

Sponsored Projects Services

Annual Report - Fiscal Year 2018

07/01/2017 - 06/30/2018

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Executive Summary

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

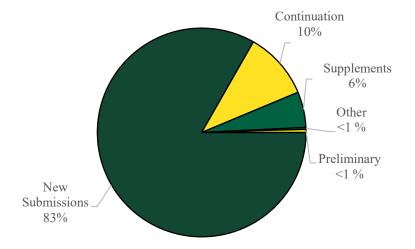


Figure 1 shows funding requested in FY18 broken down by proposal submission type. The dollarvalues used in this figure reflect proposals' first year budgets. New submissions are those proposals that request funding for a new project including new awards, revisions, and resubmissions. Continuations include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

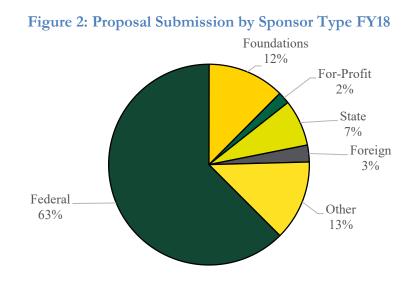


Figure 2 shows the percentage of proposals submitted by sponsor type. The "State" category includes U.S. state, county, and municipal governments. The "Other" category includes educational institutions, associations, not-for-profit corporations, and misc. sources that don't fit into other categories.

Figure 3: First Year Funding Requested by Sponsor Type FY18

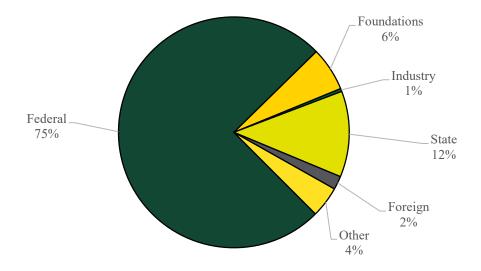


Figure 3 shows funding requested in FY18 categorized by the type of sponsor. Generally this reflects the type of entity providing funds to the University, but when a sub-award is proposed the funding type of the originating sponsor is used. The "Other" category includes educational institutions, associations,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

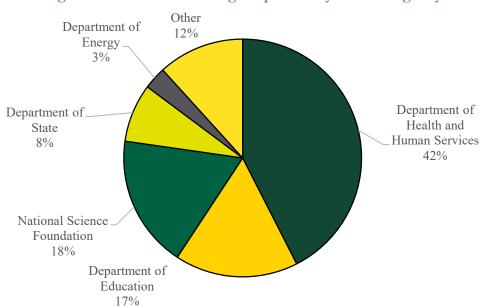


Figure 4: First Year Funding Requested by Federal Agency

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.

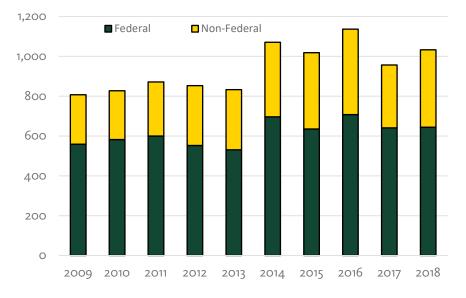


Figure 5: Proposal Submission Counts Across Fiscal Years

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

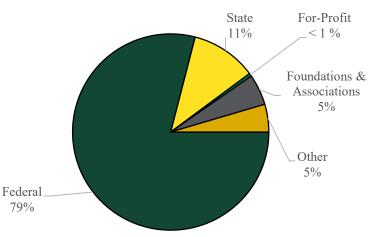


Figure 6: Total Funds Awarded by Sponsor Type

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.

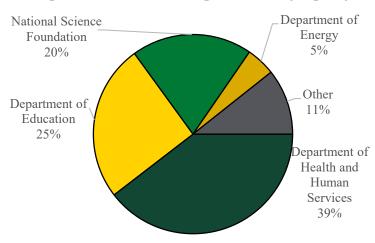


Figure 7: Federal Funding Amounts by Agency

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.

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: Total Funds Awarded by Year by Sponsor Type

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.

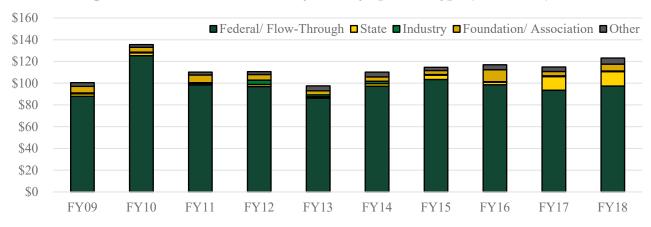


Figure 8: Total Funds Awarded by Year by Sponsor Type (in millions)

Figure 8 is a visual representation of the information in Table 1.

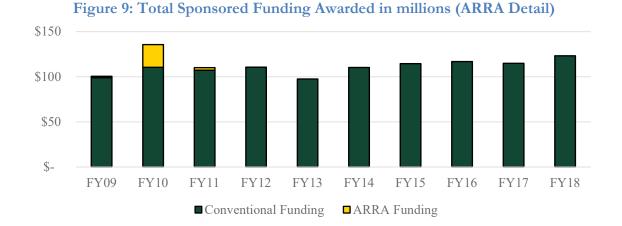


Figure 9 is a multi-year summary of funding received from the American Recovery and Reinvestment Act of 2009 (ARRA). ARRA provided significant one-time funding intended to help stimulate economic growth.

Instruction 2% Other 27% 8esearch 71%

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.

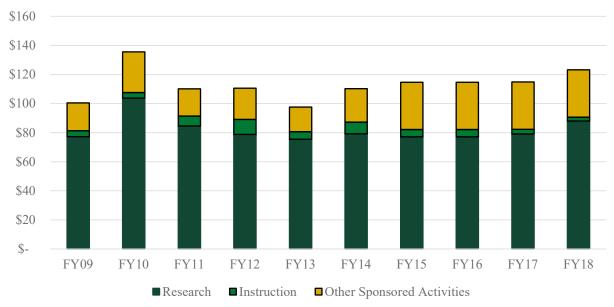


Figure 11: Total Awards Received by Year by Activity Type (in millions)

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.

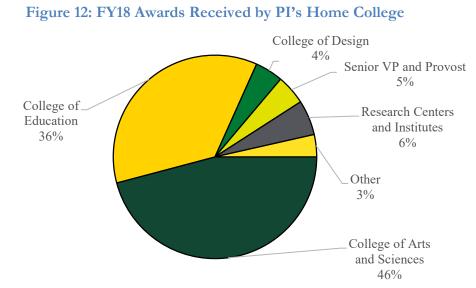


Figure 12 shows the proportion of awards received in FY18 by each college or organization. Awards are categorized based on the home unit of the PI who received the award. The "Senior VP and Provost" category primarily includes the Graduate School, libraries, and UO museums. The "Other" category includes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

Table 2: Awards Received by PI Home Organization FY18

College of Art's & Sciences 56,590.448 Courseling Psychology 2,937 Institute of Neuroscience 1,868,175 American English Institute 347,379 Courseling Psychology 12,67,67 Neuroinformatics Center 603,300 Biology 19,27,173 Early Intervention Program 409,390 Neuroinformatics Center 603,300 Computer & Information Science 7,47,016 Education Studies 2,835,80 Oregon Institute of Haine Biology 88,877 Camputer & Information Science 7,47,076 Education and Community Supports 5,884,139 Prevention Science Institute 9,267 East Akian Languages and Literatures 92,167 Research Core Burliess Services 9,287 Environmental Studies 73,060 Foreing and Human Services 129,365 Vector For Advanced Materials Characterization In Oregon 500 English 663,777 Institute of Neuroscience 643,778 Corres English 244,722 Environmental Studies 73,060 Oregon Career Information System 757,968 Career Center 74,060 Hindsory 1,158,171 Scicola Fystophology			2. maido neccirca sy i i itoi			
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Biology 19,251,731 Early Intervention Program 409,990 Northwest Indian Language Institute 47,623 Chemistry 7,330,613 Education Studies 2,093,000 Oregon Institute of Mainie Biology 88,877 Computer & Information Science 3,746,796 Educational Methodology, Policy, and Ladership 999,618 Research Core Services 9,287 Easth Sciences 2,214,250 Educational Methodology, Policy, and Ladership 999,618 Research Core Services 9,287 Easth Sciences 9,237 Institute on Violence and Destructive Behavior 129,956 Vice President of Student Services 2,29,372 Environmental Studies 70,890 Prevention Science 66,314 Vice President of Student Uservices 2,29,372 Ethrics Studies 1,020,175 School Psychology 2,642,970 Admissions 2,500 History 1,020,175 School Psychology 2,642,971 University Communication 95,533 History 1,020,175 School Psychology 2,642,970 University Communication 95,533 Physiology 2,462,940 Secondary S						
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Communication Disorders & Sciences 78,750 Institute for Sustainable Environment 154,297						
	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

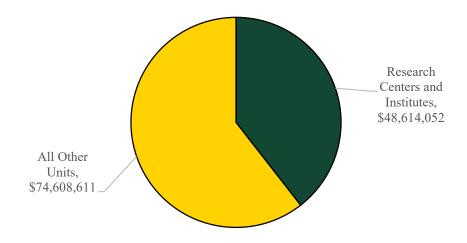


Figure 13 shows FY18 awards by the organization administering the award. This is based on an award's responsible organization as recorded in Banner.

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: Funding Administered by Research Center/Institute FY18

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

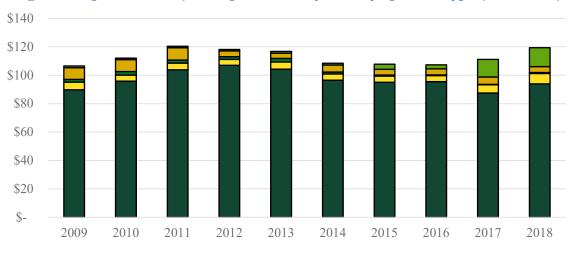


Figure 14: Sponsored Project Expenditures by Year by Sponsor Type (in millions)

■ 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.

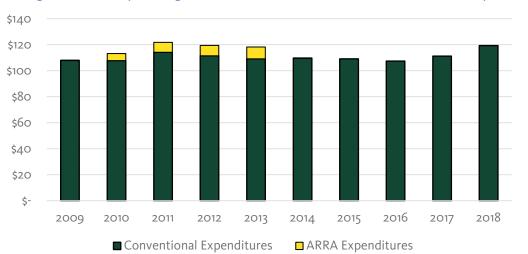


Figure 15: Sponsored Project Expenditures Across Fiscal Years ARRA Detail (in millions)

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

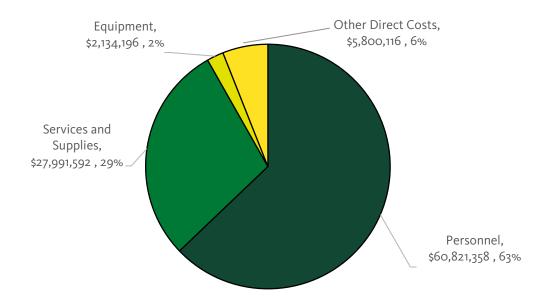


Figure 16 summarizes the expenditure of sponsored funds in FY18, not including indirect costs. Indirect costs are also called "facilities and administration" costs and are discussed more in the F&A section. The "Other" category includes student aid and interfund transfers.

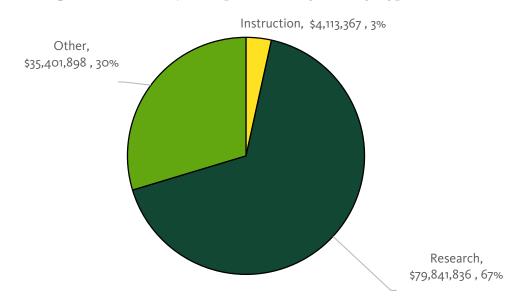


Figure 17: Total Project Expenditures by Activity Type FY18

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.

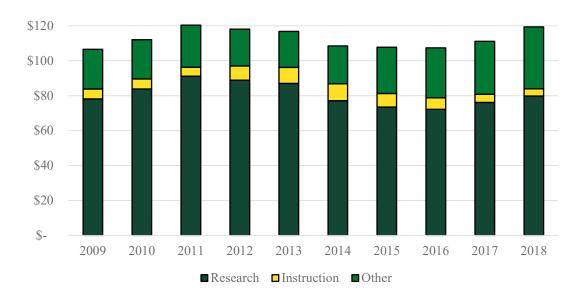
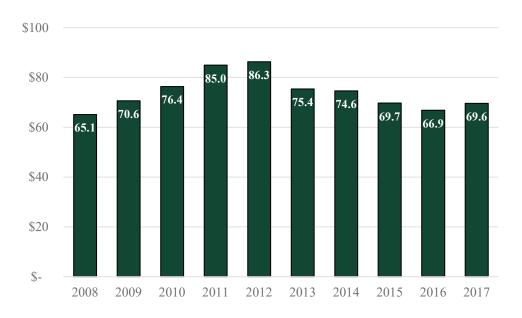


Figure 18: Total Project Expenditures by Year across Activity Type (in millions)

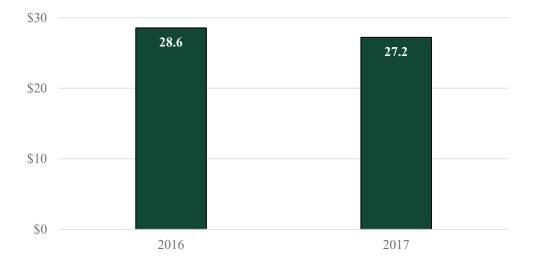
Figure 18 is a multi-year summary of expenditures from sponsored funds by activity type. This is based on the program level information in Banner. The "Other" category includes expenditures for student services, plant operations, and other miscellaneous categories.

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.

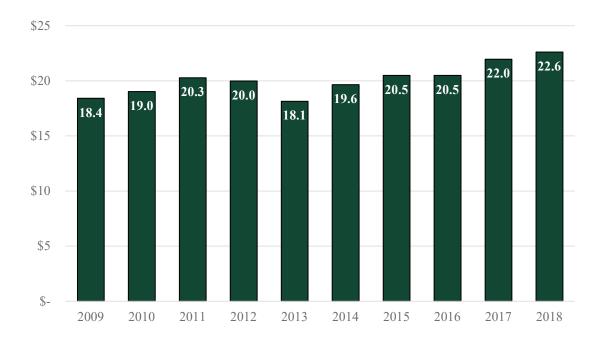
Figure 20: Total Research Expenditures from Institutional Funds as Reported on the NSF HERD Survey (in millions)



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.



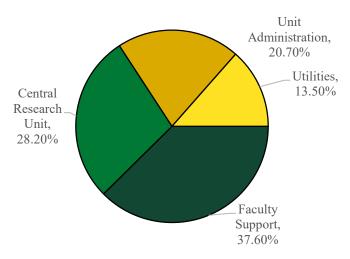


Figure 22 summarizes how F&A collected in FY18 was allocated in the FY19 beginning budget process.

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).