UNIVERSITY OF OREGON

Sponsored Projects Services

Annual Report - Fiscal Year 2019

07/01/2018 – 06/30/2019

Table of Contents

Executive Summary

The Office of the Vice President for Research and Innovation publishes a report regarding Sponsored Projects Services' activities annually. This report provides a variety of figures representing the institution's proposals for external funding, the subsequent awarding of funds, as well as the expenditures from those funds. Taken as a whole the report provides a comprehensive picture of the year's sponsored project activities.

Sponsored research activity, measured by the expenditure of sponsored funds, increased $6 million over FY18 (+5%, see figure 13). In FY19 University of Oregon investigators spent about $125 million in sponsored funds, an increase from about $119 million in FY18. In dollar terms, spending from federal funds accounted for nearly all of this growth (about $5 million). The remaining $1 million in increased expenditures came from a combination of State of Oregon and miscellaneous funds.

Award budgets increased modestly, with federal awards increasing more than the average. $126 million in sponsored award budgets were entered for FY19, which is an increase of about $3 million from FY18 (+2%, see figure 8). Budgets from federal sources increased $5 million (+5%) since FY18.

When viewed by the home organization of the award's principal investigator, the largest increase was in budgets for awards to investigators in the College of Education. $49 million in these award budgets for FY19 were entered (see table 2), an increase of about $5 million (+11%) since FY18.

Total proposed first-year budgets increased $26 million over last year (+18%, see page 4), but the number of proposals remained steadier (+3%). UO investigators requested $171 million in funding from external sponsors in FY19 (see page 4). This is an increase of $26 million (+18%) since FY18.

The largest nominal growth was in requests to federal sponsors, which increased $27 million since FY18. The U.S. Department of Education saw the largest increase in proposals ($11 million or +59%). Although smaller in dollar terms proposals to the Department of the Interior quadrupled (+$4.8 million), while proposals to the Department of Agriculture almost tripled (+$1 million). Proposals to the National Science Foundation and Department of Health and Human Services grew at average rates. Notably, proposals to the Department of State declined significantly from $8.8 million in FY18 to only $1.1 million in FY19 (-87%).

Requests to other sponsors were generally stable, although budget proposals to industry sources quadrupled from about $0.5 million in FY18 to $2.1 million in FY19.

Proposal Submissions

Requested First Year Funding Total for Submitted Proposals: **$171, 466, 043**

Count of Submitted Proposals: **1,059**

Figure 1: First Year Funding Requested by Proposal Submission Type FY19
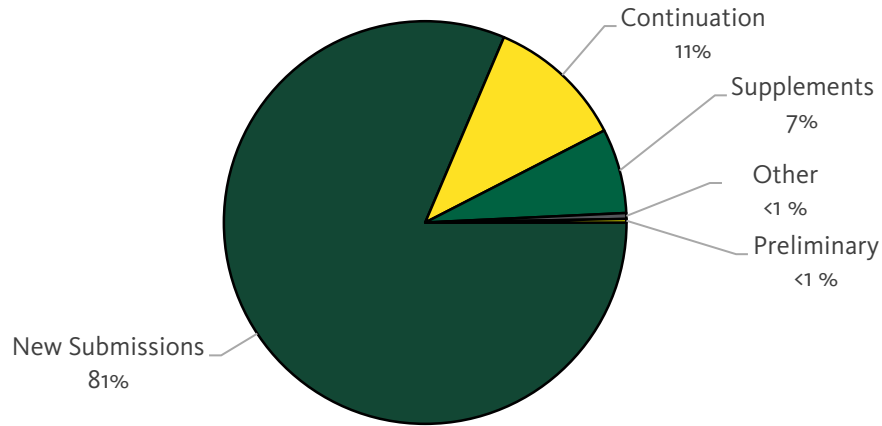
Figure 1 shows funding requested in FY19 broken down by proposal submission type. The dollar-values used in this figure reflect proposals' first year budgets. New submissions are those proposals that request funding for a new project, a category which includes new awards, revisions, and resubmissions. Continuations include both competitive and non-competitive continuations.

Figure 2: Proposal Submission by Sponsor Type FY19

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 FY19

Federal
80%

Foundations
5%

Industry
1%

State
9%

Foreign
1%

Other
4%
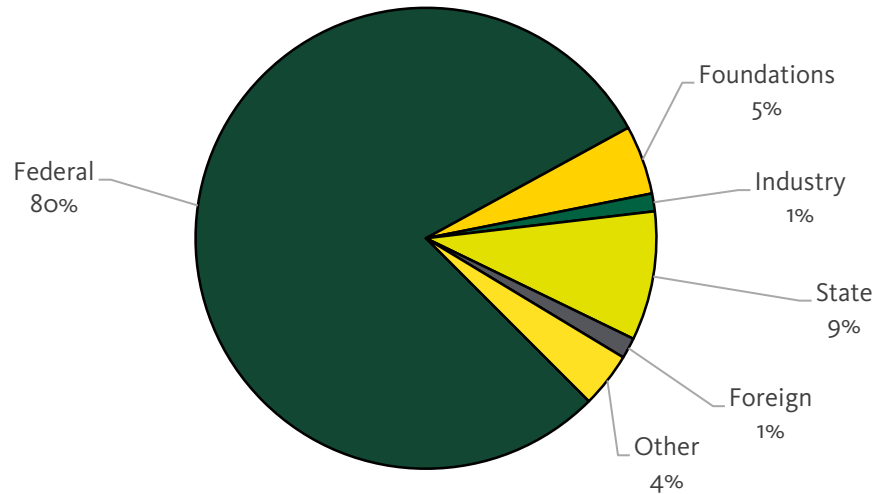
Figure 3 shows funding requested in FY19 categorized by the type of sponsor. Generally this reflects the type of entity providing fu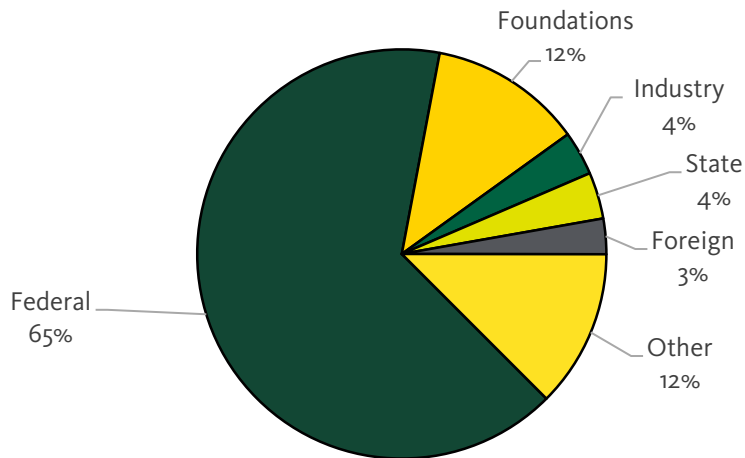nds to the University, but when a sub-award is proposed the funding type of the originating sponsor is used. The "Other" category includes educational institutions, associations, not-for-profit corporations, and misc. sources that don't fit into other categories.

Figure 4: First Year Funding Requested by Federal Agency

Other
14%

Department of Energy
4%

Department of Defense
4%

National Science Foundation
18%

Department of Health and Human Services
39%

Department of Education
21%
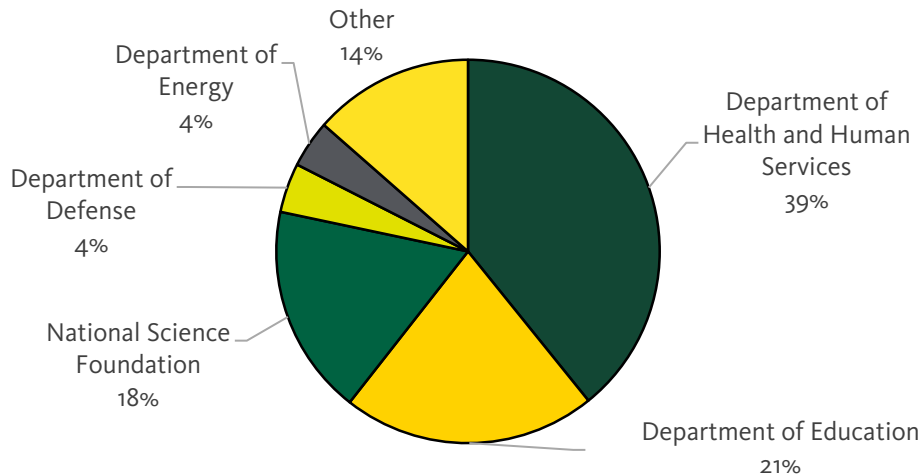
Figure 4 shows federal funding requested in FY19 categorized by the sponsoring agency. Agencies are categorized to the highest-level organization. In most cases this is a cabinet-level agency. For example, the National Institutes of Health (NIH) are included within the Department of Health and Human Services.
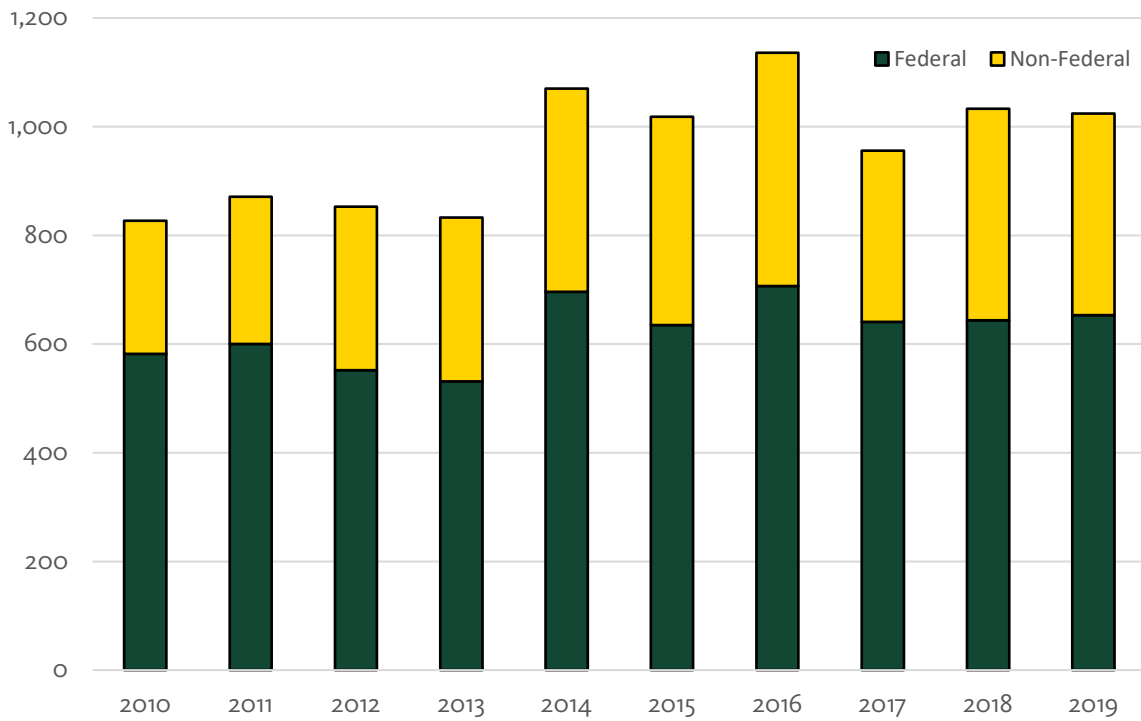
Figure 5 provides a multi-year summary of the number of proposal submitted categorized by whether the funding organization is a federal agency or not. Generally this data reflects the type of entity providing funds to the University, but when a sub-award is proposed the funding type of the originating sponsor is used.

Award Budgets

Total FY19 Awards Budgeted: **$125,853,680**

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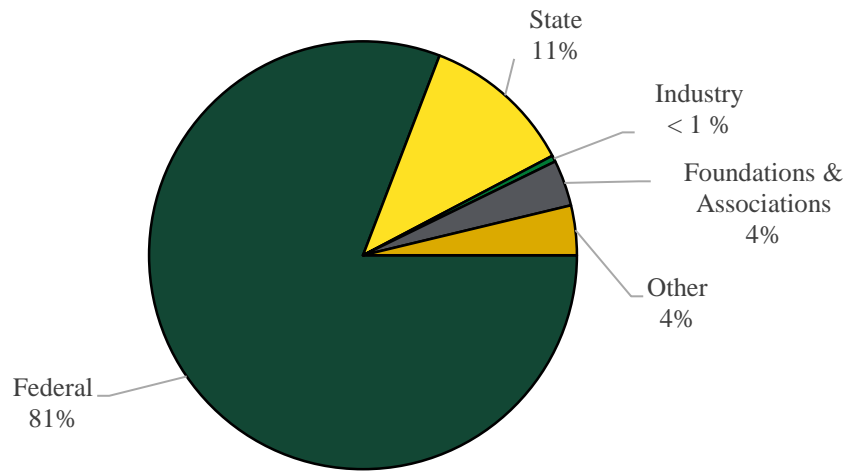
Figure 6 shows total award budgets by sponsor type as a proportion of all award budgets. When an award is received through a sub-award this reflects the type of the originating sponsor. This is based on the award's category as recorded in Banner. The "Other" category includes local governments, foreign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

Figure 7: Federal Award Budgets by Agency
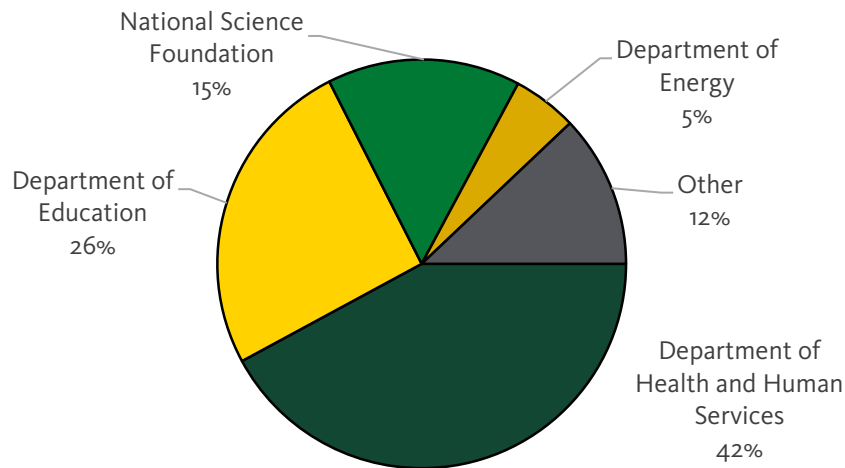
Figure 7 further breaks down federally funded budgets to the University in FY19 by the federal agency providing funding. Agencies are categorized to the highest-level organization. In most cases this is a cabinet-level agency. For example, the National Institutes of Health (NIH) are included within the Department of Health and Human Services.

Table 1: Total Award Budgets by Year and Sponsor Type

Fiscal Year	Total Funding Received	Federal/ Flow-Through	State	Industry	Foundation/ Association	Other
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
FY19	125,853,680	101,724,229	14,438,194	596,871	4,372,703	4,721,684

Table 1 provides a multi-year summary of total award budgets 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.

FY10 included award budgets received under the American Recovery and Reinvestment Act (ARRA) and may not be directly comparable to later years.

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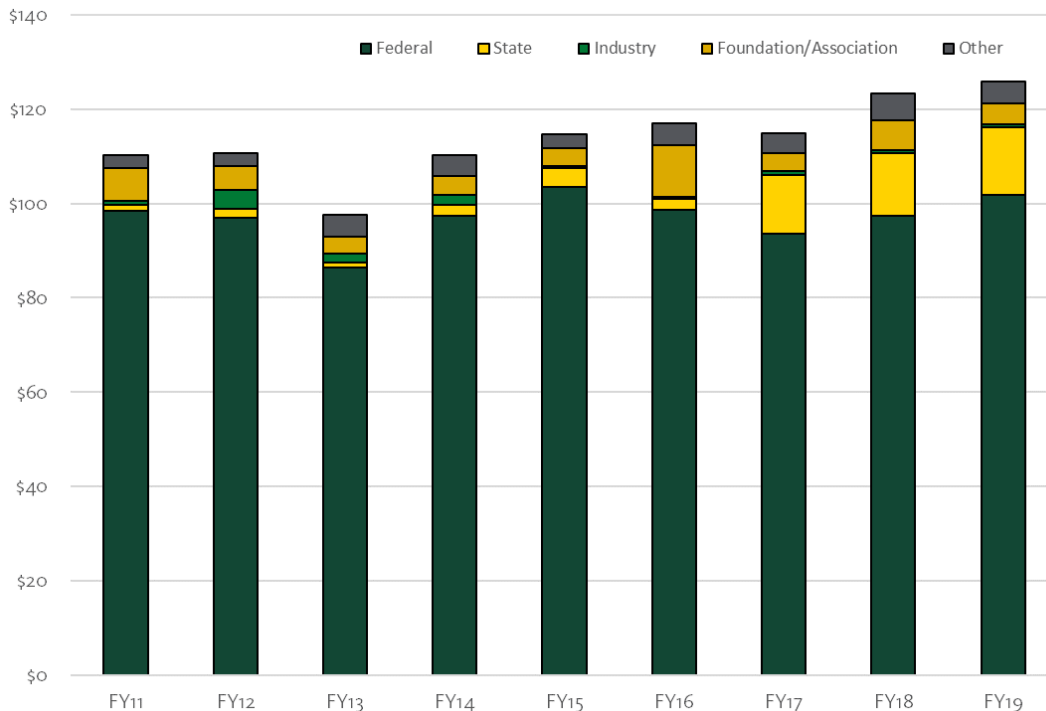
Figure 8 is a visual representation of the information in Table 1.

Figure 9: Award Budgets by Activity Type in FY19 (Percent)
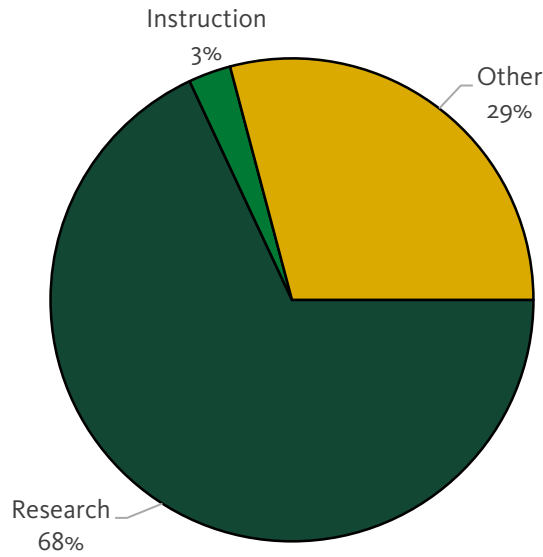
Figure 9 shows the percentage of award budgets entered in FY19 by activity type. This is based on an award's subcategory type as recorded in Banner. The "Other" category includes awards for fellowships, equipment purchases, and public service.

Figure 10: Total Award Budgets by Year and Activity Type (in millions)

Figure 10 provides a multi-year summary of award budgets 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 11: FY19 Award Budgets by PI's Home Unit

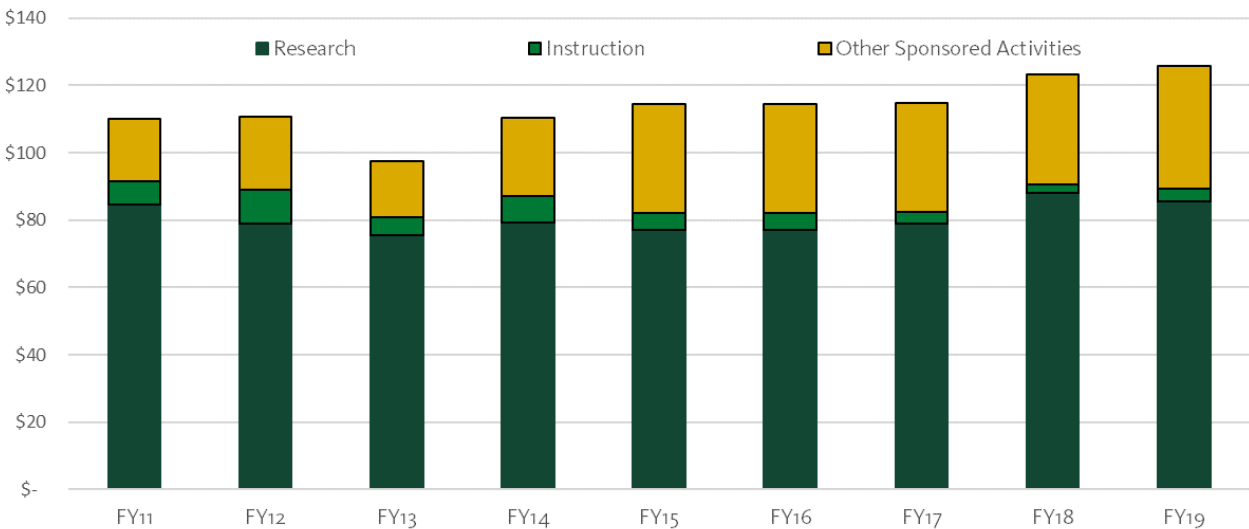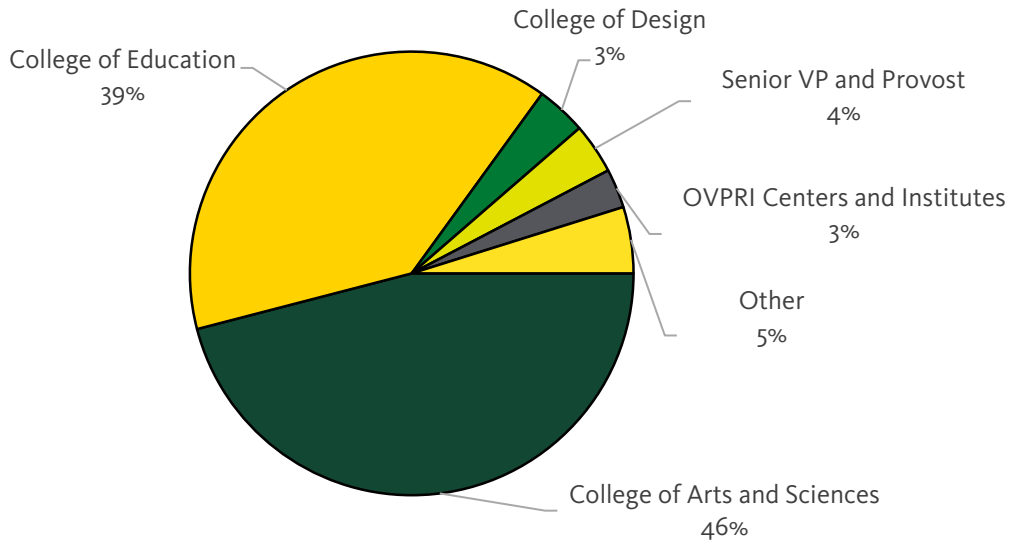Figure 11 shows the proportion of award budgets entered for FY19 aggregated by each college or organization. Awards are categorized based on the home unit of the PI who received the award. The "Senior VP and Provost" category primarily includes the data science initiative, museums, libraries, and others. The "Other" category includes colleges, schools, and other organizations which account for less than 2% of the total. Table 3 shows additional information about award budgets administered by each OVPRI center and institute.

Table 2: Award Budgets by PI Home Organization FY19

College of Arts and Sciences	57,842,381	College of Design	4,587,936	Athletics	5,000
American English Institute	306,603	Architecture & Interior Architecture	1,527,902	President	1,171,868
Anthropology	162,131	Energy Studies Building Lab	19,153	Knight Campus	1,171,868
Biology	20,785,864	Landscape Architecture	198,377	Senior VP and Provost	5,773,022
Chemistry	7,826,907	Planning, Public Policy and Management	711,821	Data Science Initiative	2,450,654
Computer & Information Science	2,519,262	Policy Research and Engagement, Institute for	2,001,133	International Affairs	81,939
Earth Sciences	4,810,967	Product Design	61,000	Jordan Schnitzer Museum of Art	202,631
East Asian Languages and Literatures	1,036,554	Sports Product Design	64,550	Labor Education and Outreach Center	110,855
Economics	228,958	Sustainable Cities Initiative Operation	4,000	Library	89,777
English	156,500	College of Education	49,125,178	Museum of Natural and Cultural History	1,866,981
Environmental Studies	700,042	Department of Counseling Psychology and		Northwest Indian Languages Institute	138,237
Geography	465,652	Human Services	13,247,910	Undergraduate Studies	831,948
Germanic Languages and Literature	12,840	Department of Education Methodology, Policy		VP of Finance and Administration	297,877
History	331,422	and Leadership	123,163	Campus Planning and Facilities Management	97,784
Human Physiology	1,968,773	Department of Education Studies	1,949,872	Safety and Risk Services	200,093
Linguistics	950,744	Department of Special Education and Clinical		VP for Research and Innovation	3,442,742
Mathematics	652,715	Sciences	13,163,040	Institute for a Sustainable Environment	461,795
Physics	5,347,403	Initiatives	200,000	Institute of Ecology and Evolution	25,905
Political Science	25,775	Office of the Dean	10,150	Institute of Molecular Biology	338,992
Psychology	9,505,463	Research and Outreach	20,431,042	Institute of Neuroscience	663,308
Sociology	47,807	Graduate School	976,000	Materials Science Institute	260,396
College of Business	83,227	Clark Honors College	368,821	Neuroinformatics Center	1,104,368
		School of Journalism and Communication	1,713,912	OACISS	179,240
		School of Law	10,150	Oregon Institute of Marine Biology	72,517
		School of Music and Dance	134,849	Prevention Science Institute	329,201
		Oregon Bach Festival	94,849	Research Core Business Services	7,020
		School of Music	40,000	VP for Student Life	120,313
				Career Center	20,313
				Dean of Student Operations	100,000
				VP for Student Services and Enrollment Management	104,448
				University Counseling Center	101,948
				University Health Center	2,500
				VP of University Communications	95,956

Table 2 provides a more detailed look at the information in Figure 12. Award budgets are categorized based on the home unit of the PI receiving the award.
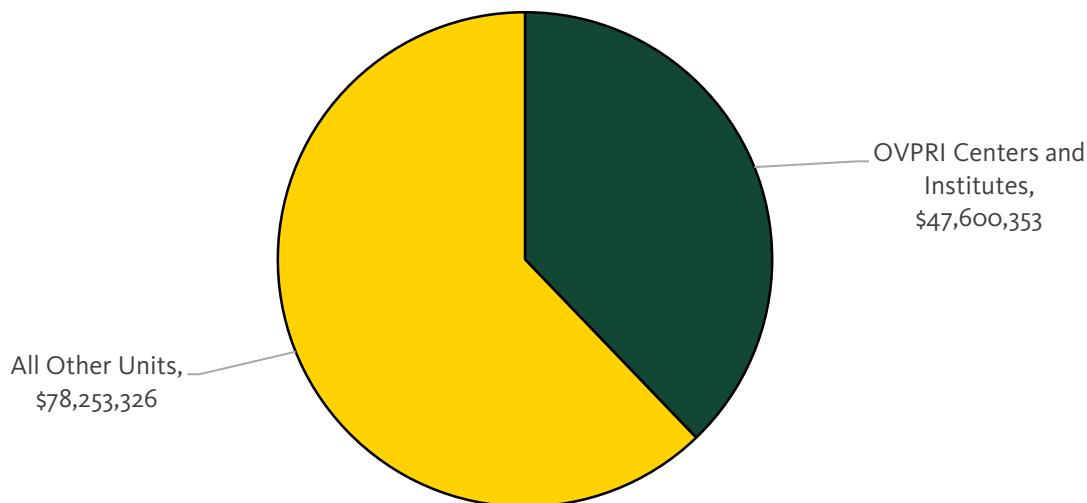
Figure 12 shows FY19 award budgets by the organization administering the award. This is based on an award's responsible organization as recorded in Banner.

Table 3: Funding Administered by Research Center/Institute FY19

Research Center or Institute	FY19 Awards
Committee on the Advancement of Women Chemists	$ 566,300
Center for Cyber Security and Privacy	$ 67,211
Center for High Energy Physics	$ 1,507,370
Center for Optical, Molecular, and Quantum Science	$ 2,745,620
Institute of Ecology and Evolution	$ 3,913,695
Institute of Molecular Biology	$ 8,917,617
Institute of Neuroscience	$ 15,530,367
Instute for a Sustainable Environment	$ 546,800
Materials Science Institute	$ 3,695,657
Oregon Advanced Computing Institute for Science and Society	$ 1,127,682
Oregon Institute of Marine Biology	$ 884,204
Prevention Science Institute	$ 7,520,069
Total	47,022,591

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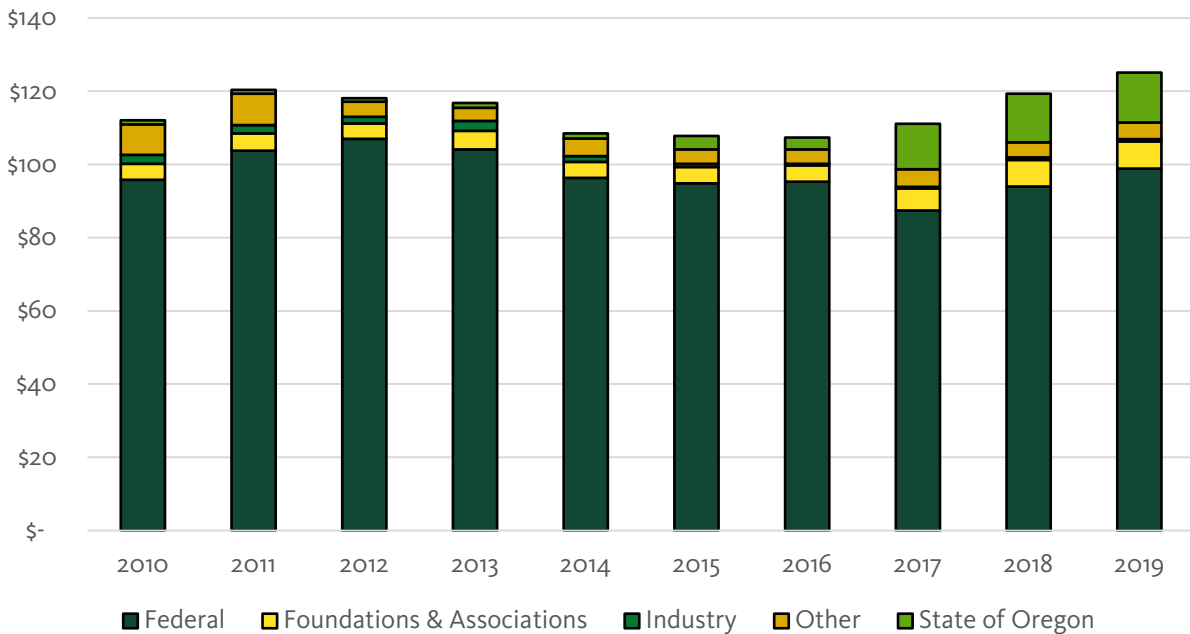

Figure 13 is a multi-year summary of expenditures from sponsored funds by sponsor type. This is based on the award's category as recorded in Banner. When an award is received through a sub-award this reflects the type of the originating sponsor. State expenditures increased in FY17 because a large program was recategorized from federal to state.

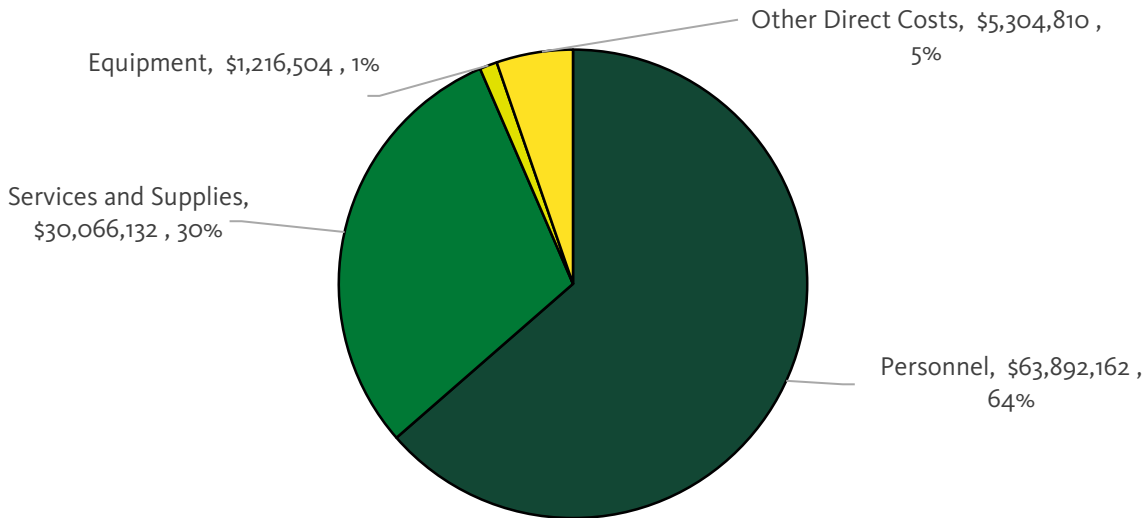### Figure 14: Total Direct Sponsored Expenditures by Cost Category FY19

Figure 14 summarizes the expenditure of sponsored funds in FY19, 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.

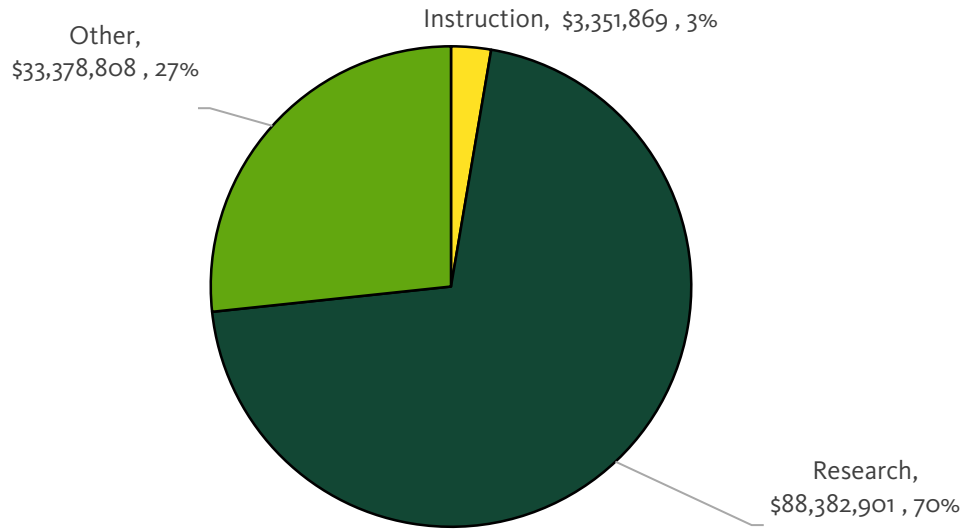## Figure 16: Total Project Expenditures by Activity Type FY19

Figure 16 summarizes expenditures from sponsored funds in FY19 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 17: Total Project Expenditures by Year across Activity Type (in millions)
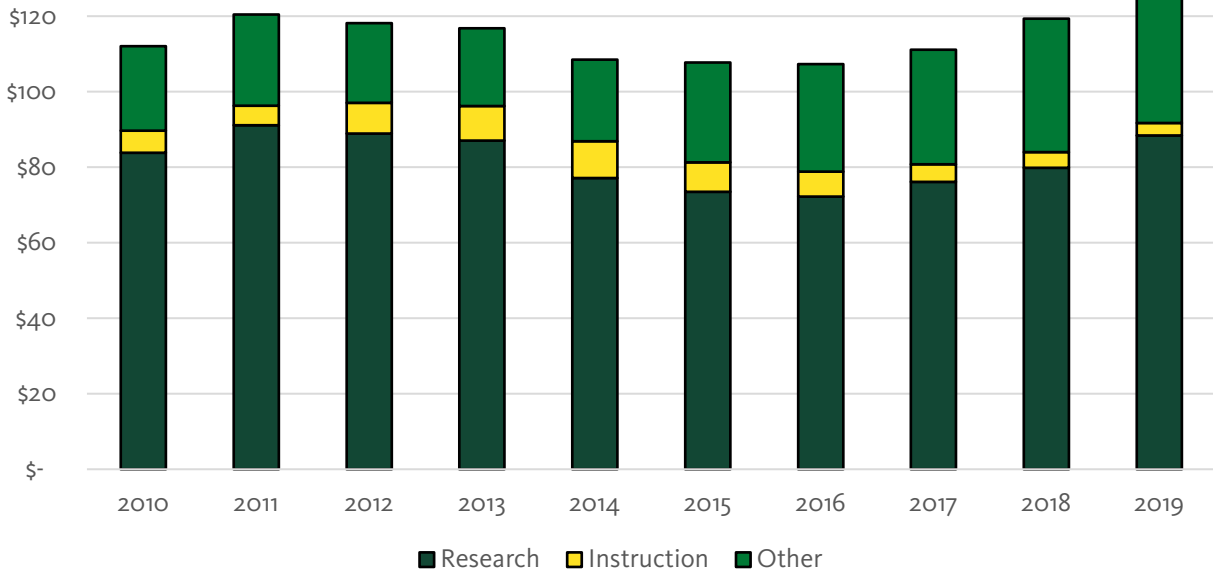

Figure 17 is a multi-year summary of expenditures from sponsored funds by activity type. This is based on the program level information in Banner. The "Other" category includes expenditures for student services, plant operations, and other miscellaneous categories.

Figure 18: Federally-Financed Research Expenditures as Reported on the NSF HERD Survey (in millions)
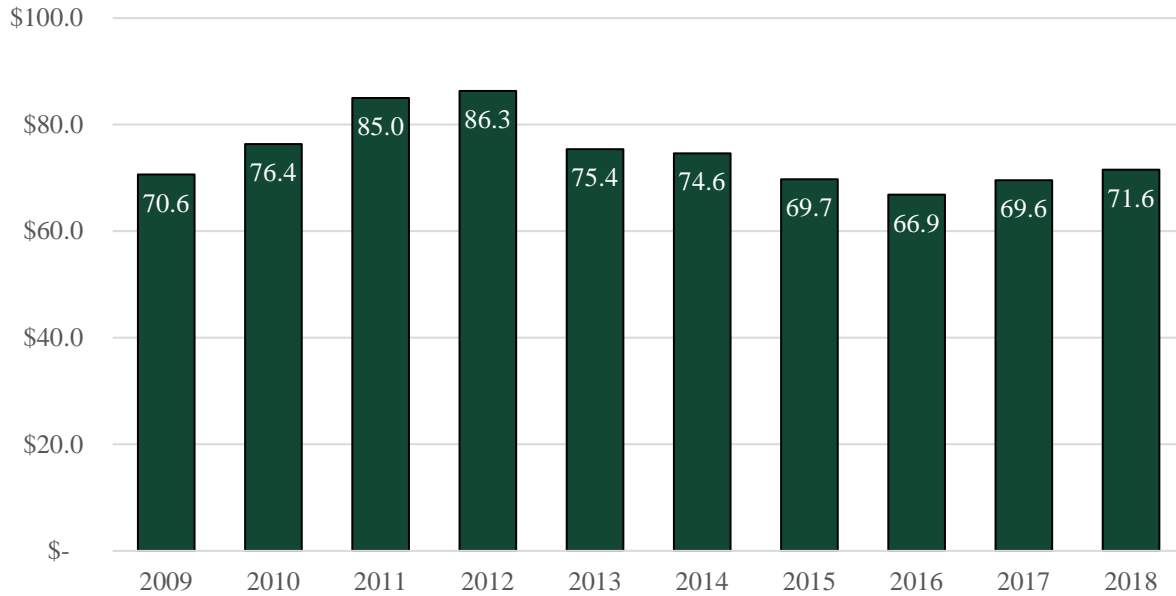
Each year OVPRI reports research expenditures on the National Science Foundation's Higher Education Research and Development (HERD) Survey. Figure 18 summarizes our reported federally-financed expenditures.

Figure 19: Total Research Expenditures from Institutional Funds as Reported on the NSF HERD Survey (in millions)
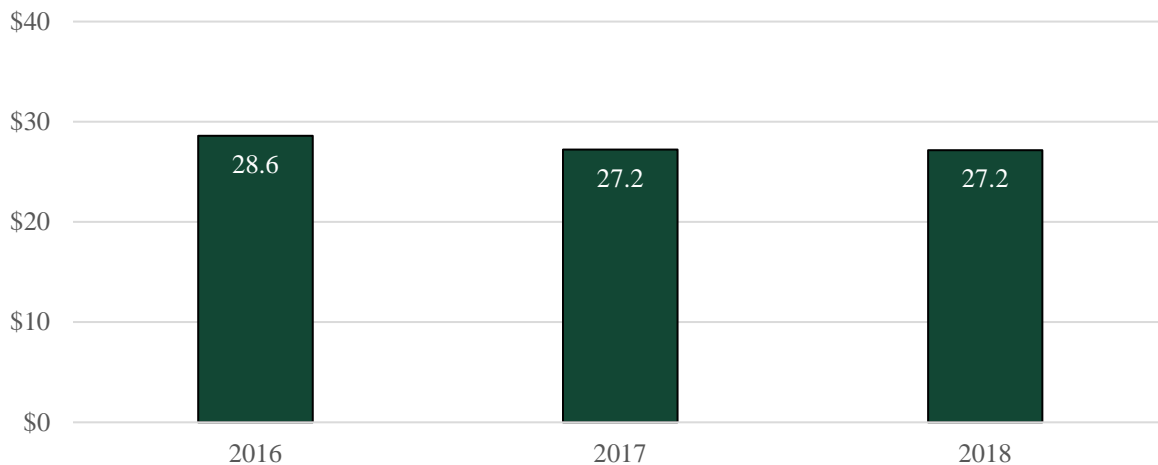
Figure 19 summarizes our reported expenditure of institutional funds. Institutional funds include UO-funded training grants, startup funds, and other amounts used to fund research. It does not some specific forms of institutional spending, such as capital costs related to research facilities.

Facilities & Administrative Cost Analysis

Figure 20: Facilities & Administrative Cost Recovery Totals Across Fiscal Years
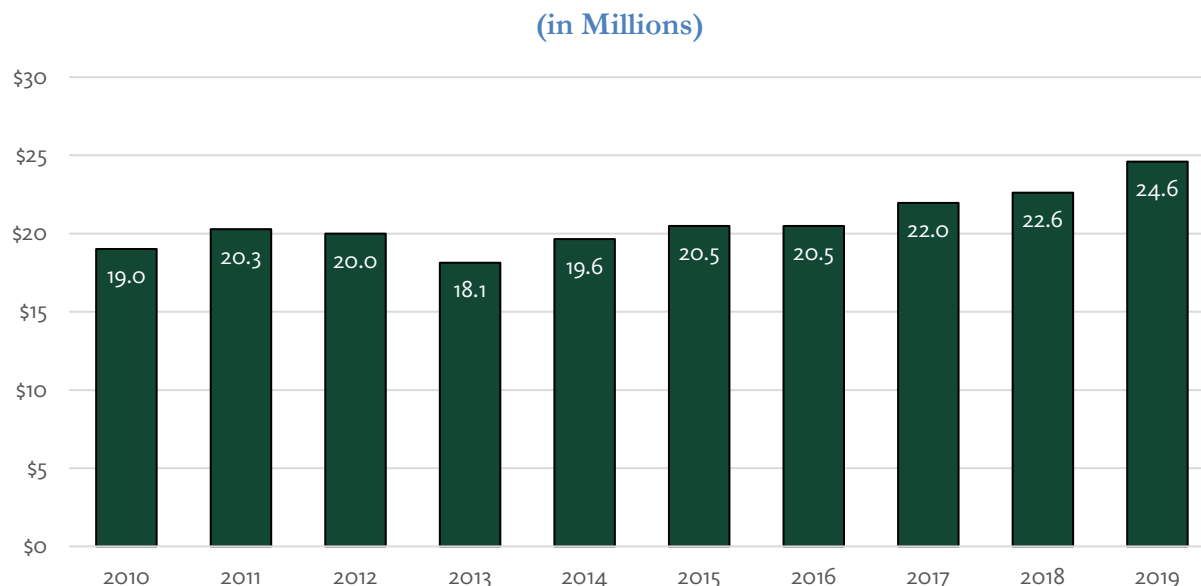
(in Millions)

Figure 20 summarizes recovered facilities and administrations costs in FY19. 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 21: Historic Federally Negotiated F&A Rates

Fiscal Year	Research		Instruction		Other	
	On-Campus	Off-Campus	On-Campus	Off-Campus	On-Campus	Off-Campus
FY10	42.0	26.0	53.0	26.0	29.0	23.8
FY11	42.0	26.0	53.0	26.0	29.0	23.8
FY12	42.0	26.0	53.0	26.0	29.0	23.8
FY13	45.0	26.0	59.4	26.0	30.7	24.3
FY14	45.0	26.0	59.4	26.0	30.7	24.3
FY15	45.0	26.0	59.4	26.0	30.7	24.3
FY16	45.0	26.0	59.4	26.0	30.7	24.3
FY17	46.5	26.0	46.0	26.0	30.7	26.0
FY18	47.5	26.0	46.0	26.0	30.7	26.0
FY19	47.5	26.0	46.0	26.0	30.7	26.0

Indirect costs are based on direct project costs and a Facilities and Administration (F&A) Rate negotiated with the sponsor. The University's federally negotiated rates are summarized here over a 10-year period.
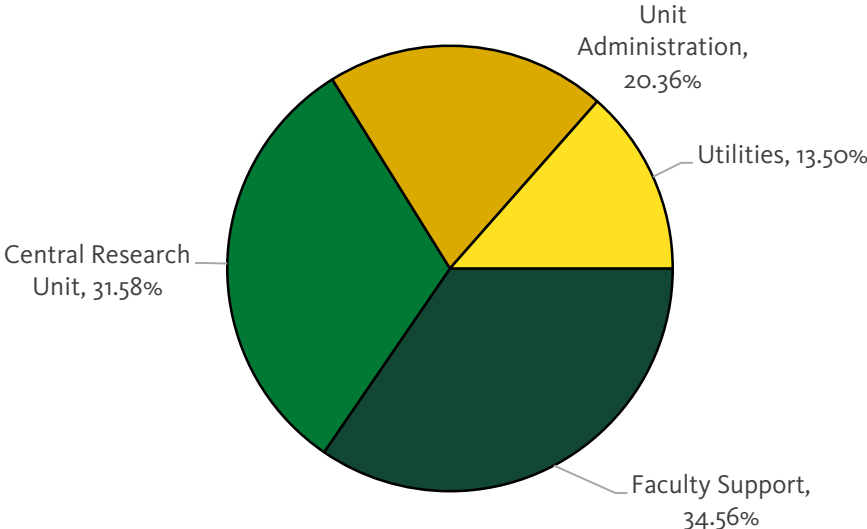
Figure 21 summarizes how F&A collected in FY19 was allocated in the FY20 beginning budget process.

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.

Activities are generally reported based on the home organization of the PI for a grant. Each employee has a single home organization which generally matches the organization where their primary job is. A few figures report based on the organization administering a project.

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 FY19 are included.

Award Budgets

Award budgets are based on budgets loaded in to Banner. This data includes actual budgets loaded to sponsored funds during FY19. 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).