
**OFFICE OF RESEARCH AND PROJECT
ADMINISTRATION**

**ANNUAL REPORT OF
SPONSORED PROGRAM ACTIVITIES
FISCAL YEAR 2018**



Introduction

We are pleased to present the Office of Research and Project Administration (ORPA) Annual Report for Fiscal Year 2018 ending June 30th, 2018, 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 **1,767** new, continuation, supplemental, and renewal proposals were submitted in FY 2018 and **1,891** awards were received for sponsored program funding.

NOTE: All dollars throughout this report are in thousands

Chart A

Dollar Value of Proposals Submitted - FY 2018

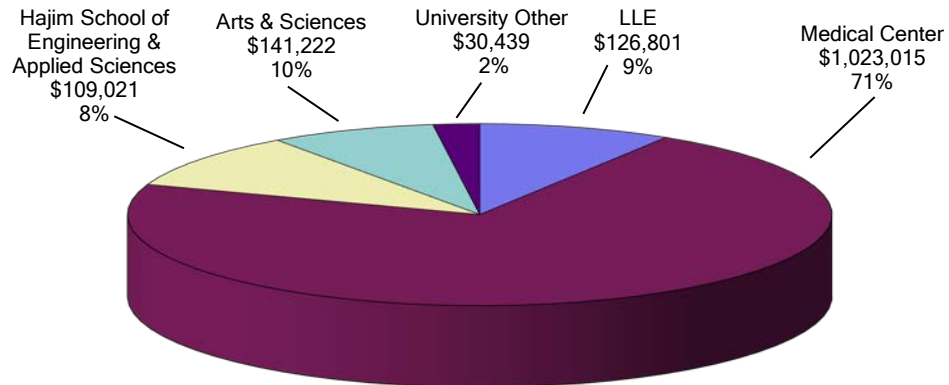
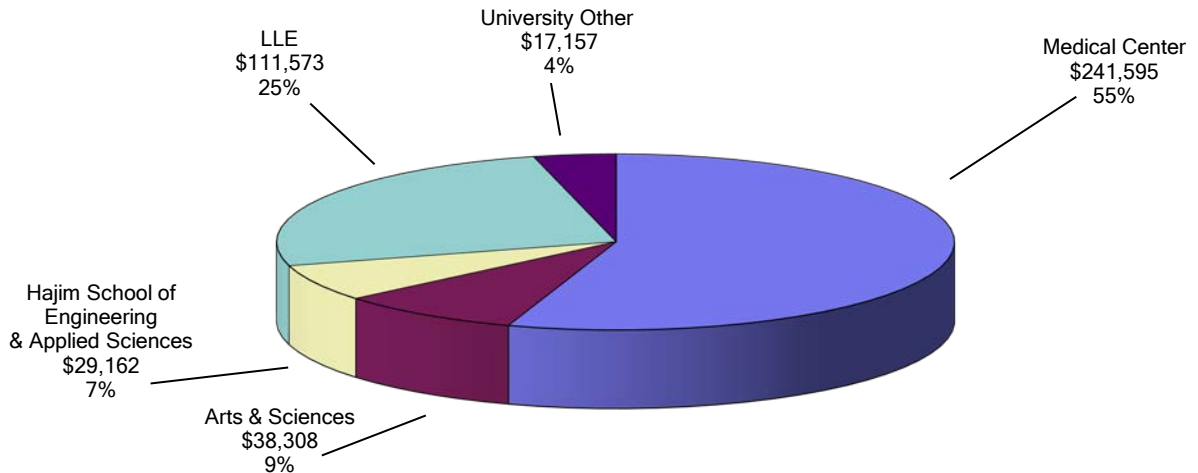


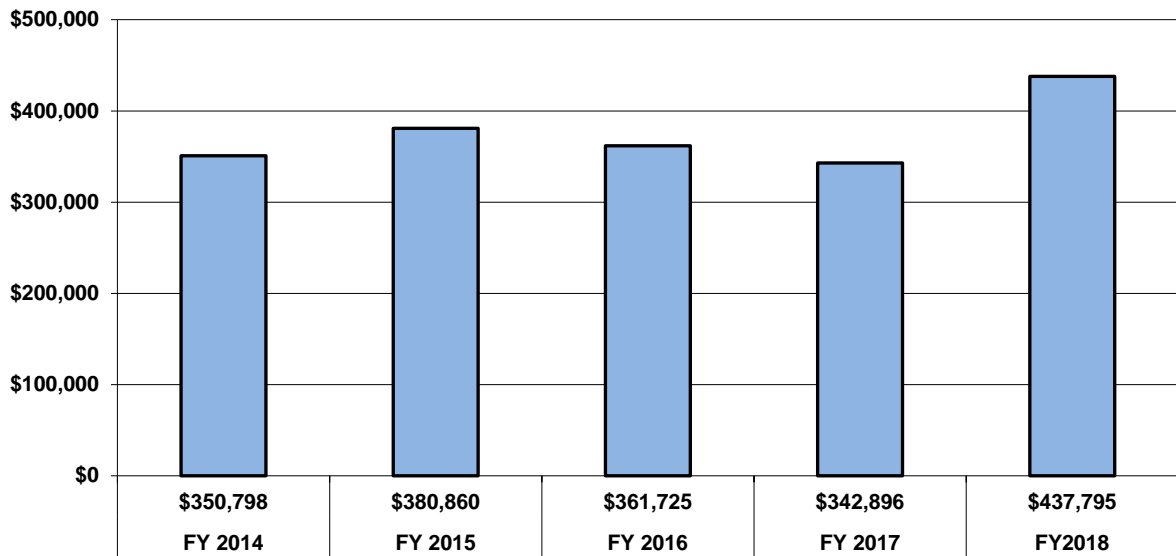
Chart B

Awards Dollars Received - FY 2018



Please note: The 2018 proposal and award figures shown on pages 3 - 11 of this report were current as of 11/28/18 and may be subject to change as necessary.

Chart C
Award Dollars Received During Last Five Fiscal Years



Note: Incremental DOE funds in the amount of \$32.78 million for LLE designated for FY 2017 was received in FY 2018, which accounts for some of the increase in FY 2018 award dollars.

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 2018, 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 2014	FY 2015	FY 2016	FY 2017	FY 2018
Medical Center					
Medicine and Dentistry	\$966,198	\$921,265	\$898,720	\$920,906	\$990,421
Nursing	21,432	18,918	18,713	13,572	30,581
Hospitals and Clinics	234	416	235	250	363
Medical Center Administration	11,010	11,540	6,122	506	1,650
Subtotal URMC	998,874	952,139	923,790	935,234	1,023,015
Arts, Sciences and Engineering					
Arts and Sciences	146,254	184,912	126,415	102,569	141,222
Hajim School of Engineering & Applied Sciences	64,277	184,137	89,638	135,924	109,021
Subtotal for AS&E	210,531	369,049	216,053	238,493	250,243
Laboratory for Laser Energetics	75,117	4,307	75,040	375,764	126,801
Other Schools and Companies					
Eastman Institute for Oral Health	0	0	4,783	3,110	15,387
Warner School of Education	10,624	6,902	5,682	2,180	6,983
Memorial Art Gallery	212	18	119	787	364
Simon School of Business	0	0	50	300	0
Eastman School of Music	14	14	68	0	678
University Other	1,140	6,798	5,673	3,094	7,025
Subtotal Other	11,990	13,732	16,374	9,471	30,437
Total University	\$1,296,512	\$1,339,227	\$1,231,257	\$1,558,962	\$1,430,496
Number of Proposals Submitted	1,926	1,943	1,937	1,686¹	1,767

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 2014	FY 2015	FY 2016	FY 2017	FY 2018
Medical Center					
Medicine and Dentistry	\$223,658	\$229,151	\$224,822	\$227,728	\$236,254
Nursing	1,132	2,890	3,854	3,245	5,083
Hospitals and Clinics	142	463	264	115	299
Medical Center Administration	3,997	3,771	3,425	1,661	-41
Subtotal URMC	228,929	236,275	232,365	232,749	241,595
Arts, Sciences and Engineering					
Arts and Sciences	35,599	30,452	31,006	36,616	38,308
Hajim School of Engineering & Applied Sciences	15,915	18,505	22,327	22,290	29,162
Subtotal AS & E	51,514	48,957	\$53,333	58,906	67,470
Laboratory for Laser Energetics	67,572	88,383	68,000	43,231	111,573
Other Schools and Companies					
Eastman Institute for Oral Health	0	0	2,061	2,240	3,243
Warner School of Education	1,959	1,272	3,770	2,740	4,922
Memorial Art Gallery	0	29	119	287	70
Simon School of Business	35	-196	50	0	100
Eastman School of Music	0	0	39	0	23
University Other	789	6,140	1,987	2,744	8,799
Subtotal Other	2,783	7,245	8,027	8,010	17,157
Total University	\$350,798	\$380,860	\$361,725	\$342,896	\$437,795
Number of Awards Received	1,754	1,854	1,898	1,859	1,891

Source: UR-Coeus Sponsored Programs Management Database

Notes for Tables 1 and 2:

- In Table 1, amounts requested include the entire project period of the proposal for new or competing renewal proposals and may fluctuate due to large program requests
- 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
- Number of Awards Received includes continuation awards

Chart D

Awards - Sponsored Program Funding by Agency Type - FY 2018

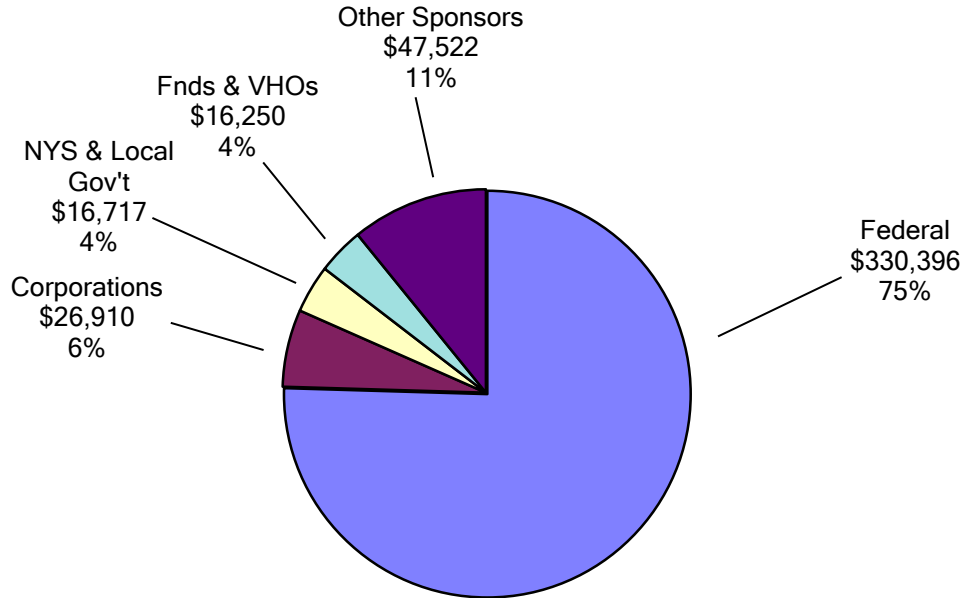


Table 3
Sponsored Program Funding by Agency Type

Agency Type	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Federal	\$260,179	\$280,190	\$262,043	\$241,709	\$330,396
Corporations	20,911	30,228	26,520	26,812	26,910
NY State & Local Government	15,759	15,409	22,676	17,417	16,717
Foundations & Voluntary Health Organizations	15,942	14,188	14,454	14,987	16,250
Other Sponsors ¹	38,007	40,845	36,032	41,971	47,522
TOTAL	\$350,798	\$380,860	\$361,725	\$342,896	\$437,795

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 2014	FY 2015	FY 2016	FY 2017	FY 2018
Health and Human Services (excluding NIH)	\$12,886	\$11,452	\$10,008	\$11,110	\$9,323
NIH	158,615	157,784	156,263	151,243	169,793
Total Health and Human Services	171,501	169,236	166,271	162,353	179,116
Department of Energy	68,205	86,299	69,443	47,074	113,306
Department of Defense	4,897	4,329	4,581	8,380	7,995
National Science Foundation	11,922	16,360	17,354	17,970	24,389
Department of Education	1,834	2,248	2,429	3,775	3,472
National Aeronautics and Space Administration	1,449	1,361	1,222	1,778	1,203
NEA/NEH ¹	-5	60	289	89	174
Other Federal Sponsors	376	297	454	290	741
TOTAL	\$260,179	\$280,190	\$262,043	\$241,709	\$330,396

Source: UR-Coeus Sponsored Programs Management Database

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

Note: Note: Incremental DOE funds in the amount of \$32.78 million for LLE designated for FY 2017 was received in FY 2018, which accounts for some of the increase in FY 2018 award dollars.

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 2018

Sponsor	Number of Awards	Total \$\$ Awarded
National Institutes of Health	408	\$169,792,617
Department of Energy	19	\$111,895,333
National Science Foundation	102	\$24,389,405
New York State	56	\$12,790,822
SUNY Research Foundation	2	\$9,714,855
Department of Defense	28	\$7,995,209
Centers for Disease Control and Prevention	4	\$3,732,045
Monroe County	8	\$3,547,782
U.S Department of Education	12	\$3,471,883
Huntington Study Group	3	\$3,146,480
Health Research Services Administration	12	\$3,012,832
Bill & Melinda Gates Foundation	2	\$2,260,535
Boston Scientific Corporation	6	\$2,067,680
Health Research Inc.	14	\$1,987,873
Fred Hutchinson Cancer Research Center	8	\$1,681,725
CEA France	1	\$1,657,215
Teva Pharmaceuticals	5	\$1,583,237
CHDI Foundation	2	\$1,504,877
Pfizer	18	\$1,409,681
SAMHSA	2	\$1,318,276
Patient-Centered Outcome Research Institute	4	\$1,284,079
Burroughs Wellcome Fund	6	\$1,236,000
NASA	9	\$1,203,022
The Michael J. Fox Foundation for Parkinson's Disease	12	\$1,085,323
UC San Diego	4	\$1,056,858
NYSTAR	1	\$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 2018 that were active at any point during FY 2018. This table does not include funding for undergraduate financial aid.

Table 5
Summary of Projects Active at any Point in FY 2018
by College/School/Company

College/School/Company	Number of Active Projects
Medical Center	
Medicine & Dentistry	1,831
Nursing	27
Strong Memorial Hospital	5
Medical Center Administration	12
Arts, Sciences, and Engineering	
Arts & Sciences	318
Hajim School of Engineering and Applied Sciences	212
Other Schools and Companies	
Laboratory for Laser Energetics	16
Eastman Institute for Oral Health ¹	18
Warner School of Education	23
Memorial Art Gallery	8
Simon School of Business	1
Eastman School of Music	4
River Campus General	15
University General	4
Total Active Projects	2,494

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 2014	FY 2015	FY 2016	FY 2017	FY 2018
Research ¹	\$292,990	\$318,520	\$294,521	\$284,921	363,951
Fellowships & Training	27,881	28,847	30,458	25,067	29,808
Clinical Drug Trials	13,478	13,757	13,433	12,801	13,171
Libraries & Museums	126	249	387	356	509
Conference & Travel	235	315	458	328	414
Equipment	353	899	1,644	754	10,885
Miscellaneous Activities	15,735	18,273	20,824	18,669	19,057
Total	\$350,798	\$380,860	\$361,725	\$342,896	\$437,795

Source: UR-Coeus Sponsored Programs Management Database

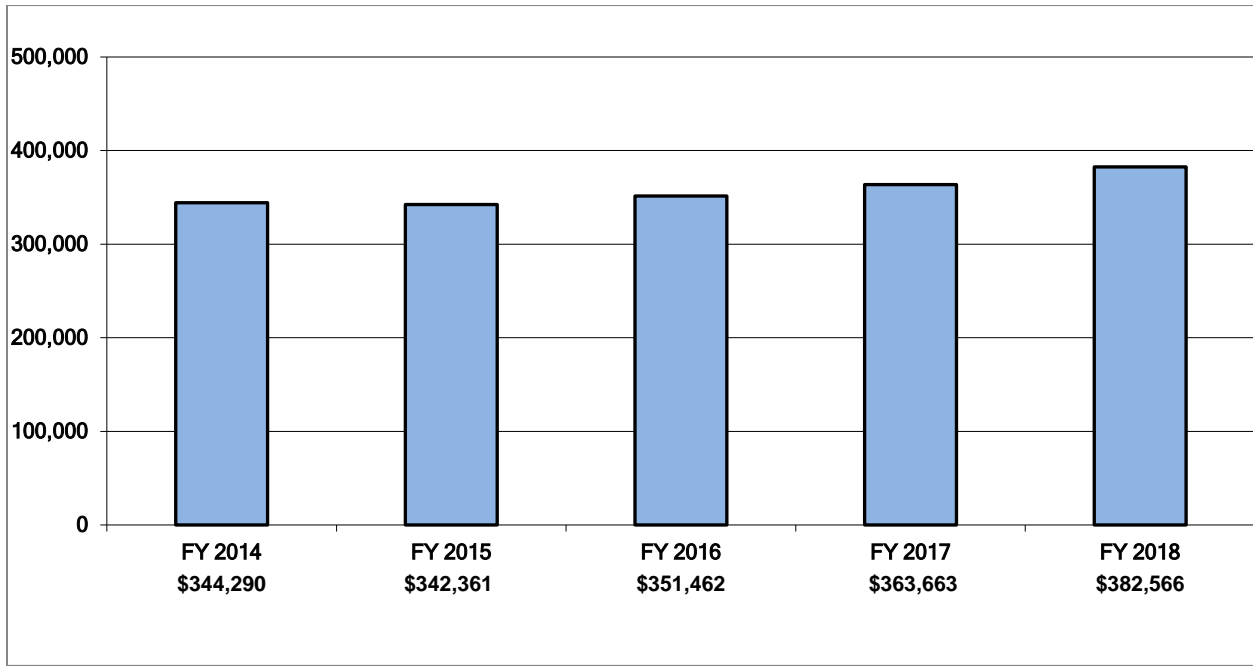
¹The Medical Center accounts for 55% of all externally sponsored research funding. Of that amount, roughly half is related to clinical research, according to the Clinical Research Resource Inventory, a survey of principal investigators at the Medical Center. Clinical research is defined as research conducted 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 2018, the University of Rochester expended in excess of \$382 million for sponsored activities, an increase of 3 percent from Fiscal Year 2017.

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 2014	FY 2015	FY 2016	FY 2017	FY 2018
Medical Center					
School of Medicine and Dentistry	\$208,384	\$206,321	\$214,612	\$217,228	\$221,516
School of Nursing	3,013	2,437	2,707	3,585	3,997
Hospitals and Clinics	784	161	273	418	312
Medical Center Administration ²	3,460	3,258	2,978	593	2,013
Total URMC	215,641	212,177	220,570	221,824	227,838
Arts & Sciences & Engineering					
Arts and Sciences	35,061	33,840	34,226	35,561	36,404
Hajim School of Engineering and Applied Sciences	17,707	17,745	17,690	18,696	26,956
Total AS & E	52,768	51,585	51,916	54,257	63,360
Laboratory for Laser Energetics					
	61,948	66,372	67,157	72,942	75,817
Other Schools and Companies					
Warner School of Education	2,844	3,056	2,631	2,979	2,575
Eastman Institute for Oral Health ³	0	0	1,325	2,620	2,809
Memorial Art Gallery	74	42	117	217	255
Simon School of Business	129	58	28	0	48
Eastman School of Music	455	494	542	552	537
University Other ⁴	10,431	8,577	7,176	8,272	9,327
Total Other	13,933	12,227	11,819	14,640	15,551
Total University	\$344,290	\$342,361	\$351,462	\$363,663	382,566

Source: UR Financials

²Includes Directors Office, UR Medical Faculty Group, Miner Library, Medical Center Finance, and some of Center for Community Health and Prevention grants

³Previously reported under Medical Center Administration

⁴Includes 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 2014	FY 2015	FY 2016	FY 2017	FY 2018
Dean's Office	\$616	\$211	\$614	\$531	\$550
Anthropology	0	0	0	39	28
Art and Art History	5	35	0	0	0
Biology	3,899	4,729	5,706	6,540	7,650
Brain & Cognitive Sciences	4,183	3,735	3,995	4,100	3,192
Chemistry	5,716	5,310	4,180	4,224	4,158
Clinical and Social Sciences in Psychology	6,675	6,509	5,877	4,789	5,803
Dance Program	0	0	0	4	0
Dean of Students	0	0	0	225	30
Earth and Environmental Sciences	1,230	1,711	2,053	2,383	2,347
English	27	51	84	46	45
Ain Center for Entrepreneurship	0	4	71	0	0
History	0	0	4	17	49
Institute for Data Science	0	0	0	1,928	1,439
Kearns Center	787	797	559	581	43
Linguistics	73	26	25	92	24
Mathematics	507	371	490	310	362
McNair Program	289	242	203	191	223
Modern Languages and Culture	0	0	0	0	2
Physics and Astronomy	5,747	5,636	5,833	6,078	6,773
Religion	0	0	1	24	162
Skalny Center for Polish/European Studies	44	39	60	63	61
Susan B Anthony Institute for Gender	1	9	1	0	0
Center for Visual Sciences	5,228	4,421	4,449	3,345	3,336
Wallis Institute of Political Economy	34	4	21	51	127
Subtotal A & S	\$35,061	\$33,840	\$34,226	\$35,561	\$36,404

Source: UR Financials

Table 7.2.2
Total Sponsored Program Expenditures - Engineering & Applied Sciences
By Department/Cost Center

Engineering & Applied Sciences	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Dean's Office Arts and Science	\$164	\$-9	\$0	\$473	\$471
Dean's Office HSEAS				0	4,262
Biomedical Engineering	2,321	2,075	2,571	2,818	3,693
Center for Emerging & Innovative Sciences	1,601	1,525	1,442	1,664	1,463
Center for Medical Technology Innovation	0	0	0	5	0
Chemical Engineering	1,263	761	788	494	519
Computer Science	2,534	2,646	2,874	2,553	3,015
Electrical & Computer Engineering	3,383	3,029	2,736	2,725	3,708
Institute for Data Science	0	63	791	51	84
Mechanical Engineering	2,193	2,520	1,075	732	1,125
Institute of Optics	4,248	5,135	5,413	6,947	8,400
Pathology and Lab Medicine	0	0	0	9	13
Imaging Sciences	0	0	0	8	10
Surgery	0	0	0	-9	0
Ophthalmology	0	0	0	-4	0
Orthopaedics	0	0	0	230	193
Subtotal HSEAS	\$17,707	\$17,745	\$17,690	\$18,696	\$26,956
Total AS & E	\$52,768	\$51,585	\$51,916	\$54,257	\$63,360

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 are being reported in HSEAS due to the SMD investigator's collaboration on projects awarded to HSEAS investigators.

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

Medicine and Dentistry	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Dean for Research	\$15	\$28	\$309	\$0	\$0
Anesthesiology	2,067	2,134	2,640	2,552	2,765
Biochemistry and Biophysics	6,331	6,713	6,710	5,815	5,299
Biomedical Engineering	3,209	2,501	1,251	927	1,180
Biomedical Genetics	2,888	4,971	3,737	2,457	3,057
Biostatistics and Computational Biology	6,194	6,459	3,344	1,550	1,115
Brain and Cognitive Sciences	0	0	0	0	11
Cancer Center	6,868	5,865	5,985	8,206	7,261
Center for Community Health and Prevention (formerly Center for Community Health) ¹	0	0	0	2,273	2,606
Center for Human Experimental Therapeutics	8,467	7,783	10,438	11,646	10,361
Center for Experiential Learning	0	98	113	20	3
Center for Neural Development and Disease	3,813	3,834	3,686	3,851	3,447
Center for Oral Biology	2,974	2,158	2,384	2,139	1,800
Center for Pediatric Biomedical Research	3,221	2,550	2,309	2,287	1,893
Center for Translational Neuromedicine	5,824	7,173	6,846	6,746	7,162
Center for Vaccine Biology	7,752	9,638	10,926	10,917	11,463
Center for Visual Science	0	0	0	0	54
Clinical Dentistry	0	0	223	66	-22
Clinical and Translational Science Institute	5,336	5,383	5,636	7,400	9,471
Development Center for AIDS Research	1,616	1,666	1,767	1,545	1,694
Dermatology	2,461	2,354	1,864	1,225	1,999
Eastman Institute for Oral Health ²	1,095	1,101	0	0	0
Emergency Medicine	1,988	1,429	1,122	1,168	1,165
Environmental Medicine	8,390	10,366	8,860	9,399	10,037
Family Medicine	2,348	2,698	2,398	2,323	1,163
Imaging Sciences	662	506	352	308	194
Medicine	34,914	33,065	34,763	34,647	33,348

(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

Note: Due to the manner in which expenditures are reported in UR Financials, some cost centers may appear in more than one division

Medicine and Dentistry cont'd	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Microbiology and Immunology	5,135	5,663	6,865	8,563	8,109
Neurobiology and Anatomy	3,709	3,721	4,344	4,581	6,549
Neurology	11,455	12,101	14,844	12,919	13,375
Delmonte Neuromedicine Institute	0	0	0	0	26
Neurosurgery	483	666	255	275	317
Obstetrics and Gynecology	1,799	1,566	2,467	2,969	2,928
Ophthalmology	3,836	4,199	4,208	3,985	5,299
Orthopaedics	6,716	4,305	5,747	5,782	6,512
Otolaryngology	343	604	462	664	757
Pathology and Lab Medicine	2,894	3,069	3,283	3,465	2,836
Pediatrics	22,784	21,894	22,296	21,342	21,173
Pharmacology and Physiology	6,640	6,293	7,291	6,210	6,141
Physical Medicine and Rehab	5	23	21	41	11
Psychiatry	9,895	10,171	10,961	12,840	15,530
Radiation Oncology	4,099	1,197	872	394	551
Public Health Sciences (formerly Department of Community and Preventive Medicine)	4,808	3,978	3,915	4,333	3,880
Surgery	4,166	4,963	7,955	8,591	8,093
Urology	563	442	390	397	494
SMD Other ²	621	630	773	410	409
Total SMD	\$208,384	\$206,321	\$214,612	\$217,228	\$221,516

Source: UR Financials

²Includes Medical Student Financial Affairs Office, Offices for Medical Education and Medical Center Finance Office

Table 7.2.4
Total Sponsored Program Expenditures - School of Medicine and Dentistry
Department of Medicine by Unit/Cost Center

Cost Center	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Aab Cardiovascular Research Institute	6,641	5,236	5,008	5,360	5,752
Cardiology (Heart and Vascular)	6,312	6,921	8,854	7,657	3,010
Endocrinology	776	668	449	828	566
Gastroenterology	291	339	390	256	317
General Medicine	164	148	286	52	0
Heart Research Follow Up Program	0	0	43	1,333	2,989
Hematology/Oncology	0	0	86	177	160
Highland Hospital	448	339	231	235	123
Hospital	0	1,039	832	5	0
Immunology	2,187	2,013	1,482	1,550	1,811
Infectious Diseases	12,830	10,227	11,338	11,773	13,153
Monroe Community Hospital	974	1,007	855	825	820
Nephrology	1,598	1,719	1,276	1,454	1,607
Palliative Care	196	100	124	173	255
Pulmonary	2,497	3,309	3,509	2,970	2,785
Total Department of Medicine	\$34,914	\$33,065	\$34,763	\$34,647	\$33,348

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 2014	FY 2015	FY 2016	FY 2017	FY 2018
<u>Medical Center</u>					
Medicine & Dentistry	\$156,680	\$155,790	\$164,535	\$164,531	\$166,567
Nursing	2,463	1,977	2,256	2,975	3,192
Hospitals and Clinics	796	1,043	860	409	296
Medical Center Administration	3,185	2,915	1,890	503	2,003
<u>Arts, Sciences and Engineering</u>					
Arts and Science	27,118	25,955	27,022	27,707	28,591
Hajim School of Engineering & Applied Sciences	13,570	13,586	12,909	14,483	21,676
<u>Other Schools and Companies</u>					
Laboratory for Laser Energetics	46,667	51,279	51,752	55,473	58,197
Eastman Institute for Oral Health ¹	0	0	990	1,915	2,068
Warner School of Education	2,571	2,856	2,404	2,724	2,266
Simon School of Business	96	38	28	0	48
Eastman School of Music	455	494	540	549	536
Memorial Art Gallery	74	42	117	217	255
University Other	10,435	8,584	7,299	8,157	9,112
Total University Direct Costs	\$264,110	\$264,559	\$272,602	\$279,644	\$294,807

Source: UR Financials

¹Previously reported under Medical Center Administration

**Table 8.1
Facilities & Administrative Costs Recovery**

College/Company	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
<u>Medical Center</u>					
Medicine & Dentistry	\$51,700	\$49,641	\$50,284	\$52,698	\$54,949
Nursing	550	461	451	609	805
Hospitals and Clinics	-12	8	10	9	16
Medical Center Administration	275	341	284	90	11
<u>Arts, Sciences and Engineering</u>					
Arts and Sciences	7,943	7,897	7,835	7,854	7,813
Hajim School of Engineering & Applied Sciences	4,137	4,139	3,990	4,212	5,280
<u>Other Schools and Companies</u>					
Laboratory for Laser Energetics	15,281	15,093	15,405	17,469	17,619
Eastman Institute for Oral Health ¹	0	0	335	705	740
Warner School of Education	249	200	227	256	310
Simon School of Business	33	20	0	0	0
Eastman School of Music	0	0	2	3	0
Memorial Art Gallery	0	0	0	0	0
University Other	0	2	37	44	216
Total University F&A Costs	\$80,180	\$77,802	\$78,860	\$84,019	\$87,759

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.

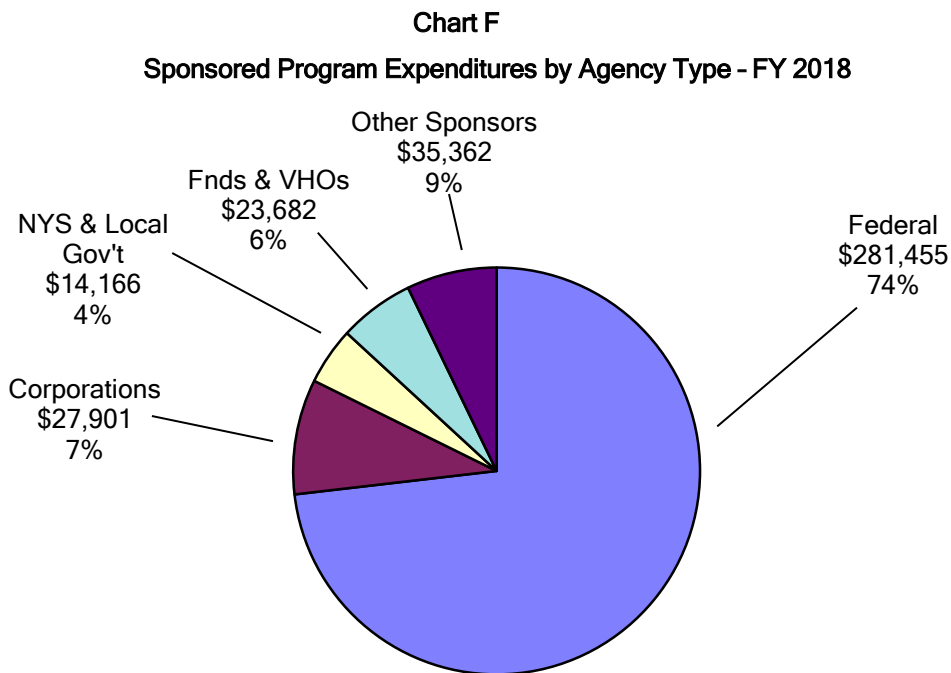


Table 9
Sponsored Program Expenditures by Agency Type

Agency Type	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Federal	\$264,610	\$257,368	\$265,989	\$266,049	\$281,455
Corporations	17,651	25,912	29,499	33,268	27,901
NY State & Local Government	17,433	17,730	15,026	16,511	14,166
Foundations & Voluntary Health Organizations	12,904	23,101	23,025	21,776	23,682
Other Sponsors ¹	31,692	18,250	17,923	26,059	35,362
TOTAL	\$344,290	\$342,361	\$351,462	\$363,663	\$382,566

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 2014	FY 2015	FY 2016	FY 2017	FY 2018
Health and Human Services (includes NIH)	\$168,693	\$158,799	\$164,634	\$160,155	\$166,982
Department of Energy	65,400	67,852	67,307	72,924	78,373
Department of Defense	4,384	5,544	4,614	5,116	6,068
National Science Foundation	14,856	13,299	15,194	14,624	16,890
Department of Education	8,720	9,299	9,737	10,902	11,563
National Aeronautics and Space Administration	1,214	1,810	1,719	1,752	1,099
NEA/NEH ¹	111	0	0	0	0
Other Federal Sponsors ²	1,232	765	2,784	576	480
TOTAL	\$264,610	\$257,368	\$265,989	\$266,049	\$281,455

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

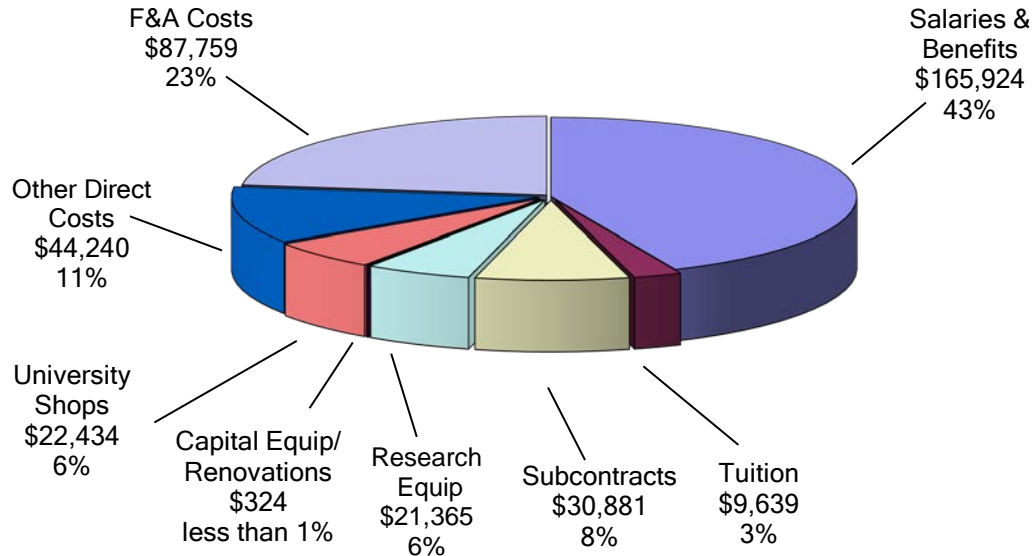


Table 10

Sponsored Program Expenditures by Cost Element

Cost Element	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Salaries & Benefits	\$159,333	\$156,746	\$156,985	\$161,433	\$165,924
Tuition	9,784	10,051	9,878	10,156	9,639
Subcontracts	23,710	23,989	32,784	30,488	30,881
Research Equipment	12,827	13,971	11,306	14,671	21,365
Capital Equipment/Renovations	174	874	256	228	324
University Shops	12,256	15,376	19,797	20,659	22,434
Other Direct Costs ¹	46,026	43,552	41,596	42,010	44,240
Total Direct Costs	264,110	264,559	272,602	279,645	294,807
Facilities & Administrative Costs	80,180	77,802	78,860	84,018	87,759
TOTAL	\$344,290	\$342,361	\$351,462	\$363,663	\$382,566

Source: UR Financials

¹Other 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 2017 is the latest data available online at the time of this printing.

By Federally Financed Research and Development Expenditures		
1	Johns Hopkins University	\$2,178,605
2	University of Washington	952,738
3	University of Michigan	829,695
4	Stanford University	710,658
5	University of North Carolina at Chapel Hill	676,282
6	University of Pennsylvania	669,911
7	Columbia University	647,840
8	University of California, San Diego	641,469
9	Duke University	623,573
10	University of Pittsburgh	617,884
11	University of California, San Francisco	606,768
12	Georgia Institute of Technology	584,891
13	Harvard University	573,157
14	University of Wisconsin at Madison	570,796
15	Yale University	541,608
16	Pennsylvania State University	538,164
17	University of California, Los Angeles	487,846
18	Massachusetts Institute of Technology	487,434
19	Washington University at St. Louis	474,446
20	Ohio State University	464,311
21	University of Minnesota	456,443
22	Vanderbilt University	452,885
23	University of Southern California	450,204
24	Northwestern University	446,609
25	Cornell University	438,182
26	University of Texas, Austin	396,447
27	New York University	391,144
28	Emory University	382,177
29	University of Colorado Boulder	374,209
30	University of Maryland, College Park	369,651
31	Icahn School of Medicine at Mt. Sinai	367,522
32	University of Alabama, Birmingham	358,916

By Federally Financed Research and Development Expenditures		
33	University of Illinois, Urbana-Champaign	358,905
34	Michigan State University	343,751
35	University of California, Davis	342,407
36	Rutgers University	340,801
37	University of California, Berkeley	330,339
38	University of Florida	327,288
39	Case Western Reserve University	326,643
40	University of Colorado, Denver	311,720
41	University of Chicago	308,002
42	Texas A&M University	307,656
43	Baylor College of Medicine	292,806
44	California Institute of Technology	277,358
45	University of Arizona	273,567
46	University of Rochester	267,860

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 23, 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 2017 is the latest data available online at the time of this printing.

By Federally Financed Research and Development Expenditures		FY 2017
1	Columbia University	\$647,840
2	Cornell University	438,182
3	New York University	391,144
4	Icahn School of Medicine at Mt. Sinai	367,522
5	University of Rochester	267,860

The University also has two departments ranked in the top 5 in FY 2017 NIH funding¹

Top 10 Departments in NIH Funding FY 2016 - 2017 ¹		
	FY 2016	FY 2017
Department of Orthopaedics	2	5
Public Health Sciences	4	5

In addition, for the eighth time in 10 years the School of Nursing ranked in the top 30 at 26th.

¹This is the latest data available from this source

Note: The fiscal year represented is the federal government's, which consists of the period October 1 - September 30.

Source: Blue Ridge Institute for Medical Research

Overview of Material Transfer 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.

The Material Transfer function within ORPA also includes responsibility for the review and negotiation of any Confidential Disclosure Agreement (CDA) that binds the University, as well as Data Use Agreements (DUAs) and Visiting Scientist Agreements (VSAs).

Table 11

FY 2018		
	FY18	FY17
Total # of CDA	355	320
Total # of DUA	70	82
Total # of MTA	244	221
Total # of VSA	19	23
Total # of Agreements	688	646
Total Adjusted (CDA, MTA, DUA)	669	623
Average Agreements per Month	56	52
#CDAs Incoming	267	268
#CDAs Outgoing	88	52
% Change in CDAs from FY17	11%	
#DUAs Incoming	32	44
#DUAs Outgoing	38	38
% Change in DUAs from FY17	-15%	
#MTAs Incoming	193	137
#MTAs Outgoing	61	108
% Change in MTAs from FY17	10%	
Total MTAs with Domestic	193	185
Total MTAs with International	61	60
Total MTAs with Domestic Non-profit	169	157
Total MTAs with Domestic For-profit	24	28
Total MTAs with International Non-profit	56	54
Total MTAs with International For-profit	5	6
Total CDAs with Domestic Non-profit	31	40
Total CDAs with Domestic For-profit	287	259
Total CDAs with International Non-profit	1	0
Total CDAs with International For-profit	36	21
Total DUAs with Domestic Non-profit	54	64
Total DUAs with Domestic For-profit	11	12
Total DUAs with International Non-profit	5	5
Total DUAs with International For-profit	0	1

Outlook for FY 2019

President Trump signed two spending bill packages into law in September, one of which, the Labor-HHS-Education and Defense bill, includes a continuing resolution (CR) that funds the remaining government agencies that have not had their FY 2019 appropriations signed at FY 2018 levels through December 7th.

The Department of Defense remains by far the largest contributor to federal R&D. In fiscal year 2019, which began October 1, combined funding for DOD basic and applied research and advanced technology development is increasing by 7 percent to almost \$16 billion. Within DOD, funding for basic research at the Defense Advanced Research Projects Agency (DARPA) received an 11.7 percent increase. Across the Army, Navy and Air Force, funding for University Research Initiatives is increasing 2 percent to \$392 million. These accounts fund the Multidisciplinary University Research Initiatives (MURI) program along with other fellowship and instrumentation programs.

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 budget request of \$34.8 billion would have resulted in a \$2 billion-dollar cut from the FY 2018 NIH budget, Congress rejected that cut and instead approved a more than 5 percent or \$2 billion increase to \$39.1 billion, with every individual institute increased by at least 2.6 percent. This is the fourth year in a row that NIH has received a substantial increase after more than a decade of flat budgets.

The National Science Foundation (NSF) is one of the agencies included in the CR, but under the congressional committees budget proposals, NSF would receive \$8.1 billion, a \$301 million increase.

The Office of Science within the Department of Energy (DOE), which provides most of the funding for basic research, will see a 5.2 percent increase from FY 2018 instead of the 13.9 percent cut the President had sought. Congress rejected the President's proposal to eliminate the Advanced Research Projects Agency-Energy within DOE, and instead gave it a 3.7 percent increase.

Congress has rejected the president's proposed cuts to the National Aeronautics and Space Administration (NASA) budget, instead proposing an increase of \$587 million to \$21.3 billion.

The Environmental Protection Agency (EPA) and the Department of Homeland Security (DHS) are included in the CR.

Within the Department of Commerce, the National Oceanic and Atmospheric Administration (NOAA) budget would see a cut in both the Senate and House bills, \$426 million and \$750 million respectively, although both committees rejected the President's proposal to reduce staff at the Weather Channel and eliminate the NOAA Office of Education.

The National Institute for Standards and Technology (NIST) would receive a decrease of \$161 million in the Senate bill.

The Department of Veterans Affairs (VA) received a \$57 million (7.9%) increase for medical and prosthetic research.

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