
**OFFICE OF RESEARCH AND PROJECT
ADMINISTRATION**

**ANNUAL REPORT OF
SPONSORED PROGRAM ACTIVITIES
FISCAL YEAR 2017**



Introduction

We are pleased to present the Office of Research and Project Administration (ORPA) Annual Report for Fiscal Year 2017 ending June 30th, 2017, which showcases the University of Rochester's outstanding ability to attract external support for research and other sponsored programs activities year after year in an increasingly difficult environment. Revenue from sponsored program activities, vital to sustaining research and graduate programs, remains an essential component of the University's current fund expenditures and general budget.

This report is divided between proposals submitted and awards made, and expenditure statistics. The proposal and award statistics will, when looked at over a particular period of time, provide an indication of funding trends. Since expenditures typically follow funding received, those statistics 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 and within New York State. 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 not shown in this report.

The validity of this report depends on how useful end users find it. To this end, comments about the report and suggestions for future improvements are welcomed at resadmin@orpa.rochester.edu

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Proposal and Award Activity

The School of Medicine and Dentistry submits the majority of proposals and, as is also indicated in the award statistics, receives the majority of sponsored program funding. On an overall University basis **1,686** new, continuation, supplemental, and renewal proposals were submitted in FY 2017 and **1,859** awards were received for sponsored program funding.

NOTE: All dollars throughout this report are in thousands

Chart A

Dollar Value of Proposals Submitted - FY 2017

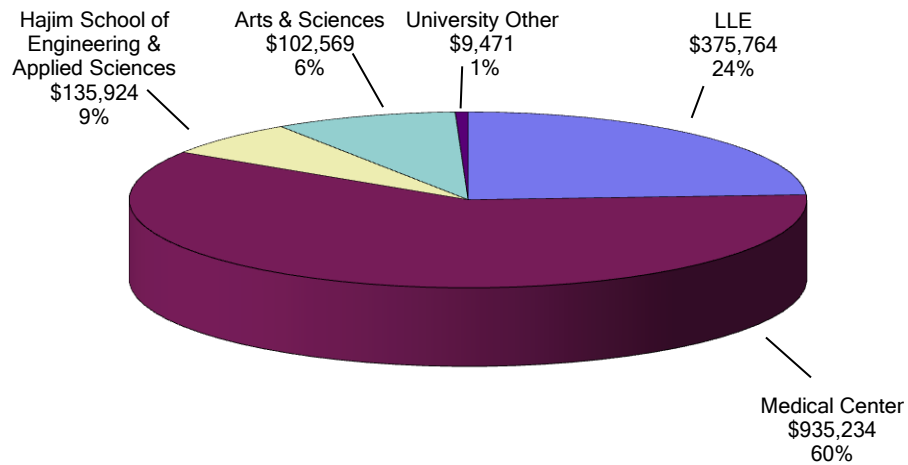
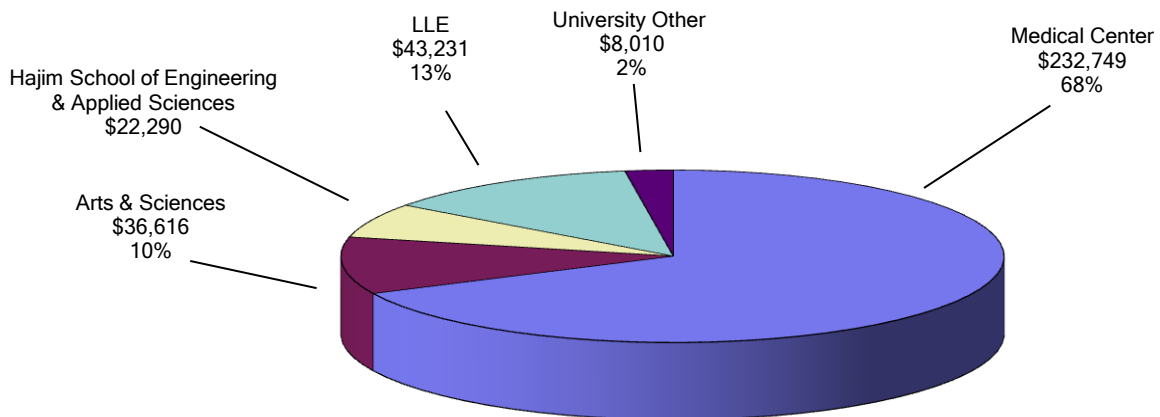


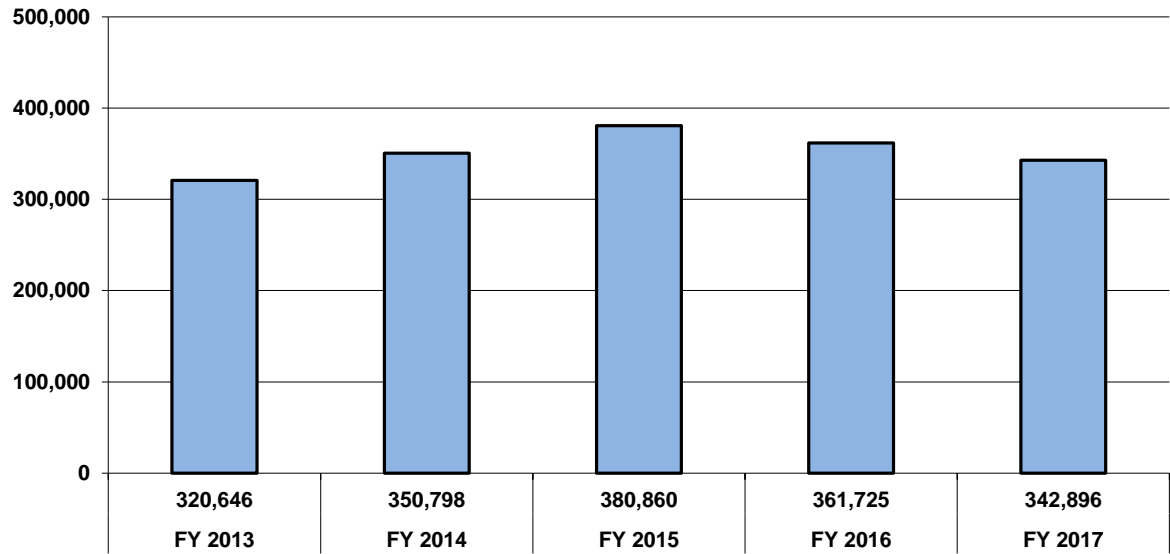
Chart B

Awards Dollars Received - FY 2017



Please note: The 2017 proposal and award figures shown on pages 3 - 11 of this report were current as of 12/12/17 and may be subject to change as necessary.

Chart C
Award Dollars Received During Last Five Fiscal Years



Source: UR-Coeus Sponsored Programs Management Database

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 include funds requested for the entire project period of the proposed activity, which could be two years or more, along with one year amounts for continuation proposals and singular projects. Awarded amounts, however, indicate only amounts actually received during FY 2017, regardless of whether additional funds are anticipated over the life of the project. 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 By College/School/Company

College/School/Company	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017
Medical Center					
Medicine and Dentistry	\$1,102,015	\$966,198	\$921,265	\$898,720	\$920,906
Nursing	15,647	21,432	18,918	18,713	13,572
Hospitals and Clinics	517	234	416	235	250
Medical Center Administration	7,527	11,010	11,540	6,122	506
Subtotal URMC	1,125,706	998,874	952,139	923,790	935,234
Arts, Sciences and Engineering					
Arts and Sciences	137,204	146,254	184,912	126,415	102,569
Hajim School of Engineering & Applied Sciences	89,286	64,277	184,137	89,638	135,924
Subtotal for AS&E	226,490	210,531	369,049	216,053	238,493
Laboratory for Laser Energetics	352,516	75,117	4,307	75,040	375,764
Other Schools and Companies					
Eastman Institute for Oral Health	0	0	0	4,783	3,110
Warner School of Education	7,179	10,624	6,902	5,682	2,180
Memorial Art Gallery	65	212	18	119	787
Simon School of Business	175	0	0	50	300
Eastman School of Music	5	14	14	68	0
University Other	11,092	1,140	6,798	5,673	3,094
Subtotal Other	18,516	11,990	13,732	16,374	9,471
Total University	\$1,723,228	\$1,296,512	\$1,339,227	\$1,231,257	\$1,558,962
Number of Proposals Submitted	1,943	1,926	1,943	1,937	1,686¹

Source: UR-Coeus Sponsored Programs Management Database

¹NIH continuation proposals are no longer processed through ORPA, but instead are incorporated in the Research Project Proposal Report that is submitted electronically by the Principal Investigator via the NIH Commons

Table 2

Awards - Annual Funding Received By College/School/Company

College/School/Company	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017
Medical Center					
Medicine and Dentistry	\$200,174	\$223,658	\$229,151	\$224,822	\$227,728
Nursing	1,690	1,132	2,890	3,854	3,245
Hospitals and Clinics	327	142	463	264	115
Medical Center Administration	4,119	3,997	3,771	3,425	1,661
Subtotal URMC	206,310	228,929	236,275	232,365	232,749
Arts, Sciences and Engineering					
Arts and Sciences	37,471	35,599	30,452	31,006	36,616
Hajim School of Engineering & Applied Sciences	21,144	15,915	18,505	22,327	22,290
Subtotal AS & E	58,615	51,514	48,957	\$53,333	58,906
Laboratory for Laser Energetics	46,659	67,572	88,383	68,000	43,231
Other Schools and Companies					
Eastman Institute for Oral Health	0	0	0	2,061	2,240
Warner School of Education	2,440	1,959	1,272	3,770	2,740
Memorial Art Gallery	153	0	29	119	287
Simon School of Business	0	35	-196	50	0
Eastman School of Music	5	0	0	39	0
University Other	6,464	789	6,140	1,987	2,744
Subtotal Other	9,062	2,783	7,245	8,027	8,010
Total University	\$320,646	\$350,798	\$380,860	\$361,725	\$342,896
Number of Awards Received	1,802	1,754	1,854	1,898	1,859

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
- Eastman Institute for Oral Health was included in Medical Center Administration figure up to FY 2015
- Funding received in Table 2 indicates actual amount awarded which is usually for periods of one year or less. Future year commitments are not included
- University Other includes Rush Rhees Library, Susan B. Anthony Center, and University Central Administration
- A \$16 million increment to LLE's DOE award for FY 2013 was received after July 1, 2013 and is not included in these numbers
- Number of Awards Received includes continuation awards

Chart D

Awards - Sponsored Program Funding by Agency Type - FY 2017

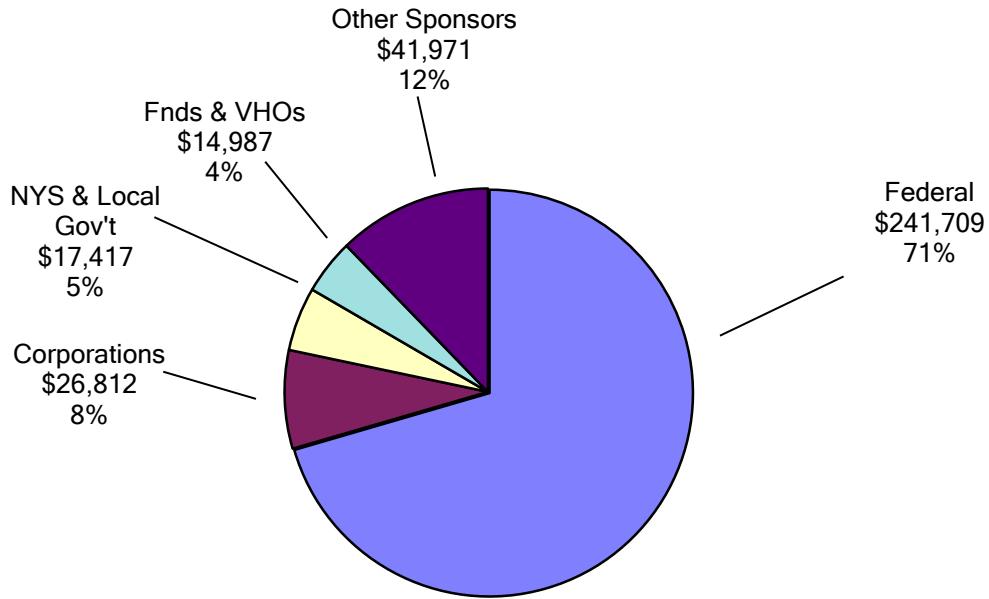


Table 3

Sponsored Program Funding by Agency Type

Agency Type	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017
Federal	\$243,024	\$260,179	\$280,190	\$262,043	\$241,709
Corporations	20,169	20,911	30,228	26,520	26,812
NY State & Local Government	10,783	15,759	15,409	22,676	17,417
Foundations & Voluntary Health Organizations	12,920	15,942	14,188	14,454	14,987
Other Sponsors ¹	33,750	38,007	40,845	36,032	41,971
TOTAL	\$320,646	\$350,798	\$380,860	\$361,725	\$342,896

Source: UR-Coeus Sponsored Programs Management Database

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 sub-recipient.

Table 3.1
Sponsored Program Funding by Federal Agency

Federal Agency	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017
Health and Human Services (excluding NIH)	\$12,971	\$12,886	\$11,452	\$10,008	\$11,110
NIH	149,575	158,615	157,784	156,263	151,243
Total Health and Human Services	162,546	171,501	169,236	166,271	162,353
Department of Energy	53,659	68,205	86,299	69,443	47,074
Department of Defense	5,381	4,897	4,329	4,581	8,380
National Science Foundation	16,743	11,922	16,360	17,354	17,970
Department of Education	2,280	1,834	2,248	2,429	3,775
National Aeronautics and Space Administration	1,059	1,449	1,361	1,222	1,778
NEA/NEH ¹	260	-5	60	289	89
Other Federal Sponsors	1,096	376	297	454	290
TOTAL	\$243,024	\$260,179	\$280,190	\$262,043	\$241,709

Source: UR-Coeus Sponsored Programs Management Database

¹National Endowment for the Arts/National Endowment for the Humanities

As indicated in Chart D on page 7, the federal government is the primary source of sponsored program funding. However, the University receives significant funding from other sources also.

Table 4
Sponsors Awarding \$1,000,000 or More Annually - FY 2017

Sponsor	Number of Awards	Total \$\$ Awarded
National Institutes of Health	411	\$151,243,050
Department of Energy	19	\$46,536,043
National Science Foundation	92	\$18,777,951
New York State	45	\$11,483,186
Department of Defense	31	\$8,379,728
Centers for Disease Control and Prevention	7	\$4,458,672
Monroe County	7	\$4,316,104
U.S Department of Education	13	\$3,774,736
Huntington Study Group	5	\$3,584,715
Horizon Pharma	1	\$3,248,503
Health Research Services Administration	13	\$3,137,349
Health Research Inc.	18	\$2,870,591
SUNY Upstate Medical University	3	\$2,602,497
Boston Scientific Corp.	5	\$2,368,509
Greater Rochester Health Foundation	12	\$2,088,639
Patient-Centered Outcome Research Institute	8	\$2,082,940
NASA	8	\$1,777,814
The Michael J. Fox Foundation for Parkinson's Disease	10	\$1,758,605
Fred Hutchinson Cancer Research Center	9	\$1,520,289
Gilead Sciences, Inc.	16	\$1,438,831
CHDI Foundation	2	\$1,375,461
University of Alabama at Birmingham	8	\$1,134,500
Massachusetts General Hospital	20	\$1,118,949
Marathon Pharmaceuticals, LLC	5	\$1,053,485
Mellon Foundation	2	\$1,000,000
NYSTAR	2	\$1,000,000

Source: UR-Coeus Sponsored Programs Management Database

Table 5 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 2017 that were active at any point during FY 2017. This table does not include funding for undergraduate financial aid.

Table 5
Summary of Projects Active at any Point in FY 2017
by College/School/Company

College/School/Company	Number of Active Projects
Medical Center	
Medicine & Dentistry	1,841
Nursing	23
Strong Memorial Hospital	6
Medical Center Administration	20
Arts, Sciences, and Engineering	
Arts & Sciences	300
Hajim School of Engineering and Applied Sciences	213
Other Schools and Companies	
Laboratory for Laser Energetics	12
Eastman Institute for Oral Health ¹	15
Warner School of Education	22
Memorial Art Gallery	9
Simon School of Business	1
Eastman School of Music	2
River Campus General	16
University General	5
Total Active Projects	2,485

Source: UR-COEUS Sponsored Programs Management Database

¹Previously reported under Medical Center Administration

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 6
Total Sponsored Program Awards by Purpose

Purpose	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017
Research ¹	\$263,099	\$292,990	\$318,520	\$294,521	\$284,921
Fellowships & Training	21,984	27,881	28,847	30,458	25,067
Clinical Drug Trials	15,670	13,478	13,757	13,433	12,801
Libraries & Museums	374	126	249	387	356
Conference & Travel	110	235	315	458	328
Equipment	6,861	353	899	1,644	754
Miscellaneous Activities	12,548	15,735	18,273	20,824	18,669
Total	\$320,646	\$350,798	\$380,860	\$361,725	\$342,896

Source: UR-Coeus Sponsored Programs Management Database

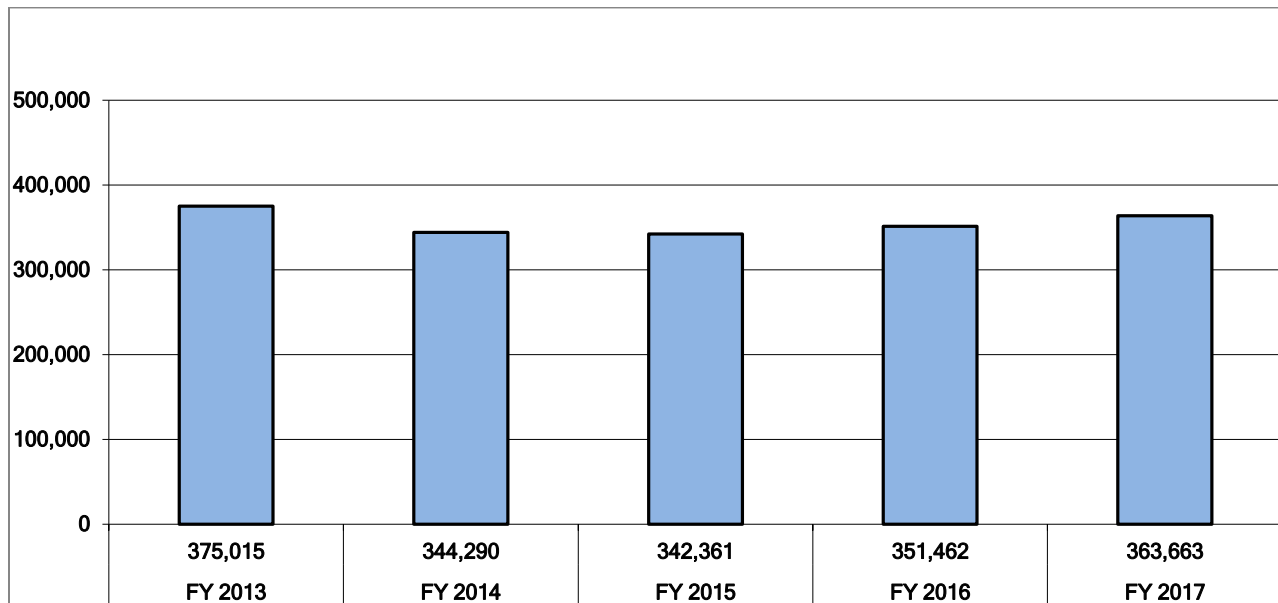
¹The Medical Center accounts for 71% of all externally sponsored research funding. Of that amount, roughly half is related to clinical research, according to the Clinical Research Resource Inventory, a survey of principal investigators at the Medical Center. Clinical research is defined as research conducted 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.

Overview of Sponsored Programs Expenditures

In Fiscal Year 2017, the University of Rochester expended in excess of \$363 million for sponsored activities, an increase of 3 percent from Fiscal Year 2016

Chart E

Sponsored Program Expenditures - Total University (Dollars in thousands)



Source: UR Financials

Table 7.1 and supporting tables provide a breakdown of expenditures by college, school or division

Table 7.1

Total Sponsored Program Expenditures by College/School/Company¹

School/Company	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017
Medical Center					
School of Medicine and Dentistry	\$227,471	\$208,384	\$206,321	\$214,612	\$217,228
School of Nursing	3,475	3,013	2,437	2,707	3,585
Hospitals and Clinics	228	784	161	273	418
Medical Center Administration ²	4,033	3,460	3,258	2,978	593
Total URMC	235,207	215,641	212,177	220,570	221,824
Arts & Sciences & Engineering					
Arts and Sciences	37,411	35,061	33,840	34,226	35,561
Hajim School of Engineering and Applied Sciences	20,078	17,707	17,745	17,690	18,696
Total AS & E	57,489	52,768	51,585	51,916	54,257
Laboratory for Laser Energetics					
67,754	61,948	66,372	67,157	72,942	
Other Schools and Companies					
Warner School of Education	2,120	2,844	3,056	2,631	2,979
Eastman Institute for Oral Health ³	0	0	0	1,325	2,620
Memorial Art Gallery	157	74	42	117	217
Simon School of Business	63	129	58	28	0
Eastman School of Music	560	455	494	542	552
University Other ⁴	11,665	10,431	8,577	7,176	8,272
Total Other	14,565	13,933	12,227	11,819	14,640
Total University	\$375,015	\$344,290	\$342,361	\$351,462	\$363,663

Source: UR Financials

¹Includes indirect costs

²Includes Medical Center Directors Office

³Previously reported under Medical Center Administration

⁴ Includes funding for undergraduate student financial aid and Central Administration offices

Table 7.2.1
Total Sponsored Program Expenditures - Arts & Sciences
By Cost Center

Arts and Sciences	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017
Dean's Office	\$651	\$616	\$211	\$614	\$531
Anthropology	0	0	0	0	39
Art & Art History	50	5	35	0	0
Biology	4,525	3,899	4,729	5,706	6,540
Brain & Cognitive Sciences	5,170	4,183	3,735	3,995	4,100
Chemistry	5,903	5,716	5,310	4,180	4,224
Clinical and Social Sciences in Psychology	7,052	6,675	6,509	5,877	4,789
Dance Program	0	0	0	0	4
Dean of Students	0	0	0	0	225
Earth and Environmental Sciences	1,138	1,230	1,711	2,053	2,383
English	122	27	51	84	46
Center for Entrepreneurship	0	0	4	71	0
History	0	0	0	4	17
Institute for Data Science	0	0	0	0	1,928
Kearns Center	744	787	797	559	581
Linguistics	111	73	26	25	92
Mathematics	512	507	371	490	310
McNair Program	278	289	242	203	191
Philosophy	8	0	0	0	0
Physics and Astronomy	7,073	5,747	5,636	5,833	6,078
Religion	0	0	0	1	24
Skalny Center for Polish/European Studies	47	44	39	60	63
Susan B Anthony Institute for Gender	3	1	9	1	0
Center for Visual Sciences	4,007	5,228	4,421	4,449	3,345
Wallis Institute of Political Economy	17	34	4	21	51
Subtotal A & S	\$37,411	\$35,061	\$33,840	\$34,226	\$35,561

Source: UR Financials

Note: Note: Due to the manner in which some FAO's have been set up in URF, some expenditures for the SMD cost centers that appear above and on the previous page are being reported in HSEAS due to the SMD investigator's collaboration on projects awarded to HSEAS investigators.

Table 7.2.2

Total Sponsored Program Expenditures - Engineering & Applied Sciences

By Department/Cost Center

Engineering & Applied Sciences	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017
Dean's Office Arts and Science	\$127	\$164	\$-9	\$0	\$473
Biomedical Engineering	1,740	2,321	2,075	2,571	2,818
Center for Emerging & Innovative Sciences	1,645	1,601	1,525	1,442	1,664
Center for Medical Technology Innovation	0	0	0	0	5
Chemical Engineering	1,856	1,263	761	788	494
Computer Science	3,008	2,534	2,646	2,874	2,553
Electrical & Computer Engineering	3,554	3,383	3,029	2,736	2,725
Institute for Data Science	0	0	63	791	51
Mechanical Engineering	2,335	2,193	2,520	1,075	732
Institute of Optics	5,813	4,248	5,135	5,413	6,947
Pathology and Lab Medicine	0	0	0	0	9
Imaging Sciences	0	0	0	0	8
Cancer Center Surgery	0	0	0	0	-9
Ophthalmology	0	0	0	0	-4
Orthopaedic Surgery	0	0	0	0	230
Subtotal HSEAS	\$20,078	\$17,707	\$17,745	\$17,690	\$18,696
Total AS & E	\$57,489	\$52,768	\$51,585	\$51,916	\$54,257

Source: UR Financials

Table 7.2.3
Total Sponsored Program Expenditures - School of Medicine and Dentistry
By Department/Cost Center

Medicine and Dentistry	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017
Dean for Research	\$133	\$15	\$28	\$309	\$0
Anesthesiology	2,340	2,067	2,134	2,640	2,552
Biochemistry and Biophysics	6,549	6,331	6,713	6,710	5,815
Biomedical Engineering	3,632	3,209	2,501	1,251	927
Biomedical Genetics	3,406	2,888	4,971	3,737	2,457
Biostatistics and Computational Biology	7,353	6,194	6,459	3,344	1,550
Cancer Center	10,679	6,868	5,865	5,985	8,206
Center for Community Health and Prevention (formerly Center for Community Health) ¹	0	0	0	0	2,273
Center for Human Experimental Therapeutics	10,139	8,467	7,783	10,438	11,646
Center for Experiential Learning	0	0	98	113	20
Center for Neural Development and Disease	3,680	3,813	3,834	3,686	3,851
Center for Pediatric Biomedical Research	3,567	3,221	2,550	2,309	2,287
Center for Neurovascular Brain Disease	78	0	0	0	0
Center for Translational Neuromedicine	5,596	5,824	7,173	6,846	6,746
Center for Oral Biology	3,145	2,974	2,518	2,384	2,139
Center for Vaccine Biology	6,851	7,752	9,638	10,926	10,917
Clinical Dentistry	0	0	0	223	66
Clinical Translational Science Institute	5,395	5,336	5,383	5,636	7,400
Development Center for AIDS Research	1,419	1,616	1,666	1,767	1,545
Dermatology	2,315	2,461	2,354	1,864	1,225
Eastman Institute for Oral Health ²	1,888	1,095	1,101	0	0
Emergency Medicine	1,653	1,988	1,429	1,122	1,168
Environmental Medicine	8,306	8,390	10,366	8,860	9,399
Family Medicine	2,398	2,348	2,698	2,398	2,323
Imaging Sciences	769	662	506	352	308
Medicine	38,409	34,914	33,065	34,763	34,647

(Continued on next page)

¹Prior to FY 2017, expenditures for the Center for Community Health and Prevention were reported under Medical Center Administration

²Expenditures for the Community Dentistry Outreach Programs of the Eastman Institute for Oral Health were previously reported under Medical Center Administration

Medicine and Dentistry cont'd	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017
Microbiology and Immunology	8,383	5,135	5,663	6,865	8,563
Neurobiology and Anatomy	4,632	3,709	3,721	4,344	4,581
Neurology	12,124	11,455	12,101	14,844	12,919
Neurosurgery	718	483	666	255	275
Obstetrics and Gynecology	2,985	1,799	1,566	2,467	2,969
Ophthalmology	4,015	3,836	4,199	4,208	3,985
Orthopaedics	6,842	6,716	4,305	5,747	5,782
Otolaryngology	900	343	604	462	664
Pathology	3,482	2,894	3,069	3,283	3,465
Pediatrics	23,847	22,784	21,894	22,296	21,342
Pharmacology and Physiology	8,389	6,640	6,293	7,291	6,210
Physical Medicine and Rehab	17	5	23	21	41
Psychiatry	9,113	9,895	10,171	10,961	12,840
Radiation Oncology	3,550	4,099	1,197	872	394
Public Health Sciences (formerly Department of Community and Preventive Medicine)	5,509	4,808	3,978	3,915	4,333
Surgery	1,827	4,166	4,963	7,955	8,591
Urology	751	563	442	390	397
SMD Other ²	687	621	630	773	410
Total SMD	\$227,471	\$208,384	\$206,321	\$214,612	\$217,228

Source: UR Financials

²Includes Medical Student Financial Affairs Office and Offices for Medical Education

Table 7.2.4

Total Sponsored Program Expenditures - School of Medicine and Dentistry

Department of Medicine by Unit/Cost Center

Cost Center	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017
General Medicine	-14	\$164	\$148	\$286	52
New Medicine Unit/Cost Center in UR Financials	0	0	1,039	832	5
Infectious Diseases	14,680	12,830	10,227	11,338	11,773
Pulmonary/Critical Care	2,682	2,497	3,309	3,509	2,970
Cardiology (Heart and Vascular)	6,824	6,312	6,921	8,854	7,657
Endocrinology	1,013	776	668	449	828
Gastroenterology	374	291	339	390	256
Heart Research Follow Up Program	0	0	0	43	1,333
Hematology/Oncology	0	0	0	86	177
Nephrology	1,930	1,598	1,719	1,276	1,454
Immunology	2,855	2,187	2,013	1,482	1,550
Monroe Community Hospital	1,026	974	1,007	855	825
Primary Care	4	0	0	0	0
Highland Hospital	404	448	339	231	235
Palliative Care	68	196	100	124	173
Aab Cardiovascular Research Institute	6,563	6,641	5,236	5,008	5,360
Total Department of Medicine	\$38,409	\$34,914	\$33,065	\$34,763	\$34,647

Source: UR Financials

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, sometimes referred to as indirect costs. F&A costs cover expenses associated with conducting sponsored program activities such as utilities, building maintenance, etc. Table 8 and Table 8.1 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. F&A recovery is subject to variation by sponsor as well as to changes in the university's federally negotiated rate, types of direct costs supported by sponsors, (e.g., salaries vs. equipment), amounts subcontracted to other institutions, and cost allowability as determined by federal regulations and audit practices.

Table 8
Direct Cost Expenditures

College/Company	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017
<u>Medical Center</u>					
Medicine & Dentistry	\$171,312	\$156,680	\$155,790	\$164,535	\$164,531
Nursing	2,918	2,463	1,977	2,256	2,975
Hospitals and Clinics	202	796	1,043	860	409
Medical Center Administration	3,724	3,185	2,915	1,890	503
<u>Arts, Sciences and Engineering</u>					
Arts and Science	29,060	27,118	25,955	27,022	27,707
Hajim School of Engineering & Applied Sciences	15,427	13,570	13,586	12,909	14,483
<u>Other Schools and Companies</u>					
Laboratory for Laser Energetics	53,212	46,667	51,279	51,752	55,473
Eastman Institute for Oral Health ¹	0	0	0	990	1,915
Warner School of Education	1,906	2,571	2,856	2,404	2,724
Simon School of Business	40	96	38	28	0
Eastman School of Music	557	455	494	540	549
Memorial Art Gallery	157	74	42	117	217
University Other	11,663	10,435	8,584	7,299	8,157
Total University Direct Costs	\$290,178	\$264,110	\$264,559	\$272,602	\$279,644

Source: UR Financials

¹Previously reported under Medical Center Administration

Table 8.1
Facilities & Administrative Costs Recovery

College/Company	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017
<u>Medical Center</u>					
Medicine & Dentistry	\$56,160	\$51,700	\$49,641	\$50,284	\$52,698
Nursing	557	550	461	451	609
Hospitals and Clinics	26	-12	8	10	9
Medical Center Administration	312	275	341	284	90
<u>Arts, Sciences and Engineering</u>					
Arts and Sciences	8,351	7,943	7,897	7,835	7,854
Hajim School of Engineering & Applied Sciences	4,651	4,137	4,139	3,990	4,212
<u>Other Schools and Companies</u>					
Laboratory for Laser Energetics	14,541	15,281	15,093	15,405	17,469
Eastman Institute for Oral Health ¹	0	0	0	335	705
Warner School of Education	214	249	200	227	256
Simon School of Business	22	33	20	0	0
Eastman School of Music	3	0	0	2	3
Memorial Art Gallery	0	0	0	0	0
University Other	0	0	2	37	44
Total University F&A Costs	\$84,837	\$80,180	\$77,802	\$78,860	\$84,019

Source: UR Financials

¹Previously reported under Medical Center Administration

While the federal government is the primary source of sponsored program funding, the University receives project support from many other sponsors. The chart below and accompanying Table 9 and 9.1 indicate the total University expenditures by type of funding agency.

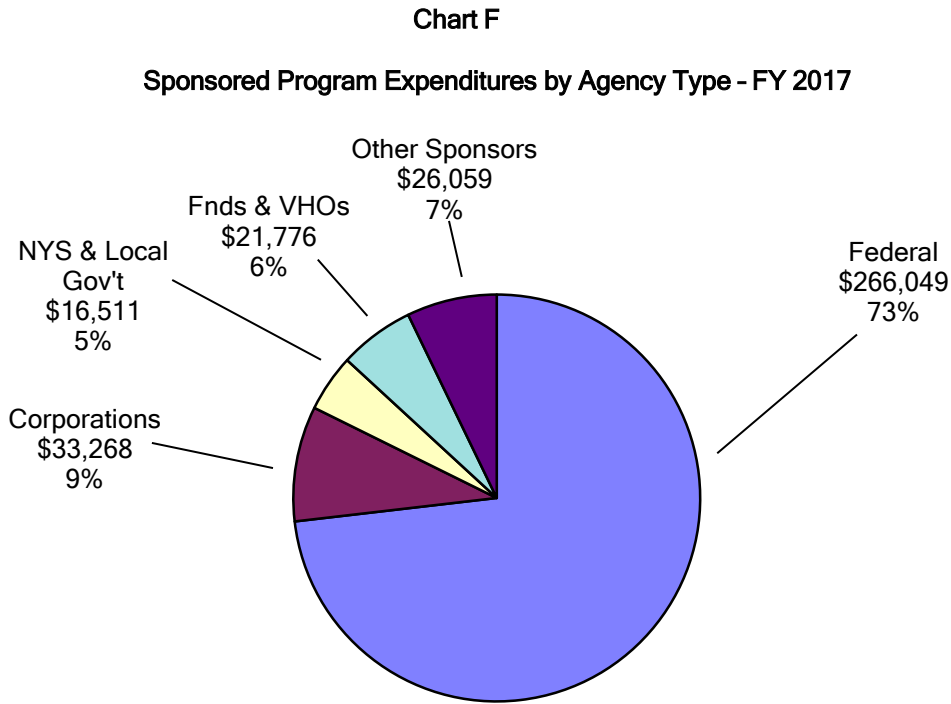


Table 9
Sponsored Program Expenditures by Agency Type

Agency Type	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017
Federal	\$293,150	\$264,610	\$257,368	\$265,989	\$266,049
Corporations	19,928	17,651	25,912	29,499	33,268
NY State & Local Government	20,684	17,433	17,730	15,026	16,511
Foundations & Voluntary Health Organizations	11,935	12,904	23,101	23,025	21,776
Other Sponsors ¹	29,318	31,692	18,250	17,923	26,059
TOTAL	\$375,015	\$344,290	\$342,361	\$351,462	\$363,663

Source: UR Financials

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 9.1
Sponsored Program Expenditures by Federal Agency

Federal Agency	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017
Health and Human Services (includes NIH)	\$186,641	\$168,693	\$158,799	\$164,634	\$160,155
Department of Energy	73,013	65,400	67,852	67,307	72,924
Department of Defense	7,211	4,384	5,544	4,614	5,116
National Science Foundation	14,483	14,856	13,299	15,194	14,624
Department of Education	9,298	8,720	9,299	9,737	10,902
National Aeronautics and Space Administration	1,062	1,214	1,810	1,719	1,752
NEA/NEH ¹	191	111	0	0	0
Other Federal Sponsors ²	1,251	1,232	765	2,784	576
TOTAL	\$293,150	\$264,610	\$257,368	\$265,989	\$266,049

Source: UR Financials

¹National Endowment for the Arts /National Endowment for the Humanities

²NEAH is now included under Other Federal Sponsors in the UR Financials system

The chart below and its supporting Table 10 indicate the expenditure of funds by major cost element.

Chart G

Sponsored Program Expenditures by Cost Element

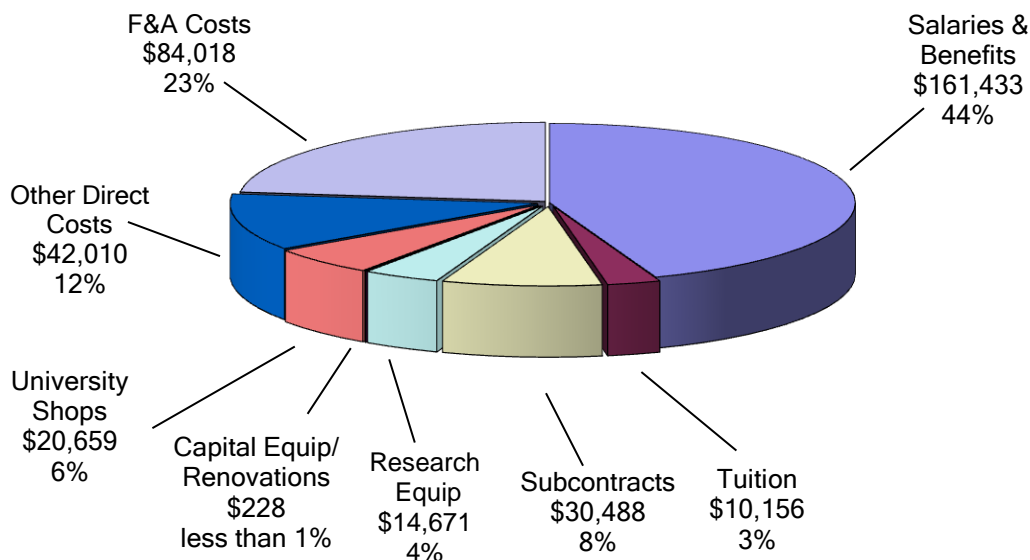


Table 10

Sponsored Program Expenditures by Cost Element

Cost Element	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017
Salaries & Benefits	\$167,001	\$159,333	\$156,746	\$156,985	161,433
Tuition	9,571	9,784	10,051	9,878	10,156
Subcontracts	28,941	23,710	23,989	32,784	30,488
Research Equipment	19,175	12,827	13,971	11,306	14,671
Capital Equipment/Renovations	3,123	174	874	256	228
University Shops	12,519	12,256	15,376	19,797	20,659
Other Direct Costs ¹	49,848	46,026	43,552	41,596	42,010
Total Direct Costs	290,178	264,110	264,559	272,602	279,645
Facilities & Administrative Costs	84,837	80,180	77,802	78,860	84,018
TOTAL	\$375,015	\$344,290	\$342,361	\$351,462	\$363,663

Source: UR Financials

¹"Other Direct Costs" includes adjustment made for "Other Expense Credits" category, which represents transfers and other adjustments in Financial Accounting Objects (FAOs)

The University's Ranking Among Its Peers

Note: FY 2016 is the latest data available online at the time of this printing.

FY 2017 data will not be available until March 2018.

By Federally Financed Research and Development Expenditures		
1	Johns Hopkins University	\$2,104,653
2	University of Washington	946,787
3	University of Michigan	786,749
4	Stanford University	694,693
5	University of Pennsylvania	655,791
6	University of North Carolina at Chapel Hill	632,426
7	University of California, San Diego	604,298
8	University of California, San Francisco	602,705
9	Columbia University	600,457
10	University of Pittsburgh	580,650
11	Duke University	575,521
12	Georgia Institute of Technology	568,430
13	University of Wisconsin at Madison	567,132
14	Harvard University	558,611
15	Pennsylvania State University	538,938
16	Massachusetts Institute of Technology	503,858
17	Yale University	503,221
18	University of California, Los Angeles	487,869
19	University of Minnesota	469,260
20	Ohio State University	454,834
21	Washington University at St. Louis	442,335
22	Northwestern University	432,413
23	Cornell University	430,987
24	University of Southern California	409,516
25	Vanderbilt University	405,589
26	University of Colorado, Boulder	371,995
27	University of Maryland, College Park	369,285
28	Emory University	361,288
29	University of Texas, Austin	357,309
30	New York University	350,355

By Federally Financed Research and Development Expenditures		
31	University of Alabama, Birmingham	348,632
32	Icahn School of Medicine at Mt. Sinai	342,104
33	University of California, Berkeley	341,807
34	University of California, Davis	339,209
35	University of Illinois, Urbana-Champaign	335,056
36	Rutgers University	321,432
37	Case Western University	321,214
38	Michigan State University	304,437
39	University of Florida	307,140
40	University of Colorado, Denver	298,960
41	University of Chicago	297,953
42	Texas A&M University	293,551
43	Baylor College of Medicine	267,849
44	University of Rochester	266,322

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

Source: Table 19, Federally financed higher education R&D expenditures

National Science Foundation/National Center for Science and Engineering Statistics, Higher Education Research and Development Survey

The University's Ranking In New York State among Public and Private Institutions

Note: FY 2016 is the latest data available online at the time of this printing.

FY 2017 data will not be available until March 2018.

By Federally Financed Research and Development Expenditures		FY 2015
1	Columbia University	\$600,457
2	Cornell University	430,987
3	New York University	350,355
4	Icahn School of Medicine at Mt. Sinai	342,104
5	University of Rochester	266,322

The University also has several departments ranked in the top 10 in FY 2016 NIH funding¹

Top 10 Departments in NIH Funding FY 2015 - 2016

	FY 2015	FY 2016
Department of Orthopaedics	3	2
Public Health Sciences	6	4
Department of Neurology	9	10

In addition, UR School of Medicine and Dentistry ranked 41st in NIH funding to medical schools, and the School of Nursing moved up from 25th to 19th place in the ranking of Schools of Nursing

¹This is the latest data available from this source

Source: Blue Ridge Institute for Medical Research

Outlook for FY 2018

The House and Senate passed another continuing resolution on December 7th that will fund the Federal government until December 22, averting a government shutdown for now. Just like the previous CR that would have expired on December 8th, the CR bill funds federal agencies and programs at essentially FY 2017 funding levels. Many observers predict that a third CR extending 2017 funding levels into FY2018 will be necessary before the final budget can be implemented. One of the major sticking points is the demand by the Democratic Party for any boost in the Department of Defense budget to be matched in the non-defense budget dollar for dollar.

The problem is the spending caps set forth in the Budget Control Act of 2011 for FY2018 are lower than those established for FY2017. Accordingly, just extending the FY2017 funding levels into next year would, all else being equal, force a sequestration of \$4.8 billion. This potential sequester will have to be addressed by either reducing the funding in the CR or amending the BCA spending caps.

The CR makes it clear that federal agencies cannot start new programs or projects, but also cannot terminate or withhold funds for any programs or projects previously funded. The House passed an FY 2018 omnibus spending package on September 14, 2017, which contains all 12 annual funding bills approved by the House Appropriations Committee. However, the package can't pass as is because the amount it contains for defense spending exceeds the spending caps imposed by the BCA. The Senate has yet to finish work on any of its 12 spending bills. Discretionary spending accounts for just about all science and technology funding in the federal budget.

The Department of Defense remains by far the largest contributor to federal R&D. Research funding for the DOD science & technology budget, which includes basic and applied research and advanced technology development, would receive a cut under both the House and Senate bills.

The second largest supporter of R&D and the world's largest funder of basic biomedical research is the National Institutes of Health (NIH) within the Department of Health and Human Services (DHHS). NIH accounts for more than 95% of total HHS R&D funding. Although the President's base budget had sought billion-dollar cuts to NIH and NASA as well as a deep cut to DOD basic research, Congress has resoundingly turned down the NIH and NASA cuts and partially turned down the DOD research cuts. NIH has stood out as a significant recipient of Congressional largesse in the FY 2018 appropriations; the agency has received a \$1 billion increase in the House and a proposed \$2 billion increase in the Senate. The same is not true for the National Science Foundation (NSF); its budget would decrease by a total of \$819 million overall, or 11 percent below last year's omnibus, and STEM programs funding would be reduced by \$119 million or 13.6 percent below last year's enacted level. The Office of Science within DOE, which provides most of the funding for basic research, would see flat funding under the House bill and a 2.9 percent increase in the Senate bill. Congress has rejected the president's proposed cuts to the National Aeronautics and Space Administration (NASA) budget, although under both chambers the budget would remain essentially flat. The Environmental Protection Agency (EPA) would see some of the deepest cuts in funding under both bills. The total estimated EPA Science and Technology (S&T) budget would fall by 12.6 percent in the House bill and 11.2 percent in the Senate bill. The Department of Homeland Security (DHS) would receive cuts under both Congressional bills, although the Senate bill would fund core research activities at substantially higher levels than the House bill and the administration's request. Within the Department of Commerce, the National Oceanic and Atmospheric Administration (NOAA) budget would remain flat under the Senate proposal and see a 7.7 percent reduction in the House bill, while the National Institute for Standards and Technology (NIST) would receive a 9.1 percent reduction in the House bill and remain flat in the Senate bill.

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