UNIVERSITY OF OREGON

Sponsored Projects Services

Annual Report - Fiscal Year 2018

07/01/2017 – 06/30/2018

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Proposals

In fiscal year 2017-2018 (FY18), 1,030 proposals were submitted requesting a total of $145 million in first-year funding. Of the 1,030 proposals:

- 83% of the submissions were for new funding.
- 62% involved federal funding.

Awards

The University of Oregon (UO) was awarded $123.2 million from external funding sources in grants, contracts and other competitive awards for FY18. This comprised 576 awards received by 301 Principal Investigators (PIs). Direct federal awards in support of UO sponsored activities totaled $81.8 million and the addition of federally-funded subawards brought the total federal award support to $97.4 million, or 79% of the total funding awarded in FY18. Total federal award support increased $3.8 million (or about 4%) from FY17. In FY18 funding from non-federal sources like industry, foundations, and associations increased by 22% from FY17.

Expenditures

Expenditures on 1,148 active grants and contracts during FY18 totaled $119.4 million, including both direct costs and facilities and administration expenditures. FY18 sponsored expenditures increased by 7% ($8.2 million) compared to FY17. Expenditure totals cannot be directly compared to award totals for the same fiscal year, because grant periods do not correspond strictly to our fiscal year. Organized Research accounted for $79.8 million (67%) of the total sponsored expenditures in FY18, while Instruction and Other sponsored activities accounted for the remainder.

Facilities and Administrative Costs

Revenue from the federal government and other agencies to recover already expended university Facilities and Administrative (F&A) costs totaled $22.6 million in FY18. Although the federally negotiated F&A rate budgeted for on-campus organized research activities increased to 47.5% starting in FY18 some activities carry a lower F&A rate and some agencies do not allow the federally negotiated rate to be charged to recover the revenue against already expended university costs. The effective F&A recovery rate was 23.4%, which is a decrease compared to FY17 (25.0%).

F&A costs recovered in FY18, together with some ICC fund reserves, were allocated for FY19 expenditures in many areas. These allocations yielded the following distribution:

- Faculty Support* 37.6%
- Unit Administration (formulaic return based on sponsored activity) 20.7%
- Central Research Administration 28.2%
- Utilities 13.5%

Faculty Support includes capital construction expenditures, start-up costs, retention costs, core research facilities, support for the library and support of programs and activities related to research, scholarship and creative inquiry.

Proposal Submissions

Requested First Year Funding Total for Submitted Proposals: **$145,324,037**

Count of Submitted Proposals: **1,030**

Figure 1: First Year Funding Requested by Proposal Submission Type FY18
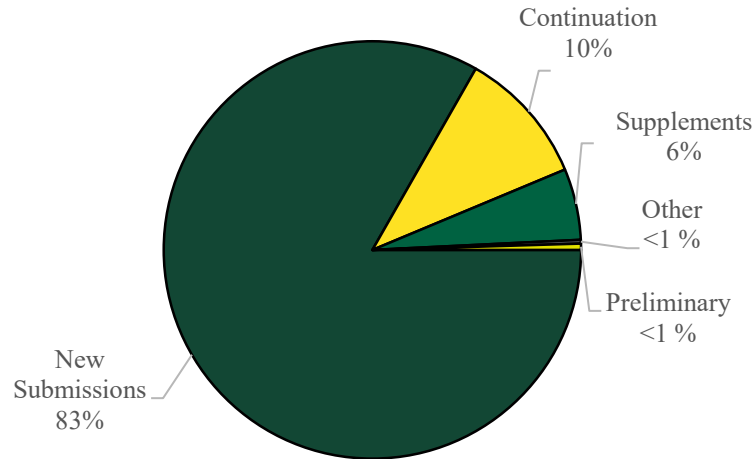
Figure 1 shows funding requested in FY18 broken down by proposal submission type. The dollar-values used in this figure reflect proposals' first year budgets. New submissions are those proposals that request funding for a new project including new awards, revisions, and resubmissions. Continuations include both competitive and non-competitive continuations.

Figure 2: Proposal Submission by Sponsor Type FY18
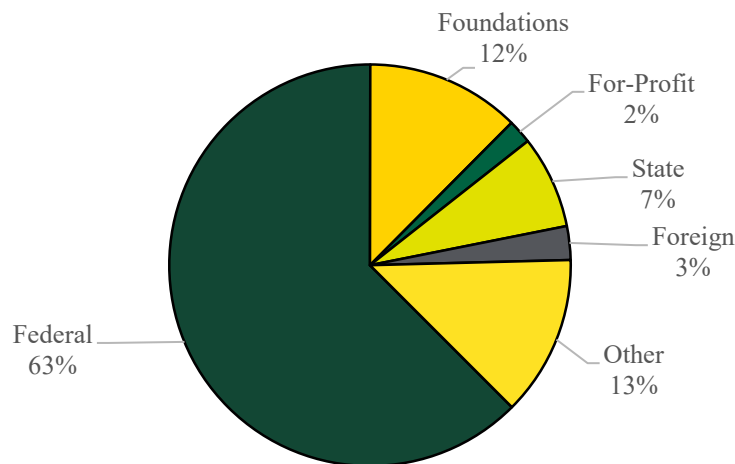
Figure 2 shows the percentage of proposals submitted by sponsor type. The "State" category includes U.S. state, county, and municipal governments. The "Other" category includes educational institutions, associations, not-for-profit corporations, and misc. sources that don't fit into other categories.

Figure 3: First Year Funding Requested by Sponsor Type FY18
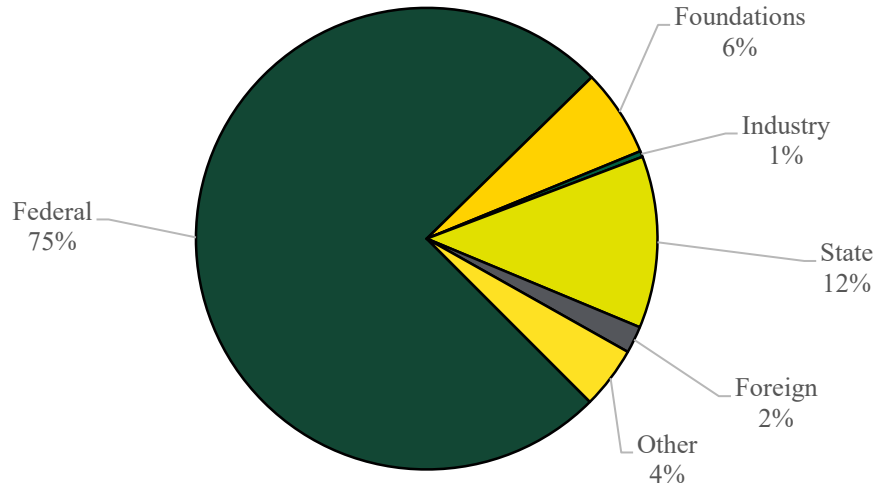
Figure 3 shows funding requested in FY18 categorized by the type of sponsor. Generally this reflects the type of entity providing funds to the University, but when a sub-award is proposed the funding type of the originating sponsor is used. The "Other" category includes educational institutions, associations, not-for-profit corporations, and misc. sources that don't fit into other categories.

Figure 4: First Year Funding Requested by Federal Agency
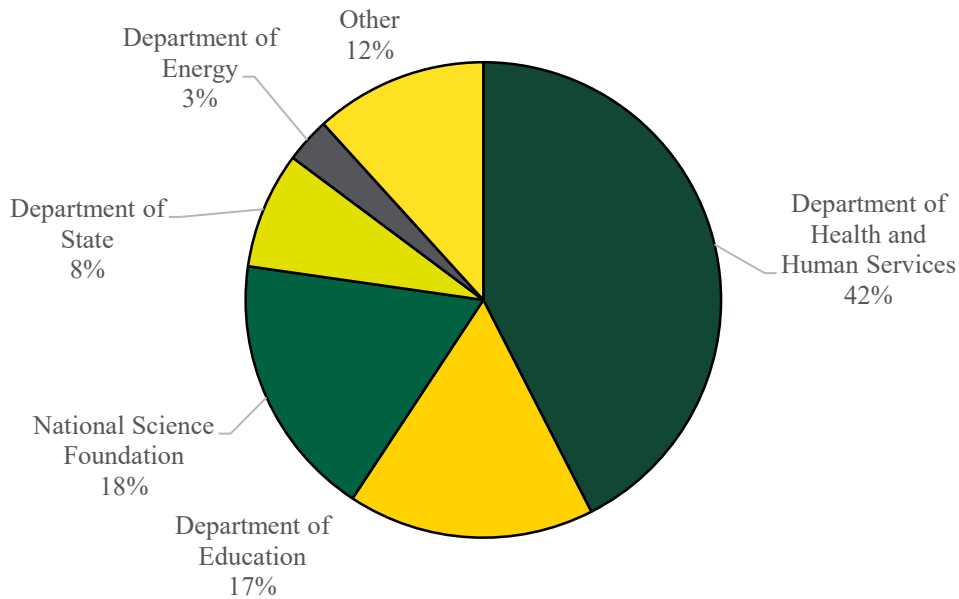
Figure 4 shows federal funding requested in FY18 categorized by the sponsoring agency. Agencies are categorized to the highest-level organization. In most cases this is a cabinet-level agency. For example, the National Institutes of Health (NIH) are included within the Department of Health and Human Services.

Figure 5: Proposal Submission Counts Across Fiscal Years
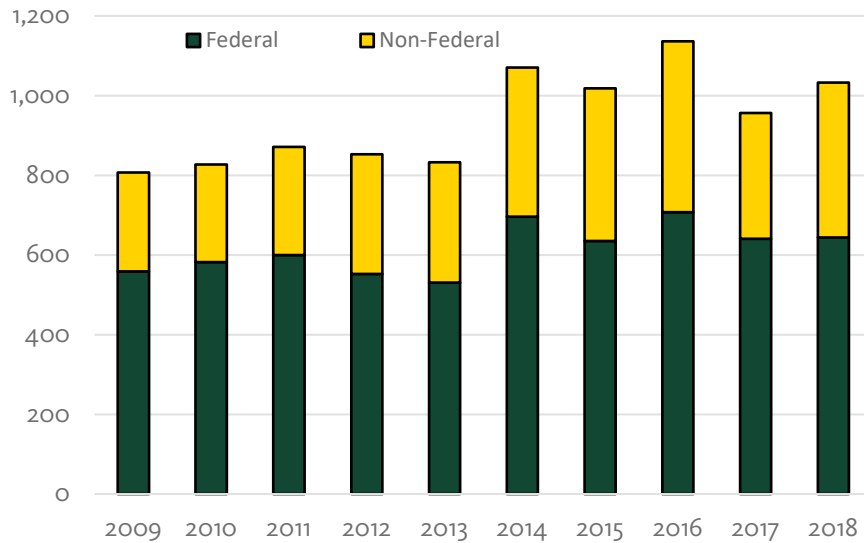
Figure 5 provides a multi-year summary of the number of proposal submitted categorized by whether the funding organization is a federal agency or not. Generally this reflects the type of entity providing funds to the University, but when a sub-award is proposed the funding type of the originating sponsor is used.

Awards Received

Total FY18 Funding Awarded: **$123,222,663**

Figure 6: Total Funds Awarded by Sponsor Type
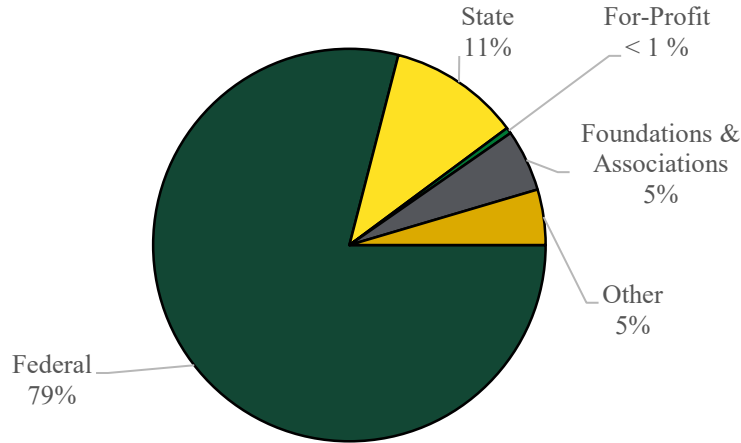
Figure 6 shows total funds awarded to the University in FY18 by sponsor type as a proportion of all awards. When an award is received through a sub-award this reflects the type of the originating sponsor. This is based on the award's category as recorded in Banner. The "Other" category includes local governments, foreign entities, and other organizations that don't fit into existing categories.

Figure 7: Federal Funding Amounts by Agency

Figure 7 further breaks down federal funds awarded to the University in FY18 by the federal agency providing funding. Agencies are categorized to the highest-level organization. In most cases this is a cabinet-level agency. For example, the National Institutes of Health (NIH) are included within the Department of Health and Human Services.

Table 1: Total Funds Awarded by Year by Sponsor Type

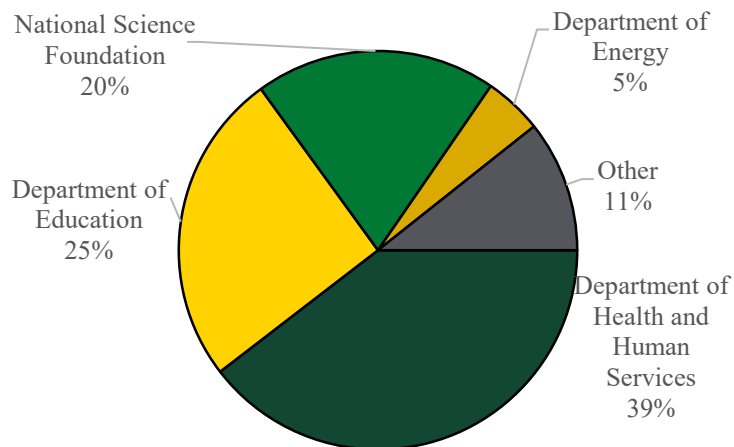| Fiscal Year	Total Funding Received	Federal/ Flow-Through	State	Industry	Foundation/ Association	Other
FY08	115,285,648	101,060,427	3,344,680	902,609	5,474,905	4,503,027
FY09	100,516,110	87,968,252	2,254,021	808,177	6,100,713	3,384,947
FY10	135,588,604	125,382,063	2,526,126	645,658	4,532,876	2,501,881
FY11	110,161,835	98,476,259	1,294,247	789,017	7,038,469	2,563,844
FY12	110,631,365	96,985,189	1,916,272	4,025,266	5,030,442	2,674,195
FY13	97,622,652	86,446,107	1,106,013	1,765,868	3,716,527	4,588,137
FY14	110,281,412	97,337,525	2,299,615	2,208,409	4,023,606	4,412,256
FY15	114,634,756	103,452,321	3,986,892	578,045	3,632,107	2,985,392
FY16	116,950,612	98,585,848	2,387,054	445,822	10,954,341	4,577,547
FY17	114,859,116	93,616,130	12,509,968	680,095	3,940,101	4,112,823
FY18	123,222,663	97,368,806	13,331,506	610,957	6,281,307	5,630,088

Table 1 provides a multi-year summary of the total funds awarded to the University by sponsor type. This is based on the award's category as recorded in Banner. When an award is received through a sub-award this reflects the type of the originating sponsor. The "Other" category includes local governments, foreign entities, and other organizations that don't fit into existing categories.

Figure 8: Total Funds Awarded by Year by Sponsor Type (in millions)
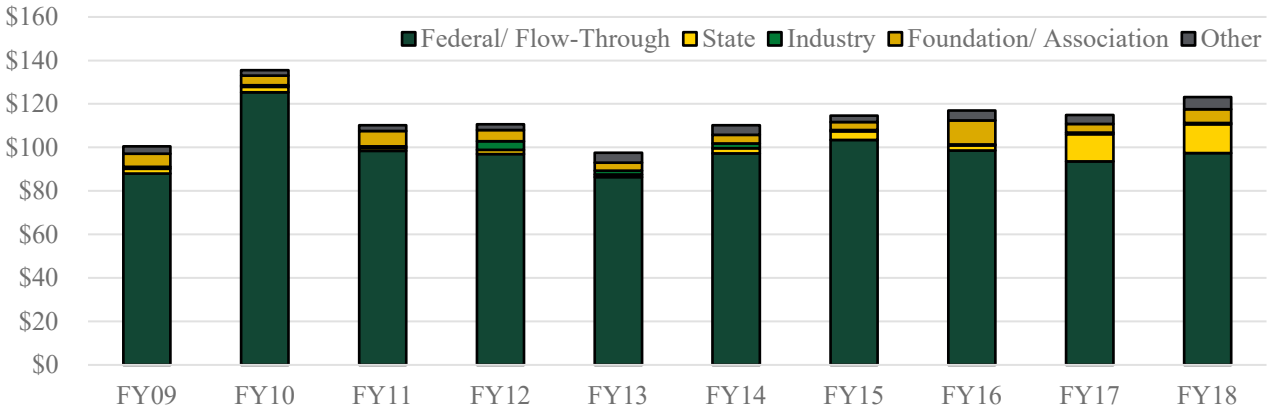
Figure 8 is a visual representation of the information in Table 1.

Figure 9: Total Sponsored Funding Awarded in millions (ARRA Detail)
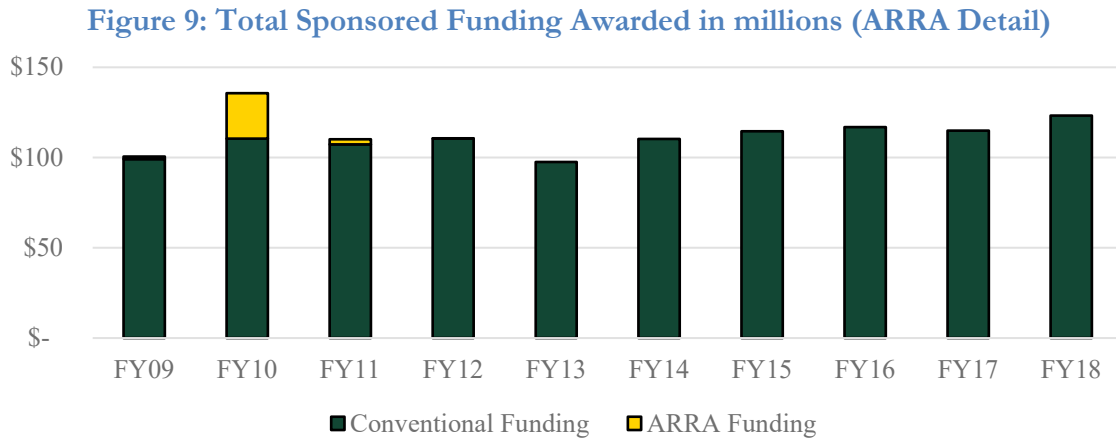
Figure 9 is a multi-year summary of funding received from the American Recovery and Reinvestment Act of 2009 (ARRA). ARRA provided significant one-time funding intended to help stimulate economic growth.

Figure 10: Sponsored Awards Received by Activity Type in FY18 (Percent)
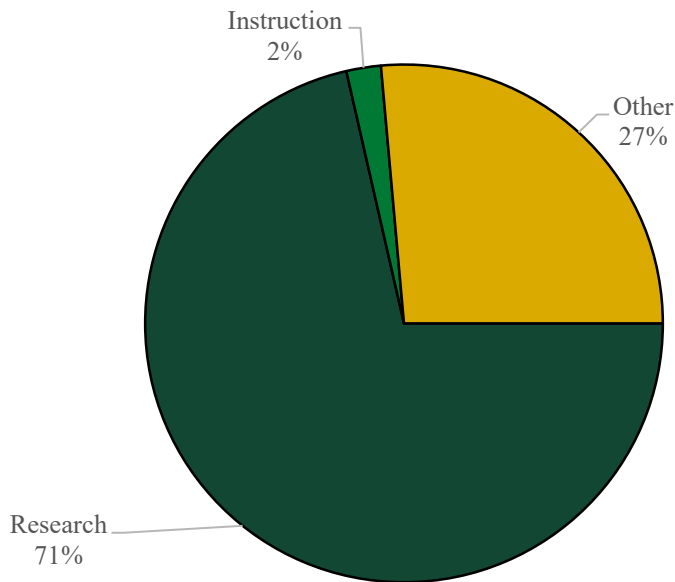
Figure 10 shows the percentage of total funds received in FY18 by activity type. This is based on an award's subcategory type as recorded in Banner. The "Other" category includes awards for fellowships, equipment purchases, and public service.

Figure 11: Total Awards Received by Year by Activity Type (in millions)
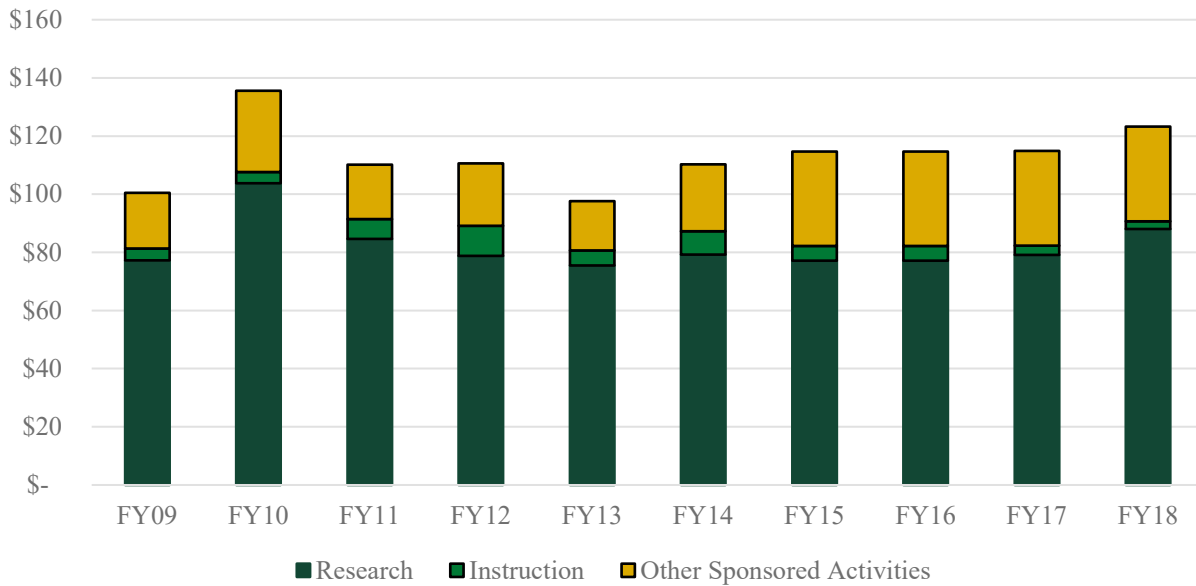
Figure 11 provides a multi-year summary of awards by activity type. This is based on an award's subcategory as recorded in Banner. The "Other" category includes awards for fellowships, equipment purchases, and public service.

Figure 12: FY18 Awards Received by PI's Home College
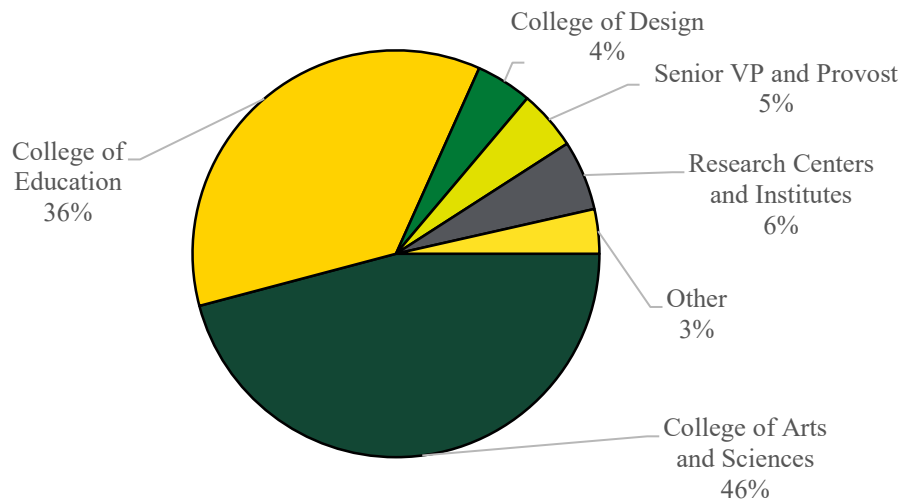
Figure 12 shows the proportion of awards received in FY18 by each college or organization. Awards are categorized based on the home unit of the PI who received the award. The "Senior VP and Provost" category primarily includes the Graduate School, libraries, and UO museums. The "Other" category includes Knight Campus as well as organizations that don't fit into other categories.

Table 2: Awards Received by PI Home Organization FY18

|					
College of Arts & Sciences	**56,530,148**	Counseling Psychology	2,299,367	Institute of Neuroscience	1,368,175
American English Institute	347,397	Counseling, Family, and Human Services	715,788	Materials Science Institute	109,708
Anthropology	456,292	Early Childhood Cares Program	11,267,467	Neuroinformatics Center	603,300
Biology	19,251,731	Early Intervention Program	409,990	Northwest Indian Language Institute	47,623
Chemistry	7,330,613	Education Studies	2,893,560	Oregon Institute of Marine Biology	88,877
Computer & Information Science	3,746,796	Educational and Community Supports	5,894,193	Prevention Science Institute	414,197
Earth Sciences	2,214,250	Educational Methodology, Policy, and Leadership	999,816	**Research Core Services**	**9,287**
East Asian Languages and Literatures	926,062	Family and Human Services	3,025,784	Center for Advanced Materials Characterization in Oregon	500
Economics	591,154	Human Development	247,986	Research Core Business Services	8,787
English	685,074	Institute on Violence and Destructive Behavior	129,956	**Vice President for Student Services**	**249,372**
Environmental Studies	783,960	Office of the Dean	10,150	Academic Extension	224,372
Ethnic Studies	20,000	Oregon Career Information System	579,908	Admissions	25,000
Geography	76,989	Prevention Science	683,641	**Vice President of Student Life**	**73,601**
History	1,020,175	School Psychology	6,228,040	Career Center	19,504
Human Physiology	2,482,490	Secondary Special Education and Transition Research	2,641,971	Dean of Student Operations	54,097
Linguistics	1,289,236	Special Education	2,791,779	**University Communications**	**95,393**
Mathematics	1,158,217	**College of Journalism and Communication**	**453,718**	University Communications	95,393
Philosophy	39,486	Journalism and Communication	453,718	**Vice President for Research and Innovation**	**233,884**
Physics	4,108,137	**College of Law**	**617,517**	Vice President for Research	233,884
Psychology	9,661,534	Law	617,517		
Religious Studies	220,000	**VP of Finance and Administration**	**284,844**	**Grand Total**	**123,222,663**
Romance Languages	50,400	Campus Operations	23,000		
Sociology	10,152	Enterprise Risk Services	261,844		
Yamada Language Center	60,002	**President**	**2,223,082**		
College of Business	**114,795**	Knight Campus	2,223,082		
College of Business	114,795	**Senior Vice President and Provost**	**5,842,246**		
College of Design	**5,482,700**	Graduate School	1,229,513		
Architecture & Interior Architecture	2,096,172	Jordan Schnitzer Museum of Art	853,821		
Art History	10,000	Labor Education & Research Center	57,969		
Historic Preservation	82,380	Libraries	1,086,473		
Institute for Policy Research and Engagement	1,991,207	Museum of Anthropology	1,375,021		
Landscape Architecture	599,122	Museum of Natural and Cultural History	395,859		
Planning, Public Policy, and Management	596,319	Oregon Bach Festival	45,558		
Product Design	40,000	Undergraduate Studies	798,032		
Sustainable Cities Initiative	67,500	**Research Centers & Institutes**	**6,855,935**		
College of Education	**44,156,141**	Center on Brain Injury Research Training	1,272,983		
Behavioral Research and Training	1,670,323	Center on Teaching & Learning	1,933,101		
Center for Advanced Technology in Education	4,336	Institute for Ecology Evolution	688,369		
Center for Equity Promotion	1,583,336	Institute for Molecular Biology	175,306		
Communication Disorders & Sciences	78,750	Institute for Sustainable Environment	154,297		

Table 2 provides a more detailed look at the information in Figure 12. Awards are categorized based on the home unit of the PI receiving the award.

Figure 13: Awards Received by Administered Unit FY18

Research Centers and Institutes, $48,614,052
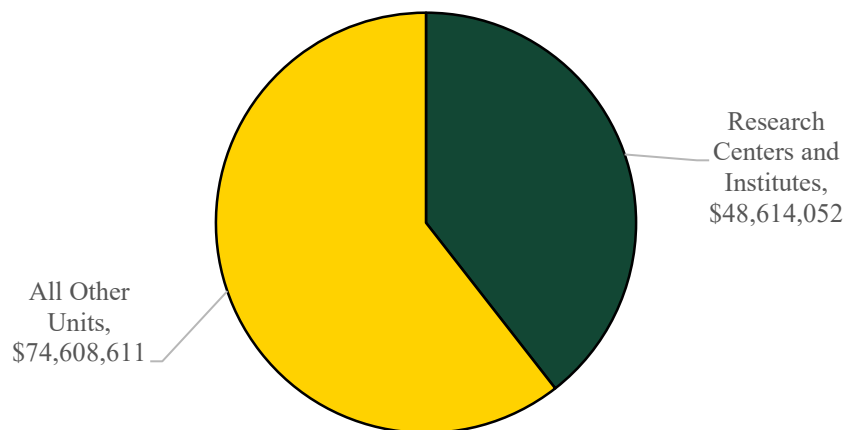
All Other Units, $74,608,611

Figure 13 shows FY18 awards by the organization administering the award. This is based on an award's responsible organization as recorded in Banner.

Table 3: Funding Administered by Research Center/Institute FY18

Research Center or Institute	FY18 Awards
Committee on the Advancement of Women Chemists	$ 549,999
Center on Brain Injury Research and Training	$ 1,272,983
Center for High Energy Physics	$ 1,865,786
Center for Optical, Molecular and Quantum Science	$ 1,200,674
Institute of Ecology and Evolution	$ 5,504,513
Institute of Molecular Biology	$ 5,913,718
Institute of Theoretical Science	$ 91,000
Institute of Neuroscience	$ 16,693,398
Institute for a Sustainable Environment	$ 679,623
Materials Science Institute	$ 4,524,595
Oregon Advanced Computing Institute for Science and So	$ 966,910
Oregon Institute of Marine Biology	$ 164,846
Prevention Science Institute	$ 9,176,721
Total	48,604,765

Table 3 summarizes the funding administered by each research center or institute organized within the Office of the Vice President for Research and Innovation. The amounts are different than in Table 2 because many awards are administered by research institutes, even though the PI receiving the award has a home in another unit.

Sponsored Project Expenditures

Figure 14: Sponsored Project Expenditures by Year by Sponsor Type (in millions)

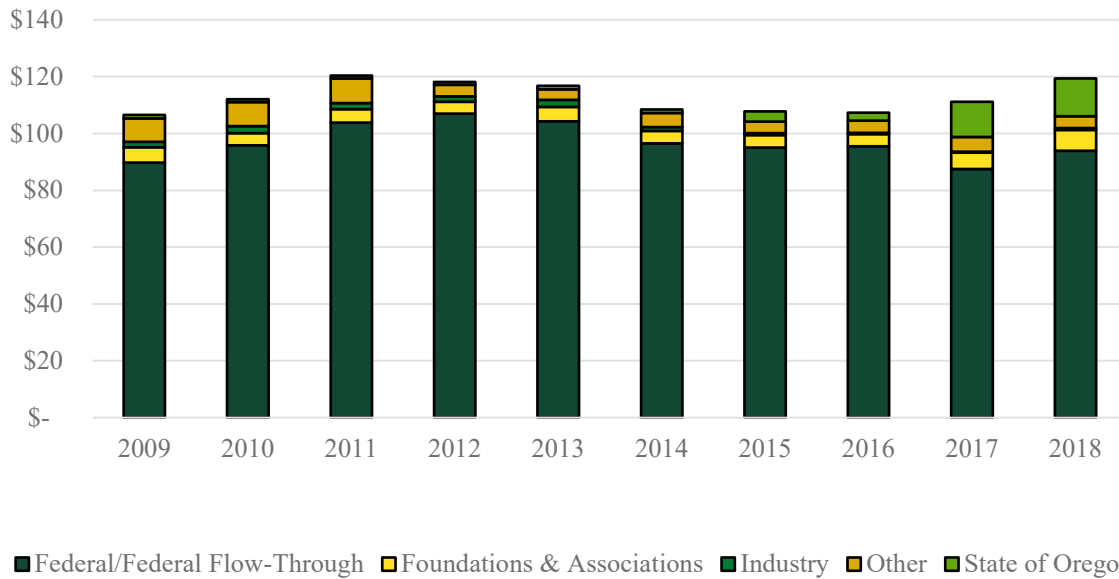Legend: ■ Federal/Federal Flow-Through ■ Foundations & Associations ■ Industry ■ Other ■ State of Oregon

Figure 14 is a multi-year summary of expenditures from sponsored funds by sponsor type. This is based on the award's category as recorded in Banner. When an award is received through a sub-award this reflects the type of the originating sponsor. The "Other" category includes local governments, foreign entities, and other organizations that don't fit into existing categories. State expenditures increased in FY17 because a large program was recategorized from federal to state.

Figure 15: Sponsored Project Expenditures Across Fiscal Years ARRA Detail (in millions)

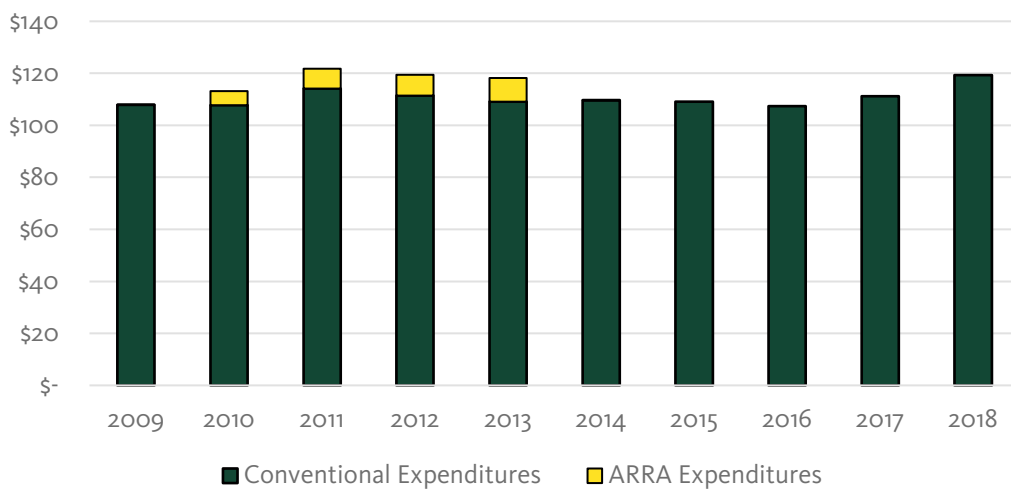Legend: ■ Conventional Expenditures ■ ARRA Expenditures

Figures 15 is a multi-year summary of expenditures from funding received from the American Recovery and Reinvestment Act of 2009 (ARRA).

Figure 16: Total Direct Sponsored Expenditures by Cost Category FY18

Equipment, $2,134,196 , 2%

Other Direct Costs, $5,800,116 , 6%

Services and Supplies, $27,991,592 , 29%
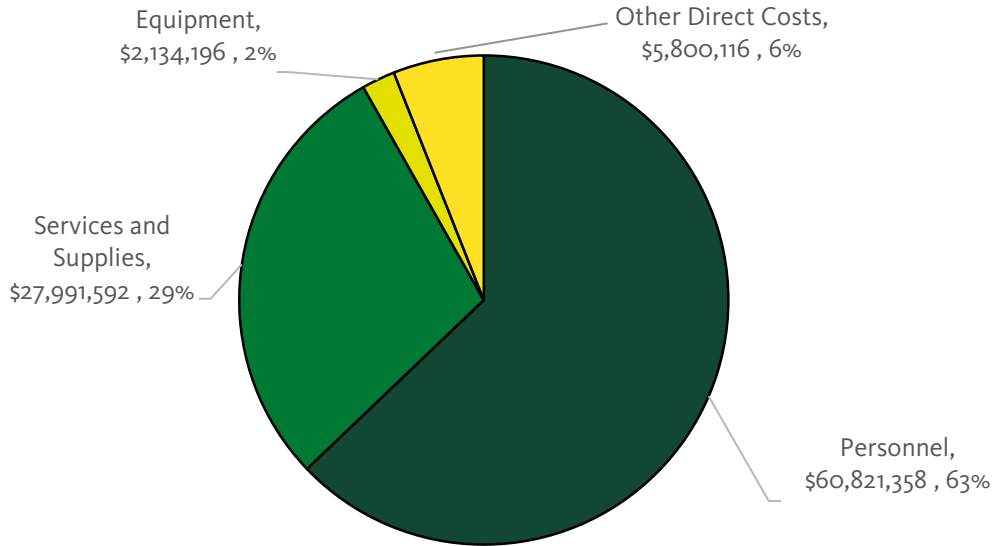
Personnel, $60,821,358 , 63%

Figure 16 summarizes the expenditure of sponsored funds in FY18, not including indirect costs. Indirect costs are also called "facilities and administration" costs and are discussed more in the F&A section. The "Other" category includes student aid and interfund transfers.

Figure 17: Total Project Expenditures by Activity Type FY18

Instruction, $4,113,367 , 3%
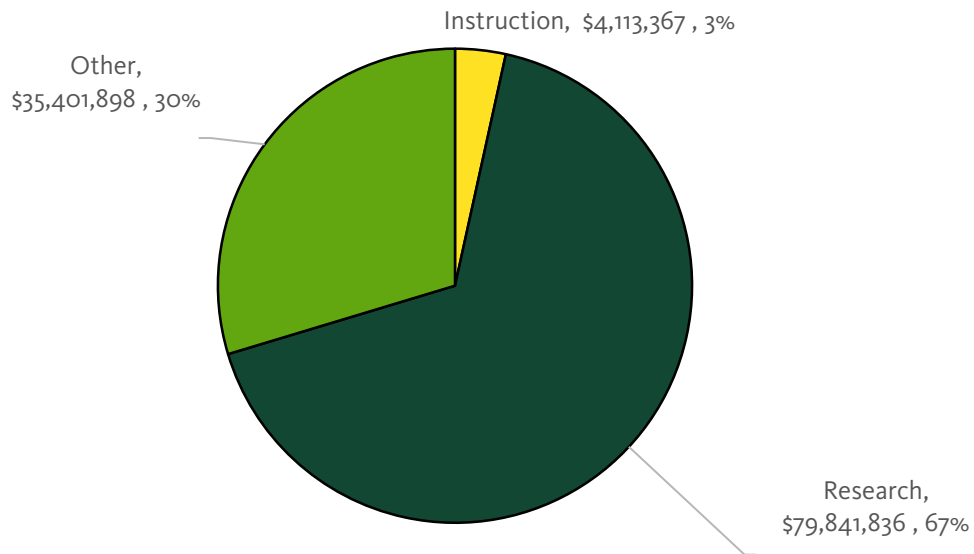
Other, $35,401,898 , 30%

Research, $79,841,836 , 67%

Figure 17 summarizes expenditures from sponsored funds in FY18 by activity type. This is based on the program level information in Banner. The "Other" category includes expenditures for student services, plant operations, and other miscellaneous categories.

Figure 18: Total Project Expenditures by Year across Activity Type (in millions)
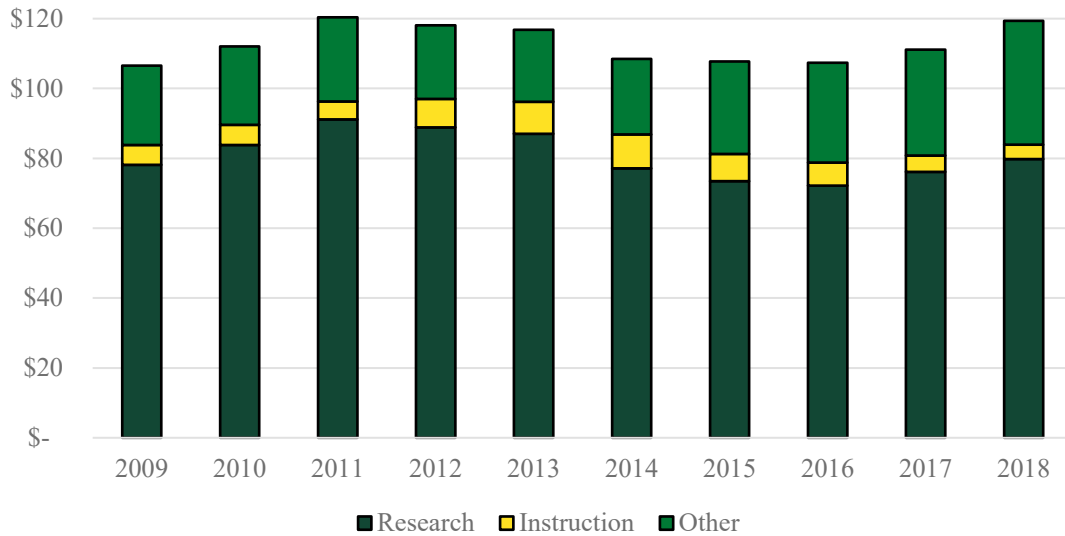

Figure 18 is a multi-year summary of expenditures from sponsored funds by activity type. This is based on the program level information in Banner. The "Other" category includes expenditures for student services, plant operations, and other miscellaneous categories.

Figure 19: Federally-Financed Research Expenditures as Reported on the NSF HERD Survey (in millions)
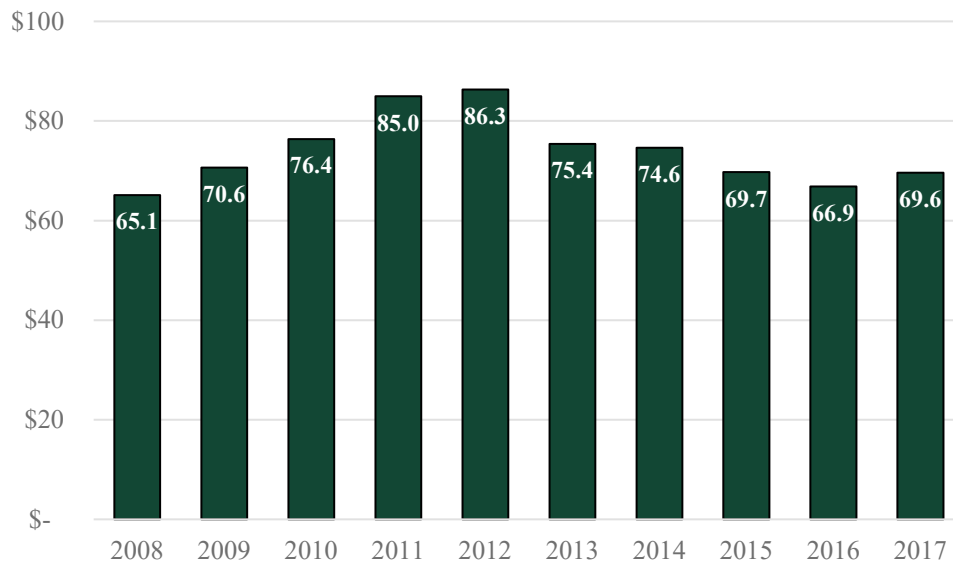
Each year OVPRI reports research expenditures on the National Science Foundation's Higher Education Research and Development (HERD) Survey. Figure 19 summarizes our reported federally-financed expenditures.

Figure 20: Total Research Expenditures from Institutional Funds as Reported on the NSF HERD Survey (in millions)
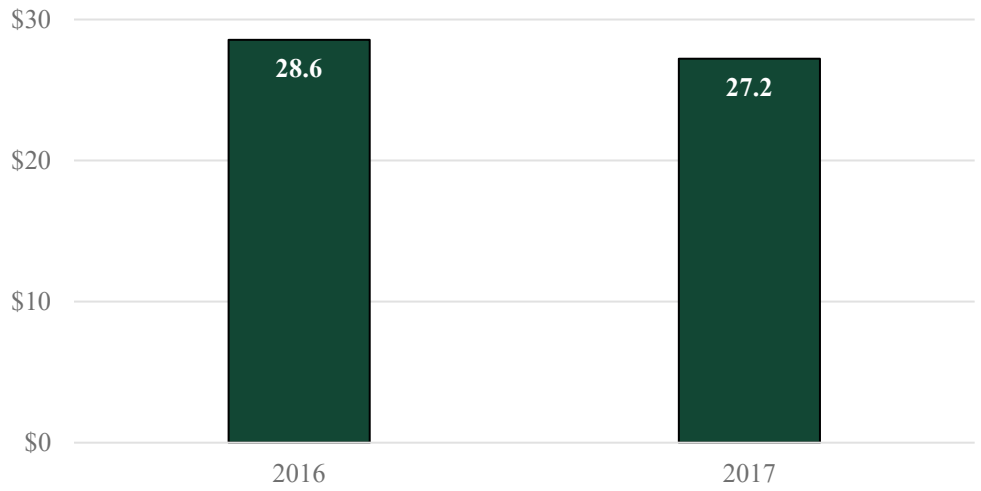
Each year OVPRI reports research expenditures on the National Science Foundation's Higher Education Research and Development (HERD) Survey. Figure 20 summarizes our reported expenditure of institutional funds. Institutional funds include UO-funded training grants, startup funds, and other amounts used to fund research. It does not include capital costs related to research facilities or amounts provided through the UO Foundation.

Facilities & Administrative Cost Analysis

Figure 21: Facilities & Administrative Cost Recovery Totals Across Fiscal Years
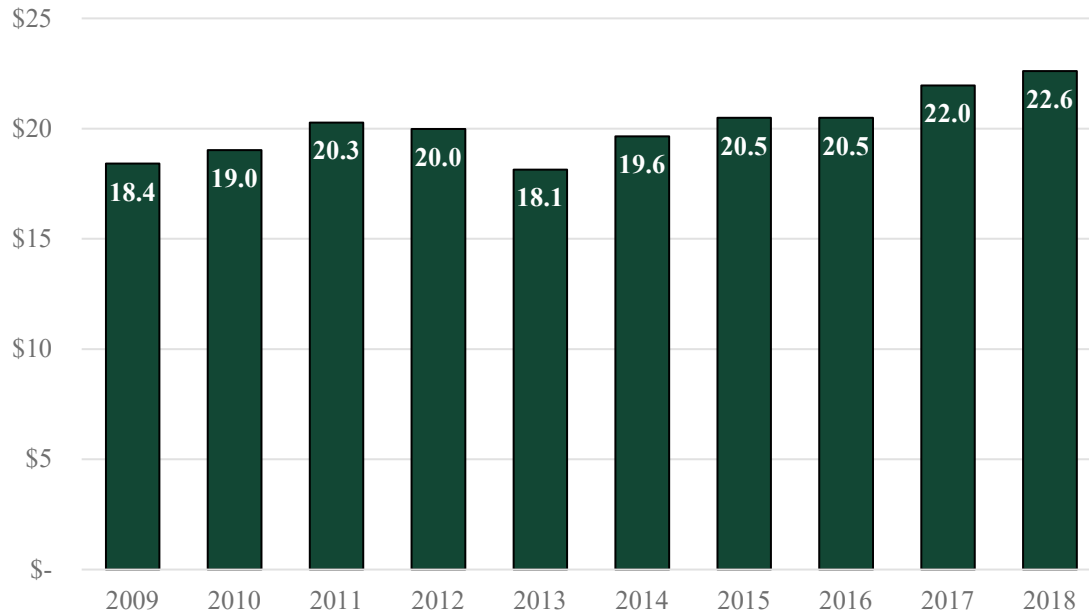
(in Millions)

Figure 21 summarizes recovered facilities and administrations costs in FY18. Recovered indirect costs are those indirect costs paid for by sponsored funds. The university also incurs unrecovered indirect costs, such as cost-share requirements, that are not included here.

Figure 22: Facilities & Administrative Recovery Allocation FY18
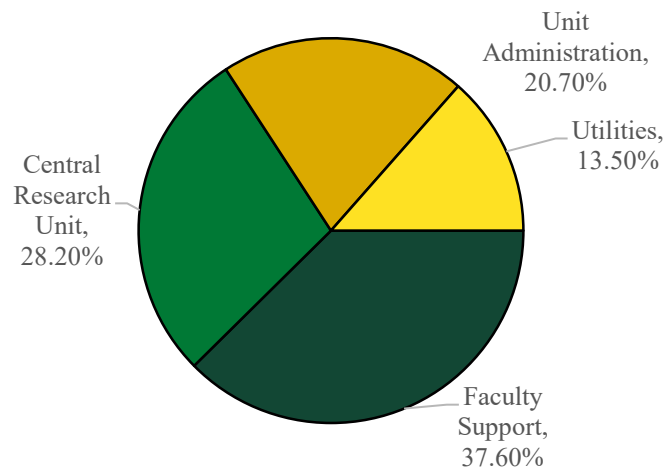

Figure 22 summarizes how F&A collected in FY18 was allocated in the FY19 beginning budget process.

Appendix I: Data Sources and Methods

This section describes the sources used to construct the Annual Report. It also discloses how data was filtered. The intent is to provide an over-all sense of what each category of data is intended to represent.

Proposal Submissions

Data in this section is based on proposal submissions from the Electronic Proposal Clearance System (E-PCS). This data is intended to represent submissions, so proposals that were deleted by the investigator, revised by another record, or abandoned are not included in this report. Additionally, the proposal's due date is used to determine whether it should be included. Proposals with due dates in FY18 are included.

Awards Received

Award receipts are based on budgets loaded in to Banner. This data includes actual budgets loaded to sponsored funds during FY18. This information is transactional; a manual data-cleaning process is used to adjust for administrative transactions such as budget carry-forward, close-out, and others.

Sponsored Project Expenditures

Sponsored project expenditures are based on expenditures in Banner, subject to a number of filters. Only expenditures from sponsored funds and associated with a grant ID are included. Additionally, expenditures for program codes associated with tuition or fees are excluded, as are those related to work-study programs. Transfers and fund additions are not included.

F&A

The F&A values reported are intended to reflect recovered facilities and administration costs. F&A amounts are based expenditures in Banner. The data is limited to account 03400 (F&A Cost Recovery).