



UNIVERSITY OF OREGON

Sponsored Projects Services

Annual Report - Fiscal Year 2020

07/01/2019 – 06/30/2020

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Executive Summary

The Office of the Vice President for Research and Innovation publishes a report regarding sponsored projects 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.

Additional information about the University's proposal and award activity, as well as expenditures from sponsored funds, can be found in ResearchStats: researchstats.uoregon.edu.

Proposals

In fiscal year 2019-2020 (FY20), 1,266 proposals were submitted requesting a total of \$218 million in first-year funding. Of that amount, 85% was requested in new proposals and 74% was requested from federal sources, including sub awards originating from federal sources.

Awards

The University of Oregon (UO) was awarded \$168.5 million from external funding sources in FY20. In prior years, award totals were measured using the budget entries loaded into Banner; starting in FY20, these amounts are measured based on award letters received during the fiscal year. Comparisons to prior years will show small differences due to this change in measurement. However, the history of new award commitments (Figure 9) also shows significant growth in award activity over the last few years.

Expenditures

Expenditures on 1,160 active projects during FY20 totaled \$131.8 million, including both direct costs and facilities and administration expenditures. Sponsored project expenditures increased by 5% (\$6.7 million) compared to FY19. Organized Research accounted for \$86.2 million (65%) of the total sponsored expenditures; the rest was primarily spent on public service projects.

Facilities and Administrative Costs

Revenue from the federal government and other agencies to recover already expended university Facilities and Administrative (F&A) costs totaled \$25.1 million in FY20. Although the federally negotiated F&A rate 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 25.1%.

F&A costs recovered in FY20, together with some ICC fund reserves, were allocated for FY21 expenditures in many areas. The distribution of these funds is in Figure 22.

Proposal Submissions

Requested First-year Funding Total for Submitted Proposals: **\$217,968,880**

Count of Submitted Proposals: **1,266**

Figure 1: First-year Funding Requested by Proposal Submission Type FY20

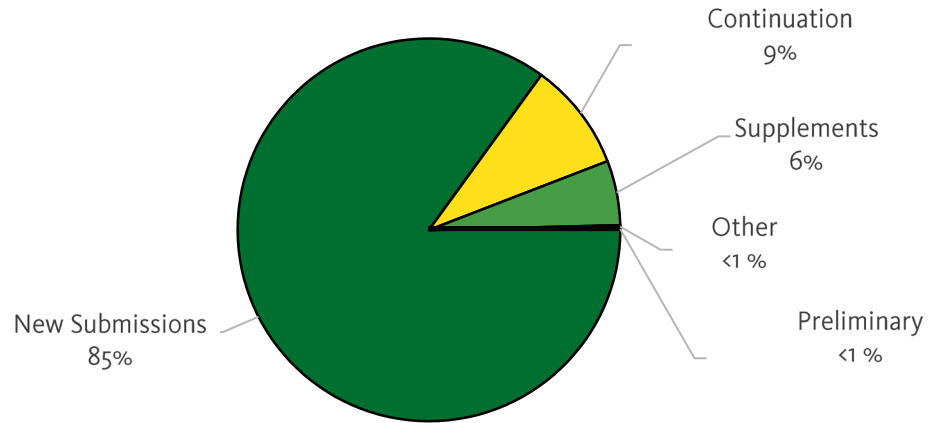


Figure 1 shows funding requested in FY20 broken down by proposal submission type. The dollar values used in this figure reflect proposals' first-year budgets. New submissions are those proposals that request funding for a new project, a category which includes new awards, revisions, and resubmissions. Continuations include both competitive and non-competitive continuations.

Figure 2: Proposal Submission by Sponsor Type FY20

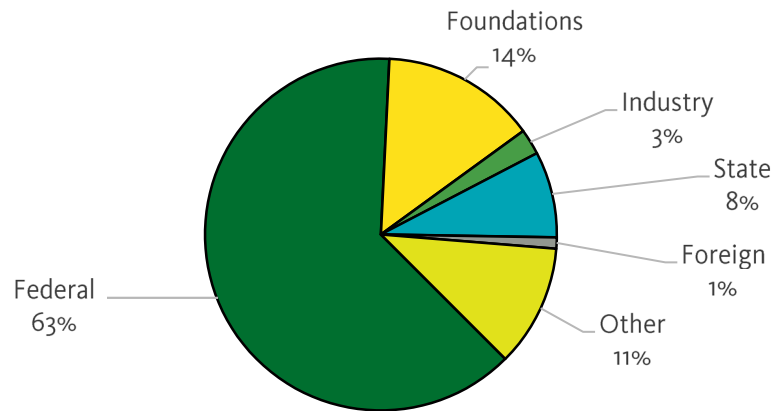


Figure 2 shows the percentage of proposals submitted by sponsor type. The "State" category includes U.S. state, county, and municipal governments. The "Other" category includes educational institutions, associations, not-for-profit corporations, and misc. sources that don't fit into other categories.

Figure 3: First-year Funding Requested by Sponsor Type FY20

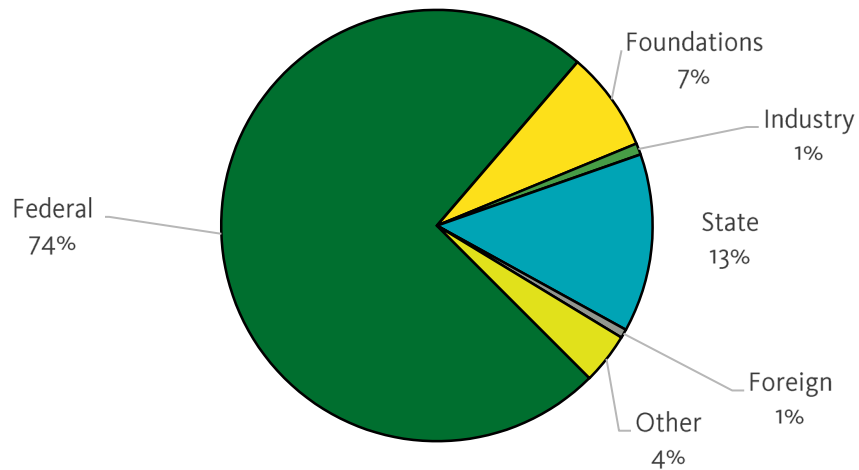


Figure 3 shows funding requested in FY20 categorized by the type of sponsor. Generally this reflects the type of entity providing funds to the University, but when a sub-award is proposed, the funding type of the originating sponsor is used. The “Other” category includes educational institutions, associations, not-for-profit corporations, and misc. sources that don’t fit into other categories.

Figure 4: First-year Funding Requested by Federal Agency

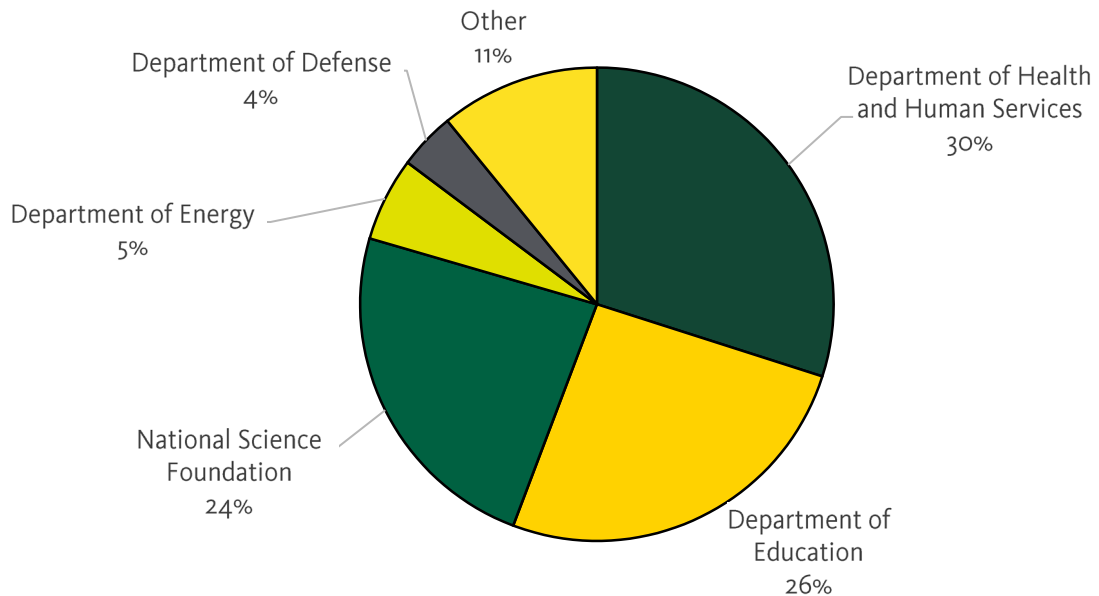


Figure 4 shows federal funding requested in FY20 categorized by the sponsoring agency. Agencies are categorized to the highest-level organization. In most cases this is a cabinet-level agency. For example, the National Institutes of Health (NIH) are included within the Department of Health and Human Services.

Figure 5: Proposal Submission Counts Across Fiscal Years

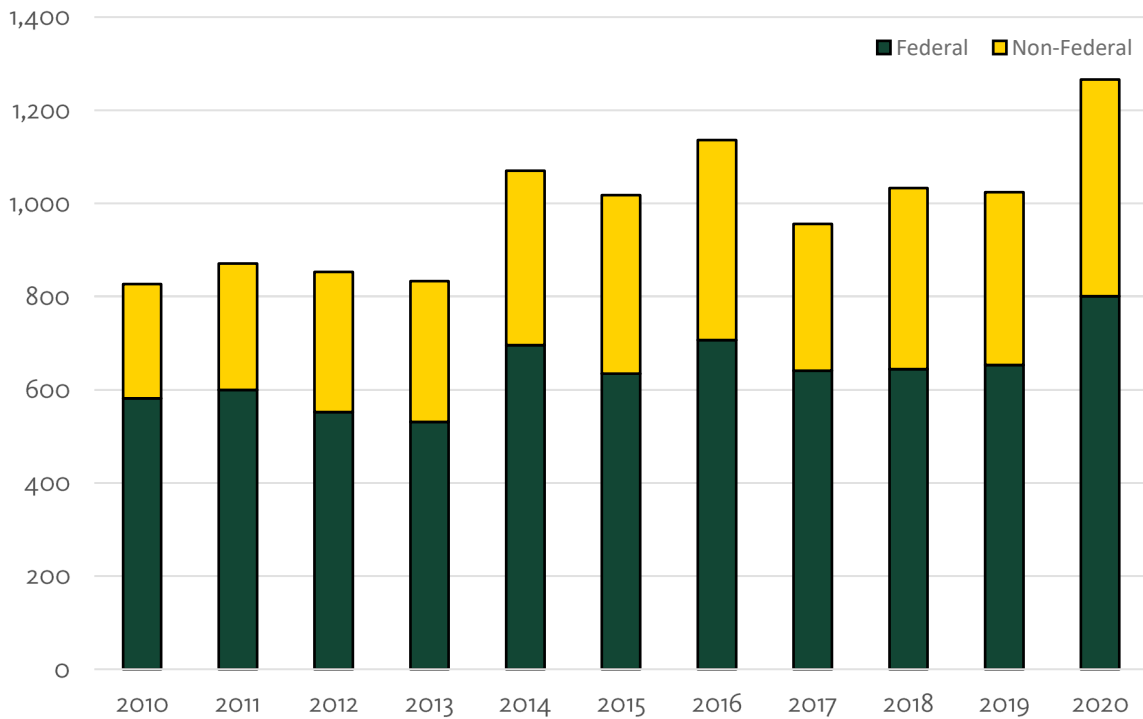


Figure 5 provides a multi-year summary of the number of proposal submitted categorized by whether the funding organization is a federal agency or not. Generally this data reflects the type of entity providing funds to the University, but when a sub-award is proposed the funding type of the originating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

Awards Received

Total FY20 Awards Received: **\$168,510,546**

Methodological Note: Historically, the Awards section of the Annual Report is based on budget entries in Banner. Starting in FY20 this was replaced by data on award letters contained within E-PCS. This process is both more efficient and more precise, and has the additional benefit of matching Research and Innovation's online data portal, ResearchStats.

Figure 6: Total Awards Received by Sponsor Type

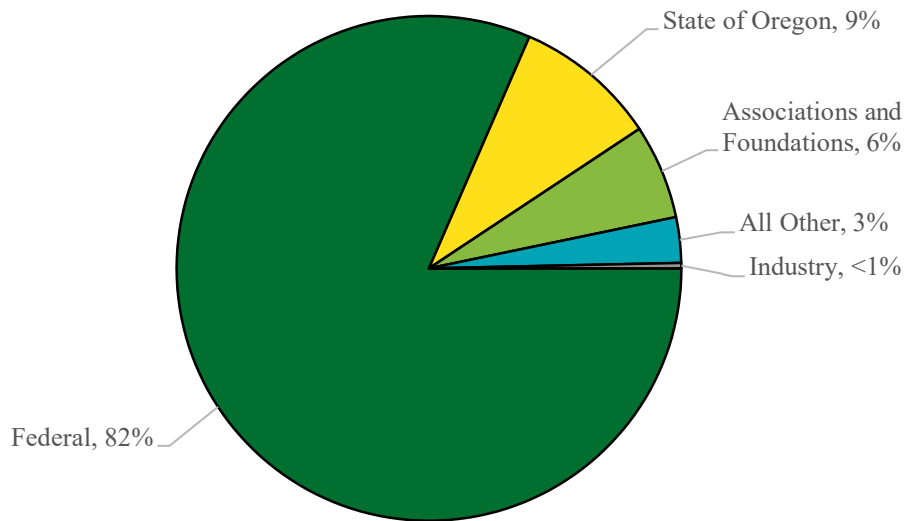


Figure 6 shows total dollar value of awards received from each sponsor type as a proportion of total award dollars received. When an award is received through a sub-award, this reflects the type of the originating sponsor. This is based on a funding organization's information in E-PCS. The "Other" category includes local governments, foreign entities, and other organizations that don't fit into existing categories.

Figure 7: Total Federal Awards by Agency

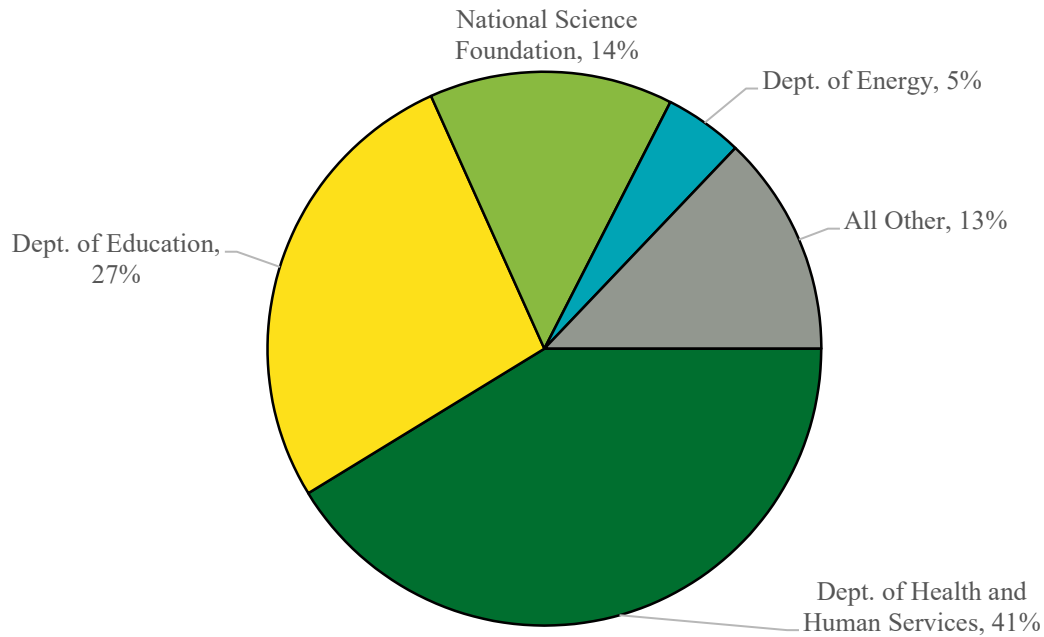


Figure 7 further breaks down the dollar value of federally funded awards to the University in FY20 by the federal agency providing funding. Agencies are categorized to the highest-level organization. In most cases this is a cabinet-level agency. For example, the National Institutes of Health (NIH) are 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
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
FY20	168,510,546	137,361,665	15,449,537	576,074	10,203,580	4,919,690

Table 1 provides a multi-year summary of total awards by sponsor type. This is based on the funding organization’s profile in E-PCS. 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. As noted in the summary, FY20 values are based on award letters, not the budgets in Banner.

Figure 8: Total Awards by Year and Sponsor Type (in millions)

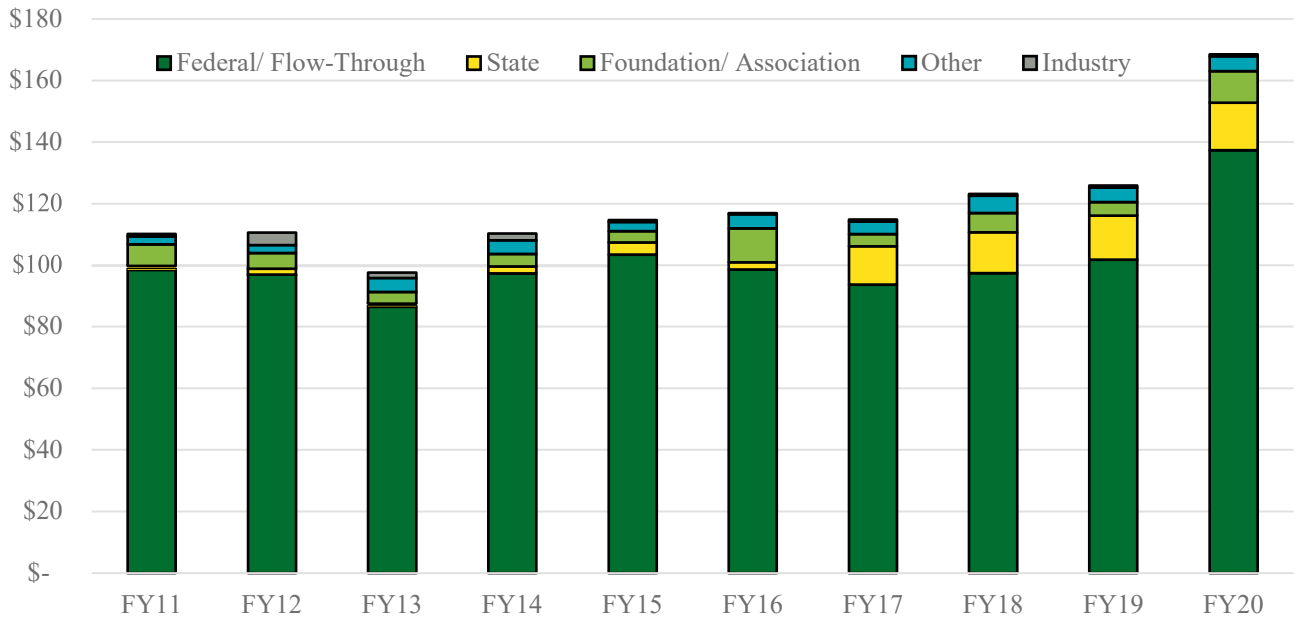
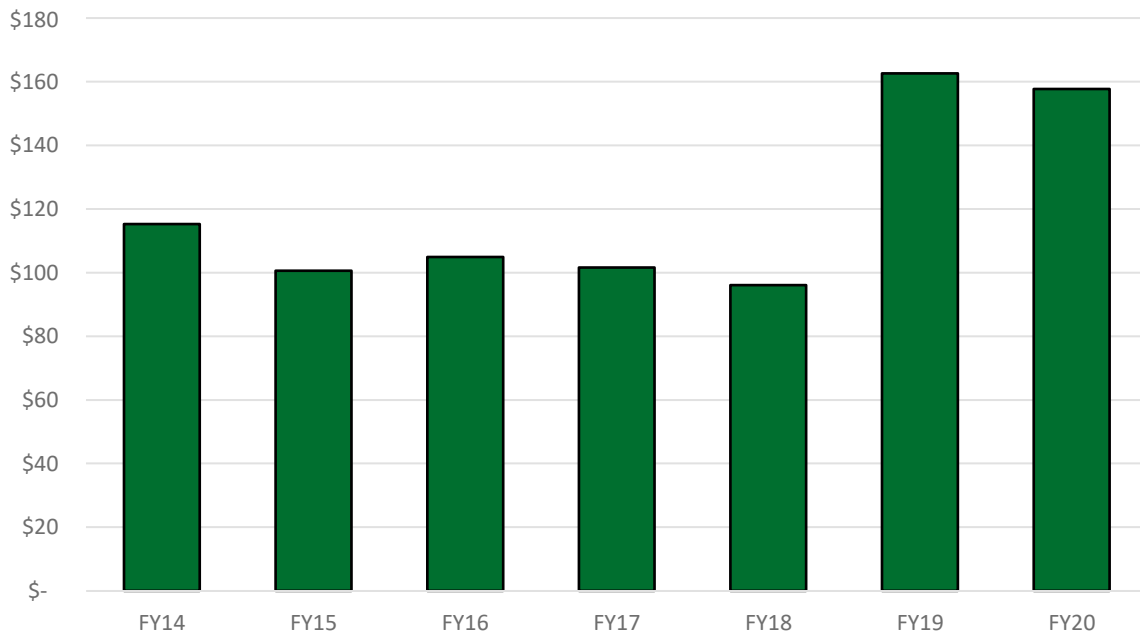


Figure 8 is a visual representation of the information in Table 1.

Figure 9: Total New Award Commitments by Fiscal Year (in millions)



While awards provide one way to view award trends, Figure 9 summarizes the receipt of new commitments by Sponsored Projects Services. In this figure, only commitments for new funding are included. Supplements, non-competitive continuations, and previously anticipated funding are not included. Funding for all years is recognized during the fiscal year in which the initial commitment was received. FY14 is the earliest complete year that data is available.

Figure 10: Total Awards by Activity Type in FY20 (Percent)

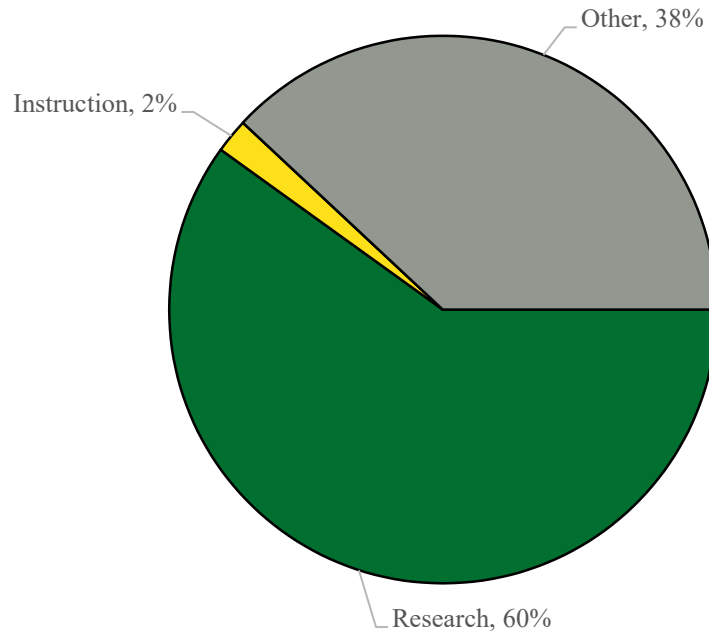


Figure 10 shows the percentage of award dollars entered in FY20 by activity type. This is based on an award’s type as recorded in E-PCS. The “Other” category includes awards for fellowships, equipment purchases, and public service.

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

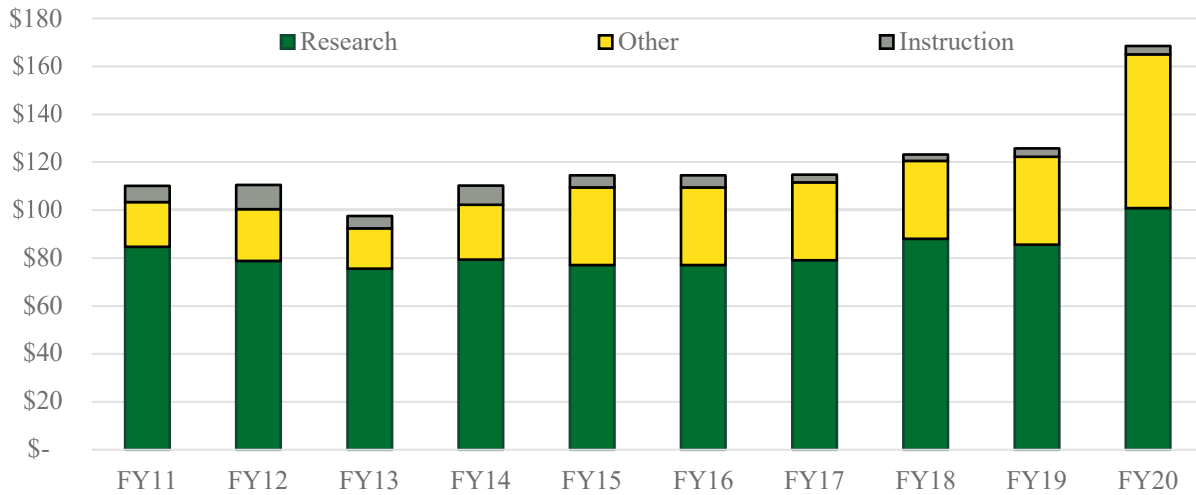


Figure 11 provides a multi-year summary of award dollars by activity type. This is based on an award’s type as recorded in E-PCS. The “Other” category includes awards for fellowships, equipment purchases, and public service.

Figure 12: FY20 Total Awards by PI's Home Unit

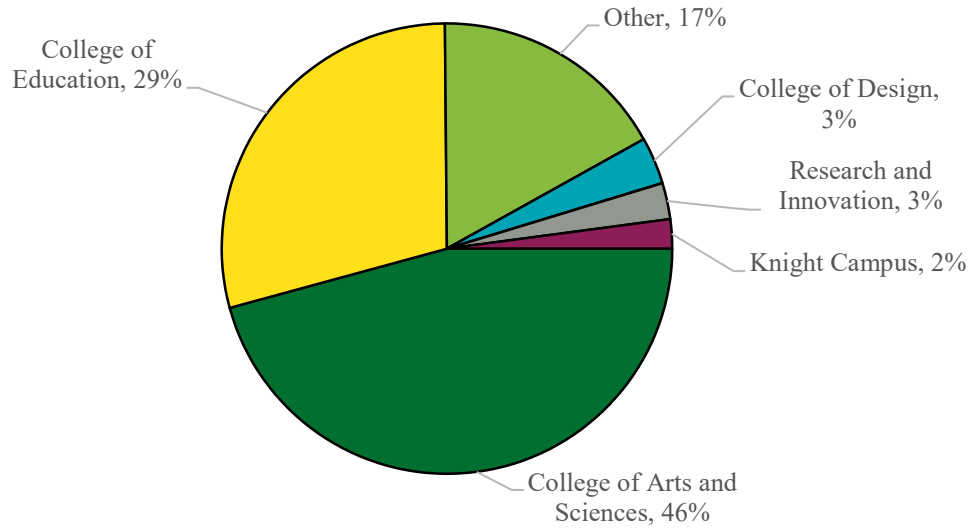


Figure 12 shows the proportion of award dollars received in FY20 aggregated by each college or organization. Awards are categorized based on the home unit of the PI who received the award. The “Other” category includes all other units not explicitly shown such as the School of Journalism and Communication, campus museums, and others. Table 3 shows additional information about awards received by each OVPRI center and institute.

Table 2: Awards by PI Home Organization FY20

College of Arts and Sciences	\$ 76,817,141.00	College of Design	\$ 5,669,425.00	Honors College	\$ 322,998.00
American English Institute	\$ 972,988.00	Department of Architecture and Interior Architecture	\$ 1,207,311.00	Knight Campus	\$ 3,520,630.00
Dean's Office	\$ 394,536.00	Department of Art	\$ 89,000.00	Library	\$ 1,964,103.00
Department of Anthropology	\$ 712,283.00	Department of Landscape Architecture	\$ 1,865,998.00	Research and Innovation	\$ 4,363,963.00
Department of Biology	\$ 33,294,033.00	Department of Planning, Public Policy and Management	\$ 406,197.00	Institute for a Sustainable Environment	\$ 594,731.00
Department of Chemistry	\$ 11,036,404.00	Department of Product Design	\$ 5,000.00	Institute of Ecology and Evolution	\$ 102,213.00
Department of Computer and Information Science	\$ 2,708,725.00	DSGN Art History	\$ 72,813.00	Institute of Molecular Biology	\$ 339,453.00
Department of Earth Sciences	\$ 6,508,641.00	Energy Studies Building Lab	\$ 173,185.00	Institute of Neuroscience	\$ 608,205.00
Department of East Asian Languages and Literatures	\$ 1,230,583.00	Institute for Policy Research and Engagement	\$ 1,849,921.00	Materials Science Institute	\$ 325,201.00
Department of Economics	\$ (1,177.00)	College of Education	\$ 48,824,304.00	Oregon Advanced Computing Institute for Science and Society	\$ 1,975,212.00
Department of Environmental Studies	\$ 344,621.00	Behavioral Research and Teaching	\$ 1,130,971.00	Oregon Institute of Marine Biology	\$ 72,517.00
Department of Ethnic Studies	\$ 360,000.00	Center for Equity Promotion	\$ 1,203,447.00	Prevention Science Institute	\$ 205,600.00
Department of Geography	\$ 209,899.00	Communication Disorders and Sciences Program	\$ 196,076.00	Rsch Ctr Adv Mat Charact in OR	\$ 29,843.00
Department of German and Scandinavian	\$ 4,820.00	Counseling Psychology Program	\$ 1,968,264.00	Rsch Finance & Business Admin	\$ 55,988.00
Department of History	\$ 237,204.00	Counseling, Family and Human Services	\$ 173,000.00	Rsch Innovation Partnership Svcs	\$ 55,000.00
Department of Human Physiology	\$ 2,626,836.00	Disability Early Intervention Secondary Transition & Youth	\$ 2,028,247.00	School of Journalism and Communication	\$ 766,362.00
Department of International Studies	\$ 11,675.00	Early Childhood CARES	\$ 13,398,664.00	School of Law	\$ 408,479.00
Department of Linguistics	\$ 898,219.00	Ed Ctr on Teaching & Learning	\$ 2,560,586.00	School of Music and Dance	\$ 71,728.00
Department of Mathematics	\$ 1,705,770.00	Education Methodology, Policy, and Leadership Program	\$ 71,307.00	All Others	\$ 23,536,356.00
Department of Philosophy	\$ 5,078.00	Education Studies Program	\$ 884,198.00		
Department of Physics	\$ 4,611,613.00	Educational and Community Supports	\$ 828,643.00		
Department of Psychology	\$ 8,483,559.00	Family and Human Services Program	\$ 196,356.00		
Department of Religious Studies	\$ 289,266.00	intoCareers	\$ 87,000.00		
Department of Sociology	\$ 88,058.00	Prevention Science Program	\$ 7,636,781.00		
Department of Womens Studies	\$ 22,057.00	School Psychology Program	\$ 5,097,836.00		
Yamada Language Center	\$ 61,450.00	Special Education Program	\$ 11,362,928.00		
College of Business	\$ 170,000.00	Graduate School	\$ 2,075,057.00		

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 13: Awards by Administered Unit FY20

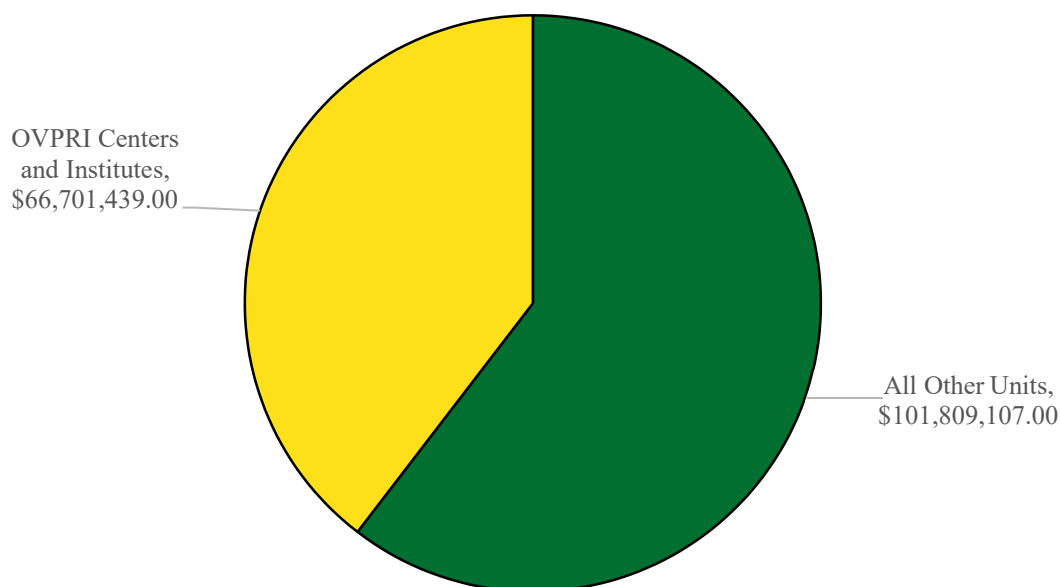


Figure 13 shows FY20 awards by the organization administering the award. This is based on an award's administering organization as recorded in E-PCS.

Table 3: Funding Administered by Research Center/Institute FY20

Research Center or Institute	FY20 Awards
Center for Cyber Security and Privacy	\$ 78,425
Committee on the Advancement of Women Chemists	\$ 1,758,134
Institute for a Sustainable Environment	\$ 591,913
Institute for Fundamental Science	\$ 2,307,085
Institute of Ecology and Evolution	\$ 5,218,045
Institute of Molecular Biology	\$ 8,851,814
Institute of Neuroscience	\$ 25,842,582
Materials Science Institute	\$ 6,344,568
Oregon Advanced Computing Institute for Science and Society	\$ 2,461,355
Oregon Center for Optical, Molecular and Quantum Science	\$ 2,309,101
Oregon Institute of Marine Biology	\$ 335,913
Prevention Science Institute	\$ 10,602,504
Total	\$ 66,701,439

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)

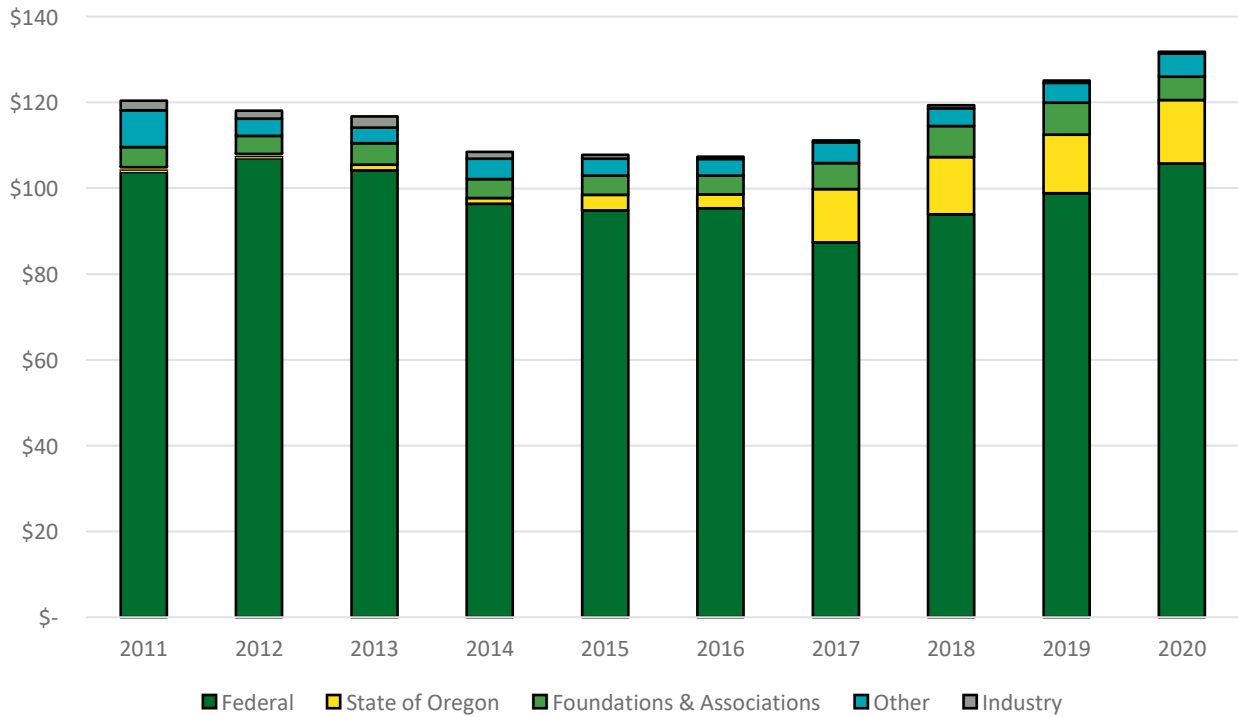


Figure 14 is a multi-year summary of expenditures from sponsored funds by sponsor type. This is based on the award’s category as recorded in Banner. When an award is received through a sub-award this reflects the type of the originating sponsor. State expenditures increased in FY17 because a large program was recategorized from federal to state.

Figure 15: Total Direct Sponsored Expenditures by Cost Category FY20

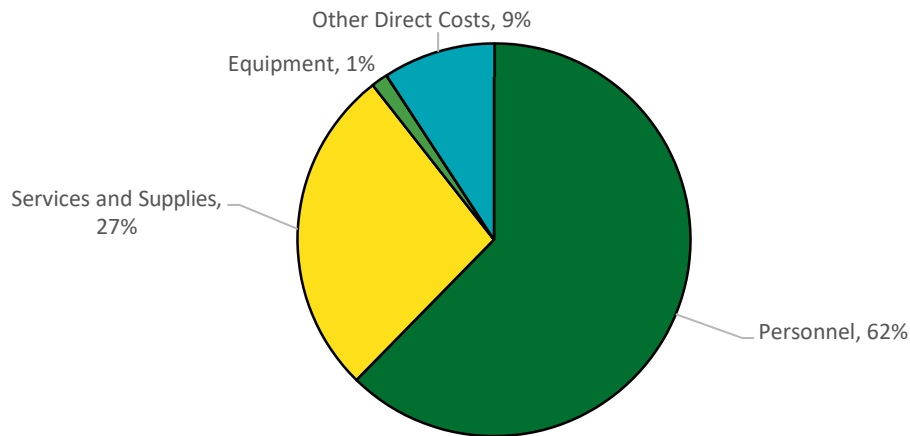


Figure 15 summarizes the expenditure of sponsored funds in FY20, not including indirect costs. Indirect costs are also called “facilities and administration” costs and are discussed more in the F&A section. The “Other” category includes student aid.

Figure 16: Total Project Expenditures by Activity Type FY20

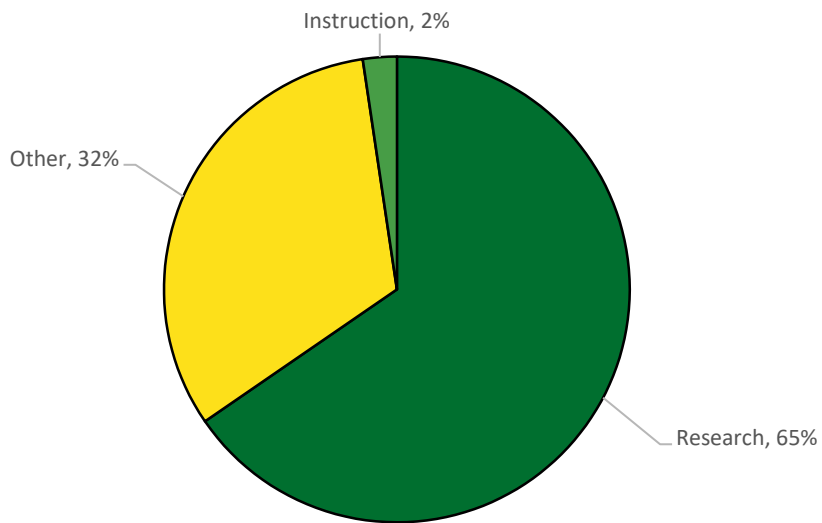


Figure 16 summarizes expenditures from sponsored funds in FY20 by activity type. This is based on the program level information in Banner. The “Other” category includes primarily expenditures for public service projects, but also includes fellowships, equipment, and others.

Figure 17: Total Project Expenditures by Year across Activity Type (in millions)

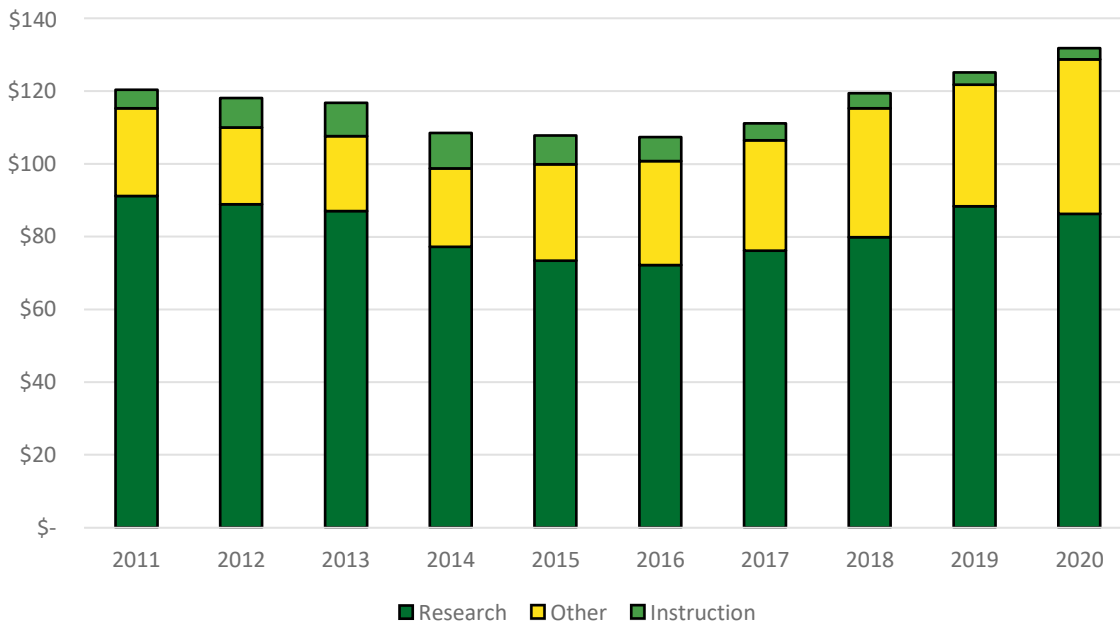
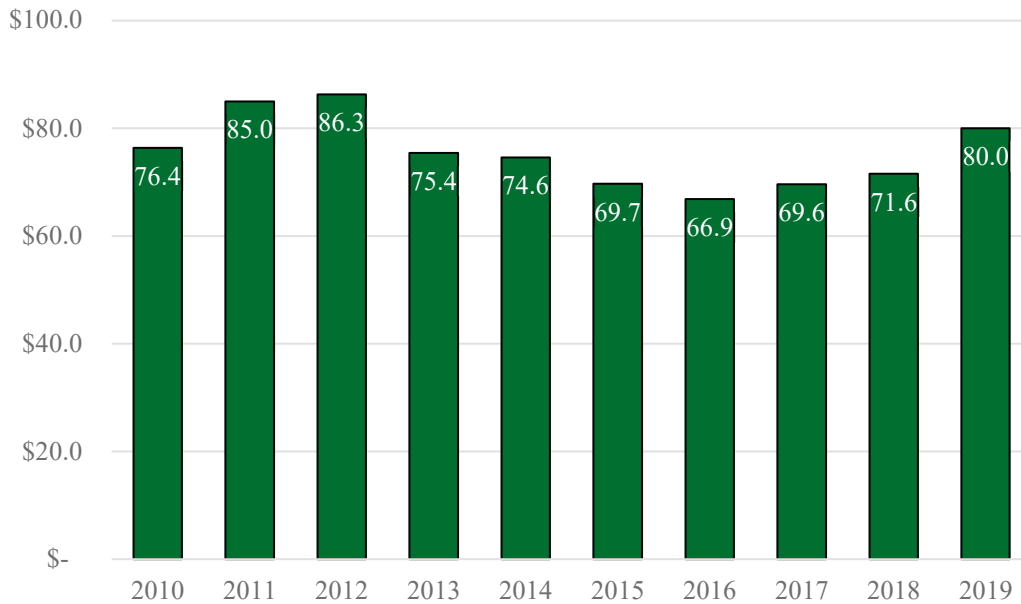


Figure 17 is a multi-year summary of expenditures from sponsored funds by activity type. This is based on the program level information in Banner. The “Other” category includes primarily expenditures for public service projects, but also includes fellowships, equipment, and others.

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.

These totals differ from the other totals reported in the Annual Report because NSF has specific rules about what may be reported. NSF’s rules include departmental research and startup funds, but don’t include some categories of spending, such as capital costs.

Figure 19: Total Research Expenditures from Institutional Funds as Reported on the NSF HERD Survey (in millions)

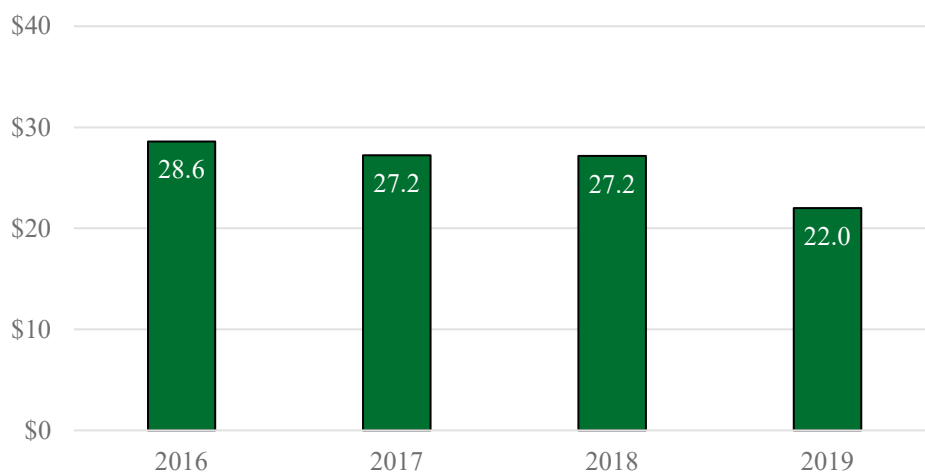


Figure 19 summarizes our reported expenditure of institutional funds. Institutional funds include UO-funded training grants, startup funds, and other amounts used to fund research. It does not include some specific forms of institutional spending, such as capital costs related to research facilities.

Facilities & Administrative Cost Analysis

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

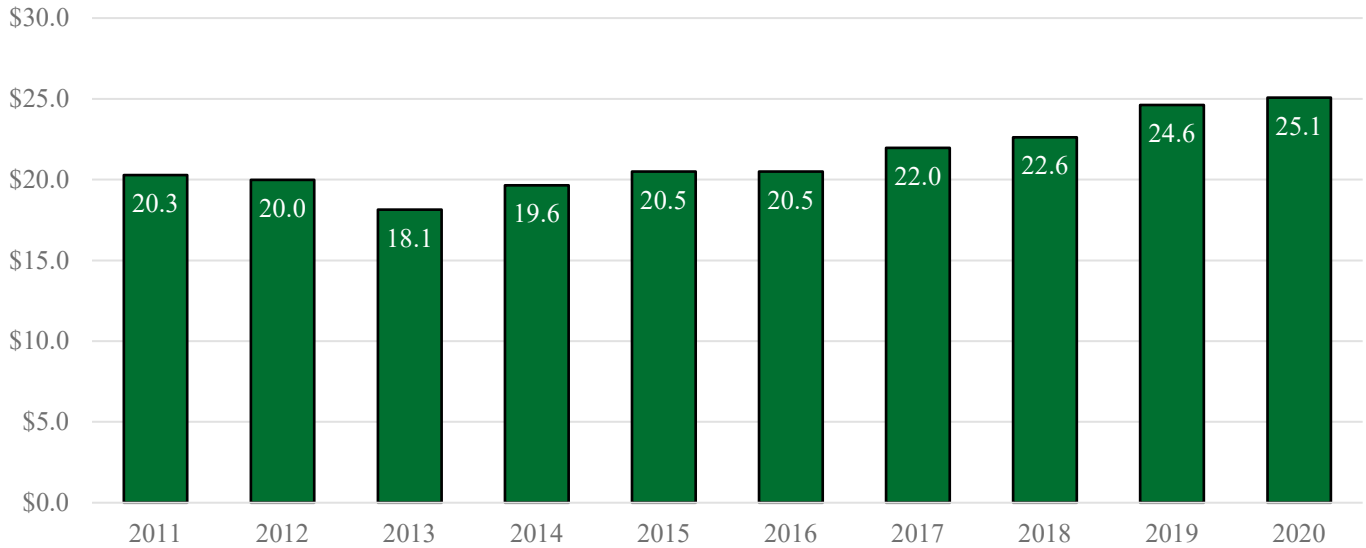


Figure 20 summarizes recovered facilities and administrations costs in FY20. Recovered indirect costs are those indirect costs paid for by sponsored funds. The university also incurs unrecovered indirect costs, such as cost-share requirements, that are not included here.

Figure 21: Historical Federally Negotiated F&A Rates

Fiscal Year	Research		Instruction		Other	
	On-Campus	Off-Campus	On-Campus	Off-Campus	On-Campus	Off-Campus
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
FY20	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 22: Facilities & Administrative Recovery Allocation FY20

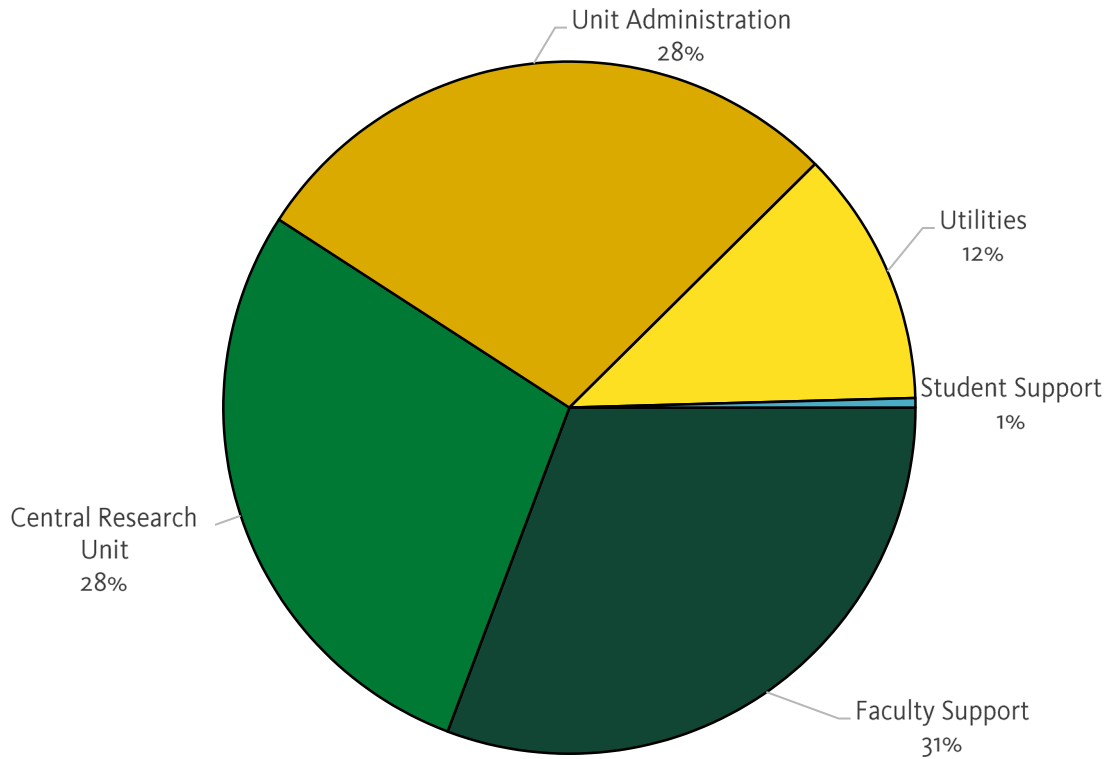


Figure 22 summarizes how F&A collected in FY20 was allocated in the FY21 beginning budget process.

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 overall 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 FY20 are included.

Awards

Award amounts are based on award letters logged in E-PCS by Sponsored Projects Services. This data includes award letters received during FY20 are included. Not all award letters are included. New awards, continuations, and modifications are included, while supplements, no-cost extensions, and subawards to other institutions are not.

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).