

**OFFICE OF RESEARCH ADMINISTRATION & ADVANCEMENT**

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**ANNUAL REPORT**  
**OF**  
**SPONSORED PROGRAM ACTIVITIES**  
  
**Fiscal Year 2002**

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This report, prepared by the Office of Research Administration and Advancement (ORAA), provides an overview of sponsored program activities for the fiscal year ending 30 June 2002

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**INTRODUCTION: RESPONSIBILITIES, ACTIVITIES & ORGANIZATION**

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I. Summary of Activities

The University of Maryland, College Park (UM) has experienced considerable growth of extramural funding over the past decade, more than doubling our award totals to a current level of approximately \$352 million (includes \$297 million administered through ORAA). The Office of Research Administration & Advancement (ORAA) has aggressively moved toward providing a user-friendly environment for faculty and staff, as well as outside agencies, to promote research and to showcase UM capabilities.

Not only have the award and proposal activity numbers increased, but the intensity of activity has also increased. Our faculty has responded well to the ever changing funding climate; we are experiencing an increased number of proposals. The resulting awards are complex and unusual, involving multiple parties, special agreements and requirements.

II. ORAA Organization

ORAA is comprised of two main units. The “Administration” unit has responsibility for providing support and service to PIs and Departments for proposal submission and award negotiation and administration. The “Advancement” unit, known as Grant Development Unit, has responsibility for promoting funding opportunities, training and electronic Research Administration (eRA).

III. ORAA Responsibilities:

- Identify sources of extramural funds for research and scholarly activities;
- Facilitate funding links for faculty to sponsors and links to UM researchers for sponsors wishing to initiate collaborative research;
- Coordinate the submission of research proposals to potential sponsors;
- Provide post-award administration (except invoicing);
- Official acceptance and negotiation of all awards;
- Issue and administer sub-award actions;
- Recommend and implement research administration and compliance policies and procedures
- Coordinate, under the direction of the Vice President for Research, the selection of faculty to be nominated for prestigious awards that limit the number of applicants (e.g., Packard Fellowships), and coordinate the selection of proposals for programs that limit the number of submissions by institution (e.g., NSF Instrumentation Program) in any given competition;
- Provide training programs for campus community regarding research administration;
- Review and recommend all Facilities & Administrative waiver requests;
- Conflict of Interest Policy and Procedures.

**COMBINED SPONSORED PROGRAM TOTALS**

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I. Explanation

UM has a combined sponsored research award total of \$352 million for FY 2002. This combined total is comprised of:

- ORAA – processed award totals
- UM affiliated foundation grants & sponsored projects not granted through to ORAA from:
  - University Research Corporation International (URCI)
  - University of Maryland Foundation (UMF)
  - University of Maryland College Park Foundation (UMCPF)
- Federal appropriations for the Agriculture Experiment Station (AES) and Cooperative Extension Service (CES)
- Research center memberships
- Units with delegated signature authority: Maryland Fire & Rescue Institute (MFRI), Office of Continuing & Extended Education (OCEE) and the Technology Extension Service (TES)

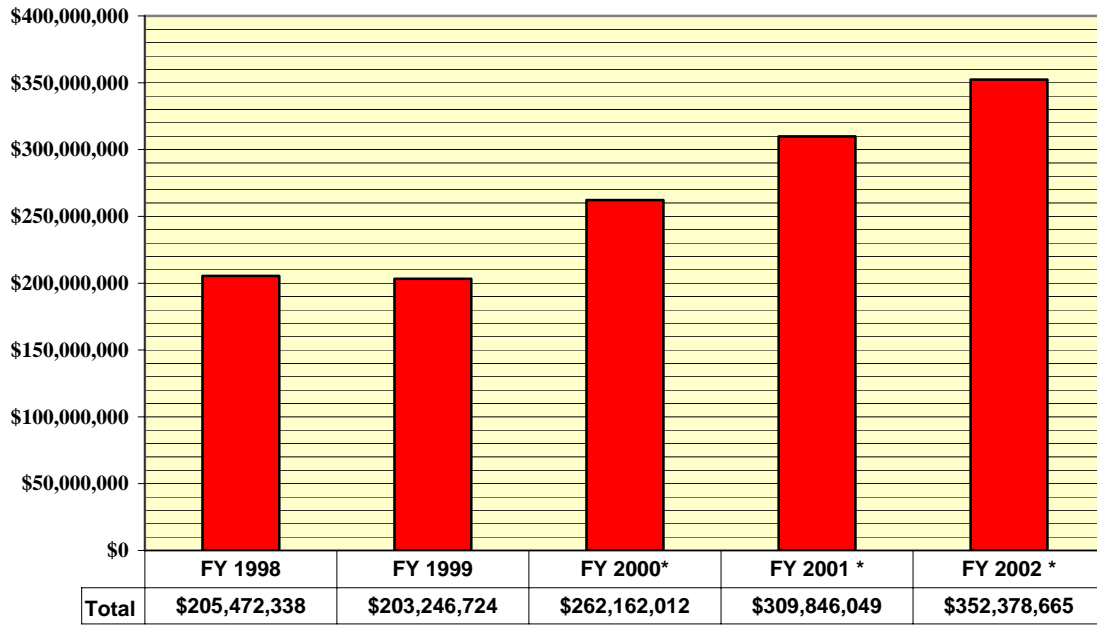
II. Tables & Charts:

The following table and chart illustrate combined research dollars at UM. Overall, the University experienced a 14% increase from FY 2001.

**Table 1**  
**Combined Sponsored Program Awards\***  
**(by sponsor type)**

<u>Source</u>	<u>Combined 2001</u>	<u>Combined 2002</u>	<u>% Change</u>
<b>Federal</b>	\$191,312,561	\$222,414,512	16%
<b>State</b>	\$35,482,063	\$53,718,831	51%
<b>Corporate</b>	\$15,481,703	\$21,527,812	39%
<b>Foundations</b>	\$38,928,930	\$29,518,995	-24%
<b>Other</b>	\$28,640,792	\$25,198,515	-12%
<b>TOTAL</b>	<b>\$309,846,049</b>	<b>\$352,378,665</b>	<b>14%</b>

**Chart A – Five Year Combined Research Dollars  
FY 1998 - 2002**



Source: UM Data Warehouse.

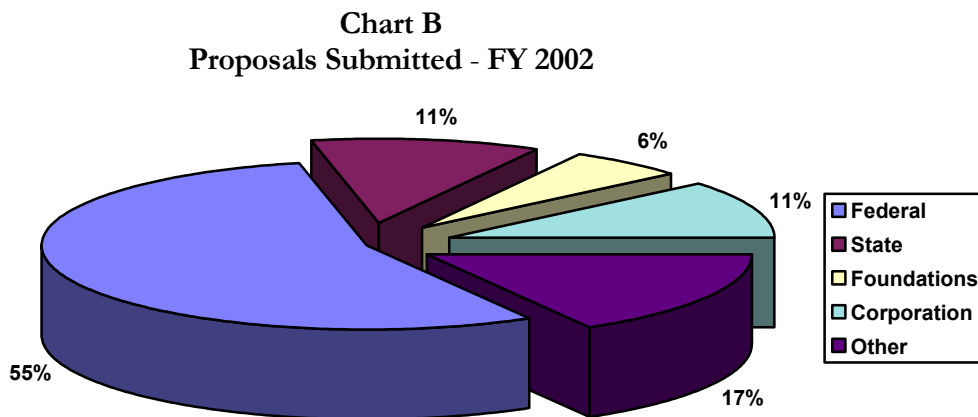
\* FY 2000 - 2002 contain totals from expanded extramural report

**ORAA SPONSORED PROPOSAL AND AWARD ACTIVITY**

Fiscal year 2002 was, as in 2001, prosperous for the Office of Research Administration and Advancement (ORAA). Award dollars administered by ORAA rose by an impressive \$52,482,847, or 25% in comparison to FY 2000. Here are some other notable facts:

- ORAA processed a total of 3,847 award actions, totaling in over \$297 million.\*
- 2,126 proposals were submitted by ORAA in FY 2002, requesting \$919,755,862
- 186 Collaborative projects were active in FY 2002, accounting for over \$56 million.\*\*
- The University’s three primary sponsors are:
  - **State of Maryland (STMD)**
    - FY 2002 funding of \$48,648,410 (16.36% of FY02 total).
    - STMD award dollars increased over \$13 million from FY 2001.
    - 581 awards actions were recorded for FY 2002, an increase of 38% from FY 2001 (420).
  - **National Aeronautics & Space Administration (NASA)**
    - FY 2001 funding of \$48,507,368 (16.31% of FY 2002 total).
    - The amount of NASA awards rose nearly \$10 million from FY 2001.
  - **National Science Foundation (NSF)**
    - FY 2002 funding of \$43,018,751 (20.8% of FY 2002 total).
    - FY 2002 NSF Funding rose over \$1.5 million in FY 2002, an increase of 14%.
    - The number of NSF awards rose 4% (from 467 in 2001 to 534 in 2002).

Charts B & C below illustrate the division of sponsored awards and proposal processed by ORAA. Chart B shows that the bulk of proposals were sent to federal agencies during FY02



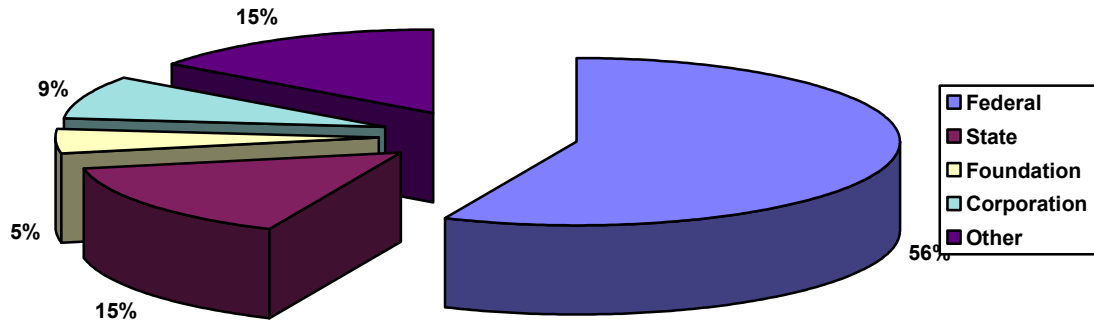
Source: UM Data Warehouse

\* Number of all awards actions processed through ORAA

\*\*“Collaborative” denotes projects where PI’s are from two or more different departments

The majority of funding during FY 2002 was from federal sources.

**Chart C**  
**Awards Received - FY 2002**



Source: UM Data Warehouse

Table 2 below displays the distribution of ORAA-processed **Federal** award dollars during FY 2002.

**Table 2**  
**Federal Award Dollars - FY 2002**

Agency or Sub-category	Award Amount	Percentage of Federal	Percentage of 2002 Total
NASA	\$48,507,368	23.45%	16.31%
NSF	\$43,018,751	20.79%	14.47%
Defense Dept.	\$37,001,071	17.89%	12.44%
Hlth. & Human Serv Dept.	\$20,672,898	9.99%	6.95%
All Other Federal Agen	\$18,382,387	8.89%	6.18%
Energy Dept.	\$10,343,252	5.00%	3.48%
Commerce Dept.	\$9,840,198	4.76%	3.31%
Education Dept.	\$9,690,721	4.68%	3.26%
Agriculture Dept.	\$9,417,207	4.55%	3.17%
<b>FEDERAL TOTAL</b>	<b>\$206,873,853</b>	<b>100.00%</b>	<b>69.57%</b>

Table 3 displays the distribution of ORAA-processed **Non-Federal** funds during FY 2002.

**Table 3**  
**Non-Federal Award Dollars - FY 2002**

Agency or Sub-category	Award Amount	Percentage of Non-Federal	Percentage of 2001 Total
State of Maryland	\$48,648,410	53.75%	16.36%
Universities	\$12,485,625	13.80%	4.20%
Foundations	\$7,789,366	8.61%	2.62%
Corporations	\$7,569,673	8.36%	2.55%
Univ. Research Corp., Int'l.	\$6,029,611	6.66%	2.03%
All Other Non-Profit	\$3,320,878	3.67%	1.12%
Other Govt. Entities	\$2,881,318	3.18%	0.97%
Other Non-Federal	\$1,782,319	1.97%	0.60%
<b>NON-FEDERAL TOTAL</b>	<b>\$90,507,200</b>	<b>100.00%</b>	<b>30.43%</b>

The University received the majority of its funding from Federal and State sources. The following tables illustrate the top sponsors for FY 2002.

**Table 4**  
**Individual Sponsors Awarding \$1,000,000 or more in FY 2002\***

Total Rank	Sponsor Name	Dollars Awarded
1	State of Maryland (STMD)	\$48,648,410
2	National Aeronautics & Space Administration (NASA)	\$48,507,368
3	National Science Foundation (NSF)	\$43,018,751
5	Department of Defense (DOD) **	\$37,001,071
4	Department of Health & Human Services (HHS)	\$20,672,898
6	Universities	\$12,485,625
7	Department of Energy (DOE)	\$10,343,252
8	Department of Commerce	\$9,840,198
9	Department of Education	\$9,690,721
10	Department of Agriculture (USDA)	\$9,417,207
11	Other Federal Entities	\$9,250,875
12	Foundations	\$7,789,366
13	Corporations	\$7,569,673
14	University Research Corporation, International (URCI)	\$6,029,611
15	Gov't. Labs	\$2,705,458
16	Department of Justice (DOJ)	\$2,486,425
17	Local Governments	\$2,363,811
18	Institutes	\$1,827,081
19	All Other Non-Federal Entities	\$1,137,366

Source: UM Data Warehouse

\*All totals are ORAA administered totals

\*\* Represents all DOD sources, including Air Force, Army and Navy



PROPOSAL AND AWARD ACTIVITY - HISTORICAL DATA

Table 5 points to the marked increase in funding by college over the past five fiscal years.

**Table 5**  
**Awards by College – Five -Year Funding processed through ORAA**

<u>School/College</u>	<u>FY 1998</u>	<u>FY 1999</u>	<u>FY 2000</u>	<u>FY 2001</u>	<u>FY 2002</u>
<b>A. James Clark School of Engineering</b>	\$46,154,467	\$48,524,032	\$57,947,211	\$59,006,198	\$64,105,029
<b>College of Agriculture &amp; Natural Resources</b>	\$10,987,330	\$10,550,077	\$8,438,294	\$15,351,360	\$14,774,266
<b>College of Arts &amp; Humanities</b>	\$1,172,251	\$1,173,736	\$1,926,803	\$4,958,568	\$6,502,841
<b>College of Behavioral &amp; Social Sciences</b>	\$44,695,291	\$43,934,909	\$40,271,856	\$53,319,325	\$52,731,022
<b>College of Education</b>	\$12,281,286	\$12,750,910	\$11,154,992	\$14,605,476	\$14,917,586
<b>College of Health &amp; Human Performance</b>	\$4,270,461	\$4,911,634	\$4,751,647	\$4,950,193	\$7,113,931
<b>College of Information Studies</b>	\$263,618	\$659,979	(\$373,816)	\$313,147	\$89,242
<b>College of Life Sciences</b>	\$11,504,203	\$16,036,833	\$21,260,285	\$19,852,114	\$22,558,299
<b>College of Math, Computer &amp; Physical Sciences</b>	\$52,438,290	\$51,453,487	\$49,084,008	\$69,072,101	\$97,026,040
<b>Other Administrative Units</b>	\$3,327,470	\$4,353,290	\$15,946,561	\$20,945,455	\$14,747,031
<b>Philip Merrill College of Journalism</b>	\$32,560	\$73,750	\$41,627	\$101,850	\$143,150
<b>Robert H. Smith School of Business</b>	\$3,666,992	\$7,692,709	\$975,483	\$1,151,362	\$1,136,487
<b>School of Architecture</b>	\$214,982	\$304,273	\$16,500	\$114,257	\$95,800
<b>School of Public Affairs</b>	\$1,038,137	\$827,105	\$730,561	\$2,274,689	\$1,440,329
<b><i>Fiscal Year Totals</i></b>	<b>\$192,047,338</b>	<b>\$203,246,724</b>	<b>\$212,172,012</b>	<b>\$266,016,095</b>	<b>\$297,381,053</b>

Source: UM Data Warehouse

**Table 6**  
**Proposals by College Five - Year Proposal Volume processed through ORAA**

School/College	FY 1998	FY 1999	FY 2000	FY 2001	FY 2002
A. James Clark School of Engineering	534	548	633	626	615
College of Agriculture & Natural Resources	195	209	241	224	220
College of Arts & Humanities	51	32	43	57	48
College of Behavioral & Social Sciences	271	263	308	309	377
College of Education	71	81	87	123	93
College of Health & Human Performance	47	49	45	56	64
College of Information Studies	11	9	9	10	7
College of Life Sciences	231	217	199	186	196
College of Math, Computer & Physical Sciences	434	427	472	512	461
Other Administrative Units	36	74	68	85	84
Philip Merrill College of Journalism	2	5	4	4	1
Robert H. Smith School of Business	7	5	13	8	15
School of Architecture	3	7	1	7	10
School of Public Affairs	29	27	30	57	23
<b><i>Fiscal Year Totals</i></b>	<b><u>1922</u></b>	<b><u>1953</u></b>	<b><u>2153</u></b>	<b><u>2264</u></b>	<b><u>2214</u></b>

Source: UM Data Warehouse

- Notes for Tables 5 and 6:
  - In Table 5, amounts include all projects at UM that were active between 07/01/01 – 06/30/02.
  - Data in table 6 is a count of proposals sent by ORAA to sponsors

**Table 7**  
**Award Actions by College Five - Year Award Volume processed through ORAA\***

School/College	FY 1998	FY 1999	FY 2000	FY 2001	FY 2002
A. James Clark School of Engineering	792	759	832	901	878
College of Agriculture & Natural Resources	266	257	260	306	372
College of Arts & Humanities	55	59	59	83	90
College of Behavioral & Social Sciences	382	406	422	418	522
College of Education	168	158	150	140	201
College of Health & Human Performance	98	90	80	80	78
College of Information Studies	11	12	11	13	10
College of Life Sciences	267	280	285	300	305
College of Math, Computer & Physical Sciences	941	914	898	1012	1107
Other Administrative Units	69	111	157	134	198
Philip Merrill College of Journalism	1	2	6	4	7
Robert H. Smith School of Business	17	21	14	12	10
School of Architecture	1	7	3	4	11
School of Public Affairs	37	26	27	54	58
<b><i>Fiscal Year Totals</i></b> <sup>1</sup>	<b><u>3106</u></b>	<b><u>3102</u></b>	<b><u>3204</u></b>	<b><u>3461</u></b>	<b><u>3847</u></b>

\* This includes all awards actions processed by ORAA

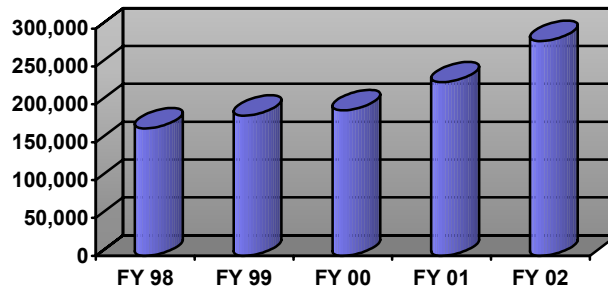
<sup>1</sup> Other Administrative Units include the VP Office of Academic Affairs, Student Affairs, Office of Information Technology, Graduate School and Undergraduate Studies

OVERVIEW OF ORAA SPONSORED PROGRAM EXPENDITURES

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In Fiscal Year 2002, the UM expenditures were in excess of \$283 million for sponsored activities, an increase of 24 percent from fiscal year 2001.\*

**Chart D**  
**Sponsored Program Expenditures**  
**Total University**  
**(Dollars in thousands)**



**Table 8**  
**Sponsored Program Expenditures**  
**Total University**

	FY 1998	FY 1999	FY 2000	FY 2001	FY 2002
Total University	\$168,115,825	\$185,036,200	\$192,051,674	\$229,095,551	\$283,477,679

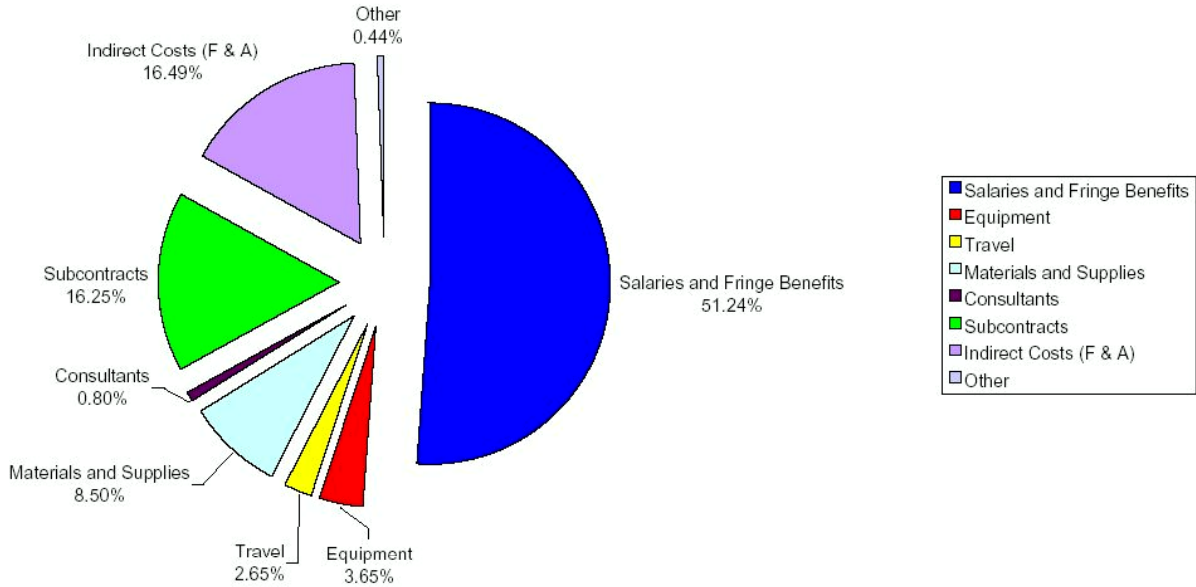
Source: UM Comptroller's Office

**Table 9**  
**Fiscal Year Comparison: Sponsored Program Expenditures by Cost Element**

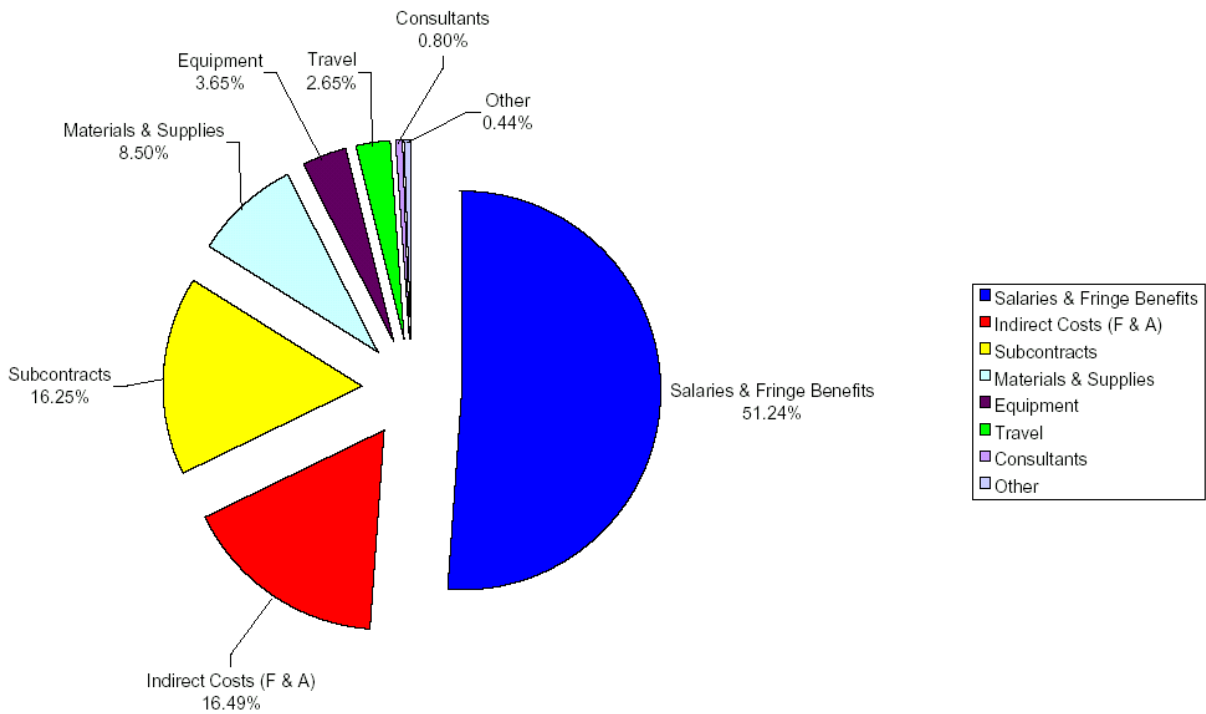
Cost Element	FY 2001	FY 2002	% Change
Salaries & Benefits	\$117,378,542	\$133,917,559	14%
Subcontracts	\$37,226,084	\$59,288,876	59%
Indirect Costs (F&A)	\$37,771,962	\$42,106,013	11%
Materials & Supplies	\$19,473,184	\$24,000,181	23%
Equipment	\$8,355,271	\$9,006,912	8%
Travel	\$6,061,227	\$6,267,721	3%
Contractual Services	\$1,830,653	\$2,061,385	13%
Other	\$998,628	\$1,389,983	39%
Transfers	N/A	\$5,439,050	N/A
<b><u>TOTAL</u></b>	<b><u>\$229,095,551</u></b>	<b><u>\$283,477,679</u></b>	<b><u>24%</u></b>

Source: UM Comptroller's Office

**Chart E**  
**FY 2001 Sponsored Program Expenditures by Cost Element**



**Chart F**  
**FY 2002 Sponsored Program Expenditures by Cost Element**



Source: UM Comptroller's Office

**THE UNIVERSITY'S RANKING AMONG ITS PEERS**

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The University's ranking of its sponsored program activities compared with colleges and universities nationwide is illustrated in the following statistics furnished by NSF and NASA:

**National Science Foundation (NSF) FY 2000 data:**

On An Expenditure Basis<sup>1</sup>

- **20th** in Federally financed research and development (R&D) expenditures at public universities and colleges by science & engineering field: fiscal year 2000
- **35th** in Federally financed R&D expenditures at universities and colleges: fiscal year 2000 (*see table 10*)
- **32nd** in total R&D expenditures at universities and colleges (*35<sup>th</sup> in FY 1999*)

On An Obligation Basis<sup>2</sup>

- 46th in Federal obligations for science and engineering R&D: FY 1999
- 36th in Federal obligations for fellowships, traineeships, and training grants: FY 1999
- 2nd in Federal obligations for science and engineering to Maryland universities and colleges: FY 1999 (*rank order: Johns Hopkins, UM, UMLAB*)

**National Aeronautics and Space Administration (NASA) FY 2001 data:**

- Ranked 4th nationally for total obligations to educational institutions (*see table 11*).

<sup>1</sup>.All data taken from NSF Academic Research and Development Expenditures tables for FY 1999, 2000.

<sup>2</sup>. All data taken from NSF Federal Science and Engineering Support to Universities, Colleges, and Nonprofit Institutions: Fiscal Year 1998, 1999

**Table 10**  
**NSF: FY 2000 R&D expenditures at Universities and Colleges**  
**(Dollars in thousands)**

Rank	Institution	Total Expenditures
1	Johns Hopkins University	\$901,156
2	University of Wisconsin - Madison	\$554,361
3	University of Michigan	\$551,556
4	University of California - Los Angeles	\$530,826
5	University of Washington	\$529,342
6	University of California - San Diego	\$518,559
7	University of California - Berkeley	\$518,514
8	Stanford University	\$454,780
9	University of California - San Francisco	\$443,013
10	University of Pennsylvania	\$430,389
11	Pennsylvania State University	\$427,575
12	Massachusetts Institute of Technology	\$426,299
13	University of Minnesota	\$411,380
14	Cornell University	\$410,393
15	Texas A&M University	\$397,268
16	University of Illinois - Urbana-Champaign	\$373,024
17	University of California - Davis	\$364,789
18	Washington University	\$362,216
19	Ohio State University	\$361,399
20	Duke University	\$356,625
21	University of Colorado	\$353,528
22	University of Arizona	\$345,090
23	Harvard University	\$341,810
24	Baylor College of Medicine	\$334,175
25	Columbia University (in NYC)	\$319,693
<b>35</b>	<b>University of Maryland at College Park</b>	<b>\$252,429</b>

Source: National Science Foundation/SRS, Academic Research and Development Expenditures: Fiscal Year 2000 [Early Release Tables] *Table B-35. R&D expenditures at universities and colleges, by source of funds: fiscal year 2000*

**Table 11**  
**NASA: 50 Educational Institutions Listed according to Total obligation – FY 2001**

Rank	Institution	Total Obligations
1	Johns Hopkins University	\$129,967,230
2	Stanford University	\$54,331,156
3	University of Colorado – Boulder	\$44,527,133
<b>4</b>	<b>University of Maryland at College Park</b>	<b>\$41,925,149</b>
5	Massachusetts Institute of Technology	\$31,363,846

Source: *NASA: University Program Management Information System: (NASA/TM—2002-211518) p.iv*

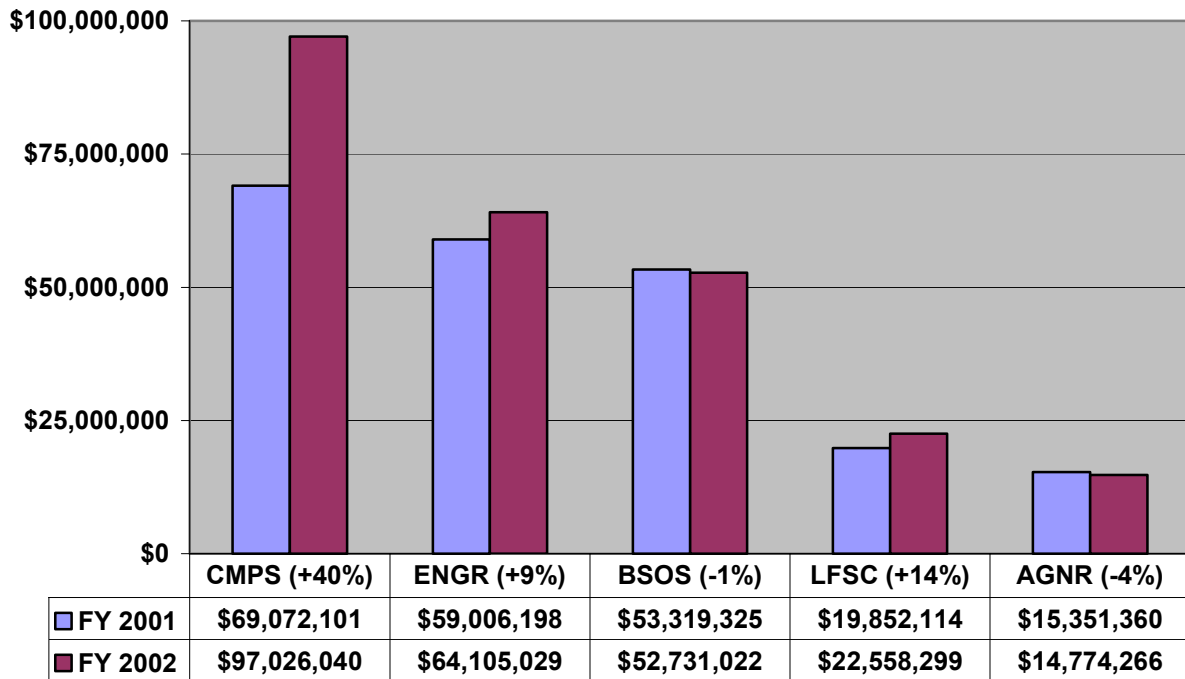
ORAA COMPARATIVE DATA: FY 2001 & 2002

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**I. Highlights of current increases in ORAA award dollars for FY 2002.**

- The College of Computer Math and Physical Sciences (CMPS) has a dramatic increase of \$27.9 million which is 40% higher than one year ago.

**Top 5 UM Colleges: FY Comparison**



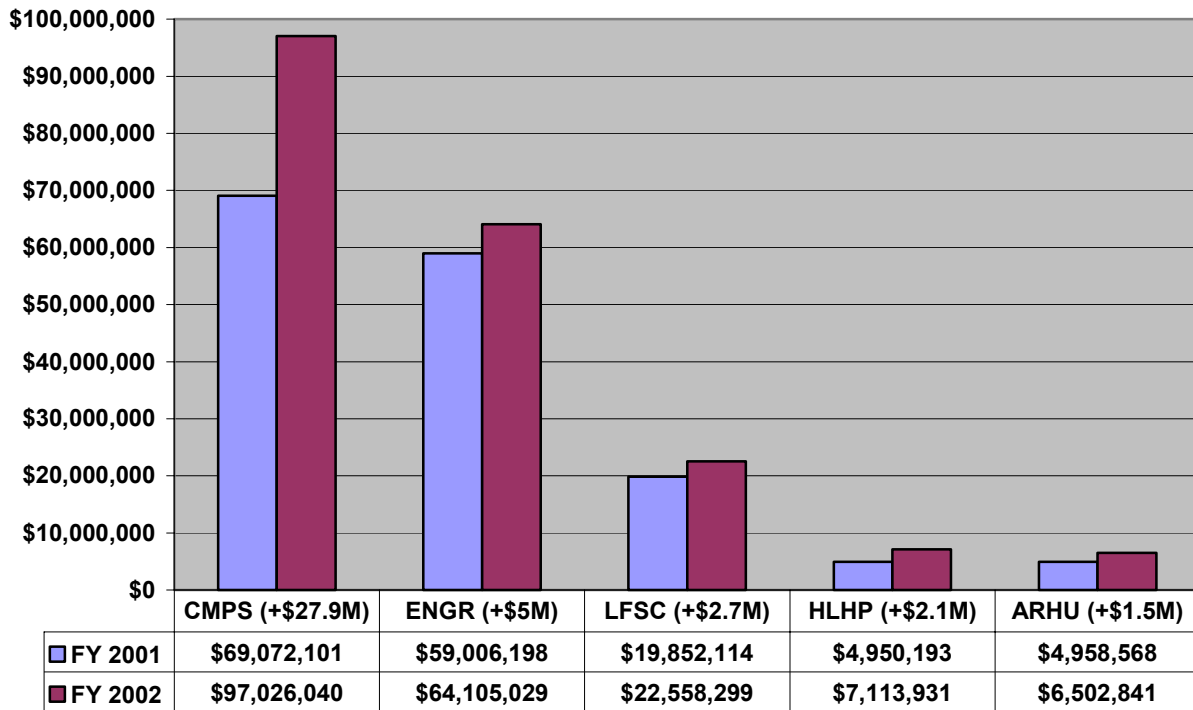


**II. The five colleges in ranked order with the greatest rise in funding for FY 2001 are:**

- College of Computer Math and Physical Sciences (CMPS)
- A. James Clark School of Engineering (ENGR),
- College of Life Sciences (LFSC),
- College of Health & Human Performance (HLHP)
- College of Arts & Humanities (ARHU)

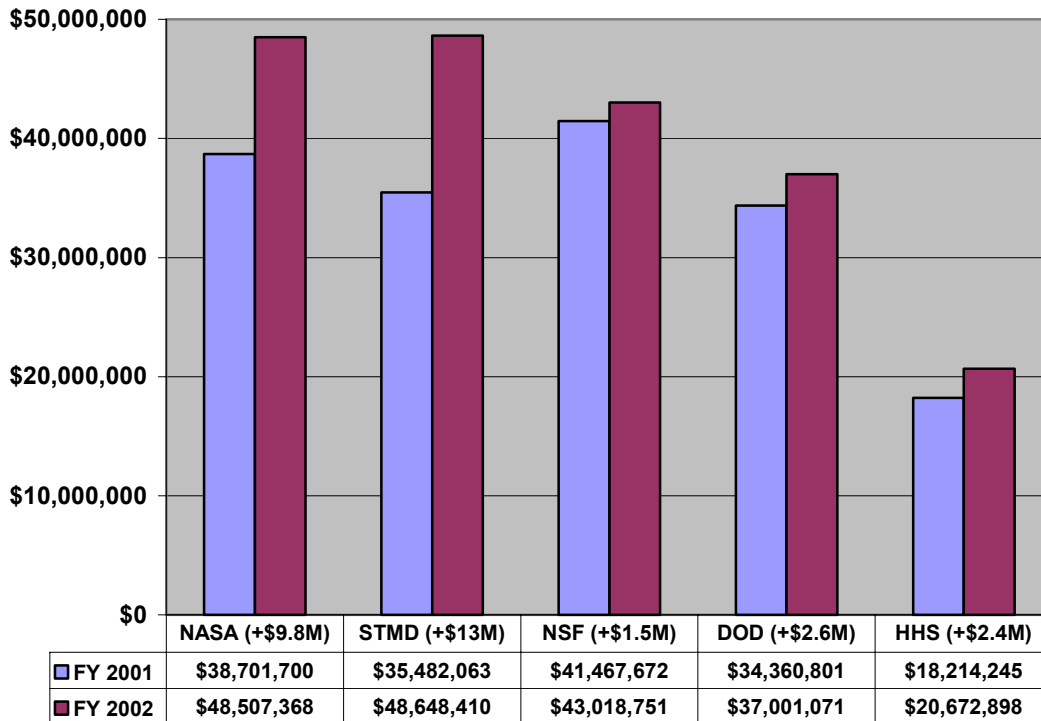
CMPS is the leader this fiscal year with an increase of over \$27 million in funding.

**Top 5 Funding Increases for FY 2002 by COLLEGE**



III. The chart below shows the increase in funding from UM's top 5 funding agencies in FY 2002. The National Aeronautics and Space Administration (NASA) and the State of Maryland (STMD) had the most pronounced increases with \$9.8 million and \$13 million respectively.

**FY 2002 Increases at UM's Top 5 Funding Agencies**



\* DOD includes all agencies (Navy, Army, Air Force and Other)

IV. Principal Investigator (PI) numbers rose in FY 2002 from 758 to 769, with a large portion of those numbers (88% and 93% respectively) being full time employees (FTE).

**Principal Investigators: FY 2001 - 2002**

