

OFFICE OF RESEARCH AND PROJECT ADMINISTRATION

**ANNUAL REPORT
OF
SPONSORED PROGRAM ACTIVITIES**

Fiscal Year 2003

UNIVERSITY OF ROCHESTER

INTRODUCTION

This report, prepared by the Office of Research and Project Administration (ORPA), provides an overview of sponsored program activities for the fiscal year ending June 30, 2003.

Revenue from sponsored program activities, vital to the sustaining of 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. Additional copies of the report may be obtained by contacting Gerri Wind at x55373 or by downloading a copy from the ORPA website located at <http://www.rochester.edu/orpa>.

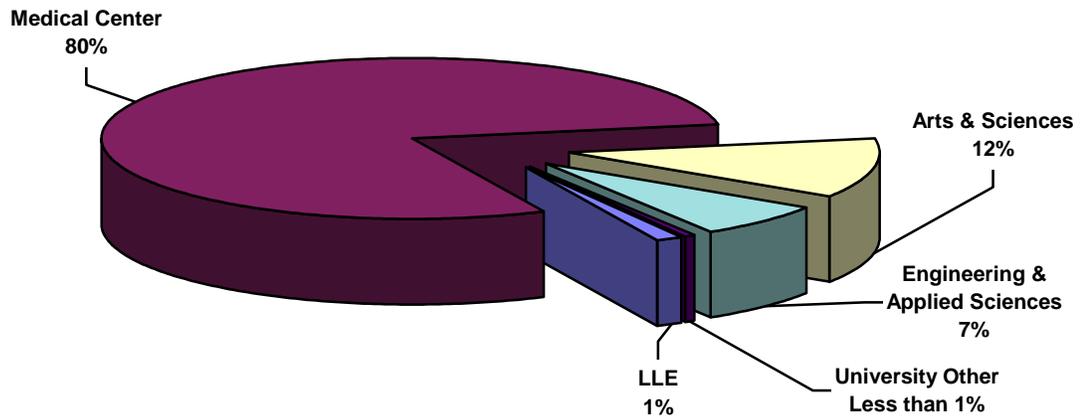
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PROPOSAL AND AWARD ACTIVITY

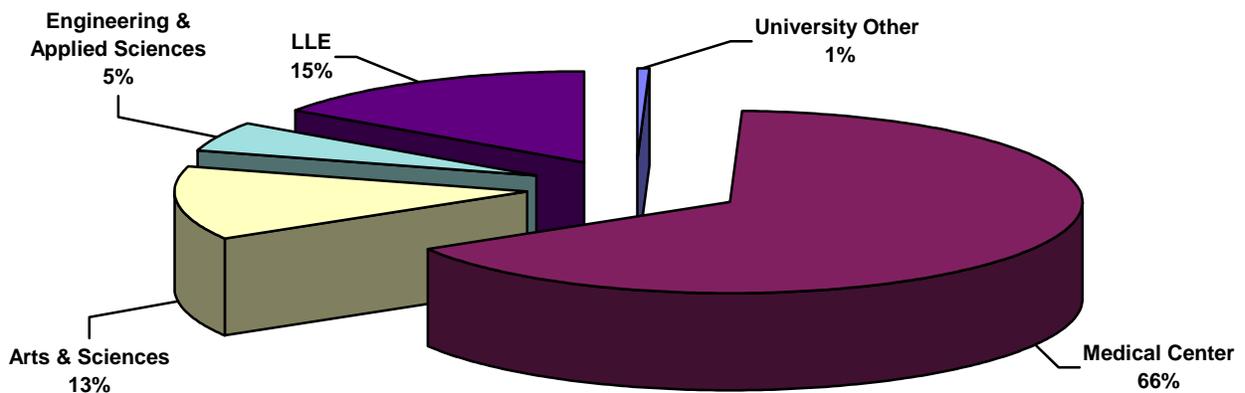
While the expenditure statistics noted later in this report have been the historical basis for measuring the University's sponsored program levels, information on proposal and award activities provides another measurement of current and future trends in external funding for project support.

Chart A
Proposals Submitted - FY 2003



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 **1,899** new, continuation, and renewal proposals were submitted in FY 2003 for sponsored program funding. In FY 2003 **2,536** award actions were processed by ORPA. These award actions include new and renewal awards, noncompeting continuations, extensions of the award termination date, and other administrative modifications made by the sponsoring agency.

Chart B
Awards Received - FY 2003



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 include funds requested or received for direct student financial aid. On an annual basis, both the dollar values of proposals submitted and awards received should be viewed with some caution, as those actions are dependent upon program announcements, funding trends, availability of funds, and timing of award actions.

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

College/School/Division	FY 1999	FY2000	FY 2001	FY 2002	FY 2003
<i>Medical Center</i>					
Medicine & Dentistry	\$604,680	\$625,052	\$702,062	\$729,717	\$893,177
Nursing	17,648	20,702	14,782	20,578	18,826
Eastman Dental Center	18	0	0	34	0
Hospitals and Clinics	136	675	5,873	593	2,909
Medical Center Administration	0	4,112	4,149	0	4,760
<i>The College</i>					
Arts and Sciences	128,455	98,640	130,722	158,160	141,809
Engineering & Applied Sciences	43,693	70,120	72,607	34,831	81,148
<i>Other Schools and Divisions</i>					
Laboratory for Laser Energetics	29,804	34,862	34,361	264,671 ¹	16,709
Warner School of Education	3,127	10,744	3,428	3,528	2,403
Memorial Art Gallery	416	515	1,123	466	240
Simon School of Business	742	488	50	696	138
Eastman School of Music	0	0	0	1,475	0
University Other	223	457	965	708	2,953
TOTAL	\$828,942	\$866,367	\$970,122	\$1,215,457	\$1,165,072

Source: UR-Coeus Sponsored Programs Management Database

1 This includes the renewal proposal for the DOE-UR Cooperative Agreement

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

College/School/Division	FY 1999	FY 2000	FY 2001	FY 2002	FY 2003
<i>Medical Center</i>					
Medicine & Dentistry	\$122,362	\$132,160	\$165,215	\$164,293	\$196,633
Nursing	1,443	1,050	3,423	2,570	4,250
Hospitals and Clinics	503	366	379	1,039	1,320
Medical Center Administration	0	67	0	50	295
<i>The College</i>					
Arts and Sciences	29,438	36,163	29,034	28,041	40,301
Engineering & Applied Sciences	11,789	15,576	11,470	16,451	16,441
<i>Other Schools and Divisions</i>					
Laboratory for Laser Energetics	30,145	32,704	38,265	36,929	47,124
Warner School of Education	362	646	722	2,347	844
Memorial Art Gallery	240	403	65	259	311
Simon School of Business	129	217	190	70	97
Eastman School of Music	0	0	0	375	434
University Other	107	461	173	362	83
TOTAL	\$196,518	\$219,813	\$248,936	\$252,786	\$308,133

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.
- University Other includes Rush Rhees Library, Susan B. Anthony Center and University Central Administration.

As indicated in Chart D on page 16, the federal government is the primary source of sponsored program funding. However, the University receives significant funding from New York State government, foundations, corporate sponsors and individuals. Table 3 provides funding information on University sponsors that provided \$1,000,000 or more in FY 2003.

Table 3
Sponsors Awarding \$1,000,000 or More Annually
FY 2003

Sponsor Name	Dollars Awarded	Direct \$	Indirect \$
DHHS/PHS/NIH	\$145,577,163	\$102,299,485	\$43,277,678
*Department of Energy	51,255,570	33,210,690	18,044,880
National Science Foundation	14,466,376	10,882,591	3,583,785
Teva Pharmaceuticals	4,804,300	3,700,299	1,104,001
DHHS/PHS/HRSA	3,921,061	3,726,991	194,070
NYS/Health	3,690,658	3,589,410	101,248
NYSTAR	3,363,546	3,237,200	126,346
Amgen, Inc.	2,918,073	2,591,585	326,488
Infotonics Technology Center Inc.	2,861,230	2,264,777	596,453
DOD/Army/ARO	2,852,239	2,173,315	678,924
CNTY/Monroe/Social Svcs Education	2,470,965	2,324,498	146,467
	2,405,871	2,237,415	168,456
Cephalon, Inc.	2,399,252	1,845,578	553,674
UNIV/Washington	1,882,451	1,350,260	532,191
CNTY/Monroe	1,761,573	1,761,573	0
EPA	1,694,530	1,226,598	467,932
DOD/Army	1,609,682	1,039,702	569,980
Health Research Inc.	1,523,762	1,294,935	228,827
DHHS/PHS/CDC	1,316,664	909,046	407,618
CNTY/Monroe/Health	1,293,457	1,261,750	31,707
Coordinated Care Services	1,190,092	1,144,963	45,129
American Heart Association	1,122,227	1,094,297	27,930
James S. McDonnell Foundation	1,080,282	1,080,282	0
NYS/Education	1,056,393	998,298	58,095
Grand Total:	\$258,517,417	\$187,245,538	\$71,271,879

Source: UR-COEUS Sponsored Programs Management Database

*LLE funding is set up in 'undesignated' when the Notice of Award is generated. Sponsored Programs Accounting handles the distribution between Direct Costs and Indirect Costs in the University's financial system (FRS)

Table 4 provides information on the number of active projects in University colleges, schools or other units. This number encompasses all types of sponsored activities and may include awards received prior to FY 2003. This table does not include funding for undergraduate financial aid.

Table 4
Summary of Active Projects
As of 6/30/03

College/School/Division	Number of Active Projects
Arts & Sciences	218
Engineering & Applied Sciences	88
Warner School of Education	7
Simon School of Business	3
Medicine & Dentistry	1,175
Nursing	30
Strong Memorial Hospital	4
Medical Center Administration	3
Eastman School of Music	3
Memorial Art Gallery	8
River Campus General	4
University General	2
TOTAL ACTIVE PROJECTS	1,545

Source: UR-COEUS Sponsored Programs Management Database So

SPONSORED PROGRAM AWARDS BY PURPOSE

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

Table 5
Total Sponsored Program Awards
By Purpose
(Dollars in thousands)

Purpose	FY 1999	FY 2000	FY 2001	FY 2002	FY 2003
Research	\$151,326	\$157,942	\$188,696	\$196,859	\$232,426
Clinical Research ¹	N/A	N/A	N/A	N/A	3,740
Fellowships & Training	19,058	17,995	22,451	17,631	27,484
Clinical Drug Trials	15,748	25,023	25,081	24,110	23,545
Libraries & Museums	132	214	65	525	349
Conference & Travel	298	221	205	77	234
Equipment	1,026	1,009	1,485	307	2,524
Miscellaneous Activities	8,930	17,409	10,953	13,277	17,831
TOTAL	\$196,518	\$219,813	\$248,936	\$252,786	\$308,133

¹The University of Rochester Medical Center began tracking clinical research on January 1, 2003 for new awards only

Source: UR-Coeus Sponsored Programs Management Database

Definitions:

Research includes all projects whose primary purpose is research that does not involve patient contact.

Clinical Research includes projects that fall into one of three categories: 1) patient-oriented research that directly interacts with human subjects; 2) epidemiological and behavioral studies; and 3) outcomes research and health services research.

Fellowships and training include those awards made for the purpose of providing direct student training support in research related programs. This category does not include graduate research assistantships funded as a part of individual research grants.

Clinical drug trials include only those sponsored by pharmaceutical corporations and the federal government. Joint research studies/clinical trials appear in the research category.

Libraries & museums include support for the activities of the library and university-related museums.

Conference & travel includes support for conferences, symposia and workshops to discuss recent research or education findings.

Equipment includes both the acquisition and development of research instrumentation and facilities.

Miscellaneous activities include various outreach activities of the University, public service, analytical services, and curriculum development activities.

OVERVIEW OF SPONSORED PROGRAMS EXPENDITURES

In Fiscal Year 2003, the University of Rochester expended in excess of \$277 million for sponsored activities, an increase of 6.6 percent from fiscal year 2002.

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

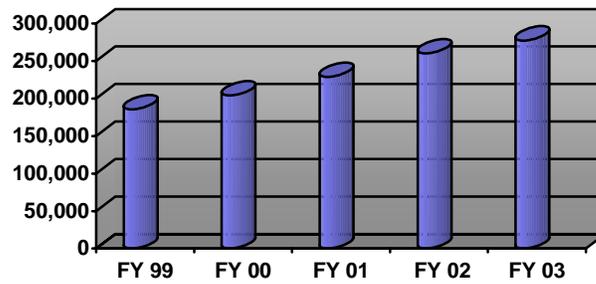


Table 6
Sponsored Program Expenditures
Total University
(Dollars in thousands)

	FY 1999	FY 2000	FY2001	FY2002	FY2003
Total University	\$185,488	\$204,050	\$228,728	\$260,093	\$277,262

Source: University Accounting System Report ABQ361

SPONSORED PROGRAM EXPENDITURE BY
COLLEGE / SCHOOL / DIVISION

Table 6.1 and supporting tables provide a breakdown of expenditures by college, school or division.

Table 6.1
Total Sponsored Program Expenditures by College/School/Division¹
(Dollars in thousands)

College/School/Division	FY 1999	FY 2000	FY 2001	FY 2002	FY 2003
<i>Medical Center</i>					
Medicine & Dentistry	\$108,777	\$121,357	\$143,777	\$162,163	\$179,483
Nursing	1,697	1,486	1,776	2,449	4,025
Hospitals and Clinics	384	329	1,291	754	1,155
Medical Center Administration ²	34	-38	25	3,992	203
<i>The College</i>					
Arts and Sciences	28,772	30,546	30,286	32,135	31,406
Engineering & Applied Sciences	11,169	12,707	14,287	14,284	14,660
<i>Other Schools and Divisions</i>					
Laboratory for Laser Energetics	29,440	32,670	31,845	38,269	39,259
Warner School of Education	434	468	580	1,154	1,391
Memorial Art Gallery	135	215	284	228	356
Simon School of Business	216	215	211	42	206
Eastman School of Music	380	398	405	685	818
University Other ³	4,050	3,697	3,961	3,938	4,300
TOTAL	\$185,488	\$204,050	\$228,728	\$260,093	\$277,262

Source: University Accounting System Report ABQ361

¹Includes facilities & administrative costs.

²Includes Eastman Dental Center (Department of Community Dentistry)

³Includes funding for undergraduate student financial aid.

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

Arts and Sciences	FY 1999	FY 2000	FY 2001	FY 2002	FY 2003
Dean's Office	\$629	\$739	\$0	\$179	\$171
Anthropology	0	0	0	0	0
Art and Art History	321	191	26	39	34
Biology	3,589	3,486	3,747	3,722	3,523
Brain & Cognitive Sciences	1,417	1,789	2,370	2,786	3,022
Chemistry	5,209	3,953	3,029	3,239	2,934
Clinical and Social Sciences in Psychology	3,527	5,073	5,491	6,319	5,889
Computer Science	2,986	2,226	2,170	2,715	2,402
Earth and Environmental Sciences	538	682	774	689	705
Economics	50	18	-21	0	0
English	139	52	40	19	64
History	0	0	0	0	0
Linguistics	91	30	24	18	18
Mathematics	170	331	381	274	363
Modern Languages and Cultures	0	0	0	0	0
Philosophy	0	3	142	3	2
Physics and Astronomy	7,601	9,337	9,109	9,000	8,379
Political Science	35	13	0	7	2
Statistics	NA	NA	NA	NA	NA

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Arts and Sciences cont'd	FY 1999	FY 2000	FY2001	FY 2002	FY 2003
Undergraduate Studies	NR	NR	307	334	412
Visual Science	1,450	1,346	2,066	2,364	2,665
Wallis Institute of Political Economy	1,020	1,277	631	429	821
Subtotal	\$28,771	\$30,546	\$30,286	\$32,135	\$31,406

Source: University Accounting System Report ABQ353

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

Engineering & Applied Sciences	FY 1999	FY 2000	FY2001	FY 2002	FY 2003
Center for Future Health	NA	79	853	926	1,060
Biomedical Engineering	NA	NA	675	974	730
Chemical Engineering	985	1,764	1,299	792	705
Electrical & Computer Engineering	2,684	2,689	2,909	2,827	3,016
Mechanical Engineering	656	903	402	162	363
Optics	1,752	2,701	3,525	4,196	4,296
CEIS ¹	NA	NA	NA	1,617	2,080
COI ²	5,092	4,571	4,624	2,790	2,410
Subtotal	\$11,169	\$12,707	\$14,287	\$14,284	\$14,660
TOTAL THE COLLEGE	\$40,887	\$39,940	\$43,253	\$44,573	\$46,066

¹Prior to FY 2002, expenditures for CEIS were included under COI.

²During FY 2002, CEIS expenditures were moved into a separate designation. As of the close of FY 2002, not all expenditures had been transferred to the new designation.

Source: University Accounting System Report ABQ 353

Table 6.3

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

Medicine and Dentistry	FY 1999	FY 2000	FY 2001	FY 2002	FY 2003
Dean's Office	\$2,724	\$3,176	\$2,527	\$3,013	\$2,542
Anesthesiology	1,044	853	1,059	1,355	593
Biochemistry and Biophysics	6,433	6,437	7,145	8,292	8,872
Biomedical Genetics (previously Center for Cancer Biology)	NA	231	851	1,298	2,404
Biostatistics	688	542	437	308	986
Cancer Center	3,464	2,938	2,601	2,303	7,369
Center for Health Improvement	251	NA	NA	NA	NA
Center for Human Genetics & Molecular Pediatric Disease	NA	NA	NA	0	1,612
Center for Oral Biology (previously Dental Research)	4,439	4,680	5,054	4,930	4,497
Center for the Study of Rochester's Health	NA	NA	901	767	1,230
Center for Vaccine Biology	NA	974	1,670	2,951	4,798
Center on Aging	953	770	51	68	107
Center for Aging and Developmental Biology	2,139	2,876	6,633	6,015	6,479
Eastman Dept. of Dentistry (previously Clinical Dentistry)	1,220	887	649	890	1,199
Clinical Research and Development	NA	8	0	0	4
Community and Preventive Medicine	2,523	2,753	3,548	4,201	3,453
Dermatology	920	1,499	1,553	1,542	1,614
Eastman Dental Center ¹	7	236	43	NA	NA
Emergency Medicine	311	236	435	378	428
Environmental Medicine	6,243	7,282	9,033	10,101	10,861
Family Medicine	642	895	1,960	2,096	2,309
Genetics	173	285	133	561	20
Medicine	19,438	23,493	28,727	31,330	29,174

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¹The Eastman Dental Center (EDC), officially merged with the University on July 1, 1997. During fiscal year 1998, expenditures on sponsored projects related to Dentistry were reported under EDC, Clinical Dentistry and Dental Research. In FY 1998, Dental Research became the Center for Oral Biology. Beginning in FY 1999, research expenditures on sponsored projects are reported under the Eastman Department of Dentistry and the Center for Oral Biology. Beginning in FY 1999 expenditures for Eastman Dental Center represent clinical expenditures for the Community Dentistry Outreach Programs of EDC. Beginning in FY 2002, these expenditures are being reported under Medical Center Administration.

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Medicine and Dentistry cont'd	FY 1999	FY 2000	FY 2001	FY 2002	FY 2003
Microbiology and Immunology	4,850	5,886	7,652	7,921	8,459
Neurobiology and Anatomy	3,434	4,061	3,947	5,001	4,808
Neuroendocrinology	NA	698	0	0	0
Neurology	15,110	14,716	18,745	18,270	23,171
Neurosurgery	NA	41	152	2,100	2,226
Obstetrics and Gynecology	2,661	2,915	3,423	3,049	3,114
Ophthalmology	693	841	907	1,096	572
Orthopaedics	1,550	1,571	1,642	2,029	2,157
Pathology	2,245	3,153	1,963	2,057	3,487
Pediatrics	12,559	12,382	13,809	15,958	15,656
Pharmacology and Physiology	6,144	7,000	6,202	7,175	8,221
Physical Medicine and Rehab	183	163	197	88	56
Psychiatry	2,356	2,257	3,739	6,370	8,245
Radiology	656	1,090	1,080	1,386	1,574
Radiation Oncology	859	1,049	1,659	1,635	1,147
Surgery	1,510	2,176	2,692	4,124	4,424
Urology	365	315	245	708	1,024
SMD Other ¹	NA	NA	713	798	591
TOTAL	\$108,777	\$121,357	\$143,777	\$162,261	\$179,483

Source: University Accounting System Report ABQ353

¹Includes Medical Student Financial Affairs Office and Offices for Medical Education

DIRECT COSTS AND F&A COSTS EXPENDITURES

The University recovers the costs of its sponsored program expenditures in two ways; direct costs and facilities & administrative (F&A) costs. Table 7.1 and Table 7.2 indicate the breakdown by college, school or division for these two cost categories.

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

Table 7.1
Direct Cost Expenditures
(Dollars in thousands)

College/School/Division	FY 1999	FY 2000	FY 2001	FY 2002	FY 2003
<i>Medical Center</i>					
Medicine & Dentistry	\$82,140	\$91,739	\$108,508	\$121,836	\$133,215
Nursing	1,446	1,226	1,348	1,878	3,351
Hospitals and Clinics	359	310	1,273	738	1,138
Medical Center Administration	32	-39	21	3,889	206
<i>The College</i>					
Arts and Sciences	21,856	24,088	23,745	25,446	24,173
Engineering & Applied Sciences	8,925	9,957	11,144	11,273	11,433
Laboratory for Laser Energetics	23,171	25,967	24,763	29,947	30,702
Warner School of Education	410	434	532	1,043	1,253
Simon School of Business	192	177	166	49	158
Eastman School of Music	380	398	405	685	818
Memorial Art Gallery	135	215	284	228	356
University Other	4,050	3,697	3,952	3,395	4,274
TOTAL	\$143,096	\$158,169	\$176,141	\$200,947	\$211,077

Source: University Accounting System Report ABQ361

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

College/Unit	FY 1999	FY 2000	FY 2001	FY 2002	FY 2003
<i>Medical Center</i>					
Medicine & Dentistry	\$26,638	\$29,618	\$35,269	\$40,425	\$46,268
Nursing	251	260	428	571	674
Hospitals and Clinics	25	19	18	16	16
Medical Center Administration	2	1	4	5	-3
<i>The College</i>					
Arts and Sciences	6,916	6,458	6,541	6,780	7,234
Engineering & Applied Sciences	2,244	2,750	3,143	2,921	3,228
Laboratory for Laser Energetics	6,268	6,703	7,082	8,322	8,557
Warner School of Education	24	34	48	111	137
Simon School of Business	24	38	45	-7	48
Eastman School of Music	0	0	0	0	0
Memorial Art Gallery	0	0	0	0	0
University Other	0	0	9	2	26
TOTAL	\$42,392	\$45,881	\$52,589	\$59,146	\$66,185

Source: University Accounting System Report ABQ361

SPONSORED PROGRAM EXPENDITURES BY FUNDING AGENCY

While the federal government is the primary source of sponsored program funding, the University receives project support from many other sponsors. The chart below depicts the major sponsor groups. Table 8.1 and 8.2, which indicate the total University expenditures by type of funding agency and by federal agency, show some variation over time, most notably the increase in corporate support. That increase is due primarily to the placement of clinical drug studies at the University's School of Medicine and Dentistry.

Chart D
Expenditures by Agency Type – FY 2003

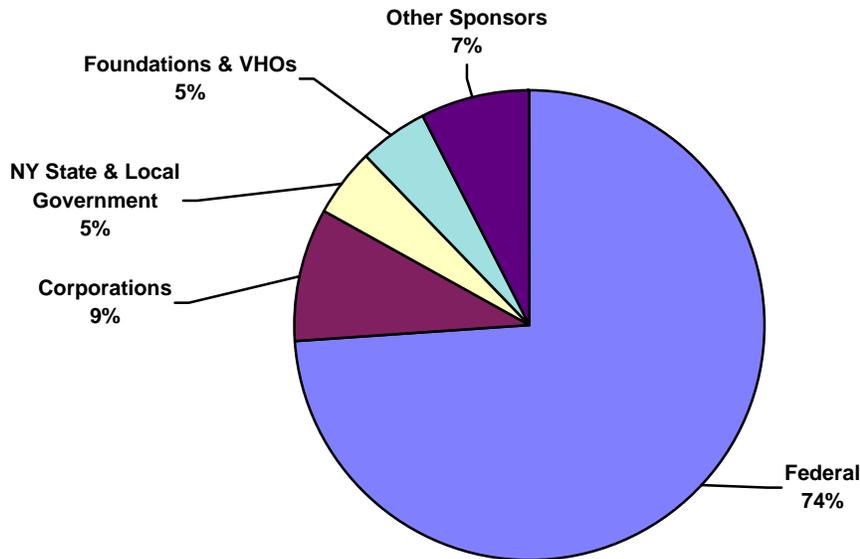


Table 8.1
Sponsored Program Expenditures
By Agency Type
(Dollars in thousands)

Agency Type	FY 1999	FY 2000	FY 2001	FY 2002	FY 2003
Federal	\$138,523	\$150,055	\$165,565	\$193,086	\$204,955
Corporations	18,362	17,698	23,867	24,653	25,303
NY State & Local Government	9,132	11,754	10,626	12,172	13,279
Foundations & Voluntary Health Organizations	8,251	9,350	10,806	12,879	13,178
Other Sponsors ¹	11,220	15,193	17,864	17,303	20,547
TOTAL	\$185,488	\$204,050	\$228,728	\$260,093	\$277,262

Source: University Accounting System Report ABM123

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

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

Federal Agency	FY 1999	FY 2000	FY 2001	FY 2002	FY 2003
Public Health Service (includes NIH)	\$82,905	\$90,193	\$106,293	\$124,454	\$135,184
Department of Energy	31,563	35,430	33,749	41,158	42,343
National Science Foundation	11,382	9,681	8,196	8,021	8,409
Department of Defense	6,249	7,399	9,617	9,047	9,229
Department of Education	4,978	4,793	4,639	5,856	6,171
National Aeronautics and Space Administration	685	1,406	947	1,664	1,244
NEAH ¹	180	72	40	40	81
Other Sponsors	581	1,081	2,084	2,846	2,294
TOTAL	\$138,523	\$150,055	\$165,565	\$193,086	\$204,955

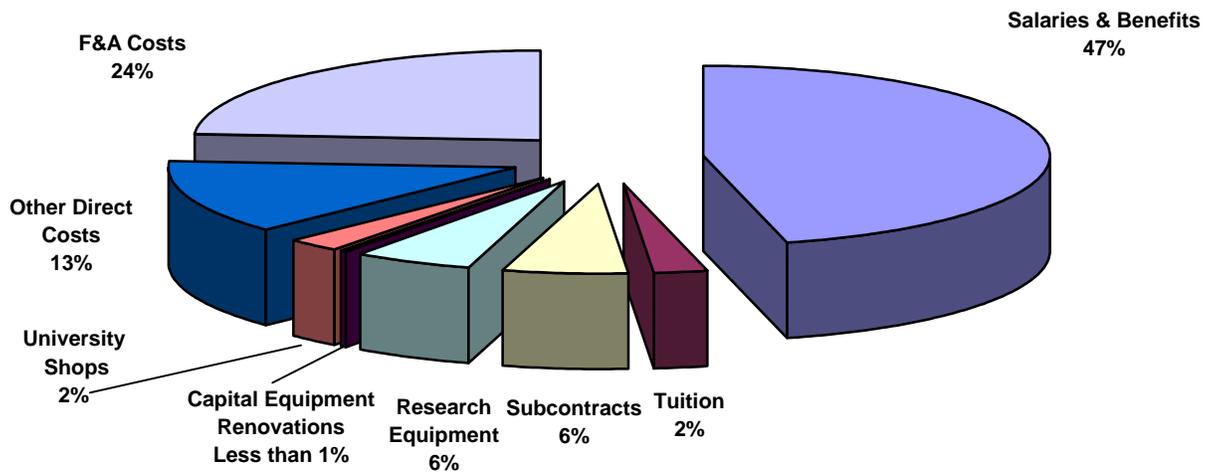
Source: University Accounting System Report ABM123

¹National Endowment for the Arts and Humanities

SPONSORED PROGRAM EXPENDITURES BY COST ELEMENT

The chart below and its supporting Table 9 indicate the expenditure of funds by major cost element. Sponsored program expenditures for FY 2003 included approximately \$41 million for faculty salaries, \$11 million for graduate student salaries and stipends and \$1 million for undergraduate student salaries.

Chart E
Expenditures by Cost Element -- FY 2003
Table 9
Sponsored Program Expenditures by Cost Element



(Dollars in thousands)

Cost Element	FY 1999	FY 2000	FY 2001	FY 2002	FY 2003
Salaries & Benefits	\$83,588	\$91,701	\$102,702	\$115,737	\$127,785
Tuition	5,645	5,805	5,648	6,242	6,842
Subcontracts	10,526	11,883	14,319	16,093	16,652
Research Equipment	14,558	17,448	15,434	17,728	15,373
Capital Equipment/Renovations	150	95	139	4,103	649
University Shops	3,715	4,690	5,271	6,425	6,698
Other Direct Costs ¹	24,914	26,549	32,626	34,619	37,078
Total Direct Costs	143,096	158,171	176,139	200,947	211,077
Facilities & Administrative Costs	42,392	45,879	52,589	59,146	66,185
TOTAL	\$185,488	\$204,050	\$228,728	\$260,093	\$277,262

¹“Other Direct Costs” includes adjustment made for “Expense Credits” category. “Other Expense Credits” represents transfers and other adjustments in ledger 5 accounts.

Source: University Accounting System Report ABQ361

THE UNIVERSITY'S RANKING AMONG ITS PEERS

The University's ranking of its sponsored program activities compared with colleges and universities nationwide is illustrated in the following statistics. **Please note: The latest figures for this set of information are FY 2002 data. These were not available at the time of this printing. Therefore, FY 2001 data is used in all but one category. This page and the following page will be updated with FY 2002 data when it becomes available, on the ORPA website (<http://www.rochester.edu/ORPA/>).**

On An Expenditure Basis¹

- **31st** in Federally financed research and development (R&D) expenditures at universities and colleges: fiscal year 2001
(*30th in FY 2000*)
- **24th** in Industry-sponsored R&D expenditures at universities and colleges: fiscal year 2001
(*30th in FY 2000*)
- **17th** among private universities

On An Obligation Basis²

- 28th in Federal obligations for science and engineering R&D: FY 2001
(*30th in FY 2000*)
- 29th in Federal obligations for fellowships, traineeships, and training grants: FY 2001
(*30th in FY 2000*)
- 3rd in Federal obligations for science and engineering to New York universities and colleges: FY 2000 (*rank order: Columbia, Cornell, and Rochester*)
- 28th in NIH extramural awards to medical schools: FY 2002
(*28th in FY 2001*)

The Carnegie Foundation for the Advancement of Teaching places the University of Rochester in the category Research Universities I. Institutions in this category offer a full range of baccalaureate programs, are committed to graduate education through the doctorate, and give high priority to research. They award fifty or more doctoral degrees each year and they receive \$40 million or more in federal support.

Table 10 indicates the University's 28th place ranking in FY 2001 Federal obligations for science and engineering research and development.

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

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

Table 10
FY 2001 Federal Obligations for Science and Engineering
Research and Development
(Dollars in thousands)

Rank	Institution	Total Obligations
1	Johns Hopkins University	837,959
2	University of Washington	474,492
3	University of Pennsylvania	412,038
4	University of Michigan	403,434
5	University of California Los Angeles	363,857
6	Stanford University	351,108
7	University of California San Francisco	344,878
8	University of California San Diego	333,901
9	Harvard University	321,748
10	Washington University at St. Louis	314,716
11	Columbia University	305,777
12	University of Pittsburgh	300,805
13	University of Colorado	290,659
14	University of Wisconsin Madison	290,203
15	Yale University	276,211
16	University of North Carolina Chapel Hill	275,874
17	Duke University	274,149
18	University of Minnesota	270,073
19	Cornell University	271,901
20	Pennsylvania State University at University Park	253,603
21	Massachusetts Institute of Technology	252,522
22	University of Southern California	232,534
23	Baylor College of Medicine	231,682
24	University of California Berkley	210,559
25	University of Alabama Birmingham	201,579
26	Case Western Reserve University	200,008
27	University of Illinois at Urbana-Champaign	186,876
28	University of Rochester	171,224
29	University of Arizona	166,850
30	University of California Davis	166,232

Source: National Science Foundation/SRS, Survey of Federal Science and Engineering Support to Universities, Colleges and Nonprofit Institutions, Fiscal Year 2001

NEW AND COMPETING RENEWAL AWARDS RECEIVED

Section Two of this report is a compilation of all of the new and competing renewal awards received by the University during FY 2003. For reporting purposes ORPA considers an award received if the issue date occurs between the dates of July 1, 2002 and June 30, 2003.

OUTLOOK FOR FY 2004

Congress passed the FY 2004 federal budget on January 22, 2004 and it was signed into law by President Bush on January 23rd. Continuing the trend of recent years, the FY 2004 budget provides record-breaking totals for federal R&D (\$127 billion, an 8.1 percent increase), but almost 75 percent of the increase will go to just three agencies: the Department of Defense (DOD), the Department of Homeland Security (DHS), and the National Institutes of Health (NIH), leaving all other funding agencies with only a modest increase in funding. DOD will receive over 50 percent of the FY 2004 federal R&D funding, a 13.0 percent increase to \$66.3 billion. DHS becomes one of the major funding sources of R&D in FY 2004, receiving a 56 percent increase to \$1.04 billion. After an almost-completed five-year doubling campaign involving 15 percent increases for each of the past five years, R&D funding for NIH will increase by only 3.2 percent in FY 2004 to \$27.1 billion, and much of this increase goes to biodefense research related to homeland security. The National Institute of Allergy and Infectious Diseases (NIAID), the lead NIH institute for biodefense research, will receive \$4.3 billion, a boost of 16.3 percent over FY 2003 after a 47 percent boost last year. The National Cancer Institute (NCI) will receive the largest portion (\$4.7 billion) of NIH R&D dollars, followed by NIAID and then the National Heart, Lung and Blood Institute (NHLB) at \$2.9 billion. Seven other institutes, the National Institute of General Medical Sciences (NIGMS), the National Institute of Diabetes and Digestive and Kidney Diseases (NIDDK), the National Institute of Neurological Disorders and Stroke (NINDS), the National Institute of Mental Health (NIMH), the National Institute of Child Health and Human Development (NICHD) the National Center for Research Resources (NCRR) and the National Institute on Aging (NIA), will each receive more than \$1 billion. The National Science Foundation (NSF) will receive \$4.1 billion for R&D activities, a 4.7 percent increase. The National Aeronautics and Space Administration (NASA) R&D activities will receive \$11 billion, a cut of 0.4 percent. The U. S. Department of Energy (DOE) already had its R&D budget of \$8.7 billion, a 5 percent increase, passed earlier in FY 2004. R&D in the U. S. Department of Agriculture will fall 4.9 percent to \$2.2 billion, primarily because of steep cuts to research facilities funding. The Department of Transportation had its R&D budget slashed by \$58 million or 8.2 percent to \$644 million. The Department of Veterans Affairs will receive a R&D budget of \$820 million, an increase of 2.5 percent. The Department of the Interior would see a 10.1 percent increase in its R&D budget to \$633 million. The Environmental Protection Agency (EPA) R&D budget will rise slightly to \$654 million, a 1.6 percent increase. The Department of Commerce will receive a 0.9 percent boost for R&D activities to \$1.3 billion.

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