

**OFFICE OF RESEARCH AND PROJECT
ADMINISTRATION**

ANNUAL REPORT OF

SPONSORED PROGRAM ACTIVITIES

FISCAL YEAR 2014



Introduction

We are pleased to present the Office of Research and Project Administration (ORPA) Annual Report for Fiscal Year 2014 ending June 30th, 2014, which showcases the University of Rochester's outstanding ability to attract external support for research and other sponsored programs activities year after year, even in difficult economic times.

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

In This Report

Introduction	2
Table Of Contents	2
Proposal and Award Activity	3
Sponsored Program Awards by Funding Agency	7
Sponsors Awarding \$1M or More Annually	9
Summary of Active Projects	10
Sponsored Program Awards by Purpose	11
Overview of Sponsored Program Expenditures	12
Sponsored Program Expenditures by College/School/Division	13
Direct Costs and F&A Costs Expenditures	19
Sponsored Program Expenditures by Funding Agency	21
Sponsored Program Expenditures by Cost Element	23
The University's Ranking among its Peers	24
Overview of Material Transfer Agreements Activity	27
Outlook for FY 2015	28

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, over **1,920** new, continuation, supplemental, and renewal proposals were submitted in FY 2014 for sponsored program funding.

NOTE: All dollars throughout this report are in thousands

Chart A

Dollar Value of Proposals Submitted - FY 2014

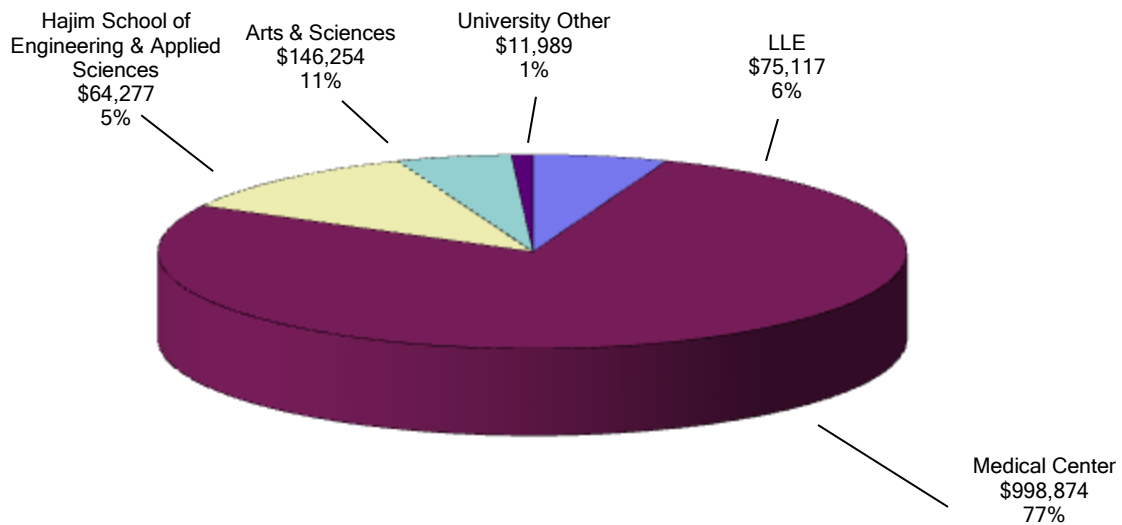


Chart B

Awards Dollars Received - FY 2014

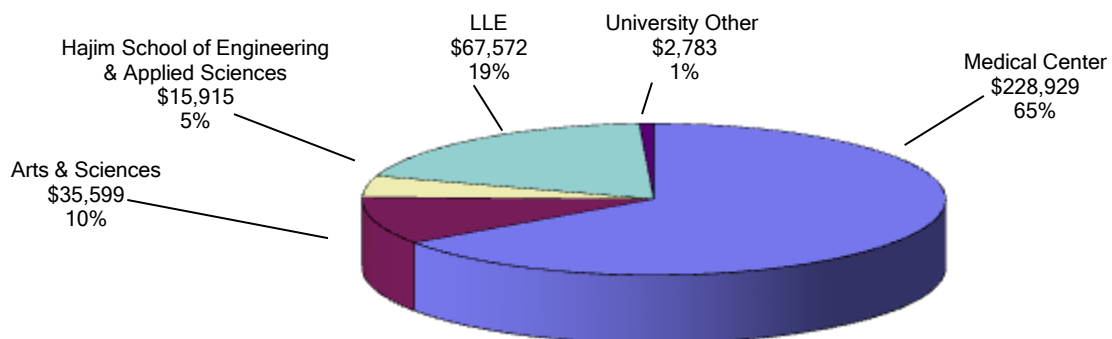
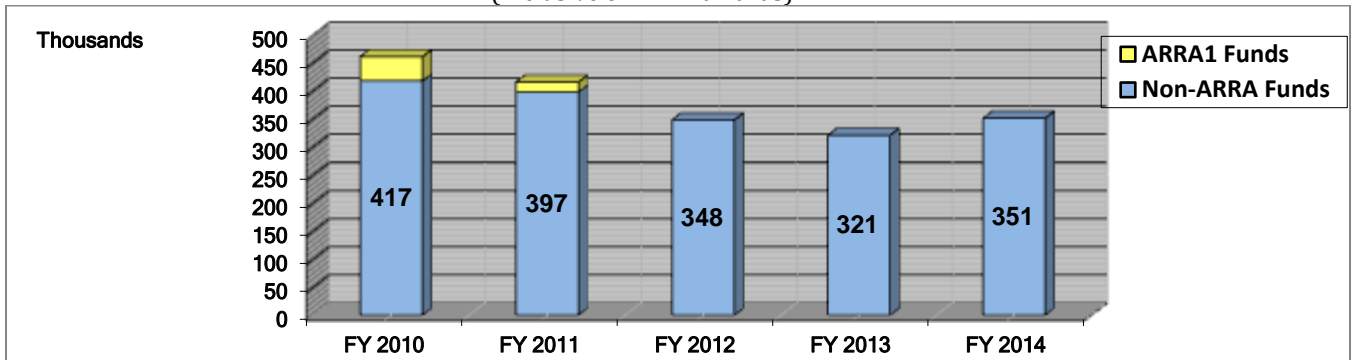


Chart C

Award Dollars Received During Last Five Fiscal Years

(Inclusive of ARRA awards)



FY 2010		FY 2011		FY 2012		FY 2013		FY 2014	
\$460,522		\$415,236		\$347,698		\$320,646		\$350,798	
ARRA ¹	Non-ARRA	ARRA ¹	Non-ARRA	ARRA ¹	Non-ARRA	ARRA ¹	Non-ARRA	ARRA ¹	Non-ARRA
\$43,087	\$417,435	\$17,766	\$397,470						

Source: UR-Coeus Sponsored Programs Management Database

¹ American Recovery and Reinvestment Act of 2009

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 2014, 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/Division

College/School/Division	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Medical Center					
Medicine and Dentistry	\$1,092,474	\$1,159,008	\$1,143,900	\$1,102,015	\$966,198
Nursing	20,586	20,849	11,115	15,647	21,432
Hospitals and Clinics	1,545	380	303	517	234
Medical Center Administration	19,560	15,869	15,823	7,527	11,010
Subtotal URMC	1,134,165	1,196,106	1,171,141	1,125,706	998,874
Arts, Sciences and Engineering					
Arts and Sciences	176,082	124,475	137,620	137,204	146,254
Hajim School of Engineering & Applied Sciences	89,137	95,670	123,461	89,286	64,277
Subtotal AS & E	265,219	220,145	261,081	226,490	210,531
Laboratory for Laser Energetics	136,395	11,736	416,613	352,516	75,117
Other Schools and Divisions					
Warner School of Education	7,643	10,352	3,215	7,179	10,624
Memorial Art Gallery	5,503	121	112	65	212
Simon School of Business	0	687	557	175	0
Eastman School of Music	0	623	87	5	14
University Other	6,422	3,573	8,658	11,092	1,140
Subtotal Other	19,568	15,356	12,629	18,516	11,990
Total University	\$1,555,347	\$1,443,343	\$1,861,464	\$1,723,228	\$1,296,512

Source: UR-Coeus Sponsored Programs Management Database

Table 2

Awards – Annual Funding Received By College/School/Division

College/School/Division	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Medical Center					
Medicine and Dentistry	\$313,102	\$282,943	\$211,770	\$200,174	\$223,658
Nursing	5,631	4,932	4,344	1,690	1,132
Hospitals and Clinics	909	519	379	327	142
Medical Center Administration	3,993	3,397	4,243	4,119	3,997
Subtotal URMC	323,635	291,791	220,736	206,310	228,929
Arts, Sciences and Engineering					
Arts and Sciences	46,681	33,548	38,759	37,471	35,599
Hajim School of Engineering & Applied Sciences	20,841	19,373	18,263	21,144	15,915
Subtotal AS & E	67,522	52,921	57,022	58,615	51,514
Laboratory for Laser Energetics	67,439	64,703	65,160	46,659	67,572
Other Schools and Divisions					
Warner School of Education	881	3,877	3,173	2,440	1,959
Memorial Art Gallery	450	137	14	153	0
Simon School of Business	38	375	158	0	35
Eastman School of Music	44	332	0	5	0
University Other	513	1,100	1,435	6,464	789
Subtotal Other Schools	1,926	5,821	4,780	9,062	2,783
Total University	\$460,522	\$415,236	\$347,698	\$320,646	\$350,798

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
- 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

Chart D

Awards – Sponsored Program Funding by Agency Type – FY 2014

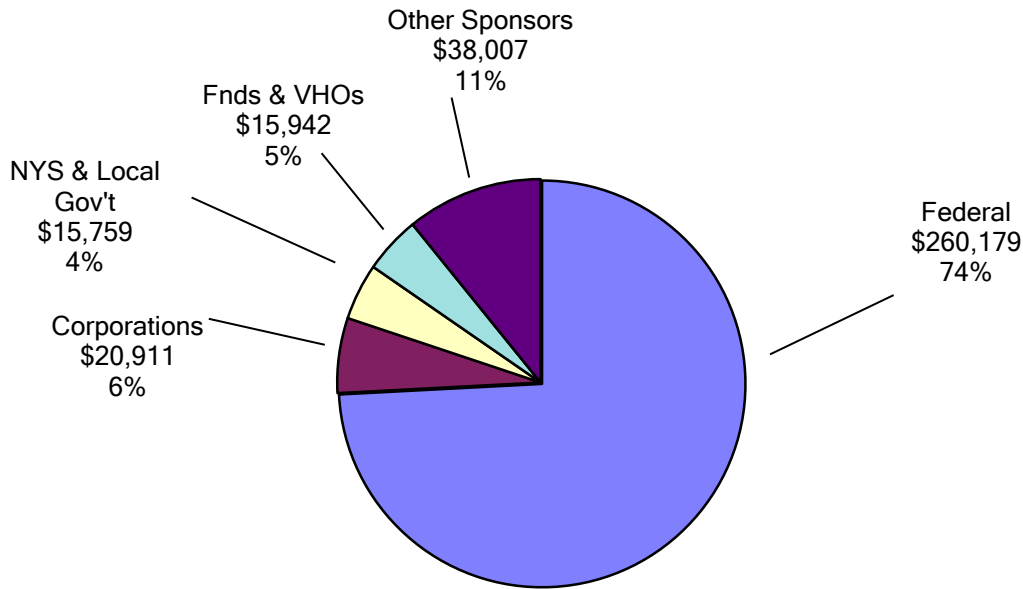


Table 3

Sponsored Program Funding by Agency Type

Agency Type	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Federal	\$376,244	\$328,423	\$275,811	\$243,024	\$260,179
Corporations	24,982	28,023	18,267	20,169	20,911
NY State & Local Government	18,493	18,294	14,116	10,783	15,759
Foundations & Voluntary Health Organizations	13,311	12,044	11,822	12,920	15,942
Other Sponsors ¹	27,492	28,452	27,682	33,750	38,007
TOTAL	\$460,522	\$415,236	\$347,698	\$320,646	\$350,798

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 2010	FY 2011	FY 2012	FY 2013	FY 2014
Health and Human Services (excluding NIH)	\$10,664	\$8,729	\$12,676	\$12,971	\$12,886
NIH	249,941	217,477	165,113	149,575	158,615
Total Health and Human Services	260,605	226,206	177,789	162,546	171,501
Department of Energy	74,696	72,409	69,953	53,659	68,205
Department of Defense	10,560	10,544	8,926	5,381	4,897
National Science Foundation	20,177	14,520	15,110	16,743	11,922
Department of Education	1,626	1,865	2,355	2,280	1,834
National Aeronautics and Space Administration	470	617	1,189	1,059	1,449
NEA/NEH ¹	299	310	151	260	-5
Other Federal Sponsors	7,811	1,952	338	1,096	376
TOTAL	\$376,244	\$328,423	\$275,811	\$243,024	\$260,179

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. Table 4 provides funding information on University sponsors that provided \$1,000,000 or more in FY 2014.

Table 4
Sponsors Awarding \$1,000,000 or More Annually - FY 2014

Sponsor	Number of Awards	Total \$ Awarded
National Institutes of Health	429	\$154,419,988
Department of Energy	14	68,581,523
National Science Foundation	92	11,921,613
New York State	27	7,417,854
Monroe County	10	5,401,286
Centers for Disease Control and Prevention	11	5,197,733
Health Research Services Administration	14	3,975,725
SUNY Upstate Medical University	2	3,828,819
Patient Centered Office of Research Institute	5	3,161,743
Health Research Inc.	18	2,190,502
Department of Defense (excluding Army, Air Force and Navy)	6	2,130,488
U.S Department of Education	6	1,833,994
Emory University	6	1,754,440
The Michael J. Fox Foundation for Parkinson's Disease	9	1,754,044
Gilead Sciences Inc.	16	1,729,755
Huntington Study Group	3	1,655,362
University of Alabama at Birmingham	8	1,470,669
National Aeronautical and Space Administration	12	1,449,056
Prana Biotechnology	1	1,298,402
Fred Hutchinson Cancer Research Center	8	1,277,026
Agency for Healthcare Research and Quality	6	1,102,433
Agency for Developmental Disabilities	2	1,005,215
Mellon Foundation	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 2014 that were active at any point during FY 2014. This table does not include funding for undergraduate financial aid.

Table 5
Summary of Projects Active at any Point in FY 2014
by College/School/Division

College/School/Division	Number of Active Projects
<u>Medical Center</u>	
Medicine & Dentistry	1,732
Nursing	27
Strong Memorial Hospital	5
Medical Center Administration ¹	25
<u>Arts, Sciences, and Engineering</u>	
Arts & Sciences	304
Hajim School of Engineering and Applied Sciences ²	189
<u>Other Schools and Divisions</u>	
Laboratory for Laser Energetics	10
Warner School of Education	21
Memorial Art Gallery	3
Simon School of Business	3
Eastman School of Music	1
River Campus General	15
University General	1
Total Active Projects	2,336

Source: UR-COEUS Sponsored Programs Management Database

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

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 2010	FY 2011	FY 2012	FY 2013	FY 2014
Research ¹	\$378,276	\$339,043	\$290,873	\$263,099	\$292,990
Fellowships & Training	32,764	35,008	28,203	21,984	27,881
Clinical Drug Trials	26,467	27,694	16,074	15,670	13,478
Libraries & Museums	600	573	238	374	126
Conference & Travel	202	171	303	110	235
Equipment	5,156	933	-131	6,861	353
Miscellaneous Activities	17,057	11,814	12,138	12,548	15,735
Total	\$460,522	\$415,236	\$347,698	\$320,646	\$350,798

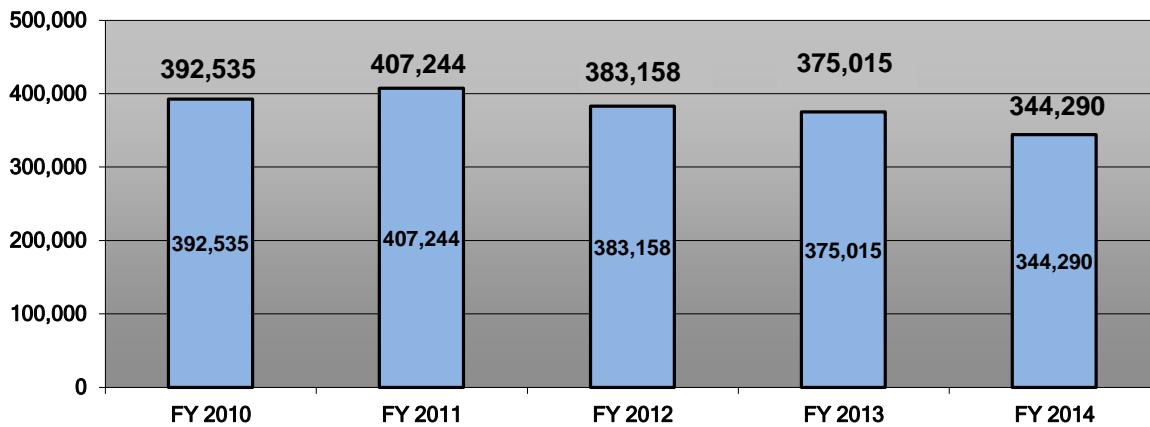
Source: UR-Coeus Sponsored Programs Management Database

¹The Medical Center accounts for 65% 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 2014, the University of Rochester expended in excess of \$344 million for sponsored activities, a decrease of 8 percent from Fiscal Year 2013. This can be viewed as a reflection of the overall reduction in the federal budget in general and R&D funding in particular for the last several years.

Chart E
Sponsored Program Expenditures - Total University



(Dollars in thousands)

Sponsored Program Expenditures - Total University

	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Total University	\$392,535	\$407,244	\$383,158	\$375,015	\$344,290

Source: University Accounting System Report ABQ361

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/Division¹

College/School/Division	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Medical Center					
School of Medicine and Dentistry	\$259,755	\$268,075	\$237,087	\$227,471	\$208,384
School of Nursing	6,370	5,123	4,586	3,475	3,013
Hospitals and Clinics	598	426	413	228	784
Medical Center Administration ²	2,855	3,680	4,125	4,033	3,460
Total URMC	269,578	277,304	246,211	235,207	215,641
Arts & Sciences & Engineering					
Arts and Sciences	38,252	42,214	40,217	37,411	35,061
Hajim School of Engineering and Applied Sciences	18,750	17,717	17,511	20,078	17,707
Total AS & E	57,002	59,931	57,728	57,489	52,768
Laboratory for Laser Energetics	55,962	60,241	69,620	67,754	61,948
Other Schools and Divisions					
Warner School of Education	745	1,163	1,613	2,120	2,844
Memorial Art Gallery	246	156	104	157	74
Simon School of Business	32	2	121	63	129
Eastman School of Music	847	727	722	560	455
University Other ³	8,123	7,720	7,039	11,665	10,431
Total Other	9,993	9,768	9,599	14,565	13,933
Total University	\$392,535	\$407,244	\$383,158	\$375,015	\$344,290

Source: University Accounting System Report ABQ361

¹Includes indirect costs

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

³Includes funding for undergraduate student financial aid

Table 7.2.1
Total Sponsored Program Expenditures – Arts & Sciences
By Department

Arts and Sciences	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Dean's Office	\$207	\$383	\$470	\$651	\$616
Art & Art History	0	0	0	50	5
Biology	6,404	6,182	5,646	4,525	3,899
Brain & Cognitive Sciences	4,836	5,719	5,959	5,170	4,183
Chemistry	4,915	5,504	5,879	5,903	5,716
Clinical and Social Sciences in Psychology	6,532	7,878	7,916	7,052	6,675
Earth and Environmental Sciences	722	631	716	1,138	1,230
English	78	83	98	122	27
History	0	28	32	0	0
Kearns Center	916	771	656	744	787
Linguistics	34	69	51	111	73
Mathematics	597	729	410	512	507
McNair Program	277	216	229	278	289
Philosophy	36	9	19	8	0
Physics and Astronomy	8,153	9,671	7,662	7,073	5,747
Skalny Center for Polish/European Studies	49	75	65	47	44
Susan B Anthony Institute for Gender Studies	0	0	0	3	1
Undergraduate Studies	67	0	0	0	0
Center for Visual Sciences	4,228	4,077	4,399	4,007	5,228
Wallis Institute of Political Economy	201	189	10	17	34
Subtotal A & S	\$38,252	\$42,214	\$40,217	\$37,411	\$35,061

Source: University Accounting System Report ABQ353

Table 7.2.2

Total Sponsored Program Expenditures – Engineering & Applied Sciences

By Department

Engineering & Applied Sciences	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Dean's Office	\$139	\$259	\$241	\$127	\$164
Center for Future Health	-4	0	0	0	0
Biomedical Engineering	824	630	1,242	1,740	2,321
Computer Science	2,389	2,556	2,890	3,008	2,534
Chemical Engineering	1,004	862	778	1,856	1,263
Electrical & Computer Engineering	4,306	4,706	4,080	3,554	3,383
Mechanical Engineering	2,265	2,156	1,991	2,335	2,193
Institute of Optics	6,549	5,546	5,329	5,813	4,248
Center for Emerging & Innovative Sciences	1,231	1,002	960	1,645	1,601
Center for Institute Ventures	47	0	0	0	0
Subtotal HSEAS	\$18,750	\$17,717	\$17,511	\$20,078	\$17,707
Total AS & E	\$57,002	\$59,931	\$57,728	\$57,489	\$52,768

Source: University Accounting System Report ABQ 353

Table 7.2.3

Total Sponsored Program Expenditures - School of Medicine and Dentistry

By Department

Medicine and Dentistry	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Dean's Office	\$0	\$-45	\$15	\$133	\$15
Anesthesiology	1,772	2,420	2,406	2,340	2,067
Biochemistry and Biophysics	8,475	8,899	6,483	6,549	6,331
Biomedical Engineering	1,665	2,024	4,004	3,632	3,209
Biomedical Genetics	5,302	6,556	4,228	3,406	2,888
Biostatistics and Computational Biology	7,080	7,792	7,763	7,353	6,194
Cancer Center	10,468	10,774	11,182	10,679	6,868
Center for Human Experimental Therapeutics ¹	7,959	10,193	7,400	10,139	8,467
Center for Neural Development and Disease	5,449	4,304	3,690	3,680	3,813
Center for Pediatric Biomedical Research	3,893	3,009	3,123	3,567	3,221
Center for Neurovascular Brain Disease	1,832	2,659	764	78	0
Center for Translational Neuromedicine	4,107	4,913	5,189	5,596	5,824
Center for Oral Biology	4,485	5,228	3,685	3,145	2,974
Center for Vaccine Biology	4,130	3,542	3,627	6,851	7,752
Clinical Translational Science Institute ²	0	0	8,660	5,395	5,336
Development Center for AIDS Research	755	885	1,162	1,419	1,616
Dermatology	2,465	2,492	2,311	2,315	2,461
Eastman Institute for Oral Health ³	2,034	1,952	1,624	1,888	1,095
Emergency Medicine	1,020	1,077	1,434	1,653	1,988
Environmental Medicine	9,748	10,053	9,392	8,306	8,390
Family Medicine	1,869	1,862	2,560	2,398	2,348
Imaging Sciences	2,637	1,909	1,046	769	662
Medicine	49,180	53,455	47,225	38,409	34,914

(Continued on next page)

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

²The Clinical Translational Science Institute was established in 2012 and is no longer represented under expenditures for the Department of Community and Preventive Medicine

³Expenditures for the Community Dentistry Outreach Programs of the Eastman Institute for Oral Health are being reported under Medical Center Administration

Medicine and Dentistry cont'd	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Microbiology and Immunology	8,783	9,306	9,185	8,383	5,135
Neurobiology and Anatomy	7,538	6,532	4,727	4,632	3,709
Neurology	18,153	14,838	12,579	12,124	11,455
Neurosurgery	582	671	1,004	718	483
Obstetrics and Gynecology	2,734	3,650	3,217	2,985	1,799
Ophthalmology	4,242	4,093	3,843	4,015	3,836
Orthopaedics	7,149	7,185	5,063	6,842	6,716
Otolaryngology	924	1,032	1,019	900	343
Pathology	4,706	4,770	3,841	3,482	2,894
Pediatrics	20,293	20,698	21,490	23,847	22,784
Pharmacology and Physiology	10,901	11,505	8,714	8,389	6,640
Physical Medicine and Rehab	31	4	33	17	5
Psychiatry	11,296	11,077	9,658	9,113	9,895
Radiation Oncology	8,658	7,715	4,309	3,550	4,099
Public Health Sciences (formerly Department of Community and Preventive Medicine)	12,559	15,578	5,914	5,509	4,808
Surgery	2,770	1,911	2,098	1,827	4,166
Urology	1,513	1,110	877	751	563
SMD Other ⁴	598	477	543	687	621
Total SMD	\$259,755	\$268,075	\$237,087	\$227,471	\$208,384

Source: University Accounting System Report ABQ353

⁴Includes 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 Units

Unit	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
General Medicine	528	379	89	-14	\$164
Infectious Diseases	16,494	18,048	16,879	14,680	12,830
Pulmonary/Critical Care	2,799	3,244	3,660	2,682	2,497
Cardiology	6,456	8,370	7,197	6,824	6,312
Endocrinology	2,057	749	825	1,013	776
Gastroenterology	656	1,112	1,042	374	291
Nephrology	1,403	1,641	1,330	1,930	1,598
Immunology	9,161	9,720	6,870	2,855	2,187
Monroe Community Hospital	858	924	997	1,026	974
Primary Care	48	35	5	4	0
Highland Hospital	348	403	694	404	448
Unity Health	-2	0	0	0	0
Palliative Care	103	30	30	68	196
Aab Cardiovascular Research Institute	8,272	8,800	7,607	6,563	6,641
Total Department of Medicine	\$49,181	\$53,455	\$47,225	\$38,409	\$34,914

Source: Cognos Financials Reporting Database

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/Unit	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
<u>Medical Center</u>					
Medicine & Dentistry	\$193,469	\$200,892	\$177,235	\$171,312	\$156,680
Nursing	5,538	4,465	3,885	2,918	2,463
Hospitals and Clinics	543	377	374	202	796
Medical Center Administration ¹	2,649	3,131	3,703	3,724	3,185
<u>Arts, Sciences and Engineering</u>					
Arts and Science	30,365	33,407	31,547	29,060	27,118
Hajim School of Engineering & Applied Sciences	14,350	13,578	13,189	15,427	13,570
<u>Other Schools and Divisions</u>					
Laboratory for Laser Energetics	43,521	47,112	54,873	53,212	46,667
Warner School of Education	649	1,065	1,480	1,906	2,571
Simon School of Business	32	2	90	40	96
Eastman School of Music	795	689	659	557	455
Memorial Art Gallery	246	156	104	157	74
University Other	8,172	7,682	7,039	11,663	10,435
Total University	\$300,329	\$312,556	\$294,178	\$290,178	\$264,110

Source: University Accounting System Report ABQ361

¹Includes the Center for Community Health (formerly Center for the Study of Rochester's Health under Medicine and Dentistry) and the Eastman Institute of Oral Health

Table 8.1**Facilities & Administrative Costs Recovery**

College/Unit	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
<u>Medical Center</u>					
Medicine & Dentistry	\$66,286	\$67,183	\$59,852	\$56,160	\$51,700
Nursing	833	658	701	557	550
Hospitals and Clinics	54	50	39	26	-12
Medical Center Administration ¹	212	550	412	312	275
<u>Arts, Sciences and Engineering</u>					
Arts and Sciences	7,887	8,807	8,670	8,351	7,943
Hajim School of Engineering & Applied Sciences	4,401	4,139	4,322	4,651	4,137
<u>Other Schools and Divisions</u>					
Laboratory for Laser Energetics	12,440	13,129	14,748	14,541	15,281
Warner School of Education	96	97	133	214	249
Simon School of Business	-15	0	31	22	33
Eastman School of Music	52	38	63	3	0
Memorial Art Gallery	0	0	0	0	0
University Other	-40	37	5	0	0
Total University	\$92,206	\$94,688	\$88,980	\$84,837	\$80,180

Source: University Accounting System Report ABQ361

¹Includes the Center for Community Health (formerly Center for the Study of Rochester's Health, which was reported under Medicine and Dentistry up to Fiscal Year 2011)

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.

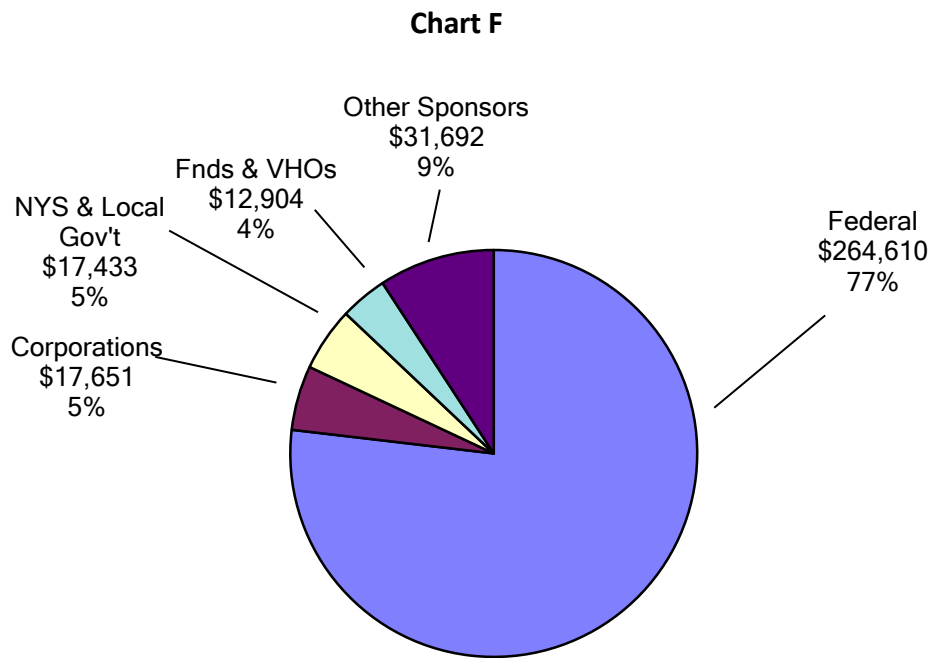


Table 9
Sponsored Program Expenditures by Agency Type

Agency Type	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Federal	\$313,724	\$332,352	\$309,811	\$293,150	\$264,610
Corporations	24,757	21,166	16,854	19,928	17,651
NY State & Local Government	14,178	15,673	17,617	20,684	17,433
Foundations & Voluntary Health Organizations	12,302	12,688	12,384	11,935	12,904
Other Sponsors ¹	27,574	25,365	26,492	29,318	31,692
TOTAL	\$392,535	\$407,244	\$383,158	\$375,015	\$344,290

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 9.1**Sponsored Program Expenditures by Federal Agency**

Federal Agency	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Health and Human Services (includes NIH)	\$215,623	\$224,180	\$198,001	\$186,641	\$168,693
Department of Energy	60,449	67,048	76,004	73,013	65,400
Department of Defense	10,733	10,633	8,997	7,211	4,384
National Science Foundation	12,877	14,953	13,652	14,483	14,856
Department of Education	10,391	10,951	9,474	9,298	8,720
National Aeronautics and Space Administration	467	500	840	1,062	1,214
NEA/NEH ¹	250	180	237	191	111
Other Federal Sponsors	2,934	3,907	2,606	1,251	1,232
TOTAL	\$313,724	\$332,352	\$309,811	\$293,150	\$264,610

Source: University Accounting System Report ABM123

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

The chart below and its supporting Table 10 indicate the expenditure of funds by major cost element. Sponsored program expenditures for FY 2014 included approximately \$48 million for faculty salaries, \$20 million for graduate student salaries and stipends and \$7 million for undergraduate student salaries.

Chart G

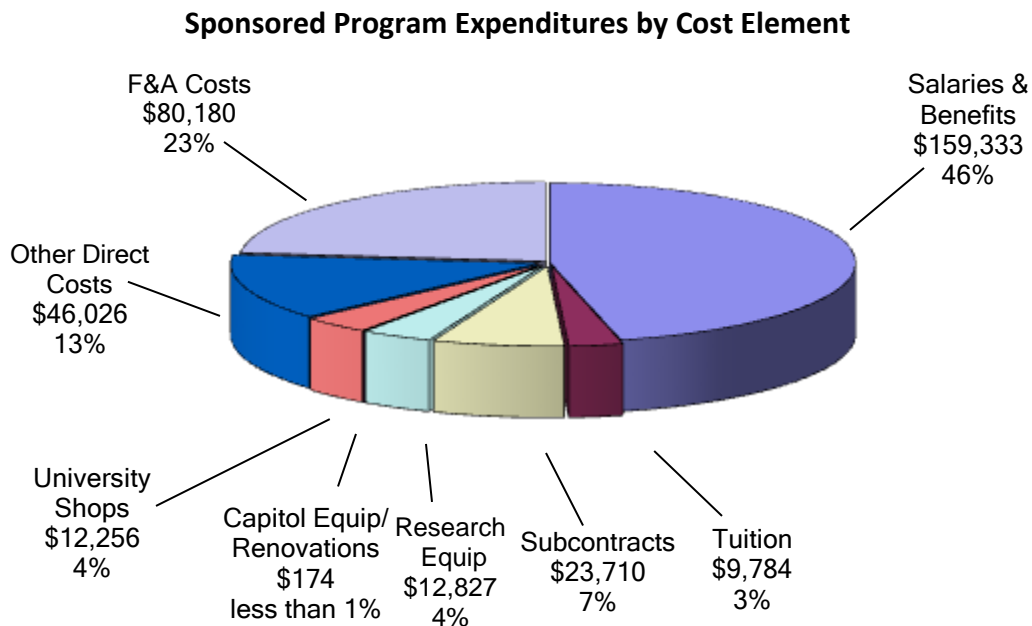


Table 10

Sponsored Program Expenditures by Cost Element

Cost Element	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Salaries & Benefits	\$177,844	\$181,369	\$174,188	\$167,001	\$159,333
Tuition	10,820	10,094	9,291	9,571	9,784
Subcontracts	26,946	33,362	29,248	28,941	23,710
Research Equipment	18,809	18,615	18,273	19,175	12,827
Capital Equipment/Renovations	152	307	1,159	3,123	174
University Shops	11,714	11,393	12,317	12,519	12,256
Other Direct Costs ¹	54,044	57,416	49,702	49,848	46,026
Total Direct Costs	300,329	312,556	294,178	290,178	264,110
Facilities & Administrative Costs	92,206	94,688	88,980	84,837	80,180
TOTAL	\$392,535	\$407,244	\$383,158	\$375,015	\$344,290

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

Source: University Accounting System Report ABQ361

The University's Ranking Among Its Peers

The Carnegie Foundation for the Advancement of Teaching places the University of Rochester in the category RU/VHR (Research University/Very High Research). Institutions in this category offer a full range of baccalaureate programs, are committed to graduate education through the doctorate level, and give high priority to research. Note: FY 2012 is the latest data available online at the time of this printing.

By Federally Financed Research and Development Expenditures		FY 2012
1	Johns Hopkins University	\$1,857,580
2	University of Washington	909,652
3	University of Michigan	791,729
4	University of Pennsylvania	669,970
5	University of California, San Diego	656,891
6	Columbia University	645,573
7	University of Pittsburgh	637,857
8	Stanford University	636,348
9	University of North Carolina, Chapel Hill	606,348
10	Harvard University	589,860
11	Duke University	587,268
12	University of Wisconsin, Madison	580,661
13	University of California, San Francisco	559,329
14	University of California, Los Angeles	539,054
15	Pennsylvania State University	531,421
16	Yale University	518,184
17	Massachusetts Institute of Technology	496,132
18	University of Minnesota	485,462
19	Georgia Institute of Technology	484,212
20	Cornell University	472,673
21	Vanderbilt University	448,948
22	Ohio State University	445,635
23	University of Southern California	443,842
24	Washington University, St. Louis	441,406
25	Northwestern University	393,074
26	Emory University	361,165
27	University of Illinois, Urbana-Champaign	359,989
28	Case Western Reserve University	359,000
29	University of California, Davis	358,577
30	University of Texas, Austin	354,873
31	University of Maryland, College Park	340,180

by expenditures (con't)		FY 2012
32	University of California, Berkeley	
33	University of Chicago	338,759
34	University of Arizona	336,125
35	University of Colorado, Boulder	331,578
36	California Institute of Technology	330,089
37	New York University	326,701
38	University of Colorado, Denver	316,208
39	Scripps Research Institute	309,471
40	University of Rochester	308,115

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 16,

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 2011 is the latest data available online at the time of this printing

By Research Expenditures		FY 2011
1	Columbia University	\$878,900
2	Cornell University	781,651
3	New York University	430,752
4	University of Rochester	429,034
5	SUNY Albany	397,403
6	Mt. Sinai School of Medicine	363,091
7	SUNY Buffalo	353,172
8	Yeshiva University	283,673
9	Rockefeller University	272,491
10	SUNY Stony Brook	211,356

Source: Table 34,

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

Top 10 Departments in NIH Funding FY 2013¹

The University also has several departments ranked in the top 10 in FY 2013 for NIH funding:

The Department of Orthopaedics ranked 2nd

The Departments of Neurology and Public Health Sciences both ranked 6th

In addition, URM ranked 32nd in NIH funding to medical schools , and the School of Nursing ranked 25th

¹This is the latest data available from this source

Source: Blue Ridge Institute for Medical Research - www.brimr.org

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.

In Fiscal Year 2014, UR received a total of 468 MTAs, 330 for incoming materials and 138 for outgoing materials. We experienced an increase of 17% in agreements received in fiscal year 2014 compared to those received in fiscal year 2013.

General data facts of the types of agreements negotiated:

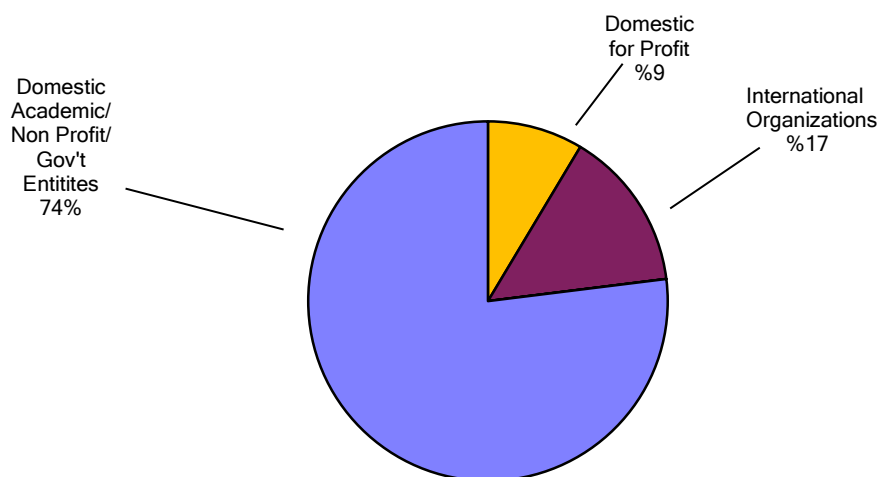
348 - agreements with other domestic academic/non-profit institutions/government entities

79 - agreements with international organizations

41 - agreements with domestic for profits

Chart H

MTA's Processed in FY 2014 by Institution Type



The Material Transfer function within ORPA also includes responsibility for the review and negotiation of any Confidential Disclosure Agreement (CDA) that binds the University. A total of 251 CDAs were reviewed during Fiscal Year 2014. There was a 3% decrease in the number of CDAs from that received in fiscal year 2013. Note: 53 CDAs were processed by UR Ventures and are not reflected in the total number of CDAs processed/reviewed by ORPA.

ORPA is also responsible for reviewing and processing both incoming and outgoing Data Use Agreements (DUAs) in fiscal year 2014. In fiscal year 2014, a total of 46 Data Use Agreements were reviewed. Of the total DUAs received, 30 were for data being received and 16 were for data being sent by University researchers. This represents a 77% increase for the total number of DUAs executed last year.

Outlook for FY 2015

The \$3.9 trillion FY 2015 federal budget reprises some common themes from past years, including advanced manufacturing, low-carbon energy technology, STEM education, neuroscience, and other fields. However, as in past years, the possibility for increased investments in most areas is deeply constrained for FY 2015. With hardly any additional room available in the discretionary budget above FY 2014 levels due to the spending caps contained in the Budget Control Act passed by Congress in 2013, and with three-quarters of the post-sequester spending reductions still in place overall, many agency R&D budgets would effectively stand still or fail to keep pace with inflation. The overall spending caps will increase by roughly 0.2 percent in FY 2015 compared to FY 2014, less than the 1.7 percent inflation rate. However, in addition to the base budget, President Obama has also proposed an additional package of discretionary spending dubbed the Opportunity, Growth, and Security Initiative (OGSI), which would add \$56 billion to the discretionary budget for FY 2015. This extra spending would make a big difference for federal R&D, but would require Congress to raise the current discretionary spending limits, a highly unlikely scenario at this time. Overall, the FY 2015 budget would invest \$136.5 billion in R&D, an increase of just 0.7 percent above FY 2014, which means a real-dollar decline of approximately 1.0 percent when accounting for inflation.

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, advanced technology development, and medical research, would decrease by \$1.4 billion (10.3 percent). The medical research reductions are a recurring theme in Administration budgets and are added back in by Congress. DARPA, however, would receive a modest funding increase. The second largest supporter of R&D is the National Institutes of Health (NIH). NIH's budget would rise by \$211 million (0.7 percent) to \$30.4 billion, continuing its decline in real dollars since 2004. Success rates have also declined, and the average age for the first Research Project Grant (R01) has hovered around 42. Some of the few areas seeing increased funding at NIH would include translational science, neuroscience and the BRAIN Initiative, and mental health. The proposed FY 2015 budget for the National Science Foundation (NSF) is \$7.255 billion; an increase of \$83 million, or 1.2 percent. The Department of Energy (DOE) is the only agency that would see double-digit percentage increases in both defense and non-defense categories. The proposed overall \$27.9 billion DOE budget would represent an increase of \$715 million or 2.6 percent relative to FY 2014. The President's FY 2015 request for the National Aeronautics and Space Administration (NASA) is \$17.5 billion, nearly \$200 million less than FY 2014 estimates. This includes a \$66 million reduction in NASA's R&D budget. The Department of Homeland Security (DHS) Science and Technology Directorate (S&T) request totals \$1.1 billion, a decrease of 12 percent from the FY 2014 enacted amount. Within the Department of Commerce, the National Institute for Standards and Technology (NIST) would receive an increase of 5.9 percent to \$900 million.

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