

OFFICE OF RESEARCH ADMINISTRATION & ADVANCEMENT

ANNUAL REPORT
OF
SPONSORED PROGRAM ACTIVITIES
Fiscal Year 2003

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 2003

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INTRODUCTION: RESPONSIBILITIES, ACTIVITIES & ORGANIZATION

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 \$321 million (includes \$273 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;
- Coordinate electronic research administration (eRA) system development;
- Provide 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

I. Explanation

UM has a combined sponsored research award total of \$321 million for FY 2003. This combined total includes:

- 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:

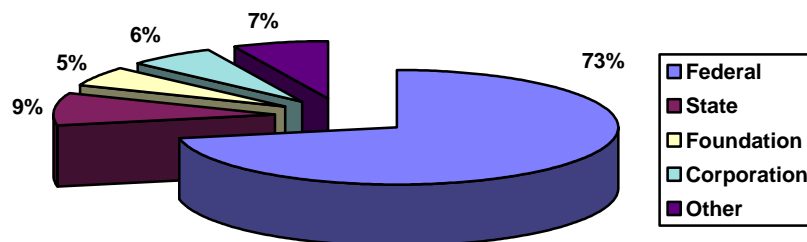
The following tables and charts illustrate combined research dollars at UM. Overall, the University experienced a 8.7% decrease from FY 2002. It is important to note that State of Maryland funding went down 45%, while federal funding increased by 4% in FY 2003.

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

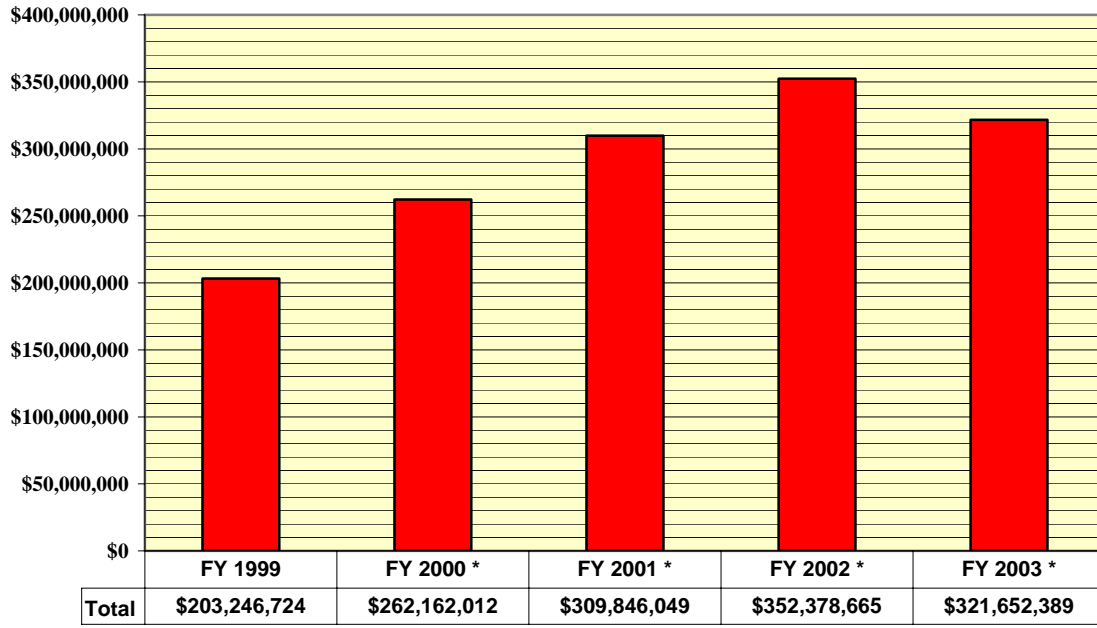
<u>Source</u>	<u>Combined 2002</u>	<u>Combined 2003</u>	<u>% Change</u>
Federal	\$222,414,512	\$231,511,132	4.09%
State	\$53,718,831	\$29,497,533	-45.09%
Corporate	\$21,527,812	\$20,564,942	-4.47%
Foundations	\$29,518,995	\$17,425,001	-40.97%
Other	\$25,198,515	\$22,653,781	-10.10%
TOTAL	\$352,378,665	\$321,652,389	-8.72%

Chart A
Combined Data: Awards Activity - FY 2003

The majority of funding during FY 2003 was from federal sources. UM experienced a 4.09% increase in Federal funding compared to FY 2002



**Chart B – Five Year Combined† Total Research Dollars at UM
FY 1999 - 2003**



† “Combined” totals reflect the sum of ORAA & Non-ORAA sponsored funding
 * FY 2000 - 2003 contain totals from expanded extramural report

ORAA - ADMINISTERED PROPOSAL AND AWARD ACTIVITY

Fiscal year 2003 was, a year of changes and fluctuations for awards and proposals administered by the Office of Research Administration and Advancement (ORAA).

- **State of Maryland (STMD)**
 - FY 2003 funding of \$28,548,406 (10.42% of FY03 total).
 - STMD award dollars were \$20 million in FY 2003 (-45%).
 - 492 award actions were recorded for FY 2003, as compared to 601 in FY 2002.
- The University's three primary sponsors are:**
 - **Department of Defense (DoD)**
 - FY 2003 funding of \$39,705,874 (14.49% of FY03 total).
 - DoD award dollars increased \$2.7 million from FY 2002.
 - 404 award actions were recorded for FY 2003, as compared to 420 in FY 2002.
 - **National Science Foundation (NSF)**
 - FY 2003 funding of \$39,342,677 (14.36% of FY03 total).
 - 550 award actions were recorded for FY 2003, as compared to 542 in FY 2002.
 - **National Aeronautics & Space Administration (NASA)**
 - FY 2003 funding of \$31,634,684 (11.55% of FY03 total).
 - FY 2003 NASA funding rose over \$1.5 million in FY 2002, an increase of 14%.
 - 512 award actions were recorded for FY 2003, as compared to 409 in FY 2002.

ORAA processed a total of 4,069 award actions, totaling over \$273 million. This is an increase of 6% from FY 2002.*

Table 2 below displays the distribution of ORAA-administered **Federal** award dollars during FY 2003.

Table 2
Federal Award Dollars - FY 2003

Agency or Sub-category	Award Amount	Percentage of Federal	Percentage of 2003 Total
Department of Defense	\$39,705,874	19.09%	14.49%
National Science Foundation	\$39,342,677	18.92%	14.36%
All Other Federal	\$38,837,542	18.67%	14.18%
National Aeronautics & Space Admin	\$31,634,684	15.21%	11.55%
Department of Health & Human Services	\$24,721,918	11.89%	9.02%
Department of Education	\$10,686,710	5.14%	3.90%
Energy Department	\$9,501,256	4.57%	3.47%
Department of Agriculture	\$7,062,172	3.40%	2.58%
Department of Commerce	\$6,491,410	3.12%	2.37%
FEDERAL TOTAL	\$ 207,984,243	100.00%	75.9%

Table 3 displays the distribution of ORAA-administered **Non-Federal** funds during FY 2003.

Table 3
Non-Federal Award Dollars - FY 2003

Agency or Sub-category	Award Amount	Percentage of Non-Fed	Percentage of 2003 Total
State of Maryland	\$28,548,406	43.27%	10.42%
Corporations	\$9,827,376	14.89%	3.59%
Universities	\$9,283,990	14.07%	3.39%
Foundations	\$6,275,276	9.51%	2.29%
All Other Non-Profit	\$4,538,645	6.88%	1.66%
Univ. Research Corp. International.	\$3,414,062	5.17%	1.25%
Foreign & Other Non-Federal	\$2,240,049	3.39%	0.82%
Other Govt. Entities	\$1,855,274	2.81%	0.68%
NON-FEDERAL TOTAL	\$65,983,078	100.00%	24.08%

ORAA - ADMINISTERED PROPOSAL AND AWARD ACTIVITY

The following table lists the top sponsors in FY 2003.

Table 4
Individual Sponsors Awarding \$1,000,000 or more in FY 2003*

Total Rank	Sponsor Name	Dollars Awarded
1	Department of Defense**	\$39,705,874
2	National Science Foundation	\$39,342,677
3	National Aeronautics & Space Administration	\$31,634,684
5	State of Maryland	\$28,548,406
4	Department of Health & Human Services	\$24,721,918
6	Department of Justice	\$21,539,765
7	Department of Education	\$10,686,710
8	Other Federal	\$9,841,271
9	Corporations	\$9,827,376
10	Department of Energy	\$9,501,256
11	Universities	\$9,283,990
12	Department of Agriculture	\$7,062,172
13	Department of Commerce	\$6,491,410
14	Foundations	\$6,275,276
15	Institutes	\$3,612,207
16	University Research Corp. International	\$3,414,062
17	Department of Transportation	\$2,764,067
18	Local Governments	\$1,755,250
19	Environmental Protection Agency	\$1,479,153
20	Other Non-Federal	\$1,347,856
21	Government Labs	\$1,319,179

Source: UM Data Warehouse

*All totals are ORAA administered totals

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

Table 7
Proposal Activity by College Five - Year Proposal Volume processed through ORAA

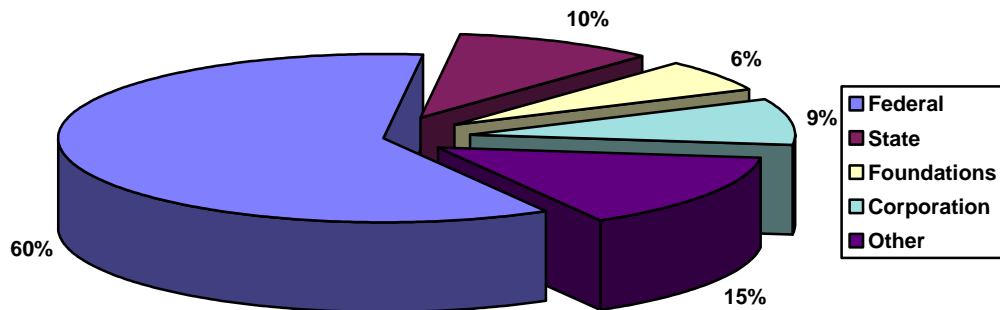
<u>School/College</u>	<u>FY 1999</u>	<u>FY 1999</u>	<u>FY 2000</u>	<u>FY 2002</u>	<u>FY 2003</u>
A. James Clark School of Engineering	548	633	626	615	663
College of Agriculture & Natural Resources	209	241	224	220	236
College of Arts & Humanities	32	43	57	48	65
College of Behavioral & Social Sciences	263	308	309	377	345
College of Education	81	87	123	93	116
College of Health & Human Performance	49	45	56	64	68
College of Information Studies	9	9	10	7	8
College of Life Sciences	217	199	186	196	212
College of Math, Computer & Physical Sciences	427	472	512	461	604
Other Administrative Units	74	68	85	84	110
Philip Merrill College of Journalism	5	4	4	1	4
Robert H. Smith School of Business	5	13	8	15	20
School of Architecture	7	1	7	10	18
School of Public Affairs	27	30	57	23	25
<i>Fiscal Year Totals</i>	<u>1953</u>	<u>2153</u>	<u>2264</u>	<u>2214</u>	<u>2494</u>

Source: UM Data Warehouse

- Notes for Tables 5 and 6:
 - In Table 5, amounts include all projects at UM that were active between 07/01/02 – 06/30/03.
 - Data in table 6 is a count of proposals sent by ORAA to sponsors

In FY 2003, 2408 proposals were submitted by ORAA, requesting \$1,225,838,775

Chart C
Proposals Submitted - FY 2003



Source: UM Data Warehouse

* Number of processed proposals through ORAA

Proposal and Award Activity – Historical Data

Table 5
Award Totals by College – Five -Year Combined Funding at UM*

<u>School/College</u>	<u>FY 1999</u>	<u>FY 2000</u>	<u>FY 2001</u>	<u>FY 2002</u>	<u>FY 2003</u>
A. James Clark School of Engineering	\$48,524,032	\$57,947,211	\$68,003,872	\$73,844,493	\$82,537,371
College of Agricult. & Natural Res.	\$10,550,077	\$8,438,294	\$23,287,133	\$22,583,738	\$21,598,869
College of Arts & Humanities	\$1,173,736	\$1,926,803	\$5,101,261	\$6,561,365	\$5,470,159
College of Behavioral & Social Sciences	\$43,934,909	\$40,271,856	\$63,502,087	\$69,277,058	\$58,899,109
College of Education	\$12,750,910	\$11,154,992	\$14,812,358	\$15,489,154	\$11,682,041
College of Health & Human Perf.	\$4,911,634	\$4,751,647	\$4,950,193	\$7,116,133	\$8,880,529
College of Information Studies	\$659,979	(\$373,816)	\$313,147	\$149,633	\$132,275
College of Life Sciences	\$16,036,833	\$21,260,285	\$20,922,580	\$23,627,878	\$23,465,996
College of Math, Comp & Phys Science	\$51,453,487	\$49,084,008	\$72,322,987	\$101,937,758	\$72,629,065
Other Administrative Units ¹	\$4,353,290	\$15,946,561	\$21,983,554	\$17,840,563	\$24,167,017
Philip Merrill College of Journalism	\$73,750	\$41,627	\$2,786,588	\$4,886,150	\$2,138,841
Robert H. Smith School of Business	\$7,692,709	\$975,483	\$5,601,362	\$4,981,643	\$4,292,013
School of Architecture	\$304,273	\$16,500	\$144,104	\$102,384	\$724,222
School of Public Affairs	\$827,105	\$730,561	\$6,114,823	\$3,980,715	\$5,034,882
<i>Fiscal Year Totals</i>	<u>\$203,246,724</u>	<u>\$212,172,012</u>	<u>\$309,846,049</u>	<u>\$352,378,665</u>	<u>\$321,652,389</u>

Table 6
Award Actions by College Five - Year Award Volume processed through ORAA

<u>School/College</u>	<u>FY 1999</u>	<u>FY 2000</u>	<u>FY 2001</u>	<u>FY 2002</u>	<u>FY 2003</u>
A. James Clark School of Engineering	759	832	901	878	1034
College of Agriculture & Natural Resources	257	260	306	372	347
College of Arts & Humanities	59	59	83	90	93
College of Behavioral & Social Sciences	406	422	418	522	546
College of Education	158	150	140	201	192
College of Health & Human Performance	90	80	80	78	114
College of Information Studies	12	11	13	10	15
College of Life Sciences	280	285	300	305	354
College of Math, Computer & Physical Sciences	914	898	1012	1107	1118
Other Administrative Units ¹	111	157	134	198	157
Philip Merrill College of Journalism	2	6	4	7	5
Robert H. Smith School of Business	21	14	12	10	21
School of Architecture	7	3	4	11	22
School of Public Affairs	26	27	54	58	51
<i>Fiscal Year Totals</i> ¹	<u>3102</u>	<u>3204</u>	<u>3461</u>	<u>3847</u>	<u>4069</u>

* This includes all awards activity at UM in FY 2001 – 2003. FY 1999 & 2000 are ORAA-only totals

¹ 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

In Fiscal Year 2003, the UM expenditures were in excess of \$283 million for sponsored activities.*

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

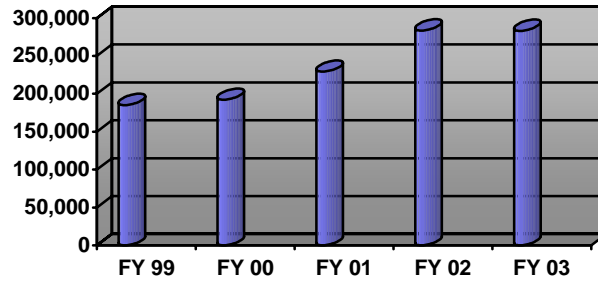


Table 8
Sponsored Program Expenditures
Total University

	FY 1999	FY 2000	FY 2001	FY 2002	FY 2003
Total University	\$185,036,200	\$192,051,674	\$229,095,551	\$283,477,679	\$ 283,095,601

Source: UM Comptroller

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

Cost Element	FY 2002	FY 2003	% Change
1. Salaries & Benefits	\$133,917,559	\$148,856,459	11%
2. Materials & Supplies	\$24,000,181	\$25,324,055	6%
3. Equipment	\$9,006,912	\$8,091,460	-10%
4. Travel	\$6,267,721	\$6,639,082	6%
5. Contractual Services	\$2,061,385	\$1,731,498	-16%
6. Subcontracts	\$59,288,876	\$38,562,035	-35%
7. Other	\$6,829,033	\$5,949,687	-13%
8. Indirect Costs (F&A)	\$42,106,013	\$47,941,325	14%
<u>TOTAL</u>	<u>\$283,477,679</u>	<u>\$283,095,601</u>	<u>-0.13%</u>

Source: UM Comptroller

Chart E
FY 2003 Sponsored Program Expenditures by Cost Element

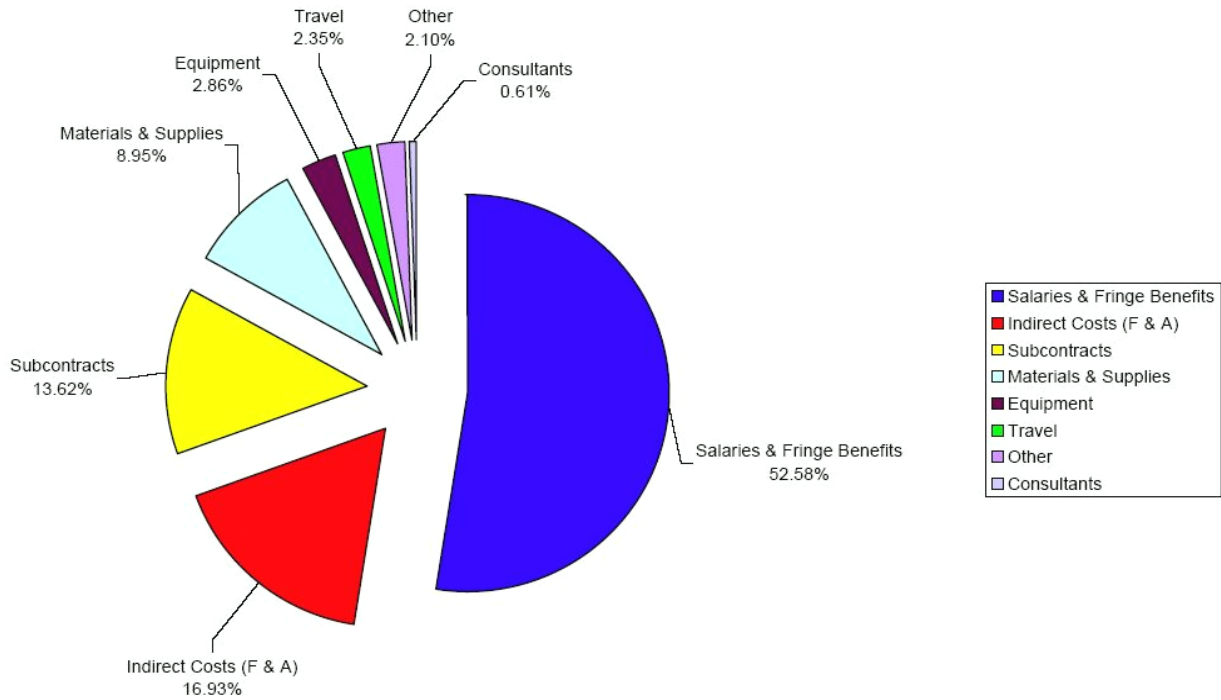
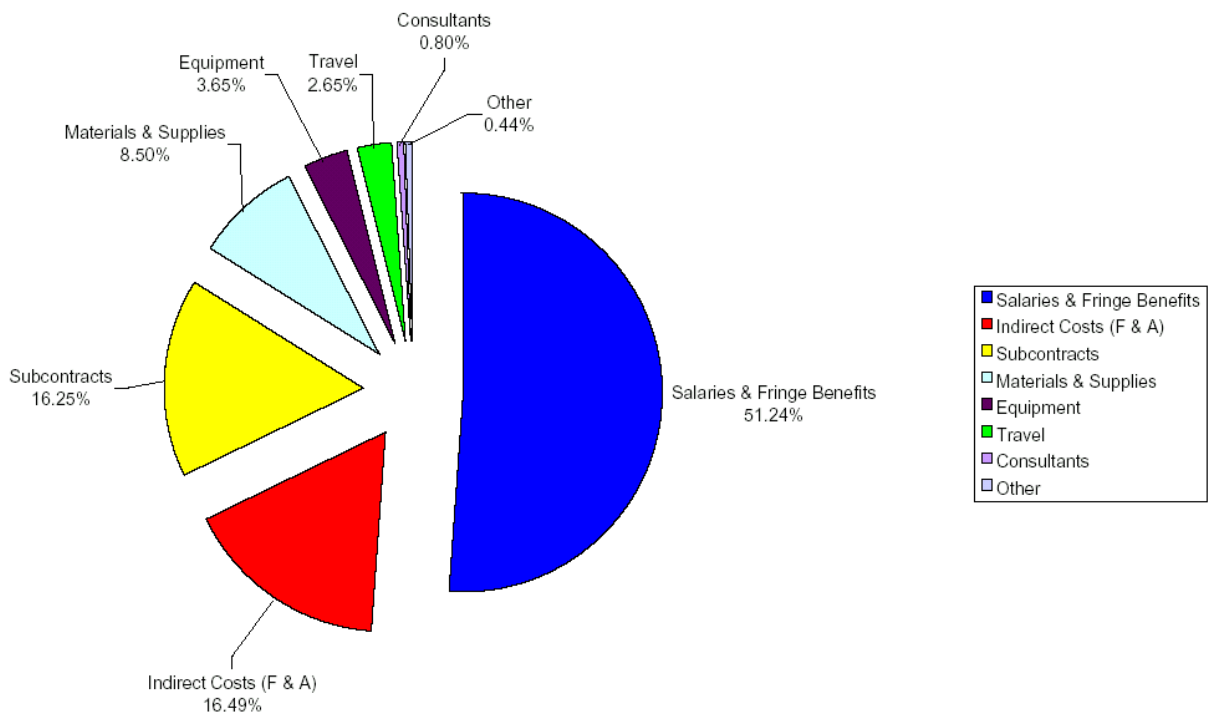


Chart F
FY 2002 Sponsored Program Expenditures by Cost Element



Source: UM Comptroller

THE UNIVERSITY'S RANKING AMONG ITS PEERS

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 2001 data:

On An Expenditure Basis¹

- **21st** in Federally financed research and development (R&D) expenditures at public universities and colleges by science & engineering field: fiscal year 2001
- **41st** in Federally financed R&D expenditures at universities and colleges: fiscal year 2001
- **35th** in total R&D expenditures at universities and colleges (*see table 10*)

On An Obligation Basis²

- 47th in Federal obligations for science and engineering R&D: FY 2001
- 86th in Federal obligations for fellowships, traineeships, and training grants: FY 2001
- 2nd in Federal obligations for science and engineering to Universities and colleges in the state of Maryland: FY 2001 (*rank order: Johns Hopkins, UM, ULAB*)

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

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

¹.All data taken from NSF Academic Research and Development Expenditures tables for Fiscal Year 2001.

². All data taken from NSF Federal Science and Engineering Support to Universities, Colleges, and Nonprofit Institutions: Fiscal Year 2001

Table 10
NSF: FY 2001 R&D expenditures at Universities and Colleges
(Dollars in thousands)

Rank	Institution	Total Expenditures
1	Johns Hopkins University	\$999,246
2	University CA Los Angeles	\$693,801
3	University of WI-Madison	\$604,143
4	University of Michigan	\$600,523
5	University of Washington	\$589,626
6	University CA San Diego	\$556,533
7	University CA San Francisco	\$524,975
8	Stanford University	\$482,906
9	University of Pennsylvania	\$469,852
10	University of Minnesota	\$462,011
11	Pennsylvania State U	\$458,066
12	University CA Berkeley 2	\$446,273
13	Cornell University 2	\$443,828
14	MA Institute of Tech 2	\$435,495
15	University CA Davis	\$432,396
16	Texas A&M University	\$407,041
17	Washington University	\$406,642
18	University of IL Urbana-Champaign	\$390,863
19	Ohio State University	\$390,652
20	Baylor Col of Medicine	\$381,461
21	Duke University	\$375,133
22	Harvard University	\$372,107
23	University of Arizona	\$367,128
24	University of Colorado	\$365,472
25	University of Florida	\$359,312
35	University of Maryland at College Park	\$267,383

Source: National Science Foundation/SRS, Academic Research and Development Expenditures: Fiscal Year 2001 [Early Release Tables] *Table B-32. R&D expenditures at universities and colleges, by source of funds: fiscal year 2001*

Table 11
NASA: 50 Educational Institutions Listed according to Total obligation – FY 2002

Rank	Institution	Total Obligations
1	Johns Hopkins University	\$ 167,103,681
2	Stanford University	\$ 64,685,637
3	University of Colorado – Boulder	\$ 49,621,199
4	University of Maryland at College Park	\$ 42,156,713
5	Baylor College of Medicine	\$ 26,539,222

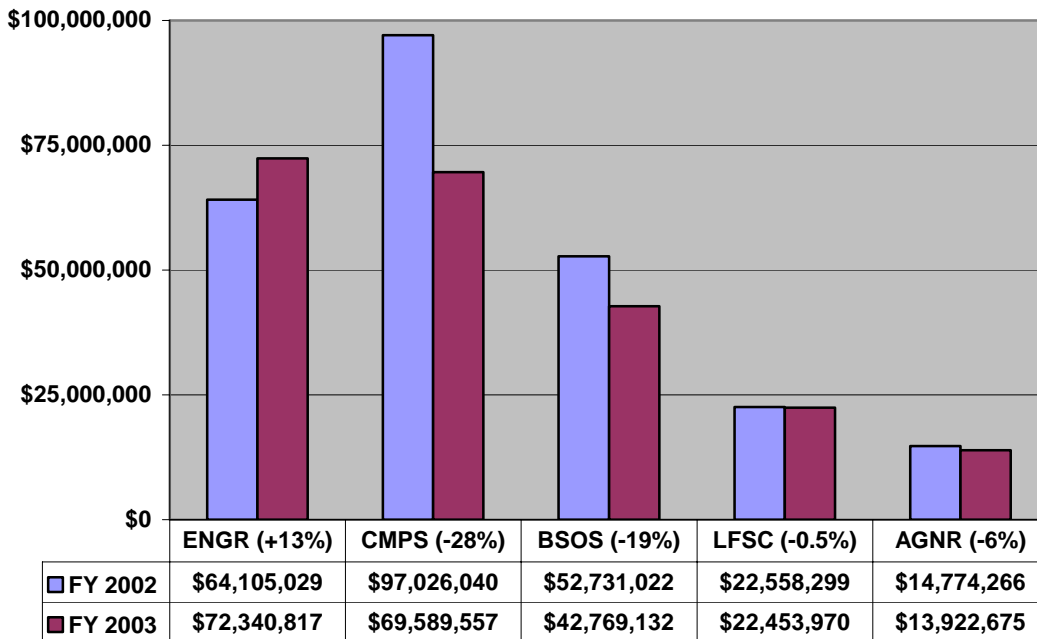
Source: NASA: *University Program Management Information System: (NASA/TM—2003-212256) p.v*

I. Highlights of current changes in ORAA award dollars for FY 2003.

The Top Five Colleges (ORAA-only totals):

- A. James Clark School of Engineering (ENGR)
- College of Math, Computer & Physical Sciences (CMPS)
- College of Behavioral & Social Sciences (BSOS)
- College of Life Sciences (LFSC)
- College of Agriculture & Natural Resources (AGNR)

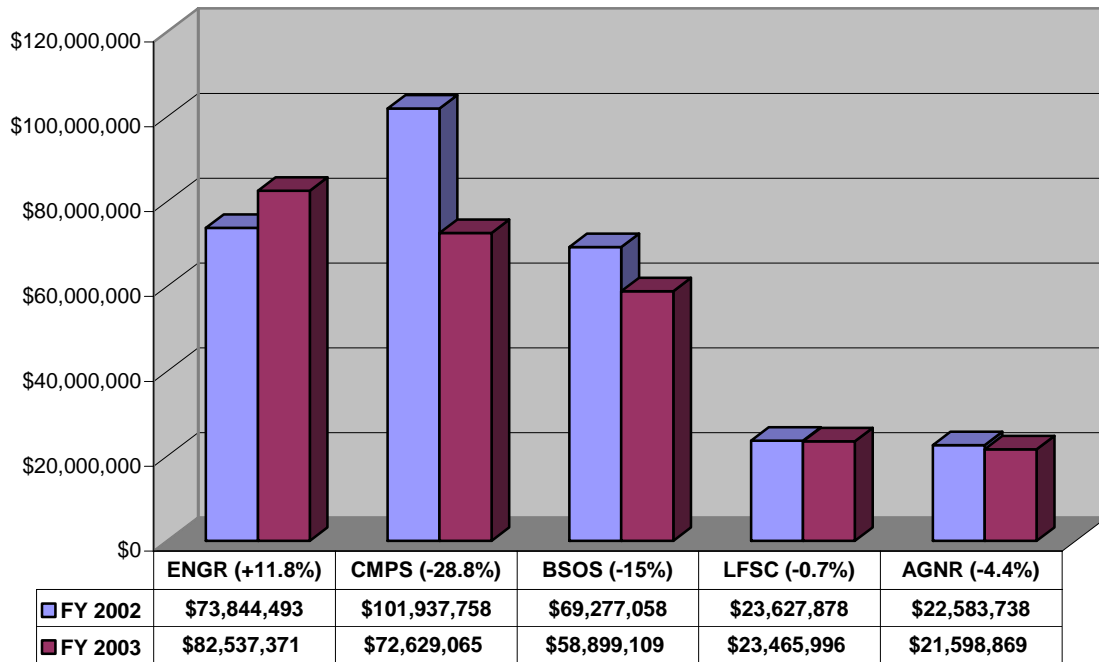
**Top 5 UM Colleges ORAA Award Activity
FY 2002 - 2003**



II. The top five colleges in COMBINED funding for FY 2003 :

- A. James Clark School of Engineering (ENGR)
- College of Math, Computer & Physical Sciences (CMPS)
- College of Behavioral & Social Sciences (BSOS)
- College of Life Sciences (LFSC)
- College of Agriculture & Natural Resources (AGNR)

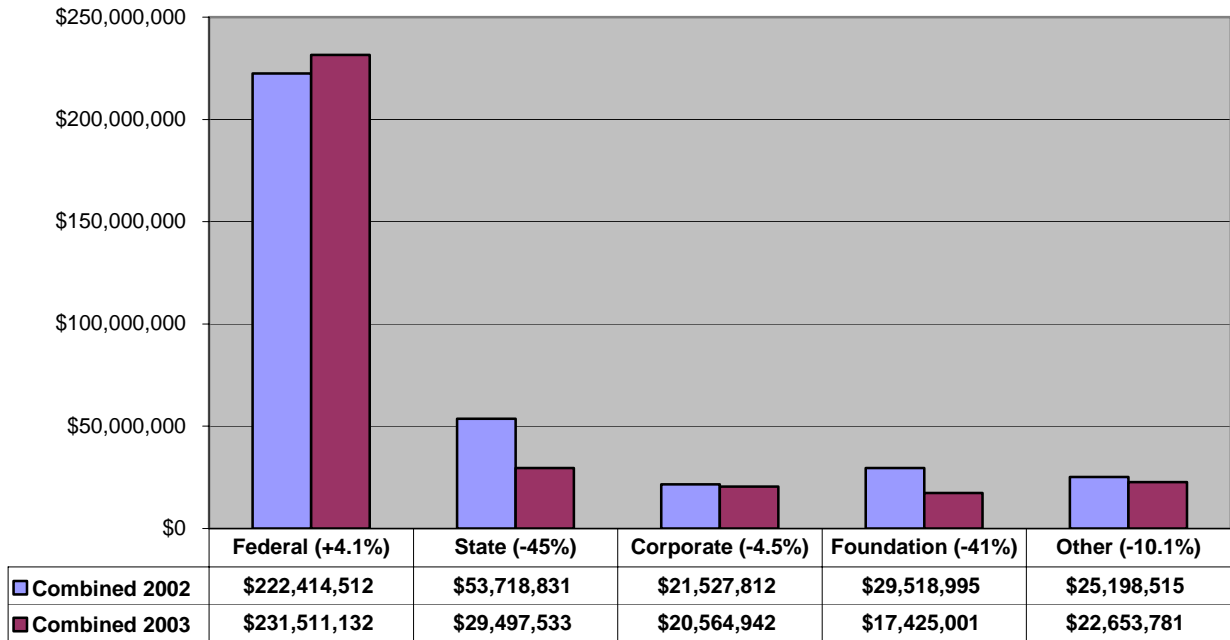
**Top 5 Colleges COMBINED Award Activity
FY 2002 - 2003**



*“Combined” totals reflect the sum of ORAA & Non-ORAA sponsored funding

III. The chart below shows the increase in funding by agency type in FY 2003. Federal sources came out on top again for FY 2003 with a \$9 Million increase (4.1%) from FY 2002.

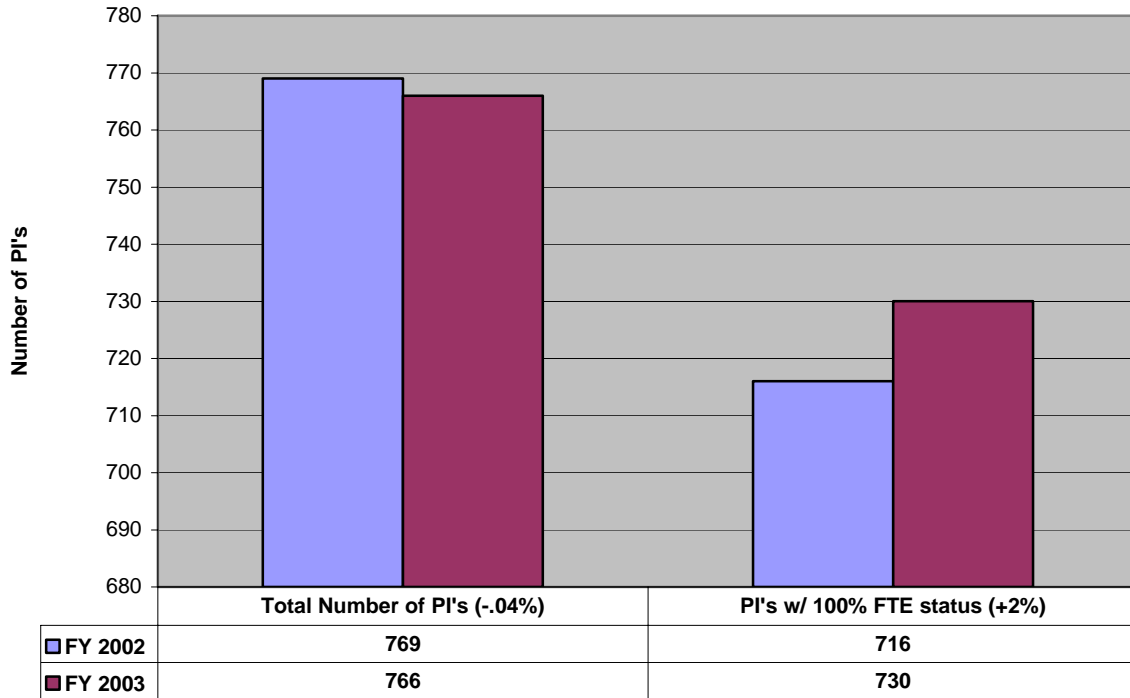
FY 2002 - 2003 Combined Research Activity Comparison Graph



* Other includes all other non-federal, non-state & non-foundation entities (e.g Professional Societies, other Universities, etc)

IV. **Principal Investigators (PIs) in FY 2003 decreased slightly from 769 to 766, with a large portion of those numbers (93% and 95% respectively) being full time UM employees (FTE).***

Principal Investigators: FY 2002 - 2003



* It is important to note here that the number of PIs represented in this chart constitute a distinct count of PIs on projects that have received some amount of funding in FY 2002, 2003.