

**OFFICE OF RESEARCH AND PROJECT ADMINISTRATION**

---

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

**Fiscal Year 2011**

**UNIVERSITY OF ROCHESTER**

---

We are pleased to present the Office of Research and Project Administration (ORPA) Annual Report for Fiscal Year 2011 ending June 30<sup>th</sup>, 2011, which showcases the University of Rochester's outstanding ability to attract external support for research and other sponsored programs year after year.

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

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

Comments about the report and suggestions for future improvements are welcomed at [resadmin@orpa.rochester.edu](mailto:resadmin@orpa.rochester.edu)

---

## TABLE OF CONTENTS

---

Introduction	2
Table Of Contents	2
Proposal and Award Activity	3
Sponsored Program Awards by Purpose	11
Overview of Sponsored Program Expenditures	12
Sponsored Program Expenditures by College/School/Division	13
Direct Costs and F&A Costs Expenditures	18
Sponsored Program Expenditures by Funding Agency	20
Sponsored Program Expenditures by Cost Element	22
The University's Ranking among its Peers	23
FY 2009 Federal Science and Engineering Research and Development Expenditures	24
Overview of Material Transfer Agreements Activity	25
Outlook for FY 2012	26

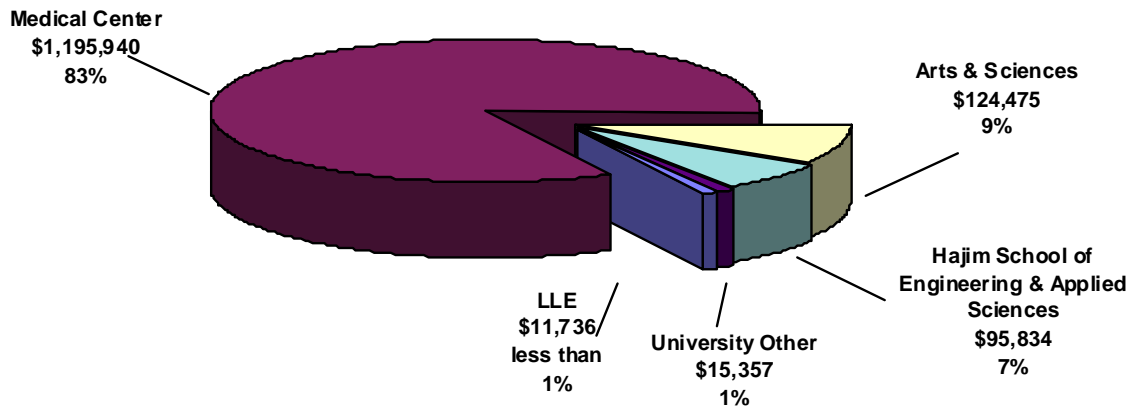
---

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.

**NOTE: All dollars throughout are in thousands.**

**Chart A**  
**Dollar Value of Proposals Submitted - FY 2011**



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 **2,099** new, continuation, supplemental, and renewal proposals were submitted in FY 2011 for sponsored program funding.

**Chart B**  
**Awards Dollars Received - FY 2011**  
**(Exclusive of ARRA Awards)**

Excluding ARRA awards, research funding to the University of Rochester during FY 2011 was \$397 million.

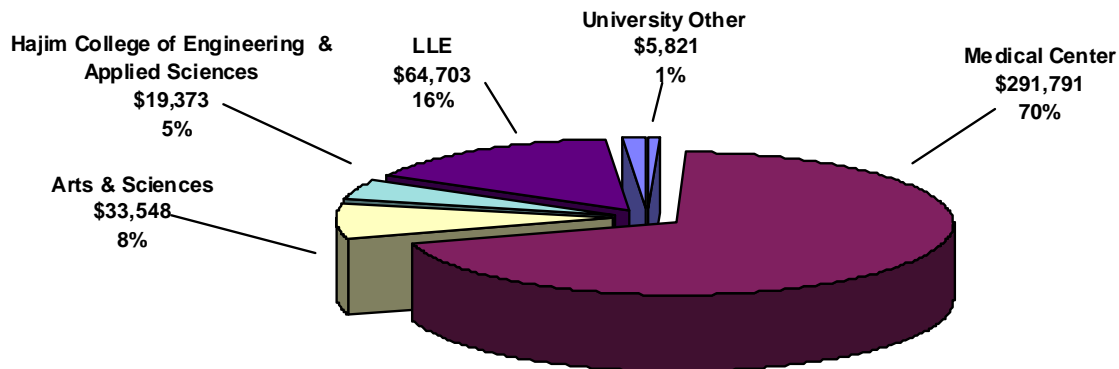
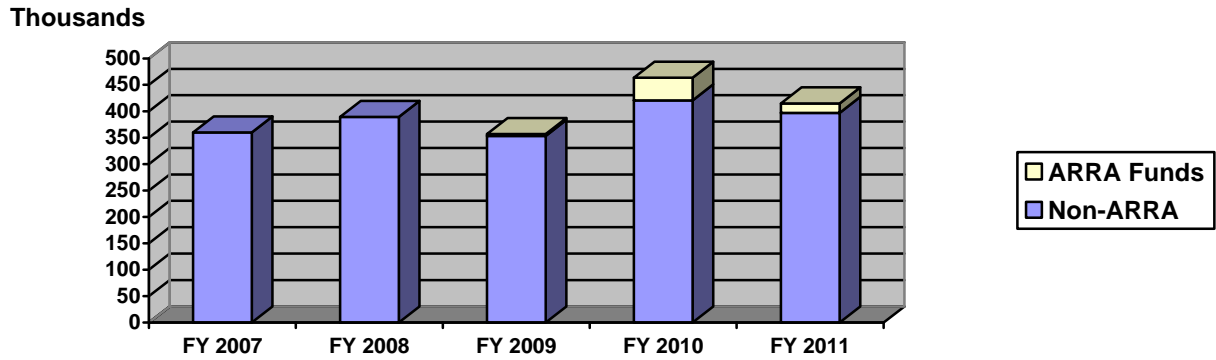


Chart C

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



FY 2007	FY 2008	FY 2009		FY 2010		FY 2011	
\$359,891	\$389,228	\$356,847		\$463,654		\$415,236	
		ARRA	Non-ARRA	ARRA	Non-ARRA	ARRA	Non-ARRA
		\$3,545	\$353,302	\$43,087	\$420,567	\$17,766	\$397,470

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

**Table 1**  
**Proposals – Total Amount Requested**  
**By College/School/Division**

<b>College/School/Division</b>	<b>FY 2007</b>	<b>FY 2008</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>
<b><u>Medical Center</u></b>					
Medicine & Dentistry	\$1,048,228	\$974,826	\$1,486,282	\$1,092,474	\$1,159,008
Nursing	37,676	23,220	29,974	20,586	20,849
Hospitals and Clinics	3,252	582	6,638	1,545	380
Medical Center Administration	5,846	2,623	6,584	19,560	15,869
<b><u>Arts, Sciences and Engineering</u></b>					
Arts and Sciences	141,628	135,387	162,380	176,082	124,475
Hajim School of Engineering & Applied Sciences	42,794	50,808	66,725	89,137	95,670
<b><u>Other Schools and Divisions</u></b>					
Laboratory for Laser Energetics	55,700	64,081	3,808	136,395	11,736
Warner School of Education	5,929	5,604	7,228	7,643	10,352
Memorial Art Gallery	330	222	719	5,503	121
Simon School of Business	0	0	113	0	687
Eastman School of Music	374	486	611	0	623
University Other	255	1,206	1,265	6,422	3,573
<b>TOTAL</b>	<b>\$1,342,012</b>	<b>\$1,259,044</b>	<b>\$1,772,327</b>	<b>\$1,555,347</b>	<b>\$1,443,343</b>

Source: UR-Coeus Sponsored Programs Management Database

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

<b>College/School/Division</b>	<b>FY 2007</b>	<b>FY 2008</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>
<b><u>Medical Center</u></b>					
Medicine & Dentistry	\$243,511	\$248,592	\$240,937	\$313,102	\$282,943
Nursing	2,626	9,676	5,540	5,631	4,932
Hospitals and Clinics	1,297	808	1,056	909	519
Medical Center Administration	575	2,459	2,213	3,993	3,397
<b><u>Arts, Sciences and Engineering</u></b>					
Arts and Sciences	45,030	36,372	33,355	46,681	33,548
Hajim School of Engineering & Applied Sciences	19,593	15,696	13,896	20,841	19,373
<b><u>Other Schools and Divisions</u></b>					
Laboratory for Laser Energetics	45,174	71,619	53,752	67,439	64,703
Warner School of Education	570	1,884	616	881	3,877
Memorial Art Gallery	243	177	234	450	137
Simon School of Business	60	0	38	38	375
Eastman School of Music	86	47	402	44	332
University Other	1,126	1,898	2,628	513	1,100
<b>TOTAL</b>	<b>\$359,891</b>	<b>\$389,228</b>	<b>\$354,667</b>	<b>\$460,522</b>	<b>\$415,236</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.
- Beginning in FY 2008, included under Medical Center Administration is the Center for Community Health and Eastman Institute for Oral Health
- The Department of Computer Science moved from the College of Arts and Sciences to the Hajim School of Engineering and Applied Sciences effective 7/1/2009
- University Other includes Rush Rhees Library, Susan B. Anthony Center and University Central Administration.

**Table 3**  
**ARRA Awards – FY 2011 Dollars Received**  
**By College/School/Division**

<b>College/School/Division</b>	<b>Number of Awards</b>	<b>Total \$\$ Awarded</b>
<b><u>Medical Center</u></b>		
Medicine & Dentistry	64	\$15,045
Nursing	3	917
Hospitals and Clinics	0	0
Medical Center Administration	3	1,030
<b><u>Arts, Sciences and Engineering</u></b>		
Arts and Sciences	8	320
Hajim School of Engineering & Applied Sciences	3	453
<b><u>Other Schools and Divisions</u></b>		
Laboratory for Laser Energetics	0	0
Warner School of Education	0	0
Memorial Art Gallery	0	0
Simon School of Business	0	0
Eastman School of Music	0	0
University Other	0	0
<b>TOTAL</b>	<b>81</b>	<b>\$17,766</b>

Table 4

**ARRA Awards  
FY 2011 Dollars Received  
By Agency**

<b>Agency</b>	<b>Number of Awards</b>	<b>Total \$\$ Received</b>
National Institutes of Health	53	\$15,343
Department of Energy	2	448
Other Sponsors <sup>1</sup>	26	1,975
<b>TOTAL</b>	<b>81</b>	<b>\$17,766</b>

<sup>1</sup> Includes ARRA funds received through sub awards from other institutions



As indicated in Chart E on page 20, the federal government is the primary source of sponsored program funding. However, the University receives significant funding from New York State government, foundations, corporate sponsors and individuals. Table 5 provides funding information on University sponsors that provided \$1,000,000 or more in FY 2011.

**Table 5**  
**Sponsors Awarding \$1,000,000 or More Annually**  
**FY 2011**

<b>Sponsor Name</b>	<b>Number Of Awards</b>	<b>Direct \$\$</b>	<b>Indirect \$\$</b>	<b>Total \$\$ Awarded</b>
National Institutes of Health	542	\$151,233,920	\$58,729,368	\$209,963,288
Department of Energy	17	48,777,025	23,476,548	72,253,573
National Science Foundation	79	11,487,574	3,032,367	14,519,941
NYS Department of Health	39	7,539,304	551,771	8,091,075
Health Resources and Services Administration	22	6,362,275	399,665	6,761,940
Centers for Disease Control	15	4,799,843	1,694,119	6,493,962
Guidant/CPI	1	4,013,725	478,784	4,492,509
DOD/Army Medical Research	19	3,297,255	1,114,992	4,412,247
Medivation, Inc.	5	2,825,620	899,513	3,725,133
CHDI Foundation, Inc.	3	3,210,475	19,565	3,230,040
Health Research Incorporated	20	1,817,161	550,088	2,367,249
Boston Scientific Corporation	5	2,013,708	330,125	2,343,834
Mt. Sinai School of Medicine	10	1,568,339	746,948	2,315,287
Monroe County Health Department	10	2,163,554	58,184	2,221,738
DOD/Defense Advanced Research Projects Agency	2	1,588,273	401,968	1,990,241
NYSTAR	1	1,816,173	136,227	1,952,400
U.S. Department of Education	11	1,750,825	114,365	1,865,190
Johns Hopkins University	16	1,191,644	632,837	1,824,481
DOD/Air Force/Office of Scientific Research	8	1,327,640	470,216	1,797,856
Agency for Healthcare Research and Quality	7	1,221,585	393,740	1,615,325
The Michael J. Fox Foundation for Parkinson's Disease	7	1,253,535	264,787	1,518,322
NeuroSearch – Sweden AB	1	1,002,340	300,701	1,303,041
Fred Hutchinson Cancer Research Center	10	846,353	446,601	1,292,954
Duke University	14	867,710	416,485	1,284,195
American Heart Association	19	1,157,798	94,180	1,251,978
Environmental Protection Agency	2	817,500	432,500	1,250,000
Bausch & Lomb	3	890,642	211,268	1,101,910
Monroe County Social Services Department	2	1,057,851	35,559	1,093,410
<b>Grand Total</b>	<b>890</b>	<b>\$267,899,647</b>	<b>\$96,433,471</b>	<b>\$364,333,118</b>

Table 6 provides information on the number of active projects in University colleges, schools or other units. This number encompasses all types of sponsored activities and may include awards received prior to FY 2011. This table does not include funding for undergraduate financial aid.

**Table 6**  
**Summary of Active Projects**  
**By College/School/Division**

<b>College/School/Division</b>	<b>Number of Active Projects</b>
<b><u>Medical Center</u></b>	
Medicine & Dentistry	1,962
Nursing	47
Strong Memorial Hospital	10
Medical Center Administration <sup>1</sup>	31
<b><u>Arts, Sciences and Engineering</u></b>	
Arts & Sciences	288
Hajim School of Engineering and Applied Sciences <sup>2</sup>	184
<b><u>Other Schools and Divisions</u></b>	
Laboratory for Laser Energetics	11
Warner School of Education	19
Memorial Art Gallery	7
Simon School of Business	2
Eastman School of Music	4
River Campus General	16
University General	5
<b>TOTAL ACTIVE PROJECTS</b>	<b>2,586</b>

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

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

Source: UR-COEUS Sponsored Programs Management Database

**SPONSORED PROGRAM AWARDS BY PURPOSE**

The table below illustrates the breakdown of awards by purpose. Research remains the primary component of sponsored program awards. In contrast to the expenditure figures reported later in this report, sponsored program award statistics do not include financial aid.

**Table 7**  
**Total Sponsored Program Awards**  
**By Purpose**

<b>Purpose</b>	<b>FY 2007</b>	<b>FY 2008</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>
Research <sup>1</sup>	\$289,363	\$316,160	\$288,603	\$378,276	339,043
Fellowships & Training	26,452	33,986	26,559	32,764	35,008
Clinical Drug Trials <sup>2</sup>	25,197	24,806	22,711	26,467	27,694
Libraries & Museums	599	944	901	600	573
Conference & Travel	247	425	162	202	171
Equipment	4,257	994	948	5,156	933
Miscellaneous Activities	13,776	11,840	14,783	17,057	11,814
<b>TOTAL</b>	<b>\$359,891</b>	<b>\$389,155</b>	<b>\$354,667</b>	<b>\$460,522</b>	<b>\$415,236</b>

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

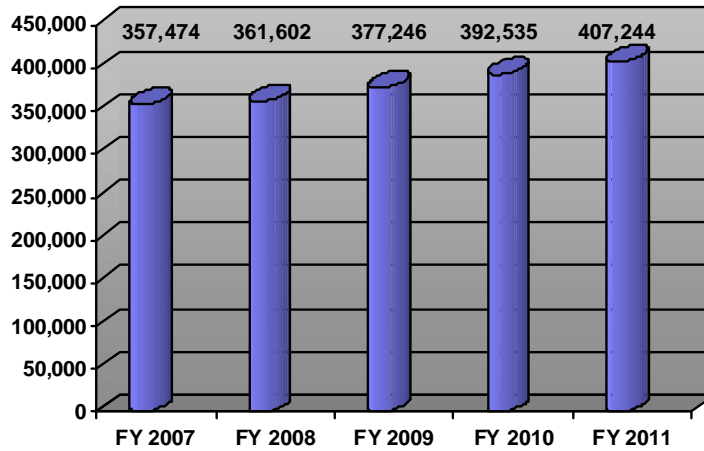
<sup>2</sup> Includes both industry and non-industry sponsored awards

Source: UR-Coeus Sponsored Programs Management Database

OVERVIEW OF SPONSORED PROGRAMS EXPENDITURES

In Fiscal Year 2011, the University of Rochester expended in excess of \$407 million for sponsored activities, an increase of 3.7 percent from Fiscal Year 2010.

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



**Table 8**  
**Sponsored Program Expenditures**  
**Total University**

	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Total University	\$357,474	\$361,602	\$377,246	\$392,535	\$407,244

Source: University Accounting System Report ABQ361

SPONSORED PROGRAM EXPENDITURES BY COLLEGE / SCHOOL / DIVISION

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

**Table 8.1**  
**Total Sponsored Program Expenditures by College/School/Division<sup>1</sup>**

College/School/Division	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
<b><u>Medical Center</u></b>					
Medicine & Dentistry	\$219,775	\$232,991	\$239,699	\$259,755	\$268,075
Nursing	4,692	5,214	6,250	6,370	5,123
Hospitals and Clinics	1,490	1,347	1,264	598	426
Medical Center Administration <sup>2</sup>	2,317	1,782	2,420	2,855	3,680
<b><u>Arts, Sciences and Engineering</u></b>					
Arts and Sciences	33,812	36,241	38,640	38,252	42,214
Hajim School of Engineering & Applied Sciences	16,732	17,195	16,898	18,750	17,717
<b><u>Other Schools and Divisions</u></b>					
Laboratory for Laser Energetics	70,208	57,380	63,024	55,962	60,241
Warner School of Education	2,192	1,724	927	745	1,163
Memorial Art Gallery	355	71	134	246	156
Simon School of Business	90	30	63	32	2
Eastman School of Music	501	644	532	847	727
University Other <sup>3</sup>	5,310	6,983	7,395	8,123	7,720
<b>TOTAL</b>	<b>\$357,474</b>	<b>\$361,602</b>	<b>\$377,246</b>	<b>\$392,535</b>	<b>\$407,244</b>

Source: University Accounting System Report ABQ361

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

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

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

**Table 8.2.1**  
**Total Sponsored Program Expenditures**  
**Arts, Sciences & Engineering**

<b>Arts and Sciences</b>	<b>FY 2007</b>	<b>FY 2008</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>
Dean's Office	\$0	\$0	\$84	\$207	\$383
Art and Art History	4	0	0	0	0
Biology	5,593	6,065	6,715	6,404	6,182
Brain & Cognitive Sciences	3,935	4,398	4,362	4,836	5,719
Chemistry	3,927	3,807	4,002	4,915	5,504
Clinical and Social Sciences in Psychology	5,036	5,456	5,666	6,532	7,878
Computer Science <sup>1</sup>	2,160	2,491	2,355	0	0
Earth and Environmental Sciences	902	842	867	722	631
English	42	49	100	78	83
History	0	0	0	0	28
Kearns Center	75	327	842	916	771
Linguistics	79	30	26	34	69
Mathematics	264	568	549	597	729
McNair Program	0	251	317	277	216
Philosophy	0	0	21	36	9
Physics and Astronomy	6,898	7,412	8,582	8,153	9,671
Political Science	0	0	0	0	0
Skalny Center for Polish/ European Studies	80	37	48	49	75
Undergraduate Studies	1	70	54	67	0
Visual Science	4,699	4,266	3,837	4,228	4,077
Wallis Institute of Political Economy	117	172	213	201	189
<b>Subtotal</b>	<b>\$33,812</b>	<b>\$36,241</b>	<b>\$38,640</b>	<b>\$38,252</b>	<b>\$42,214</b>

Source: University Accounting System Report ABQ353

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

**Table 8.2.2**  
**Total Sponsored Program Expenditures**  
**Arts, Sciences & Engineering**

<b>Engineering &amp; Applied Sciences</b>	<b>FY 2007</b>	<b>FY 2008</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>
Dean's Office	\$1,581	\$-19	\$275	\$139	\$259
Center for Future Health	-101	21	92	-4	0
Biomedical Engineering	1,326	1,650	1,344	824	630
Computer Science <sup>1</sup>	0	0	0	2,389	2,556
Chemical Engineering	541	686	607	1,004	862
Electrical & Computer Engineering	3,019	4,049	3,685	4,306	4,706
Mechanical Engineering	1,988	2,381	2,473	2,265	2,156
Institute of Optics	6,727	6,633	6,263	6,549	5,546
Center for Emerging & Innovative Sciences	1,460	1,724	2,103	1,231	1,002
Center for Institute Ventures	0	70	56	47	0
<b>Subtotal</b>	<b>\$16,732</b>	<b>\$17,195</b>	<b>\$16,898</b>	<b>\$18,750</b>	<b>\$17,717</b>
<b>TOTAL</b>	<b>\$50,544</b>	<b>\$53,436</b>	<b>\$55,538</b>	<b>\$57,002</b>	<b>\$59,931</b>

Source: University Accounting System Report ABQ 353

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

**Table 8.3**  
**Total Sponsored Program Expenditures**  
**School of Medicine and Dentistry**

<b>Medicine and Dentistry</b>	<b>FY 2007</b>	<b>FY 2008</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>
Dean's Office	\$0	\$13	\$0	\$0	\$-45
Anesthesiology	1,268	2,069	1,568	1,772	2,420
Biochemistry and Biophysics	6,656	6,617	7,746	8,475	8,899
Biomedical Engineering	600	722	862	1,665	2,024
Biomedical Genetics (previously Center for Cancer Biology)	3,318	3,071	4,451	5,302	6,556
Biostatistics and Computational Biology	3,767	4,707	6,975	7,080	7,792
Cancer Center	9,810	8,974	9,998	10,468	10,774
Center for Human Experimental Therapeutics <sup>1</sup>	0	0	0	7,959	10,193
Center for Neural Development and Disease (previously Center for Aging and Developmental Biology)	6,600	5,536	6,036	5,449	4,304
Center for Pediatric Biomedical Research (previously Center for Human Genetics and Molecular Pediatric Diseases)	2,195	2,366	2,473	3,893	3,009
Center for Neurovascular Brain Disease	NA	2,731	2,523	1,832	2,659
Center for Translational Neuromedicine	NA	5,508	4,963	4,107	4,913
Center for Oral Biology	4,743	5,313	5,200	4,485	5,228
Center for Vaccine Biology	2,951	4,235	4,879	4,130	3,542
Community and Preventive Medicine	5,237	4,953	5,192	12,559	15,578
Development Center for AIDS Research	0	0	509	755	885
Dermatology	1,612	1,312	1,942	2,465	2,492
Eastman Dept. of Dentistry <sup>1</sup>	1,726	2,459	1,917	2,034	1,952
Emergency Medicine	1,103	1,863	1,702	1,020	1,077
Environmental Medicine	12,788	12,016	10,964	9,748	10,053
Family Medicine	1,522	1,509	1,859	1,869	1,862
Imaging Sciences (previously Radiology)	1,898	1,958	2,048	2,637	1,909
Medicine	41,209	38,616	41,599	49,180	53,455

(Continued on next page)

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



OFFICE OF RESEARCH  
AND PROJECT ADMINISTRATION

<b>Medicine and Dentistry cont'd</b>	<b>FY 2007</b>	<b>FY 2008</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>
Microbiology and Immunology	6,633	7,593	9,048	8,783	9,306
Neurobiology and Anatomy	7,395	6,611	6,795	7,538	6,532
Neurology <sup>1</sup>	27,959	25,224	23,470	18,153	14,838
Neurosurgery	3,955	384	696	582	671
Obstetrics and Gynecology	7,671	12,603	9,976	2,734	3,650
Ophthalmology	2,983	5,229	3,541	4,242	4,093
Orthopaedics	5,074	5,719	5,047	7,149	7,185
Otolaryngology	953	737	628	924	1,032
Pathology	3,300	3,786	4,064	4,706	4,770
Pediatrics	15,781	16,841	17,612	20,293	20,698
Pharmacology and Physiology	9,054	8,894	9,816	10,901	11,505
Physical Medicine and Rehab	0	0	73	31	4
Psychiatry	10,655	12,973	12,550	11,296	11,077
Radiation Oncology	5,663	5,796	6,530	8,658	7,715
Surgery	2,208	2,372	2,787	2,770	1,911
Urology	1,113	1,150	1,306	1,513	1,110
SMD Other <sup>2</sup>	375	531	354	598	477
<b>TOTAL</b>	<b>\$219,775</b>	<b>\$232,991</b>	<b>\$239,699</b>	<b>\$259,755</b>	<b>\$268,075</b>

Source: University Accounting System Report ABQ353

<sup>1</sup>The Center for Human Experimental Therapeutics was established in 2010 and is no longer represented under expenditures for the Department of Neurology

<sup>2</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 9.1 and Table 9.2 indicate the breakdown by college, school or division for these two cost categories.

Expenditures vary from year to year because of changes in the government's interests and needs, and types of programs. Recovery of F&A costs is a function of direct cost expenditures. Such recovery is subject to variation as well as to changes in rates, types of direct costs supported by sponsors (e.g., salaries vs. equipment), amounts subcontracted to other institutions, sponsor policies, and cost allowability as determined by federal regulations and audit practices.

**Table 9.1  
Direct Cost Expenditures**

<b>College/School/Division</b>	<b>FY 2007</b>	<b>FY 2008</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>
<b><u>Medical Center</u></b>					
Medicine & Dentistry	\$165,696	\$177,371	\$179,953	\$193,469	\$200,892
Nursing	3,693	4,232	5,105	5,538	4,465
Hospitals and Clinics	1,441	1,249	1,185	543	377
Medical Center Administration <sup>1</sup>	1,124	1,638	2,209	2,649	3,131
<b><u>Arts, Sciences and Engineering</u></b>					
Arts and Science	26,404	28,340	29,382	30,365	33,407
Engineering & Applied Sciences	14,247	13,889	14,534	14,350	13,578
<b><u>Other Schools and Divisions</u></b>					
Laboratory for Laser Energetics	58,532	45,764	50,231	43,521	47,112
Warner School of Education	1,633	1,471	958	649	1,065
Simon School of Business	60	60	48	32	2
Eastman School of Music	499	643	521	795	689
Memorial Art Gallery	355	71	134	246	156
University Other	5,273	6,910	7,376	8,172	7,682
<b>TOTAL</b>	<b>\$278,957</b>	<b>\$281,638</b>	<b>\$291,636</b>	<b>\$300,329</b>	<b>\$312,556</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 under Medicine and Dentistry) and the Eastman Institute of Oral Health

**Table 9.2**  
**Facilities & Administrative Costs Recovery**

<b>College/Unit</b>	<b>FY 2007</b>	<b>FY 2008</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>
<b><u>Medical Center</u></b>					
Medicine & Dentistry	\$55,228	\$55,620	\$59,746	\$66,286	\$67,183
Nursing	999	982	1,146	833	658
Hospitals and Clinics	49	98	79	54	50
Medical Center Administration <sup>1</sup>	44	139	210	212	550
<b><u>Arts, Sciences and Engineering</u></b>					
Arts and Sciences	7,408	7,901	7,696	7,887	8,807
Engineering & Applied Sciences	2,485	3,308	3,927	4,401	4,139
<b><u>Other Schools and Divisions</u></b>					
Laboratory for Laser Energetics	11,676	11,616	12,793	12,440	13,129
Warner School of Education	559	252	-32	96	97
Simon School of Business	30	-30	15	-15	0
Eastman School of Music	2	9	11	52	38
Memorial Art Gallery	0	0	0	0	0
University Other	37	69	19	-40	37
<b>TOTAL</b>	<b>\$78,517</b>	<b>\$79,964</b>	<b>\$85,610</b>	<b>\$92,206</b>	<b>\$94,688</b>

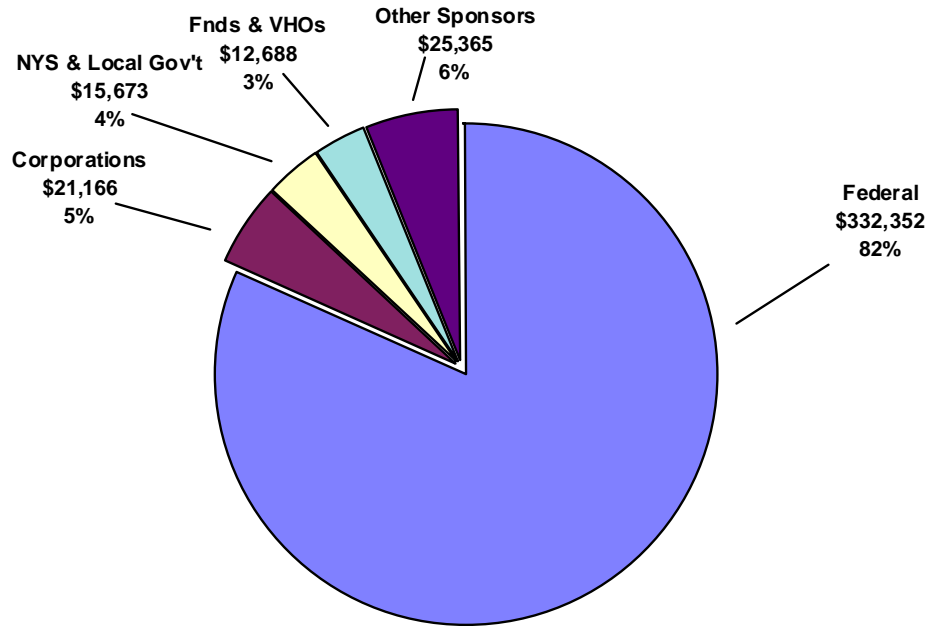
Source: University Accounting System Report ABQ361

<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 10.1 indicates the total University expenditures by type of funding agency.

**Chart E**  
**Expenditures by Agency Type – FY 2011**



**Table 10.1**  
**Sponsored Program Expenditures**  
**By Agency Type**

Agency Type	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Federal	\$278,017	\$278,273	\$295,185	\$313,724	\$332,352
Corporations	26,956	28,388	23,990	24,757	21,166
NY State & Local Government	12,019	13,492	15,040	14,178	15,673
Foundations & Voluntary Health Organizations	14,394	16,545	16,991	12,302	12,688
Other Sponsors <sup>1</sup>	26,088	24,904	26,040	27,574	25,365
<b>TOTAL</b>	<b>\$357,474</b>	<b>\$361,602</b>	<b>\$377,246</b>	<b>\$392,535</b>	<b>\$407,244</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 10.2**  
**Sponsored Program Expenditures**  
**By Federal Agency**

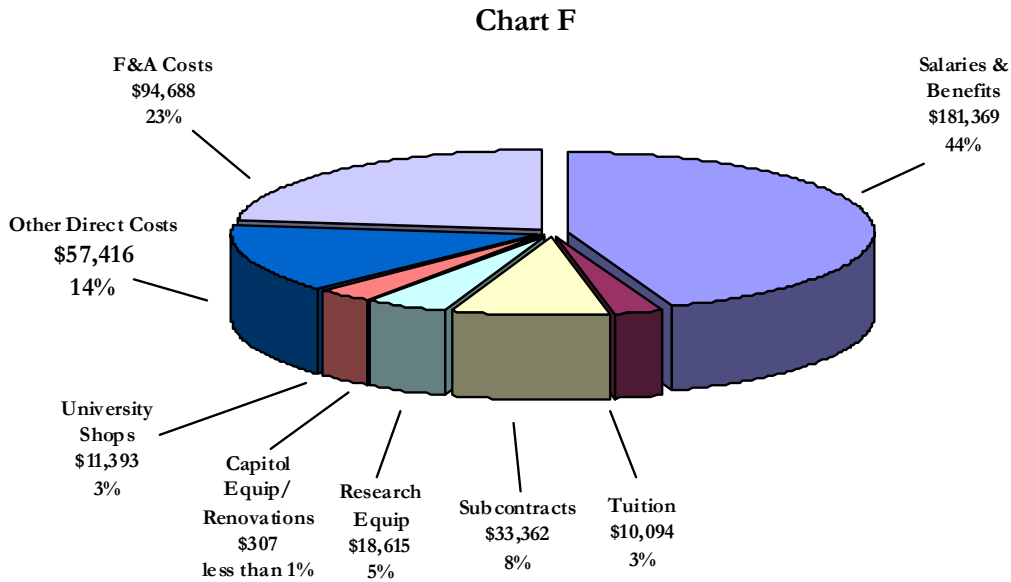
<b>Federal Agency</b>	<b>FY 2007</b>	<b>FY 2008</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>
Public Health Service (includes NIH)	\$171,736	\$181,303	\$192,309	\$215,623	\$224,180
Department of Energy	73,277	62,212	67,278	60,449	67,048
Department of Defense	10,024	12,889	11,798	10,733	10,633
National Science Foundation	10,224	10,661	11,122	12,877	14,953
Department of Education	7,793	8,023	8,498	10,391	10,951
National Aeronautics and Space Administration	2,152	424	602	467	500
NEA/NEH <sup>1</sup>	61	51	137	250	180
Other Sponsors	2,750	2,710	3,441	2,934	3,907
<b>TOTAL</b>	<b>\$278,017</b>	<b>\$278,273</b>	<b>\$295,185</b>	<b>\$313,724</b>	<b>\$332,352</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 11 indicate the expenditure of funds by major cost element. Sponsored program expenditures for FY 2011 included approximately \$56 million for faculty salaries, \$18 million for graduate student salaries and stipends and \$2 million for undergraduate student salaries.



**Table 11**  
**Sponsored Program Expenditures by Cost Element**

Cost Element	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Salaries & Benefits	\$158,151	\$166,137	\$173,271	\$177,844	\$181,369
Tuition	6,554	8,142	8,973	10,820	10,094
Subcontracts	24,485	27,240	24,651	26,946	33,362
Research Equipment	30,437	18,918	18,982	18,809	18,615
Capital Equipment/Renovations	2,042	3,621	219	152	307
University Shops	11,469	11,456	14,430	11,714	11,393
Other Direct Costs <sup>1</sup>	45,819	46,124	51,110	54,044	57,416
<b>Total Direct Costs</b>	<b>278,957</b>	<b>281,638</b>	<b>291,636</b>	<b>300,329</b>	<b>312,556</b>
Facilities & Administrative Costs	78,517	79,964	85,610	92,206	94,688
<b>TOTAL</b>	<b>\$357,474</b>	<b>\$361,602</b>	<b>\$377,246</b>	<b>\$392,535</b>	<b>\$407,244</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

**Please note: The most current expenditure statistics have not been published on the NSF website. The information will be updated on the ORPA website when it becomes available.**

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

<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.

**OVERVIEW OF MATERIAL TRANSFER OFFICE ACTIVITY**

---

As a general definition, a Material Transfer Agreement (hereinafter MTA) is a contract executed between two entities which outlines the rights and responsibilities of each party that arise due to the transfer of materials for research purposes from one party to the other. The MTA will dictate how the materials and the results from using the materials can be used, along with other significant terms, conditions and obligations. Typically, there is a minimal to no fee associated with such a transfer.

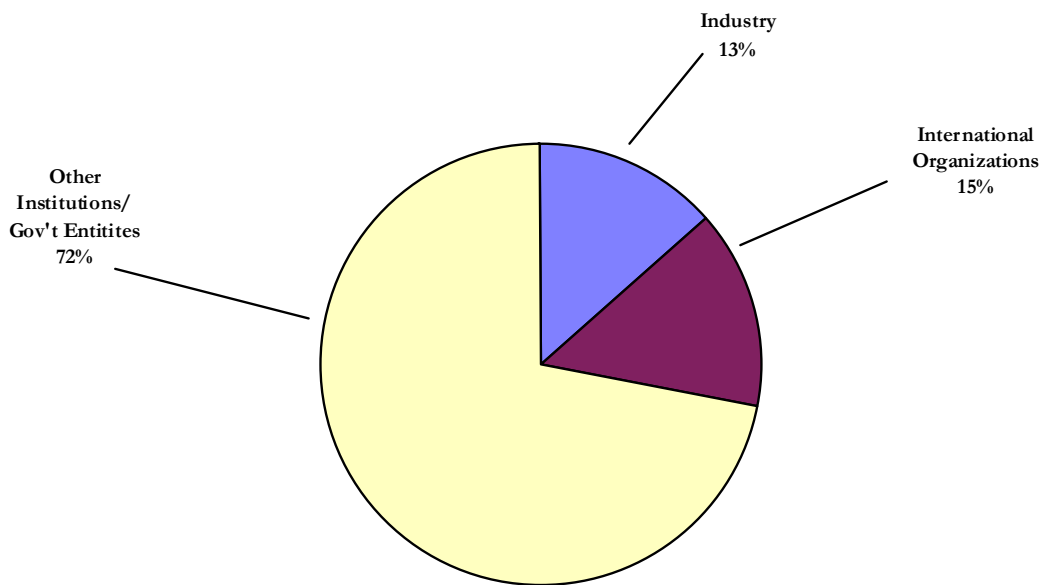
In Fiscal Year 2011, UR received a total of 435 MTAs, 326 for incoming materials and 109 for outgoing materials. UR signed a total of 428 agreements; this includes agreements pending from the previous fiscal year. Agreements received in FY 2011 decreased by 4.8% compared to those received in FY 2010. The decrease in incoming MTAs was most likely attributable to the significant decrease in stimulus funding along with a slight decrease in overall research funding to the University.

For FY 2011 the average time it takes for negotiation of contract terms and execution by Rochester is 21 calendar days (13 business days). The types of agreements negotiated are broken down as follows:

- 395 agreements were with other academic/non-profit institutions/government entities
- 74 agreements were with industry
- 80 agreements were with international organizations

**Chart G**

**MTA's Processed in FY 2011 by Institution Type**



The Material Transfer function within the Office of Research and Project Administration also includes responsibility for the review and negotiation of any Confidential Disclosure Agreement (CDA) that binds the University. A total of 197 CDAs were reviewed during Fiscal Year 2011, with a total of 154 fully executed.



Federal agencies support nearly two-thirds of the Research & Development (R&D) performed in U.S. colleges and universities. Nearly all federal R&D comes from the discretionary budget, the approximately one-third of the budget that is subject to annual appropriations decided by the President and the Congress. As of this writing, none of the major appropriation bills have been passed by Congress and sent to President Obama to sign. Consequently, all of the statistics shown here are contained in the President's FY 2012 Budget Request. The overall federal investment in R&D would decrease slightly from FY2011, consistent with the five-year freeze on domestic discretionary spending announced during the State of the Union address. Despite the decrease in nonsecurity spending, science agencies fare well in the budget request due to the administration's priority in investing in American innovation and research and development.

The President's proposed FY2012 budget continues to propose large increases for the three physical science agencies in the President's Plan for Science and Innovation, for both basic and applied research and for clean energy and Climate Science R&D. The three agencies included in the President's Plan for Science and Innovation, the National Science Foundation (NSF), the National Institute for Standards and Technology (NIST) labs within the Department of Commerce, and the Department of Energy (DOE) Office of Science would stay on track to have their budgets double. Included in the President's FY 2012 R&D request:

- NSF would receive a total budget increase of \$775 million (14.6 percent) to \$6.1 billion.
- NIST labs would see a total budget increase of \$301 million (52.5 percent) to \$874 million.
- DOE's Office of Science budget would increase by \$486 million (10.9 percent) to \$4.9 billion.
- The National Aeronautics and Space Administration (NASA) R&D budget request is \$9.8 billion, a \$46 million decrease.
- After a significant decrease in funding in FY2011, The Department of Homeland Security (DHS) would receive a substantial \$342 million (48.1 percent) increase in its R&D portfolio.
- The Department of Defense (DOD) would see double-digit increases for basic research both throughout the department and within the Defense Advanced Research Projects Agency (DARPA). Basic research would increase 14.5 percent to \$2.1 billion and the Defense Research Sciences program within DARPA would see an increase of 49.9% to \$291 million.
- Within the Labor, Health and Human Services, and Education agency, the National Institutes of Health (NIH) dominates the R&D portfolio. NIH is the second largest supporter of R&D in the federal government, after DOD, and is the largest single source of funds for university research. NIH would receive their second largest increase in R&D investment since their doubling ended in 2004. NIH's proposed increase of \$1.0 billion (3.4 percent) in R&D investment brings their total to \$32.0 billion. The majority of NIH's budget is distributed through Research Project Grants (RPGs). From funding an average of 1 out of 3 grant applications early in the past decade, NIH's success rate has hovered around 1 in 5 applications in recent years. The success rate for new grant applications has shrunk because recent surges in the number of applications have far outpaced the number of grants awarded. For FY 2012, NIH is estimating a success rate of 19 percent.
- The Environmental Protection Agency (EPA) would see its budget increase slightly by \$13 million (2.3 percent) .

#### CONTACT INFORMATION

Office of Research and Project Administration /University of Rochester  
Hylan Building, 5<sup>th</sup> Floor, RC Box 271040/Rochester, NY 14627-0140  
Phone 585.275.4031 • Fax 585.275.9492/Email: [resadmin@orpa.rochester.edu](mailto:resadmin@orpa.rochester.edu)/Website: <http://www.rochester.edu/orpa>

Copyright © 2011 University of Rochester. All rights reserved.