

**OFFICE OF RESEARCH AND PROJECT ADMINISTRATION**

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**ANNUAL REPORT**  
**OF**  
**SPONSORED PROGRAM ACTIVITIES**

**Fiscal Year 2008**

**UNIVERSITY OF ROCHESTER**

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## INTRODUCTION

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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, 2008.

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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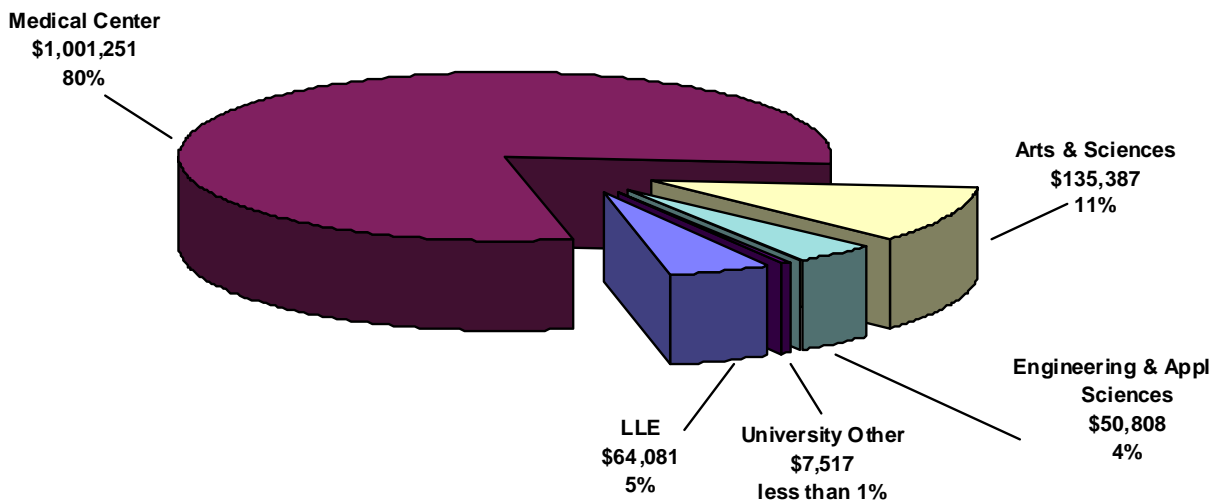
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PROPOSAL AND AWARD ACTIVITY

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.

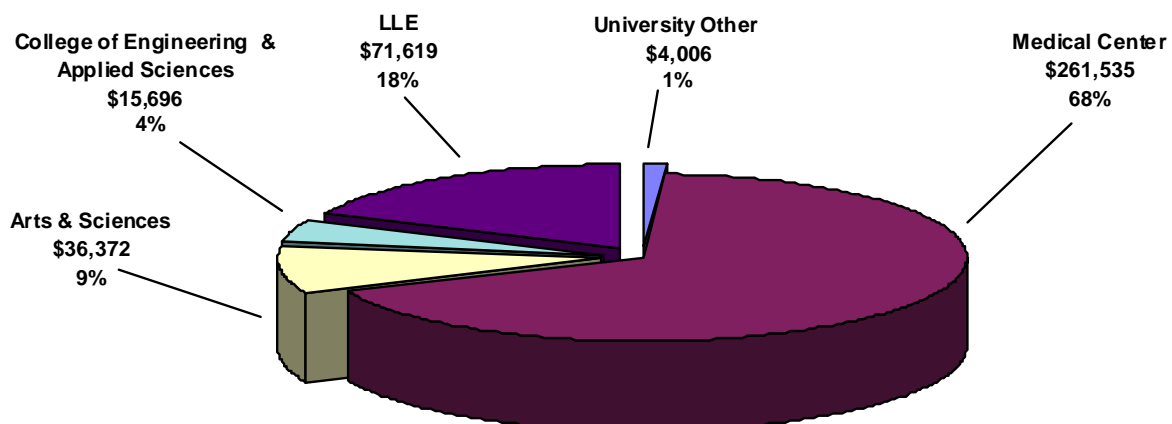
**Chart A**  
**Dollar Value of Proposals Submitted - FY 2008**



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 **2,175** new, continuation, and renewal proposals were submitted in FY 2008 for sponsored program funding.

**Chart B**  
**Awards Dollars Received - FY 2008**

In FY 2008, **3,489** 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)**

<b>College/School/Division</b>	<b>FY 2004</b>	<b>FY 2005</b>	<b>FY 2006</b>	<b>FY 2007</b>	<b>FY 2008</b>
<b><u>Medical Center</u></b>					
Medicine & Dentistry	\$978,526	\$1,155,061	\$1,153,245	\$1,048,228	\$974,826
Nursing	22,370	14,508	17,926	37,676	23,220
Hospitals and Clinics	2,862	2,765	3,118	3,252	582
Medical Center Administration	126	572	53	5,846	2,623
<b><u>The College</u></b>					
Arts and Sciences	107,367	134,941	120,657	141,628	135,387
Engineering & Applied Sciences	99,074	58,982	44,149	42,794	50,808
<b><u>Other Schools and Divisions</u></b>					
Laboratory for Laser Energetics	68,320	115,321	75,138	55,700	64,081
Warner School of Education	10,338	2,537	4,994	5,929	5,604
Memorial Art Gallery	121	248	435	330	222
Simon School of Business	83	357	380	0	0
Eastman School of Music	240	156	286	374	486
University Other	4,555	693	892	255	1,206
<b>TOTAL</b>	<b>\$1,293,982</b>	<b>\$1,486,141</b>	<b>\$1,421,273</b>	<b>\$1,342,012</b>	<b>\$1,259,044</b>

Source: UR-Coeus Sponsored Programs Management Database

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

<b>College/School/Division</b>	<b>FY 2004</b>	<b>FY 2005</b>	<b>FY 2006</b>	<b>FY 2007</b>	<b>FY 2008</b>
<b><u>Medical Center</u></b>					
Medicine & Dentistry	\$213,961	\$222,285	\$230,639	\$243,511	\$248,592
Nursing	6,417	5,446	5,148	2,626	9,676
Hospitals and Clinics	756	1,146	983	1,297	808
Medical Center Administration	200	510	57	575	2,459
<b><u>The College</u></b>					
Arts and Sciences	35,404	29,733	31,643	45,030	36,372
Engineering & Applied Sciences	10,306	16,680	15,906	19,593	15,696
<b><u>Other Schools and Divisions</u></b>					
Laboratory for Laser Energetics	62,875	71,513	63,940	45,174	71,619
Warner School of Education	1,284	4,732	806	570	1,884
Memorial Art Gallery	176	193	41	243	177
Simon School of Business	58	38	152	60	0
Eastman School of Music	347	173	48	86	47
University Other	1,279	324	1,698	1,126	1,898
<b>TOTAL</b>	<b>\$333,063</b>	<b>\$352,802</b>	<b>\$351,061</b>	<b>\$359,891</b>	<b>\$389,228</b>

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
- 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 2008.

**Table 3**  
**Sponsors Awarding \$1,000,000 or More Annually**  
**FY 2008**

<b>Sponsor Name</b>	<b>Direct \$</b>	<b>Indirect \$</b>	<b>Dollars Awarded</b>
National Institutes of Health	\$133,790,830	\$53,179,119	\$186,969,949
Department of Energy	50,563,257	26,069,948	76,633,205
National Science Foundation	7,025,262	2,466,410	9,491,672
DOD/Army	6,776,055	640,747	7,416,802
Guidant Corporation	5,444,580	679,702	6,124,282
New York State	4,956,111	245,945	5,202,056
Health Resource Services Agency	4,826,078	326,132	5,152,210
Centers for Disease Control	2,478,236	863,643	3,341,879
Health Research Inc	2,400,610	297,073	2,697,683
DOD/AF/AFOSR	1,794,490	676,808	2,471,298
DOD/NAVY/ONR	1,775,383	622,369	2,397,752
EDUCATION	2,084,468	162,199	2,246,667
Monroe County	2,147,398	52,481	2,199,879
Boehringer Ingelheim Pharmaceuticals Inc.	1,506,257	446,177	1,952,434
Solucar Power	1,406,271	421,886	1,828,157
American Cancer Society	1,631,575	176,062	1,807,637
Environmental Protection Agency	1,303,685	456,632	1,760,317
NYSTAR	1,596,365	80,635	1,677,000
Helene Fuld Health Trust	1,665,000	0	1,665,000
Fermi National Accelerator Lab	1,482,189	0	1,482,189
James S. McDonnell Foundation	1,468,865	0	1,468,865
Amarin Neurosciences	1,105,463	331,639	1,437,102
High Q Foundation	1,341,514	26,094	1,367,608
Fred Hutchinson Cancer Research Center	826,643	501,461	1,328,104
University of Iowa	858,022	403,127	1,261,149
Medivation, Inc.	898,749	269,556	1,168,305
Bausch & Lomb	899,349	185,836	1,085,185
Coordinated Care Services	941,074	71,272	1,012,346
<b>Grand Total</b>	<b>\$244,993,779</b>	<b>\$89,652,953</b>	<b>\$334,646,732</b>

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 2008. This table does not include funding for undergraduate financial aid.

**Table 4**  
**Summary of Active Projects**  
**As of 6/30/08**

<b>College/School/Division</b>	<b>Number of Active Projects</b>
<b><u>Medical Center</u></b>	
Medicine & Dentistry	2,168
Nursing	53
Strong Memorial Hospital	12
Medical Center Administration <sup>1</sup>	22
<b><u>The College</u></b>	
Arts & Sciences	316
Engineering and Applied Sciences	150
<b><u>Other Schools and Divisions</u></b>	
Laboratory for Laser Energetics	8
Warner School of Education	19
Memorial Art Gallery	12
Simon School of Business	1
Eastman School of Music	6
River Campus General	8
University General	4
<b>TOTAL ACTIVE PROJECTS</b>	<b>2,779</b>

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

**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)**

<b>Purpose</b>	<b>FY 2004</b>	<b>FY 2005</b>	<b>FY 2006</b>	<b>FY 2007</b>	<b>FY 2008</b>
Research <sup>1</sup>	\$247,114	\$268,217	\$277,905	\$289,363	\$316,160
Fellowships & Training	27,630	26,246	26,841	26,452	33,986
Clinical Drug Trials	24,791	26,914	27,889	25,197	24,806
Libraries & Museums	636	206	365	599	944
Conference & Travel	133	141	414	247	425
Equipment	1,194	1,798	956	4,257	994
Miscellaneous Activities	17,955	22,129	16,691	13,776	11,840
<b>TOTAL</b>	<b>\$333,022</b>	<b>\$345,651</b>	<b>\$351,061</b>	<b>\$359,891</b>	<b>\$389,155</b>

<sup>1</sup>The Medical Center accounts for 67% 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

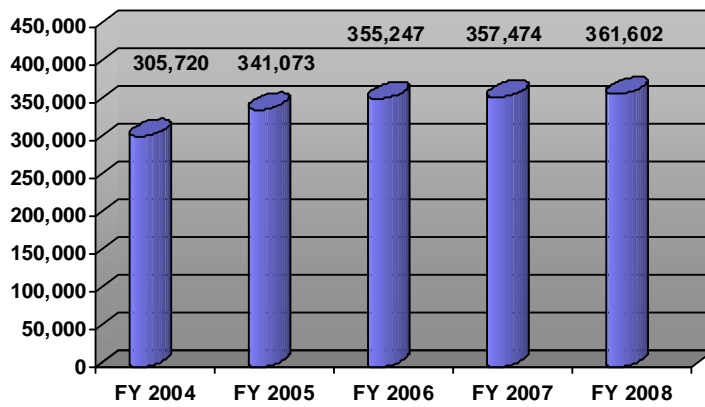


OVERVIEW OF SPONSORED PROGRAMS EXPENDITURES

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In Fiscal Year 2008, the University of Rochester expended in excess of \$361 million for sponsored activities, an increase of 1 percent from Fiscal Year 2007.

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



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

	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008
Total University	\$305,720	\$341,073	\$355,247	\$357,474	\$361,602

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/Division<sup>1</sup>**  
**(Dollars in thousands)**

College/School/Division	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008
<b><u>Medical Center</u></b>					
Medicine & Dentistry	\$201,178	\$214,958	\$215,571	\$219,775	\$232,991
Nursing	4,733	5,655	5,400	4,692	5,214
Hospitals and Clinics	1,056	1,046	1,036	1,490	1,347
Medical Center Administration <sup>2</sup>	308	705	325	2,317	1,782
<b><u>The College</u></b>					
Arts and Sciences	34,937	33,570	34,338	33,812	36,241
Engineering & Applied Sciences	12,983	13,684	14,336	16,732	17,195
<b><u>Other Schools and Divisions</u></b>					
Laboratory for Laser Energetics	43,581	63,277	76,519	70,208	57,380
Warner School of Education	1,765	2,214	2,259	2,192	1,724
Memorial Art Gallery	245	166	193	355	71
Simon School of Business	57	46	66	90	30
Eastman School of Music	760	772	510	501	644
University Other <sup>3</sup>	4,117	4,980	4,694	5,310	6,983
<b>TOTAL</b>	<b>\$305,720</b>	<b>\$341,073</b>	<b>\$355,247</b>	<b>\$357,474</b>	<b>\$361,602</b>

Source: University Accounting System Report ABQ361

<sup>1</sup>Includes facilities & administrative costs.

<sup>2</sup>Includes 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)

<sup>3</sup>Includes funding for undergraduate student financial aid.

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

<b>Arts and Sciences</b>	<b>FY 2004</b>	<b>FY 2005</b>	<b>FY 2006</b>	<b>FY 2007</b>	<b>FY 2008</b>
Dean's Office	\$111	\$16	\$628	\$0	\$0
Art and Art History	24	13	3	4	0
Biology	3,665	3,753	4,212	5,593	6,065
Brain & Cognitive Sciences	5,116	4,553	4,332	3,935	4,398
Chemistry	3,462	3,441	3,223	3,927	3,807
Clinical and Social Sciences in Psychology	5,587	4,676	4,734	5,036	5,456
Computer Science	3,280	2,922	2,474	2,160	2,491
Earth and Environmental Sciences	1,122	779	833	902	842
Economics	0	19	0	0	0
English	69	40	10	42	49
Kearns Center	0	0	0	75	327
Linguistics	21	24	20	79	30
Mathematics	347	343	202	264	568
McNair Program	0	0	0	0	251
Philosophy	24	0	0	0	0
Physics and Astronomy	7,397	7,445	8,053	6,898	7,412
Political Science	2	9	5	0	0
Skalny Center for Polish/ European Studies	0	0	0	80	37
Undergraduate Studies	314	318	89	1	70
Visual Science	3,829	4,748	5,126	4,699	4,266
Wallis Institute of Political Economy	567	471	394	117	172
<b>Subtotal</b>	<b>\$34,937</b>	<b>\$33,570</b>	<b>\$34,338</b>	<b>\$33,812</b>	<b>\$36,241</b>

Source: University Accounting System Report ABQ353

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

<b>Engineering &amp; Applied Sciences</b>	<b>FY 2004</b>	<b>FY 2005</b>	<b>FY 2006</b>	<b>FY 2007</b>	<b>FY 2008</b>
Dean's Office	N/A	\$55	\$1	\$1,581	\$-19
Center for Future Health	1,275	401	518	-101	21
Biomedical Engineering	799	1,500	1,452	1,326	1,650
Chemical Engineering	695	563	415	541	686
Electrical & Computer Engineering	2,620	3,349	2,859	3,019	4,049
Mechanical Engineering	691	1,119	1,989	1,988	2,381
Optics	3,667	4,571	5,891	6,727	6,633
Center for Electronic Imaging Systems	2,072	1,593	1,211	1,460	1,724
Center for Optoelectronics & Imaging	1,164	533	0	0	0
Center for Institute Ventures	0	0	0	0	70
<b>Subtotal</b>	<b>\$12,253</b>	<b>\$13,684</b>	<b>\$14,336</b>	<b>\$16,732</b>	<b>\$17,195</b>
<b>TOTAL</b>	<b>\$43,253</b>	<b>\$44,573</b>	<b>\$47,254</b>	<b>\$50,544</b>	<b>\$53,436</b>

Source: University Accounting System Report ABQ 353

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

<b>Medicine and Dentistry</b>	<b>FY 2004</b>	<b>FY 2005</b>	<b>FY 2006</b>	<b>FY 2007</b>	<b>FY 2008</b>
Dean's Office	\$1,636	\$318	\$29	\$0	\$13
Anesthesiology	942	1,715	1,151	1,268	2,069
Biochemistry and Biophysics	9,110	8,227	6,969	6,656	6,617
Biomedical Engineering	NA	NA	362	600	722
Biomedical Genetics (previously Center for Cancer Biology)	3,095	3,980	3,790	3,318	3,071
Biostatistics and Computational Biology	1,742	1,687	3,173	3,767	4,707
Cancer Center	10,353	9,428	9,447	9,810	8,974
Center on Aging	-18	0	0	0	0
Center for Aging and Developmental Biology	8,221	10,807	8,869	6,600	5,536
Center for the Study of Rochester's Health <sup>2</sup>	1,632	1,872	1,482	0	0
Center for Human Genetics and Molecular Pediatric Diseases	2,236	2,419	2,166	2,195	2,366
Center for Neurovascular Brain Disease	NA	NA	NA	NA	2,731
Center for Translational Neuromedicine	NA	NA	NA	NA	5,508
Center for Oral Biology	5,304	5,820	4,955	4,743	5,313
Center for Vaccine Biology	6,656	6,408	4,084	2,951	4,235
Clinical Research Institute	-4	0	0	0	0
Community and Preventive Medicine	3,952	4,319	5,264	5,237	4,953
Dermatology	1,566	938	1,137	1,612	1,312
Eastman Dept. of Dentistry <sup>1</sup>	1,252	1,507	1,214	1,726	2,459
Emergency Medicine	623	849	1,542	1,103	1,863
Environmental Medicine	10,166	11,933	11,525	12,788	12,016
Family Medicine	2,529	2,425	1,761	1,522	1,509
Imaging Sciences (previously Radiology)	2,194	2,246	2,217	1,898	1,958
Medicine	31,617	36,864	40,578	41,209	38,616

(Continued on next page)

<sup>1</sup>Expenditures for the Community Dentistry Outreach Programs of the Eastman Dental Center are being reported under Medical Center Administration

<sup>2</sup>Expenditures now being reported as Center for Community Health under Medical Center Administration

OFFICE OF RESEARCH  
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<b>Medicine and Dentistry cont'd</b>	<b>FY 2004</b>	<b>FY 2005</b>	<b>FY 2006</b>	<b>FY 2007</b>	<b>FY 2008</b>
Microbiology and Immunology	8,489	8,498	7,727	6,633	7,593
Neurobiology and Anatomy	5,540	6,248	6,208	7,395	6,611
Neurology	26,885	28,951	28,633	27,959	25,224
Neurosurgery	2,987	2,301	2,161	3,955	384
Obstetrics and Gynecology	4,193	4,765	5,275	7,671	12,603
Ophthalmology	654	1,607	2,733	2,983	5,229
Orthopaedics	3,012	3,856	4,658	5,074	5,719
Otolaryngology	NA	1,186	803	953	737
Pathology	3,981	4,281	2,677	3,300	3,786
Pediatrics	16,982	14,234	14,448	15,781	16,841
Pharmacology and Physiology	7,707	8,502	9,287	9,054	8,894
Physical Medicine and Rehab	55	13	-1	0	0
Psychiatry	8,943	9,888	10,333	10,655	12,973
Radiation Oncology	990	1,811	4,237	5,663	5,796
Surgery	4,071	2,791	2,578	2,208	2,372
Urology	945	1,201	1,186	1,113	1,150
SMD Other <sup>1</sup>	940	1,063	913	375	531
<b>TOTAL</b>	<b>\$201,178</b>	<b>\$214,958</b>	<b>\$215,571</b>	<b>\$219,775</b>	<b>\$232,991</b>

Source: University Accounting System Report ABQ353

<sup>1</sup>Includes 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)**

<b>College/School/Division</b>	<b>FY 2004</b>	<b>FY 2005</b>	<b>FY 2006</b>	<b>FY 2007</b>	<b>FY 2008</b>
<b><u>Medical Center</u></b>					
Medicine & Dentistry	\$151,156	\$163,008	\$161,228	\$165,696	\$177,371
Nursing	3,854	4,679	4,343	3,693	4,232
Hospitals and Clinics	1,042	1,005	981	1,441	1,249
Medical Center Administration	284	604	310	1,124	1,638 <sup>1</sup>
<b><u>The College</u></b>					
Arts and Science	27,355	25,961	27,056	26,404	28,340
Engineering & Applied Sciences	9,836	11,006	11,720	14,247	13,889
<b><u>Other Schools and Divisions</u></b>					
Laboratory for Laser Energetics	34,330	53,174	65,226	58,532	45,764
Warner School of Education	1,527	1,741	1,661	1,633	1,471
Simon School of Business	57	46	66	60	60
Eastman School of Music	759	770	510	499	643
Memorial Art Gallery	245	166	193	355	71
University Other	4,087	4,971	4,676	5,273	6,910
<b>TOTAL</b>	<b>\$201,178</b>	<b>\$214,958</b>	<b>\$277,970</b>	<b>\$278,957</b>	<b>\$281,638</b>

Source: University Accounting System Report ABQ361

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

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

<b>College/Unit</b>	<b>FY 2004</b>	<b>FY 2005</b>	<b>FY 2006</b>	<b>FY 2007</b>	<b>FY 2008</b>
<b><u>Medical Center</u></b>					
Medicine & Dentistry	\$50,022	\$51,590	\$54,344	\$55,228	\$55,620
Nursing	879	976	1,057	999	982
Hospitals and Clinics	14	41	55	49	98
Medical Center Administration	24	12	15	44	139 <sup>1</sup>
<b><u>The College</u></b>					
Arts and Sciences	7,582	7,609	7,281	7,408	7,901
Engineering & Applied Sciences	3,147	2,680	2,616	2,485	3,308
<b><u>Other Schools and Divisions</u></b>					
Laboratory for Laser Energetics	9,251	10,102	11,293	11,676	11,616
Warner School of Education	238	473	598	559	252
Simon School of Business	0	-2	0	30	-30
Eastman School of Music	1	1	0	2	9
Memorial Art Gallery	0	0	0	0	0
University Other	30	10	17	37	69
<b>TOTAL</b>	<b>\$71,188</b>	<b>\$73,942</b>	<b>\$77,277</b>	<b>\$78,517</b>	<b>\$79,964</b>

Source: University Accounting System Report ABQ361

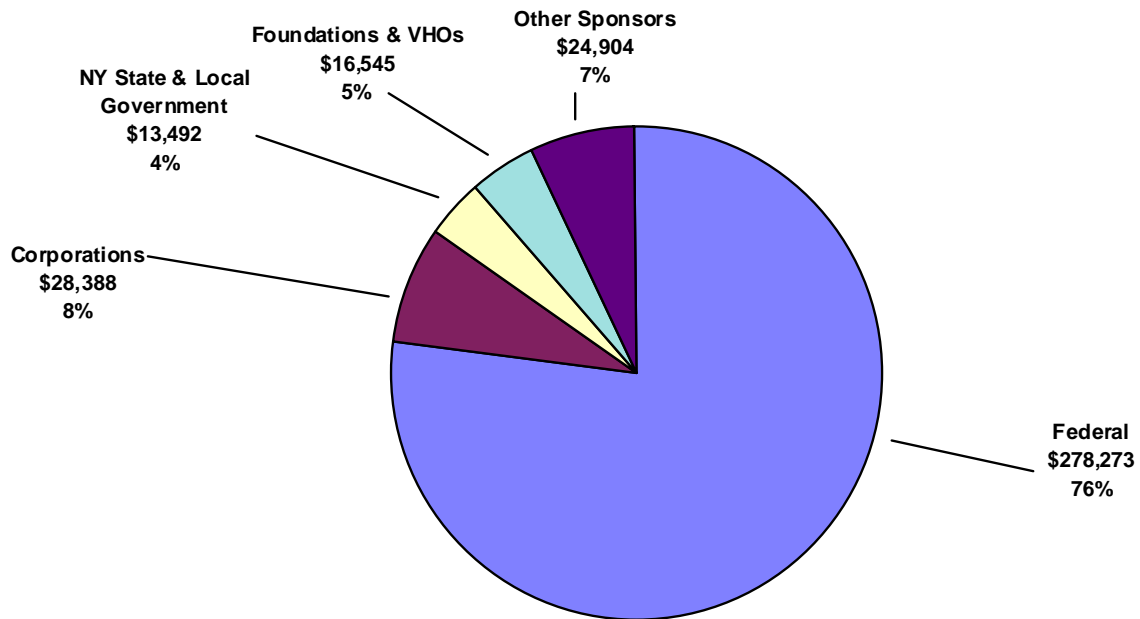
<sup>1</sup>Includes the Center for Community Health (formerly Center for the Study of Rochester's Health, which was reported under Medicine and Dentistry)



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

**Chart D**  
**Expenditures by Agency Type – FY 2008**



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

Agency Type	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008
Federal	\$226,737	\$257,756	\$275,332	\$278,017	\$278,273
Corporations	27,919	31,143	29,489	26,956	28,388
NY State & Local Government	14,750	13,332	11,799	12,019	13,492
Foundations & Voluntary Health Organizations	10,485	15,517	12,545	14,394	16,545
Other Sponsors <sup>1</sup>	25,829	23,325	26,082	26,088	24,904
<b>TOTAL</b>	<b>\$305,720</b>	<b>\$341,073</b>	<b>\$355,247</b>	<b>\$357,474</b>	<b>\$361,602</b>

Source: University Accounting System Report ABM123

<sup>1</sup>Other sponsors include national laboratories and other non-profit institutions (including subcontracts from other colleges and universities). The majority of these funds result from federal funding to a primary sponsor for whom the University is a subrecipient.

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

<b>Federal Agency</b>	<b>FY 2004</b>	<b>FY 2005</b>	<b>FY 2006</b>	<b>FY 2007</b>	<b>FY 2008</b>
Public Health Service (includes NIH)	\$151,862	\$161,529	\$166,388	\$171,736	\$181,303
Department of Energy	47,435	66,554	80,384	73,277	62,212
National Science Foundation	12,029	10,890	10,436	10,224	10,661
Department of Defense	6,477	9,398	9,149	10,024	12,889
Department of Education	5,816	6,552	6,550	7,793	8,023
National Aeronautics and Space Administration	631	601	530	2,152	424
NEA/NEH <sup>1</sup>	105	74	35	61	51
Other Sponsors	2,382	2,158	1,860	2,750	2,710
<b>TOTAL</b>	<b>\$226,737</b>	<b>\$257,756</b>	<b>\$275,332</b>	<b>\$278,017</b>	<b>\$278,273</b>

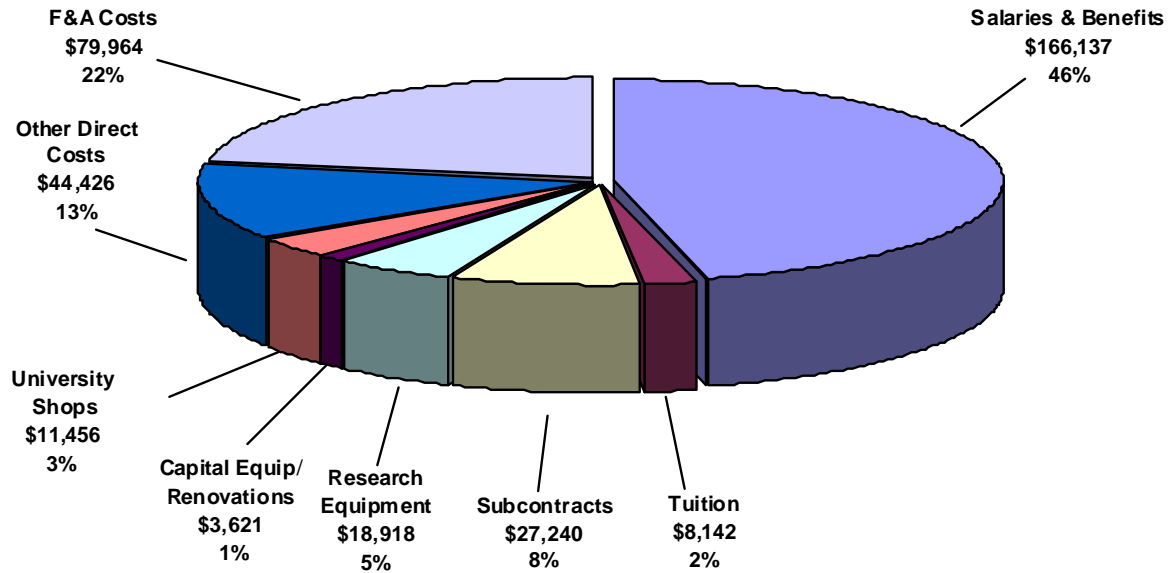
Source: University Accounting System Report ABM123

<sup>1</sup>National 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 2008 included approximately \$53 million for faculty salaries, \$16 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 2004	FY 2005	FY 2006	FY 2007	FY 2008
Salaries & Benefits	\$138,003	\$148,692	\$152,425	\$158,151	\$166,137
Tuition	6,699	6,312	6,364	6,554	8,142
Subcontracts	21,385	26,372	25,853	24,485	27,240
Research Equipment	15,175	32,078	38,407	30,437	18,918
Capital Equipment/Renovations	2,505	372	645	2,042	3,621
University Shops	8,346	8,872	10,635	11,469	11,456
Other Direct Costs <sup>1</sup>	42,419	44,434	43,641	45,819	46,124
Total Direct Costs	234,532	267,131	277,970	278,957	281,638
Facilities & Administrative Costs	71,188	73,941	77,277	78,517	79,964
<b>TOTAL</b>	<b>\$305,720</b>	<b>\$341,073</b>	<b>\$355,247</b>	<b>\$357,474</b>	<b>\$361,602</b>

<sup>1</sup>“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

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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. The figures shown below 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 Basis<sup>1</sup>

- **27th** in Federally financed research and development (R&D) expenditures at universities and colleges: fiscal year 2007  
*(29th in FY 2006)*
- **26th** in Industry-sponsored R&D expenditures at universities and colleges: fiscal year 2007  
*(20th in FY 2006)*
- **16th** among private universities in fiscal year 2007 *(17<sup>th</sup> in FY 2006)*

On An Obligation Basis<sup>2</sup>

- **25th** in Federal obligations for science and engineering R&D: FY 2006  
*(27th in FY 2005)*
- **24th** in Federal obligations for fellowships, traineeships, and training grants: FY 2006  
*(25th in FY 2005)*
- **3rd** in Federal obligations for science and engineering to New York universities and colleges: FY 2006 *(rank order: Columbia, Cornell, and Rochester)*

The Carnegie Foundation for the Advancement of Teaching places the University of Rochester in the category Research Extensive. 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.

<sup>1</sup> Expenditure statistics are reported to the National Science Foundation by the University and are based on year-end accounting reports for a given fiscal year.

<sup>2</sup> 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 2006 Federal Obligations for Science and Engineering**  
**Research and Development \***  
**(Dollars in thousands)**

<b>Rank</b>	<b>Institution</b>	<b>Total Obligations</b>
1	Johns Hopkins University	1,341,711
2	University of Washington	676,567
3	University of Michigan	558,028
4	University of Pennsylvania	532,800
5	University of California, Los Angeles	505,938
6	Columbia University	503,324
7	Duke University	496,451
8	Stanford University	491,617
9	University of Wisconsin at Madison	473,638
10	University of California, San Francisco	466,350
11	Harvard University	450,862
12	University of California, San Diego	445,511
13	University of Pittsburgh	443,955
14	Washington University at St. Louis	434,013
15	Massachusetts Institute of Technology	423,893
16	Yale University	390,197
17	University of North Carolina, Chapel Hill	374,542
18	University of Colorado	371,857
19	University of Minnesota	370,262
20	Vanderbilt University	334,302
21	Pennsylvania State University	334,148
22	Cornell University	332,385
23	Case Western Reserve University	290,365
24	University of Southern California	275,999
<b>25</b>	<b>University of Rochester</b>	<b>267,323</b>
26	University of California, Davis	257,281
27	University of Alabama Birmingham	255,985
28	University of California, Berkeley	254,685
29	Baylor College of Medicine	252,957
30	Emory University	241,448

Source: National Science Foundation/SRS, Survey of Federal Science and Engineering Support to Universities, Colleges and Nonprofit Institutions, Fiscal Year 2006

\* This is the latest data available as of 11/08

**OVERVIEW OF MATERIAL TRANSFER AGREEMENTS ACTIVITY**

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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.

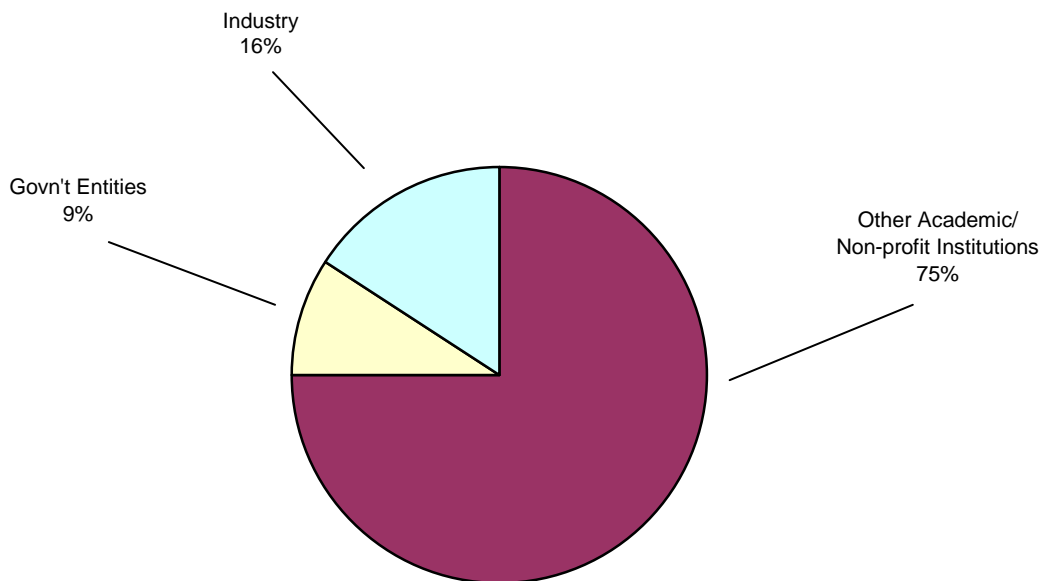
As a general definition, a Material Transfer Agreement (hereinafter MTA) is a contract executed between two entities which outlines the rights and responsibilities of each party that arise due to the transfer of materials for research purposes from one party to the other. The MTA will dictate how the 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 Fiscal Year 2008, UR received a total of 401 MTAs, 315 for incoming materials and 86 for outgoing materials. UR signed a total of 330 agreements; this includes agreements pending from the previous fiscal year. Of the total agreements signed, 299 were received during the fiscal year '08.

- 301 agreements were with other academic/non-profit institutions
- 37 agreements were with government entities
- 63 agreements were with industry

**Chart F**

**MTA's Processed in FY 2008 by Institution Type**



OUTLOOK FOR FISCAL YEAR 2009

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On September 30<sup>th</sup>, President Bush signed into law the FY09 continuing resolution (CR). The measure, which lasts through March 6, 2009, freezes funding for most federal agencies at their FY 08 levels during that period. Attached to the CR are three national security full-year appropriations bills – Department of Defense (DOD), Homeland Security (DHS), and Veterans Affairs (VA). Within the DOD bill, funding for basic research is \$1.8 billion, a 12.7 percent increase above FY08. Also included in the FY09 Defense Appropriations bill is \$1.6 million for the University's Nanosystems Initiative. DHS received \$1.1 billion for its R&D portfolio, a 9.4 percent increase; the VA will receive \$952 million for its R&D programs, a 6.8 percent increase. President Bush's proposed budget for fiscal year 2009 continues to propose large increases for the three physical sciences agencies in the American Competitiveness initiative, increases for weapons and human spacecraft development, and flat funding for biomedical research in the National Institutes of Health (NIH). Despite tough budget conditions, the overall federal investment in research and development (R&D) would increase, driven primarily by increases in development funding. But the federal investment in basic and applied research would fall for the fifth year in a row in real dollars. Congress has proposed a budget resolution which would add funding for certain federal agencies in the area of R&D to the President's request. However, since the president has threatened to veto any 2009 appropriations bill that exceeds his request, most bills may have a long way to go before they are finalized. 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) would be the clear winners among domestic programs under the President's request. There would be a significant increase for R&D in DOE's Office of Science, up 15 percent to \$4.2 billion. DOE's Office of Science is the largest federal sponsor of physical sciences research. After appropriations setbacks in 2007 and 2008, NSF's budget request (up 15.5 percent to \$5.2 billion, an all-time high in real terms) would keep the NSF budget on track to double between 2006 and 2016, and would mean a year of gains to reverse recent declines in competitively awarded research grants. While the Bush Administration continues to propose substantial increases for the intramural laboratories at NIST at the expense of its extramural programs, the Senate would give increases to both the intramural and extramural parts of the NIST portfolio. Under the Senate plan, NIST's extramural research budget would increase by \$175 million, bringing the total R&D to \$552 million, a 5.9 percent increase. 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. The Senate would add \$1.0 billion to the president's request for flat R&D NIH funding, for a total of \$29.7 billion, an increase of 2.9 percent over the current year. The Senate plan would reverse the trend of the NIH budget declining in real terms for four years in a row, and would allow NIH funding to stay ahead of economy-wide inflation for the first time since 2004. The House Appropriations Committee has marked up a counterpart version with a similar \$1 billion in additional funding for NIH. The promised Senate increase for NIH in 2009, if it happens at all, could be delayed until next January. NASA's basic and applied research support would fall 2.5 percent in the Senate appropriation down to \$3.2 billion, the fifth year in a row the NASA research portfolio would fall. Instead of a proposed \$399 million cut in R&D funding, the Senate would add \$360 million to the budget request for R&D in the U.S. Department of Agriculture (USDA) in 2009, for a total of \$2.3 billion, 1.7 percent less than 2008. Neither the House nor the Senate Appropriations Committees drafted an Interior-Environment appropriations bill, so there are no figures as to how Congress would like to fund R&D in the Department of the Interior or the Environmental Protection Agency (EPA). Both agencies start FY 2009 at 2008 funding levels.

OFFICE OF RESEARCH  
AND PROJECT ADMINISTRATION

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