal year 2006
(17th in FY 2005)
- **17th** among private universities in fiscal year 2006

On An Obligation Basis²

- **27th** in Federal obligations for science and engineering R&D: FY 2005
(27th in FY 2004)
- **25th** in Federal obligations for fellowships, traineeships, and training grants: FY 2005
(22nd in FY 2004)
- **3rd** in Federal obligations for science and engineering to New York universities and colleges: FY 2005 (*rank order: Columbia, Cornell, and Rochester*)

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 2005 Federal Obligations for Science and Engineering
Research and Development
(Dollars in thousands)

Rank	Institution	Total Obligations
1	Johns Hopkins University	1,233,948
2	University of Washington	663,340
3	University of Pennsylvania	558,151
4	University of California Los Angeles	525,450
5	University of Michigan	513,133
6	Stanford University	485,552
7	University of Wisconsin Madison	476,865
8	University of California San Francisco	473,518
9	Duke University	459,165
10	Columbia University	447,169
11	Harvard University	441,259
12	University of California, San Diego	428,315
13	Washington University at St. Louis	428,109
14	University of Pittsburgh	427,071
15	Yale University	384,420
16	University of Colorado	367,595
17	University of North Carolina, Chapel Hill	363,060
18	University of Minnesota	362,065
19	Cornell University	360,549
20	Massachusetts Institute of Technology	359,771
21	University of Southern California	323,958
22	Pennsylvania State University	304,552
23	Vanderbilt University	303,357
24	Case Western Reserve University	303,267
25	University of California, Berkeley	270,571
26	Baylor College of Medicine	262,968
27	University of Rochester	261,637
28	University of Alabama Birmingham	254,332
29	Scripps Research Institute	254,235
30	Ohio State University	246,718

Source: National Science Foundation/SRS, Survey of Federal Science and Engineering Support to Universities, Colleges and Nonprofit Institutions, Fiscal Year 2005

OVERVIEW OF MATERIAL TRANSFER AGREEMENTS ACTIVITY

During Fiscal Year 2007, the administration of Material Transfer Agreements (MTAs) was moved from the Office of Technology Transfer to the Office of Research and Project Administration.

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 April 2007, pursuant to the recommendations of the Technology Transfer Steering Committee, the responsibility of MTA review and negotiation transferred from the Offices of Technology Transfer (both Medical Center and River Campus) to the Office of Research and Project Administration. Two new MTA administrators were also hired pursuant to the report generated by the committee.

In FY 2007, roughly 25 percent of all requests for material transfers were with industry; the remaining 75 percent were with various non-profit entities. A total of 328 requests for transfers were received and 262 agreements were executed during this time period.

OUTLOOK FOR FISCAL YEAR 2008

Congress gave final approval on December 19 to a \$550 billion omnibus appropriations bill combining the 11 unfinished FY 08 appropriations bills and sent it on to the President for his signature. Although earlier versions had contained \$22 billion for domestic spending over the President's requested cuts, the final bill is close to the President's request. As a result, the federal investment in research and development (R&D) in 2008 will decline dramatically from earlier congressional plans. The federal investment in basic and applied research for FY 2008 will gain just 1.1 percent to \$57.5 billion, less than inflation and far less than earlier congressional appropriations. The federal research investment will decline in real terms for the fourth year in a row.

Funding for basic research in the physical sciences, a key element of various plans to sustain U.S. economic competitiveness, will fall well short of a planned doubling path over the next decade. The omnibus bill will take away most of the requested increases for the three physical sciences agencies in the American Competitiveness Initiative, (the Department of Energy's (DOE) Office of Science, the National Science Foundation (NSF) and the National Institute of Standards and Technology (NIST) laboratories) in order to reverse requested cuts in medical research, energy R&D, and environmental research. DOE's R&D portfolio in FY 2008 will do relatively well with a \$644 million or 7.4 percent increase, but the omnibus bill brings several disappointments. DOE Science will get a total budget of \$4.0 billion, a 4.6 percent increase instead of the earlier proposed 18 percent increase, and several program areas including fusion and high-energy physics will see cuts. NSF R&D will gain just 1.1 percent to \$4.5 billion instead of the 9 percent increase in earlier House and Senate bills, while the total NSF budget of \$6.0 billion (up 2.0 percent) would do slightly better because of boosts to NSF's education programs. As a result, the ACI vision of doubling funding for these three agencies between 2006 and 2016 is far off track. The Department of Homeland Security's (DHS) R&D portfolio will increase \$86 million or 9.0 percent to \$1.0 billion in 2008, after a steep cut in 2007. The omnibus bill will cut funding for most R&D areas, including cuts to chemical and biological countermeasures, but funding for University Programs will remain at \$49 million instead of a requested cut to \$39 million and \$82 million in earmarks were added. Within the health category, the bulk of the funding is targeted to the National Institutes of Health (NIH), the largest component of the Department of Health and Human Services, and the largest single source of funds for university research. NIH will receive a \$29.5 billion appropriation, an increase of \$275 million or 0.9 percent over 2007. This is \$604 million more than the president's requested cut but nearly \$800 million short of a larger appropriation he vetoed in November. Most of the meager increase will go to a larger transfer to the Global Fund for HIV/AIDS and increased funding for the NIH Common Fund. Nearly all of the NIH institutes and centers (IC's) will see their budgets remain exactly the same as last year. Because of flat budgets, the success rates for NIH grant competitions is expected to remain below 20 percent, and the average grant size is expected to keep falling further and further behind inflation. The total NASA budget of \$17.1 billion will be almost \$200 million short of the original congressional request but \$850 million more than last year, for a 5.2 increase. Instead of a steep requested cut in the president's proposed federal budget, Congress added hundreds of millions in R&D earmarks to the U.S. Department of Agriculture (USDA) for a slight increase in 2008 to \$2.3 billion, a 2 percent increase. The Department of Commerce's (COMMERCE) R&D portfolio is a high priority for Congress, with large increases for both of Commerce's main R&D units, the National Institute of Standards and Technology (NIST) and the National Oceanic and Atmospheric Administration (NOAA). NIST R&D will gain 4.7 percent to \$514 million, while NOAA will receive a large increase to \$573 million, a 7.6 percent increase. Total Commerce R&D will rise 6.5 percent to \$1.1 billion. Instead of a requested cut, the lead science agency within the Department of the Interior, the U.S. Geological Survey (USGS) will receive a 3.4 percent or \$19 million increase to \$583 million. R&D funding in the Environmental Protection Agency (EPA) will fall by 3.2 percent or \$18 million to \$542 million in the omnibus bill. Congress deleted a \$50 million

OFFICE OF RESEARCH
AND PROJECT ADMINISTRATION

House proposal to fund a commission to prioritize climate change adaptation and mitigation research. Funding for most EPA research areas will decline. Department of Transportation (DOT) R&D funding will rise 7.3 percent to \$852 million in 2008, with cuts to aviation R&D balanced by large increases for highway R&D. Department of Veteran's Affairs (VA) federal R&D will increase \$41 million or 4.8 percent to \$891 million, helped along by Congress designating most veterans funding as emergency and thus exempt from the stringent budgetary caps affecting other domestic programs.

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