

OFFICE OF RESEARCH AND PROJECT ADMINISTRATION

**ANNUAL REPORT
OF
SPONSORED PROGRAM ACTIVITIES**

Fiscal Year 2009

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, 2009.

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

Statistics on proposals submitted and awards accepted are used as a primary point of reference in this report. These statistics portray sponsored programs funding requested and received in the current fiscal year and will, over time, provide an indication of funding trends. Expenditure statistics are also presented. These latter data not only provide an indication of the level of expenditure for research, training, and other associated sponsored program activities at the University, but also a basis for comparison with other colleges and universities nationwide. The expenditures reported may differ slightly from the University's end-of-year financial statements. These differences are reconciled by various ledger adjustments and other transfers. In addition, there are departmental research activities conducted with funds from gifts or direct University funding. These activities are not reflected in this report.

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

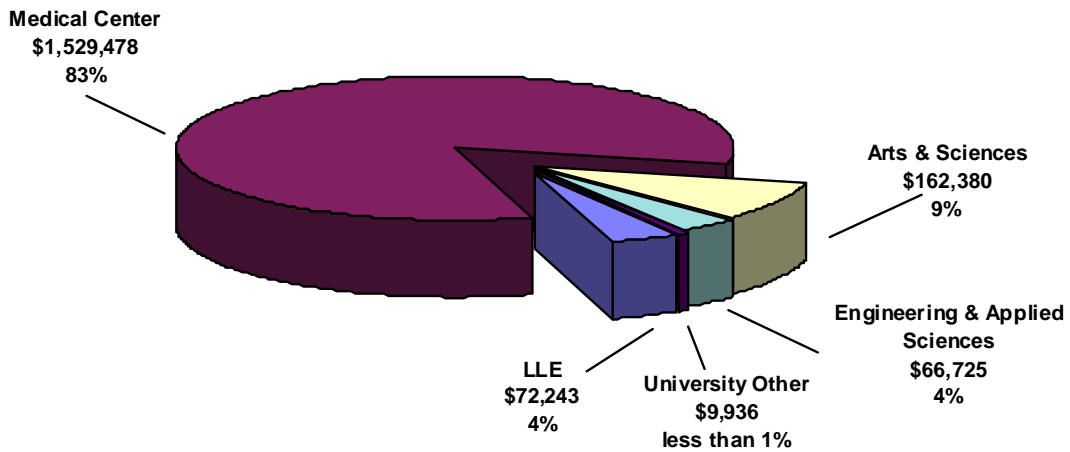
TABLE OF CONTENTS

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 2007 Federal Obligations for Science and Engineering Research and Development	21
FY 2008 Federal Science and Engineering Research and Development Expenditures	22
Overview of Material Transfer Agreements Activity	23
Outlook for FY 2010	24

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.

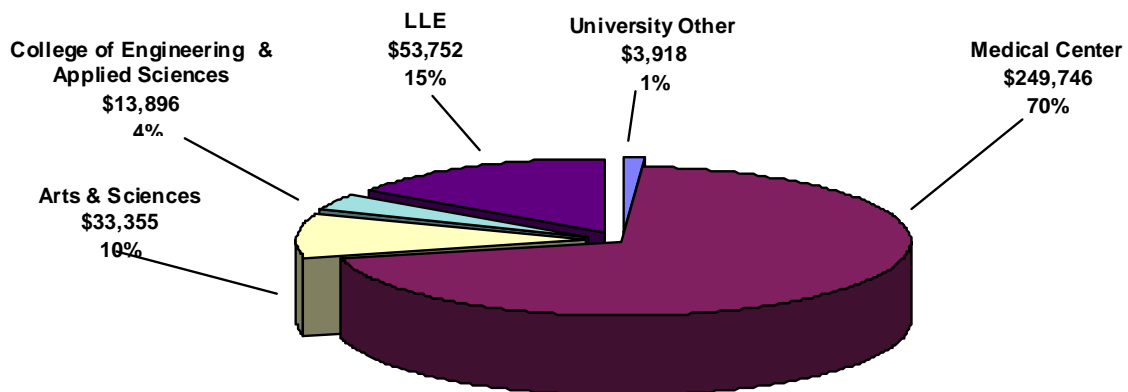
Chart A
Dollar Value of Proposals Submitted - FY 2009



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 **2,703** new, continuation, and renewal proposals were submitted in FY 2009 for sponsored program funding.

Chart B
Awards Dollars Received - FY 2009

In FY 2009, 3,656 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. This is especially true for FY 2009, where the number and dollar value of proposals submitted increased dramatically under the American Recovery and Reinvestment Act of 2009.

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

College/School/Division	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
<u>Medical Center</u>					
Medicine & Dentistry	\$1,155,061	\$1,153,245	\$1,048,228	\$974,826	\$1,486,282
Nursing	14,508	17,926	37,676	23,220	29,974
Hospitals and Clinics	2,765	3,118	3,252	582	6,638
Medical Center Administration	572	53	5,846	2,623	6,584
<u>The College</u>					
Arts and Sciences	134,941	120,657	141,628	135,387	162,380
Engineering & Applied Sciences	58,982	44,149	42,794	50,808	66,725
<u>Other Schools and Divisions</u>					
Laboratory for Laser Energetics	115,321	75,138	55,700	64,081	72,243
Warner School of Education	2,537	4,994	5,929	5,604	7,228
Memorial Art Gallery	248	435	330	222	719
Simon School of Business	357	380	0	0	113
Eastman School of Music	156	286	374	486	611
University Other	693	892	255	1,206	1,265
TOTAL	\$1,486,141	\$1,421,273	\$1,342,012	\$1,259,044	\$1,840,762

Source: UR-Coeus Sponsored Programs Management Database

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

College/School/Division	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
<u>Medical Center</u>					
Medicine & Dentistry	\$222,285	\$230,639	\$243,511	\$248,592	\$240,937
Nursing	5,446	5,148	2,626	9,676	5,540
Hospitals and Clinics	1,146	983	1,297	808	1,056
Medical Center Administration	510	57	575	2,459	2,213
<u>The College</u>					
Arts and Sciences	29,733	31,643	45,030	36,372	33,355
Engineering & Applied Sciences	16,680	15,906	19,593	15,696	13,896
<u>Other Schools and Divisions</u>					
Laboratory for Laser Energetics	71,513	63,940	45,174	71,619	53,752
Warner School of Education	4,732	806	570	1,884	616
Memorial Art Gallery	193	41	243	177	234
Simon School of Business	38	152	60	0	38
Eastman School of Music	173	48	86	47	402
University Other	324	1,698	1,126	1,898	2,628
TOTAL	\$352,802	\$351,061	\$359,891	\$389,228	\$354,667

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 2009.

Table 3
Sponsors Awarding \$1,000,000 or More Annually
FY 2009

Sponsor Name	Direct \$	Indirect \$	Dollars Awarded
National Institutes of Health	\$129,083,280	\$50,899,549	\$179,982,829
Department of Energy	37,806,166	19,338,759	57,144,925
National Science Foundation	8,241,930	3,607,412	11,849,342
New York State/Health	5,801,182	420,302	6,221,484
Guidant/CPI	4,542,874	681,836	5,224,710
Centers for Disease Control	3,140,923	1,094,360	4,235,283
DOD/Army	3,568,050	656,759	4,224,809
Biomedical Advanced Research and Development Authority	2,315,008	859,660	3,174,668
Monroe County	3,049,904	77,210	3,127,114
Office of Naval Research	2,319,349	767,891	3,087,240
Health Research Inc.	1,896,713	198,598	2,095,311
NeuroSearch – Sweden AB	1,401,156	416,903	1,818,059
CHDI Foundation, Inc.	1,740,485	0	1,740,485
Environmental Protection Agency	1,125,856	425,544	1,551,400
Boehringer Ingelheim Pharmaceuticals Inc.	1,156,304	339,283	1,495,587
U.S. Department of Education	1,467,323	27,833	1,495,156
Fermi National Accelerator Lab	1,457,547	0	1,457,547
Kauffman Foundation	1,451,710	0	1,451,710
Air Force Office of Scientific Research	880,134	374,035	1,254,169
American Heart Association	1,062,004	81,909	1,143,913
DHHS/Children and Families	918,377	101,623	1,020,000
Grand Total	\$214,426,275	\$80,369,466	\$294,795,741

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 2009. This table does not include funding for undergraduate financial aid.

Table 4
Summary of Active Projects
As of 6/30/09

College/School/Division	Number of Active Projects
<u>Medical Center</u>	
Medicine & Dentistry	1,592
Nursing	40
Strong Memorial Hospital	8
Medical Center Administration ¹	14
<u>The College</u>	
Arts & Sciences	213
Engineering and Applied Sciences	101
<u>Other Schools and Divisions</u>	
Laboratory for Laser Energetics	11
Warner School of Education	12
Memorial Art Gallery	8
Simon School of Business	1
Eastman School of Music	4
River Campus General	8
University General	4
TOTAL ACTIVE PROJECTS	2,016

¹Includes 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)

Purpose	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Research ¹	\$268,217	\$277,905	\$289,363	\$316,160	\$288,603
Fellowships & Training	26,246	26,841	26,452	33,986	26,559
Clinical Drug Trials	26,914	27,889	25,197	24,806	22,711
Libraries & Museums	206	365	599	944	901
Conference & Travel	141	414	247	425	162
Equipment	1,798	956	4,257	994	948
Miscellaneous Activities	22,129	16,691	13,776	11,840	14,783
TOTAL	\$345,651	\$351,061	\$359,891	\$389,155	\$354,667

¹The Medical Center accounts for 70% of all externally sponsored research funding. Of that amount, roughly half is related to clinical research, according to the Clinical Research Resource Inventory, a survey of principal investigators at the Medical Center. Clinical research is defined as research conducted with human subjects or on material of human origin for which an investigator directly interacts with human subjects. It also includes epidemiological and behavioral studies and outcomes research and health services research.

Source: UR-Coeus Sponsored Programs Management Database

OVERVIEW OF SPONSORED PROGRAMS EXPENDITURES

In Fiscal Year 2009, the University of Rochester expended in excess of \$377 million for sponsored activities, an increase of 4.2 percent from Fiscal Year 2008.

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

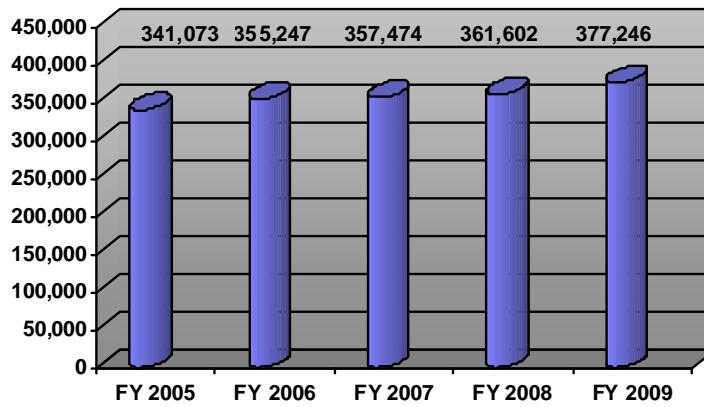


Table 6
Sponsored Program Expenditures
Total University
(Dollars in thousands)

	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Total University	\$341,073	\$355,247	\$357,474	\$361,602	\$377,246

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 2005	FY 2006	FY 2007	FY 2008	FY 2009
<u>Medical Center</u>					
Medicine & Dentistry	\$214,958	\$215,571	\$219,775	\$232,991	\$239,699
Nursing	5,655	5,400	4,692	5,214	6,250
Hospitals and Clinics	1,046	1,036	1,490	1,347	1,264
Medical Center Administration ²	705	325	2,317	1,782	2,420
<u>The College</u>					
Arts and Sciences	33,570	34,338	33,812	36,241	38,640
Engineering & Applied Sciences	13,684	14,336	16,732	17,195	16,898
<u>Other Schools and Divisions</u>					
Laboratory for Laser Energetics	63,277	76,519	70,208	57,380	63,024
Warner School of Education	2,214	2,259	2,192	1,724	927
Memorial Art Gallery	166	193	355	71	134
Simon School of Business	46	66	90	30	63
Eastman School of Music	772	510	501	644	532
University Other ³	4,980	4,694	5,310	6,983	7,395
TOTAL	\$341,073	\$355,247	\$357,474	\$361,602	\$377,246

Source: University Accounting System Report ABQ361

¹Includes facilities & administrative costs.

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

³Includes funding for undergraduate student financial aid.

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

Arts and Sciences	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Dean's Office	\$16	\$628	\$0	\$0	\$84
Art and Art History	13	3	4	0	0
Biology	3,753	4,212	5,593	6,065	6,715
Brain & Cognitive Sciences	4,553	4,332	3,935	4,398	4,362
Chemistry	3,441	3,223	3,927	3,807	4,002
Clinical and Social Sciences in Psychology	4,676	4,734	5,036	5,456	5,666
Computer Science	2,922	2,474	2,160	2,491	2,355
Earth and Environmental Sciences	779	833	902	842	867
Economics	19	0	0	0	0
English	40	10	42	49	100
Kearns Center	0	0	75	327	842
Linguistics	24	20	79	30	26
Mathematics	343	202	264	568	549
McNair Program	0	0	0	251	317
Philosophy	0	0	0	0	21
Physics and Astronomy	7,445	8,053	6,898	7,412	8,582
Political Science	9	5	0	0	0
Skalny Center for Polish/ European Studies	0	0	80	37	48
Undergraduate Studies	318	89	1	70	54
Visual Science	4,748	5,126	4,699	4,266	3,837
Wallis Institute of Political Economy	471	394	117	172	213
Subtotal	\$33,570	\$34,338	\$33,812	\$36,241	\$38,640

Source: University Accounting System Report ABQ353

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

Engineering & Applied Sciences	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Dean's Office	\$55	\$1	\$1,581	\$-19	\$275
Center for Future Health	401	518	-101	21	92
Biomedical Engineering	1,500	1,452	1,326	1,650	1,344
Chemical Engineering	563	415	541	686	607
Electrical & Computer Engineering	3,349	2,859	3,019	4,049	3,685
Mechanical Engineering	1,119	1,989	1,988	2,381	2,473
Optics	4,571	5,891	6,727	6,633	6,263
Center for Electronic Imaging Systems	1,593	1,211	1,460	1,724	2,103
Center for Optoelectronics & Imaging	533	0	0	0	0
Center for Institute Ventures	0	0	0	70	56
Subtotal	\$13,684	\$14,336	\$16,732	\$17,195	\$16,898
TOTAL	\$47,254	\$48,674	\$50,544	\$53,436	\$55,538

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 2005	FY 2006	FY 2007	FY 2008	FY 2009
Dean's Office	\$318	\$29	\$0	\$13	\$0
Anesthesiology	1,715	1,151	1,268	2,069	1,568
Biochemistry and Biophysics	8,227	6,969	6,656	6,617	7,746
Biomedical Engineering	NA	362	600	722	862
Biomedical Genetics (previously Center for Cancer Biology)	3,980	3,790	3,318	3,071	4,451
Biostatistics and Computational Biology	1,687	3,173	3,767	4,707	6,975
Cancer Center	9,428	9,447	9,810	8,974	9,998
Center for Aging and Developmental Biology	10,807	8,869	6,600	5,536	6,036
Center for the Study of Rochester's Health ²	1,872	1,482	0	0	0
Center for Pediatric Biomedical Research (previously Center for Human Genetics and Molecular Pediatric Diseases)	2,419	2,166	2,195	2,366	2,473
Center for Neurovascular Brain Disease	NA	NA	NA	2,731	2,523
Center for Translational Neuromedicine	NA	NA	NA	5,508	4,963
Center for Oral Biology	5,820	4,955	4,743	5,313	5,200
Center for Vaccine Biology	6,408	4,084	2,951	4,235	4,879
Community and Preventive Medicine	4,319	5,264	5,237	4,953	5,192
Development Center for AIDS Research	0	0	0	0	509
Dermatology	938	1,137	1,612	1,312	1,942
Eastman Dept. of Dentistry ¹	1,507	1,214	1,726	2,459	1,917
Emergency Medicine	849	1,542	1,103	1,863	1,702
Environmental Medicine	11,933	11,525	12,788	12,016	10,964
Family Medicine	2,425	1,761	1,522	1,509	1,859
Imaging Sciences (previously Radiology)	2,246	2,217	1,898	1,958	2,048
Medicine	36,864	40,578	41,209	38,616	41,599

(Continued on next page)

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

²Expenditures now being reported as Center for Community Health under Medical Center Administration

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Medicine and Dentistry cont'd	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Microbiology and Immunology	8,498	7,727	6,633	7,593	9,048
Neurobiology and Anatomy	6,248	6,208	7,395	6,611	6,795
Neurology	28,951	28,633	27,959	25,224	23,470
Neurosurgery	2,301	2,161	3,955	384	696
Obstetrics and Gynecology	4,765	5,275	7,671	12,603	9,976
Ophthalmology	1,607	2,733	2,983	5,229	3,541
Orthopaedics	3,856	4,658	5,074	5,719	5,047
Otolaryngology	1,186	803	953	737	628
Pathology	4,281	2,677	3,300	3,786	4,064
Pediatrics	14,234	14,448	15,781	16,841	17,612
Pharmacology and Physiology	8,502	9,287	9,054	8,894	9,816
Physical Medicine and Rehab	13	-1	0	0	73
Psychiatry	9,888	10,333	10,655	12,973	12,550
Radiation Oncology	1,811	4,237	5,663	5,796	6,530
Surgery	2,791	2,578	2,208	2,372	2,787
Urology	1,201	1,186	1,113	1,150	1,306
SMD Other ¹	1,063	913	375	531	354
TOTAL	\$214,958	\$215,571	\$219,775	\$232,991	\$239,699

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 2005	FY 2006	FY 2007	FY 2008	FY 2009
<u>Medical Center</u>					
Medicine & Dentistry	\$163,008	\$161,228	\$165,696	\$177,371	\$179,953
Nursing	4,679	4,343	3,693	4,232	5,105
Hospitals and Clinics	1,005	981	1,441	1,249	1,185
Medical Center Administration ¹	604	310	1,124	1,638 ¹	2,209 ¹
<u>The College</u>					
Arts and Science	25,961	27,056	26,404	28,340	29,382
Engineering & Applied Sciences	11,006	11,720	14,247	13,889	14,534
<u>Other Schools and Divisions</u>					
Laboratory for Laser Energetics	53,174	65,226	58,532	45,764	50,231
Warner School of Education	1,741	1,661	1,633	1,471	958
Simon School of Business	46	66	60	60	48
Eastman School of Music	770	510	499	643	521
Memorial Art Gallery	166	193	355	71	134
University Other	4,971	4,676	5,273	6,910	7,376
TOTAL	\$214,958	\$277,970	\$278,957	\$281,638	\$291,636

Source: University Accounting System Report ABQ361

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

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

College/Unit	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
<u>Medical Center</u>					
Medicine & Dentistry	\$51,590	\$54,344	\$55,228	\$55,620	\$59,746
Nursing	976	1,057	999	982	1,146
Hospitals and Clinics	41	55	49	98	79
Medical Center Administration ¹	12	15	44	139 ¹	210 ¹
<u>The College</u>					
Arts and Sciences	7,609	7,281	7,408	7,901	7,696
Engineering & Applied Sciences	2,680	2,616	2,485	3,308	3,927
<u>Other Schools and Divisions</u>					
Laboratory for Laser Energetics	10,102	11,293	11,676	11,616	12,793
Warner School of Education	473	598	559	252	-32
Simon School of Business	-2	0	30	-30	15
Eastman School of Music	1	0	2	9	11
Memorial Art Gallery	0	0	0	0	0
University Other	10	17	37	69	19
TOTAL	\$73,942	\$77,277	\$78,517	\$79,964	\$85,610

Source: University Accounting System Report ABQ361

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

SPONSORED PROGRAM EXPENDITURES BY FUNDING AGENCY

While the federal government is the primary source of sponsored program funding, the University receives project support from many other sponsors. The chart below depicts the major sponsor groups. Table 8.1 indicates the total University expenditures by type of funding agency.

Chart D
Expenditures by Agency Type – FY 2009

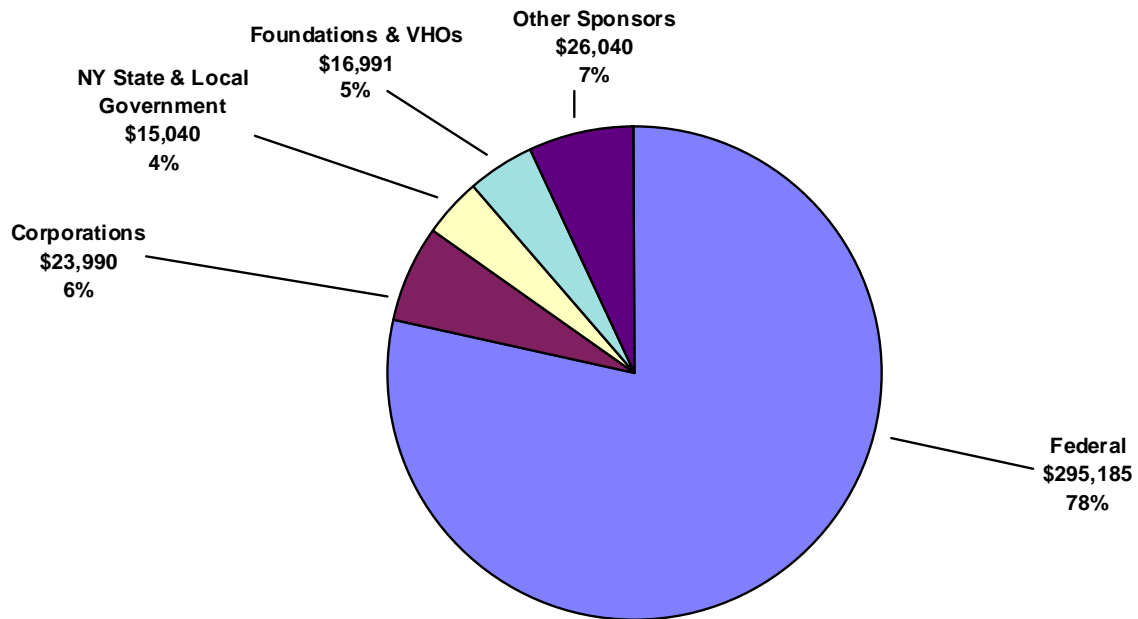


Table 8.1
Sponsored Program Expenditures
By Agency Type
(Dollars in thousands)

Agency Type	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Federal	\$257,756	\$275,332	\$278,017	\$278,273	\$295,185
Corporations	31,143	29,489	26,956	28,388	23,990
NY State & Local Government	13,332	11,799	12,019	13,492	15,040
Foundations & Voluntary Health Organizations	15,517	12,545	14,394	16,545	16,991
Other Sponsors ¹	23,325	26,082	26,088	24,904	26,040
TOTAL	\$341,073	\$355,247	\$357,474	\$361,602	\$377,246

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 2005	FY 2006	FY 2007	FY 2008	FY 2009
Public Health Service (includes NIH)	\$161,529	\$166,388	\$171,736	\$181,303	\$192,309
Department of Energy	66,554	80,384	73,277	62,212	67,278
Department of Defense	9,398	9,149	10,024	12,889	11,798
National Science Foundation	10,890	10,436	10,224	10,661	11,122
Department of Education	6,552	6,550	7,793	8,023	8,498
National Aeronautics and Space Administration	601	530	2,152	424	602
NEA/NEH ¹	74	35	61	51	137
Other Sponsors	2,158	1,860	2,750	2,710	3,441
TOTAL	\$257,756	\$275,332	\$278,017	\$278,273	\$295,185

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 2009 included approximately \$55 million for faculty salaries, \$16 million for graduate student salaries and stipends and \$2 million for undergraduate student salaries.

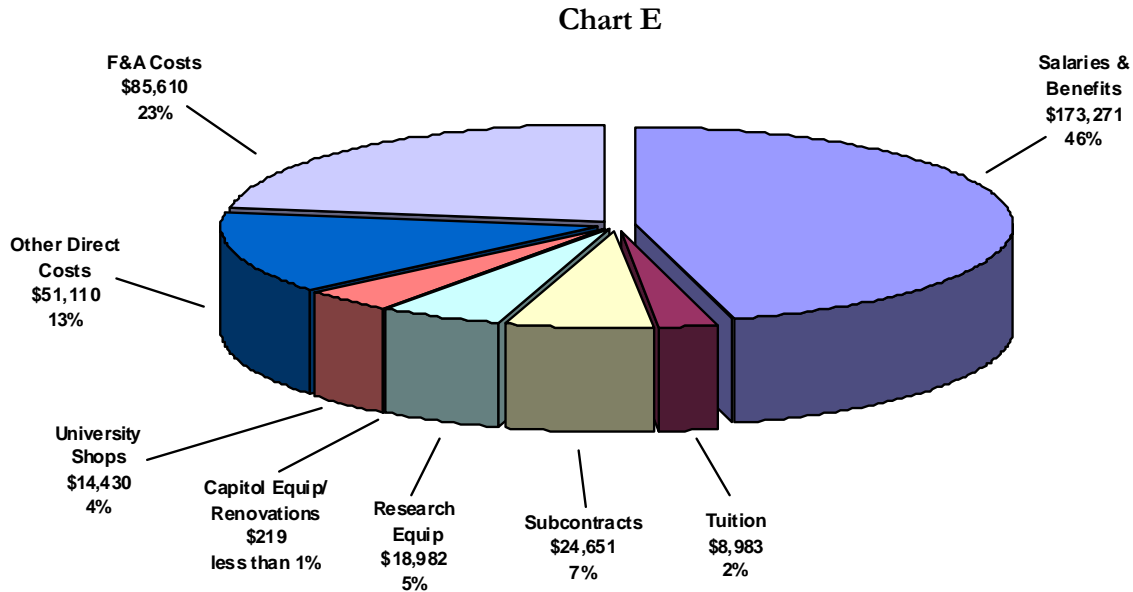


Table 9
Sponsored Program Expenditures by Cost Element
(Dollars in thousands)

Cost Element	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Salaries & Benefits	\$148,692	\$152,425	\$158,151	\$166,137	\$173,271
Tuition	6,312	6,364	6,554	8,142	8,973
Subcontracts	26,372	25,853	24,485	27,240	24,651
Research Equipment	32,078	38,407	30,437	18,918	18,982
Capital Equipment/Renovations	372	645	2,042	3,621	219
University Shops	8,872	10,635	11,469	11,456	14,430
Other Direct Costs ¹	44,434	43,641	45,819	46,124	51,110
Total Direct Costs	267,131	277,970	278,957	281,638	291,636
Facilities & Administrative Costs	73,941	77,277	78,517	79,964	85,610
TOTAL	\$341,073	\$355,247	\$357,474	\$361,602	\$377,246

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. 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 Basis¹

- **32nd** in Federally financed research and development (R&D) expenditures at universities and colleges: fiscal year 2008
(27th in FY 2007)
- **26th** in Industry-sponsored R&D expenditures at universities and colleges: fiscal year 2007
(20th in FY 2006)
- **17th** among private universities in fiscal year 2008 *(16th in FY 2007)*

On An Obligation Basis²

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

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

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

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

Table 10
FY 2007 Federal Obligations for Science and Engineering
Research and Development *
(Dollars in thousands)

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

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

* This is the latest data available as of 10/09

Table 11
FY 2008 Federal Science and Engineering
Research and Development Expenditures
(Dollars in thousands)

Rank	Institution	Total Expenditures
1	Johns Hopkins University	\$1,425,100
2	U. WA	614,069
3	U. MI all campuses	592,768
4	Stanford U.	509,477
5	MA Institute of Technology	495,008
6	U. CA, San Diego	490,963
7	U. PA	482,321
8	U. WI Madison	474,440
9	U. CA, San Francisco	472,642
10	U. CA, Los Angeles	471,932
11	Columbia U. in the City of New York	461,029
12	U. Pittsburgh all campuses	456,172
13	Duke U.	451,317
14	U. CO all campuses	437,393
15	PA State U. all campuses	406,528
16	Washington U. St. Louis	393,918
17	Harvard U.	383,330
18	Yale U.	374,551
19	U. NC Chapel Hill	373,098
20	U. MN all campuses	364,137
21	Cornell U. all campuses	358,944
22	U. Southern CA	348,713
23	OH State U. all campuses	335,121
24	Vanderbilt U.	331,296
25	U. TX Austin	324,287
26	Case Western Reserve U.	305,483
27	U. AL Birmingham, The	303,084
28	Emory U.	291,126
29	U. Chicago	284,616
30	GA Institute of Technology all campuses	281,184
31	U. AZ	277,897
32	U. Rochester	276,268
33	U. CA, Davis	268,957
34	U. IL Urbana-Champaign	266,912
35	Scripps Research Institute, The	265,657

Source: National Science Foundation/SRS, Survey of Research and Development Expenditures at Universities and Colleges FY 2008

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.

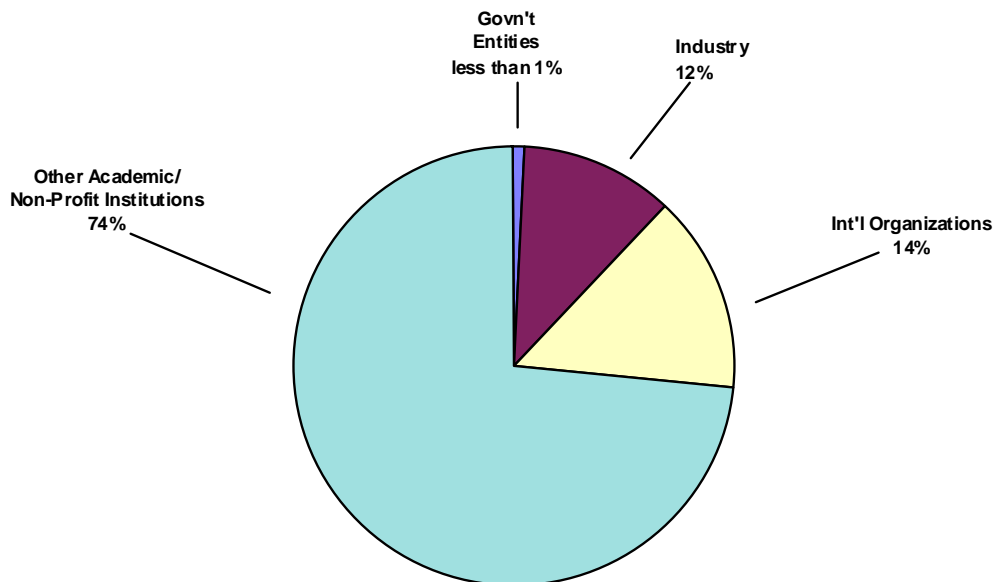
In Fiscal Year 2009, UR received a total of 369 MTAs, 224 for incoming materials and 145 for outgoing materials. UR signed a total of 299 agreements; this includes agreements pending from the previous fiscal year. Of the total agreements signed, 283 were received during the fiscal year '09, a 9% decrease from fiscal year '08. This was most likely attributable to increased time spent by PIs on grant proposals under the Government's stimulus package.

For fiscal year 2009 the average time it takes for negotiation of contract terms and execution by Rochester is 24 calendar days (16 business days). The types of agreements negotiated are broken down as follows:

- 316 agreements were with other academic/non-profit institutions
- 3 agreements were with government entities
- 50 agreements were with industry
- 62 agreements were with international organizations

Chart F

MTA's Processed in FY 2009 by Institution Type



OUTLOOK FOR FISCAL YEAR 2010

As of 12/16/09, all of the 12 annual appropriations bills have been signed into law by President Obama.

- Within the USDA, the National Institute of Food and Agriculture (NIFA; formerly CSREES) received a 12.2 percent increase (\$121 million) over FY 2009.
- The Department of Veterans Affairs (VA) appropriation bill provides \$1.2 billion in funding, a 13.9 percent (\$142 million) increase over FY 2009. Included in this amount is \$581 million for medical and prosthetic research.
- The Department of Homeland Security (DHS) conference bill includes \$1.2 billion in R&D spending, 6 percent (\$66 million) more than FY 2009.
- In the Department of Defense (DOD) conference report, Research, Development, Test and Evaluation programs receive \$80.5 billion, \$1.9 billion (2.4 percent) more than the President's request and an increase of \$519 million (0.6 percent) over FY 2009. Included in that amount is \$28.3 billion for defense health programs. Within that category, \$240 million would go toward breast, prostate and ovarian cancer research, along with a \$50 million allotment for a medical research fund.
- The conference report for the Department of Energy (DOE) provides \$27.1 billion for research and development to the agency, with the Office of Science representing \$4.9 billion of that total, a 2.7 percent increase over FY 2009. DOE's Office of Science is the largest federal sponsor of physical sciences research.
- The Labor, Health and Human Services, and Education appropriation bill includes the National Institutes of Health (NIH). NIH will receive \$31.2 billion, a 2.3 percent (\$692 million) increase over FY 2009 (not counting stimulus funds) and \$250 million more than the President's request. NIH is the largest single source of funds for university research. The National Institute of Environmental Health Sciences (NIEHS) and the National Center for Research Resources will see the biggest increases; 4.1 percent to \$690 million and 3.5 percent to \$1.3 billion respectively), while the Office of Director will see the biggest cut (5.1 percent). The number of new grants and the expected success rate for grant competitions are both expected to remain essentially flat at 36,182 grants awarded and 20 percent success rate. However, NIH does plan to award an additional 13,211 grants with a \$5.7 billion share of their \$10.4 billion ARRA funding.
- Under the America COMPETES Act, the National Science Foundation (NSF), the National Aeronautical and Space Administration (NASA) and the National Institute on Standards and Technology (NIST) within the Commerce Department would all see substantial increases in their budgets. NSF would receive \$5.6 billion or an 8.4 percent (\$435 million) increase for Research and Related Activities (R&RA) programs. NSF estimates that it will provide 12,850 competitive awards and 8,200 research grants in FY 2010. This represents a funding rate of 26 percent for competitive awards and 22 percent of research grant proposals. NASA would receive \$18.7 billion or a 5.3 percent (\$940 million) increase under the same act, mostly for space exploration. NIST would receive \$603 million for research and development (R&D) activities, a 9.6 percent (\$53 million) increase. After years of declining budgets, the Environmental Protection Agency (EPA) would see its R&D budget increase by \$30 million (5.3 percent) to \$594 million.

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