

OFFICE OF RESEARCH ADMINISTRATION & ADVANCEMENT

ANNUAL REPORT
OF
SPONSORED PROGRAM ACTIVITIES
Fiscal Year 2006

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 2006

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INTRODUCTION: RESPONSIBILITIES, ACTIVITIES & ORGANIZATION

I. Summary of Activities

The University of Maryland, College Park (UM) has experienced considerable growth in extramural funding over the past ten years, more than doubling our award totals (FY97: \$155 million) to \$350 million in FY06. A total of 233 researchers were associated with bringing in \$500,000 or more.

In addition to an increase in proposal and award activity, the intensity of activity has also increased. Proposals are multi-disciplinary and require close coordination between the sponsors and UM. The resulting awards are often complex, involving multiple parties and containing special requirements.

The Office of Research Administration and Advancement (ORAA) recognizes the importance in sustaining this growth by being both responsive and flexible in its management of sponsored projects. ORAA seeks to promote research in this dynamic environment by providing expertise and support in a user-friendly environment for the faculty, staff and sponsors.

II. ORAA Organization

ORAA is key to the University's success in achieving its vision of becoming one of the nation's preeminent public research universities. By functioning as an advocate and facilitator, the office encourages and assists administrators, faculty and leadership in engaging with the nonprofit, business, and government communities.

ORAA is the designated pre- and post award administration office for the University of Maryland, providing top quality support to the campus community's research, creative activity and outreach initiatives. ORAA identifies research opportunities and partnerships, facilitates the submission of all sponsored project proposals on behalf of the University, negotiates and executes agreements, provides sponsored projects education and communication and assists faculty, staff and students in managing projects which are awarded to the Universities, managing training and implementing electronic Research Administration (eRA) initiatives. These key initiatives include:

- Identify sources of extramural funds for research and scholarly activities;
- Coordinate 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 sponsored project proposals to potential sponsors;
- Review and approve all proposals submitted to potential sponsors;
- Negotiate and accept all sponsored project awards;
- Provide post-award administration (except invoicing);
- Issue, negotiate and administer subawards;
- Recommend, create and implement research administration compliance policies and procedures;
- Provide oversight to research compliance review boards;
- 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);
- 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 research administration and compliance training programs for campus community;
- Review and recommend all Facilities & Administrative costs waiver requests;
- Represent UM on national research administration associations, panels and committees

COMBINED SPONSORED RESEARCH & OUTREACH**I. Explanation**

UM has a Sponsored Research & Outreach total of \$350 million for FY 2006. This combined total includes:

- ORAA – administered awards (\$305 million total in 2006)
- UM affiliated foundation grants & sponsored projects not granted through 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 Professional Studies (OPS) and the Maryland Technology Enterprise Institute (MTECH)

II. Tables & Charts:

The following tables and charts illustrate sponsored research dollars at UM. Overall, the University experienced a 6.14% increase from FY 2005. When comparing FY 2005 & 2006, it is important to note the following:

- FY 2006 Federal funding totals reached an all-time high of \$244 Million
- State of Maryland funding increased by nearly \$7 Million in FY 2006.

Table 1
Sponsored Research & Outreach Activity*
(by sponsor type)

<u>Source</u>	<u>Combined 2005</u>	<u>Combined 2006</u>	<u>% Change</u>
Federal	\$234,402,334	\$244,153,912	4.16%
State	\$24,336,724	\$31,124,473	27.89%
Corporate	\$21,736,670	\$17,688,041	-18.63%
Foundations	\$15,721,925	\$13,958,841	-11.21%
Other	\$33,110,183	\$42,616,249	28.71%
<u>TOTAL</u>	<u>\$329,307,836</u>	<u>\$349,541,516</u>	<u>6.14%</u>

* Combined ORAA & Non-ORAA dollars

Chart A
Sponsored Research & Outreach: Award Activity - FY 2006

The majority of funding during FY 2006 was from Federal sources. UM experienced an increase in Federal funding compared to FY 2005.

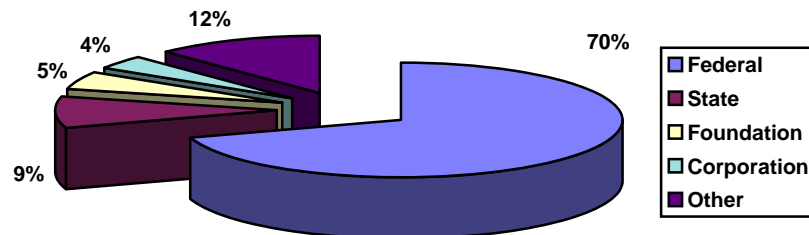
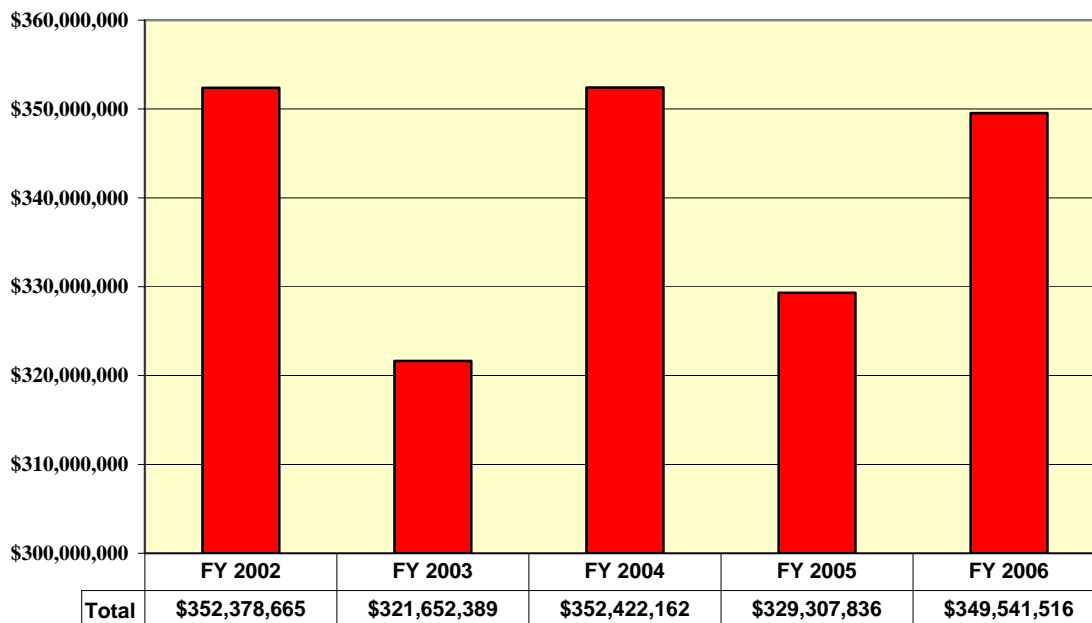


Chart B – Five Year Sponsored Research & Outreach† Dollars at UM
FY 2002 - 2006



† These totals reflect the sum of ORAA & Non-ORAA administered sponsored funding

ORAA - ADMINISTERED PROPOSAL & AWARD ACTIVITY

In Fiscal Year 2006:

- The University’s three top sponsors are:
 - **Department of Defense (DoD)****
 - FY 2006 funding of \$55,527,795 (18.2% of ORAA FY06 total)
 - 570 award actions were recorded for FY 2006, a 6% increase from FY05 (538)
 - **National Science Foundation (NSF)**
 - FY 2006 funding of \$42,304,941 (13.9% of ORAA FY06 total)
 - 648 award actions were recorded for FY 2006, a 17.6% increase from FY05 (551)
 - **National Aeronautics & Space Administration (NASA)**
 - FY 2006 funding of \$33,900,275 (8.4% of FY05 total)
 - 391 award actions were recorded for FY 2006, a 24.1% increase from FY05 (315)
 - NASA award dollars increased \$6.4 million from FY 2005 (\$27.5 million)

ORAA completed 4,629 award actions, totaling nearly \$305.2 million. This is a 13% increase from FY 2005.

Chart B
ORAA-administered Federal award dollars during FY 2006. (in millions)

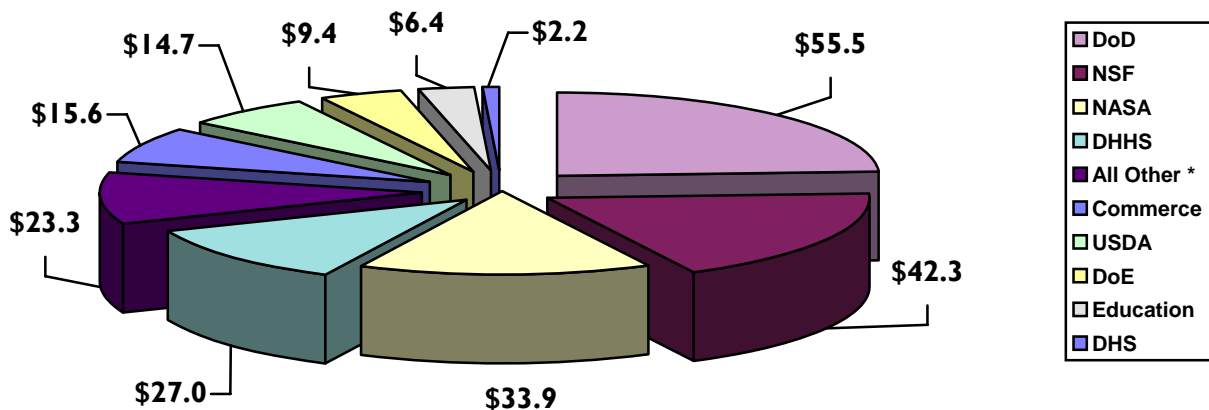


Table 2
ORAA-administered Federal Award Dollars - FY 2006

Agency Name or Sub-category	Award Amount	Percentage of Federal	Percentage of FY06 Total
Department of Defense (DoD)	\$55,527,795	24.09%	18.19%
National Science Foundation (NSF)	\$42,304,941	18.35%	13.86%
Nat'l Aeronautics & Space Admin. (NASA)	\$33,900,275	14.71%	11.11%
Dept of Health & Human Svc (DHHS)	\$27,026,350	11.72%	8.85%
All Other Federal Agencies *	\$23,330,267	10.12%	7.64%
Department of Commerce	\$15,622,745	6.78%	5.12%
Department of Agriculture (USDA)	\$14,676,130	6.37%	4.81%
Department of Energy (DoE)	\$9,428,755	4.09%	3.09%
Department of Education	\$6,421,662	2.79%	2.10%
Department of Homeland Security (DHS)	\$2,271,837	0.99%	0.74%
FEDERAL TOTAL	\$230,510,757	100.00%	75.52%

* Includes: DoI, DoJ, DoL, DoT, EPA, US Govt. Labs, HUD, LoC, NEAH, NHRPC, NRC, USAID, US Treasury, & other Federal Agencies.

Chart C

ORAA-administered Non-Federal award dollars during FY 2006 (in millions)

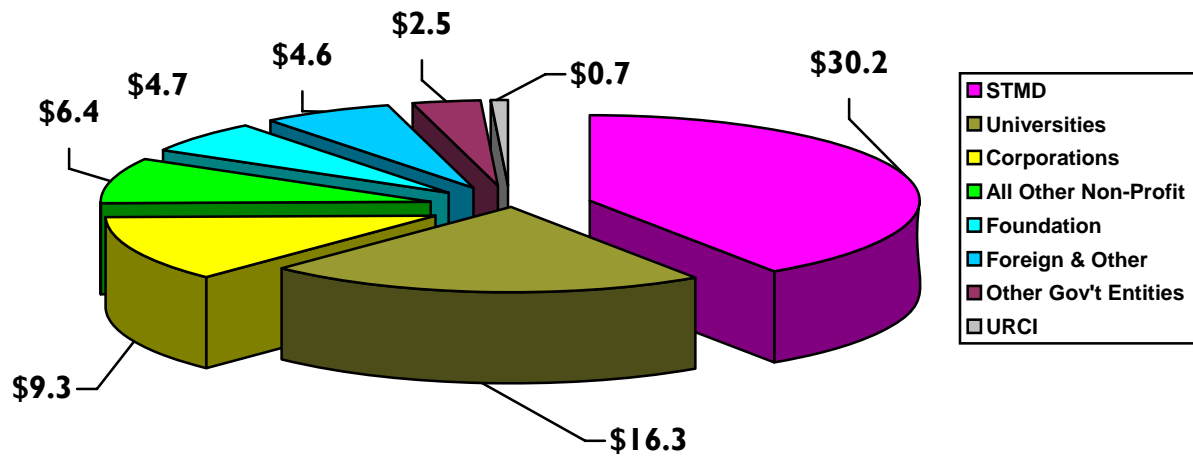


Table 3
ORAA-administered Non-Federal Award Dollars - FY 2006

Agency or Sub-category	Award Amount	Percentage of Non-Federal	Percentage of FY06 Total
State of Maryland	\$30,251,870	40.5%	9.91%
Universities	\$16,263,060	21.8%	5.33%
Corporations	\$9,309,075	12.5%	3.05%
All Other Non-Profit	\$6,372,314	8.5%	2.09%
Foundations	\$4,736,831	6.3%	1.55%
Foreign & Other Non-Profit Entities	\$4,608,280	6.2%	1.51%
Other Govt. Entities	\$2,482,810	3.3%	0.81%
Univ. Research Corp. Int'l (URCI)	\$692,944	0.9%	0.23%
NON-FEDERAL TOTAL	\$74,717,184	100.00%	24.48%

ORAA - ADMINISTERED PROPOSAL AND AWARD ACTIVITY

The following table lists the top sponsors in FY 2006. They account for **85.4%** of the FY 2006 Sponsored Research & Outreach total.

Table 4
Sponsors Awarding a Total of \$1,000,000 or more in FY 2006*

Total Rank	Sponsor Name	Dollars Awarded
1	Department of Defense (DoD)	\$55,527,795
2	National Science Foundation (NSF)	\$42,304,941
3	National Aeronautics & Space Administration (NASA)	\$33,900,275
4	State of Maryland (STMD)	\$30,251,870
5	Department of Health & Human Services (DHHS)	\$27,026,350
6	Universities	\$16,263,060
7	Department of Commerce	\$15,622,745
8	Department of Agriculture (USDA)	\$14,676,130
9	Other Federal	\$13,800,385
10	Department of Energy (DoE)	\$9,428,755
11	Corporations	\$9,309,075
12	Department of Education	\$6,421,662
13	Institutes	\$4,760,836
14	Foundations	\$4,736,831
15	All other Non-Federal	\$4,262,965
16	Department of the Interior (DoI)	\$2,586,458
17	Department of Homeland Security (DHS)	\$2,271,837
18	Local Government	\$2,262,807
19	US Government Labs	\$2,018,610
20	Department of Transportation (DoT)	\$1,198,617
	\$1 Million-plus dollar total	\$298,632,004

Source: UM Data Warehouse

*All dollar totals are ORAA administered activity

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

Table 5
Proposal Activity by College Five - Year Proposal Volume processed through ORAA

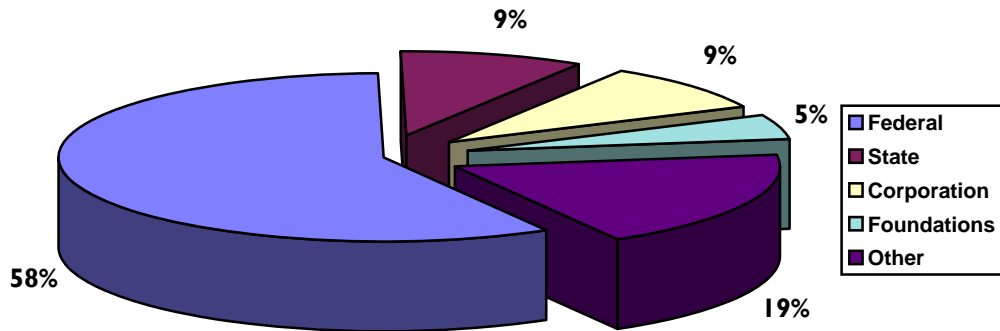
<u>School/College</u>	<u>FY 2002</u>	<u>FY 2003</u>	<u>FY 2004</u>	<u>FY 2005</u>	<u>FY 2006</u>
A. James Clark School of Engineering	548	572	647	588	596
College of Agriculture & Natural Resources	206	215	230	220	243
College of Arts & Humanities	49	61	67	71	72
College of Behavioral & Social Sciences	323	316	280	283	270
College of Chemical & Life Sciences	182	189	184	233	246
College of Education	91	107	123	112	70
College of Health & Human Performance	61	66	54	64	64
College of Information Studies	7	7	6	8	8
College of Math, Computer & Physical Sciences	433	577	564	521	622
Other Administrative Units	75	101	103	103	112
Philip Merrill College of Journalism	1	4	11	3	11
Robert H. Smith School of Business	16	18	23	26	21
School of Architecture	9	18	20	38	36
School of Public Affairs	19	22	22	40	29
<i>Fiscal Year Totals</i>	<u>2020</u>	<u>2273</u>	<u>2334</u>	<u>2310</u>	<u>2399</u>

Source: UM Data Warehouse, FY06 data extracted on 30 August 2006

- Data in table 5 are a counts of all non-zero UM proposals processed by ORAA that were NOT in pre-proposal mode..

In FY 2006, 2405 proposals were processed by ORAA.

Chart D
Proposal Volume - FY 2006



Source: UM Data Warehouse

* Number of processed proposals through ORAA

Proposal and Award Activity – Historical Data

Table 6
Award Totals by College – Five -Year Sponsored Research & Outreach at UM*

<u>School/College</u>	<u>FY 2002</u>	<u>FY 2003</u>	<u>FY 2004</u>	<u>FY 2005</u>	<u>FY 2006</u>
A. James Clark School of Engineering	\$73,844,493	\$82,537,371	\$96,251,991	\$76,127,531	\$77,195,066
College of Agricult. & Natural Res.	\$22,583,738	\$21,598,869	\$24,560,698	\$20,465,494	\$29,738,735
College of Arts & Humanities	\$6,561,365	\$5,470,159	\$13,676,424	\$7,110,547	\$10,193,567
College of Behavioral & Social Sciences	\$69,277,058	\$58,899,109	\$57,668,765	\$53,815,535	\$48,595,657
College of Chemical & Life Sciences	\$23,627,878	\$23,465,996	\$22,553,819	\$18,923,672	\$23,997,514
College of Education	\$15,489,154	\$11,682,041	\$20,097,330	\$17,565,066	\$11,583,809
College of Health & Human Perf.	\$7,116,133	\$8,880,529	\$9,945,871	\$7,084,632	\$6,398,899
College of Information Studies	\$149,633	\$132,275	\$383,337	\$380,105	\$1,634,884
College of Math, Comp & Phys Science	\$101,937,758	\$72,629,065	\$76,156,018	\$86,933,073	\$88,937,991
Other Administrative Units ¹	\$17,840,563	\$24,167,017	\$18,312,279	\$28,957,593	\$36,247,934
Philip Merrill College of Journalism	\$4,886,150	\$2,138,841	\$2,249,102	\$2,367,874	\$3,691,145
Robert H. Smith School of Business	\$4,981,643	\$4,292,013	\$5,157,883	\$4,176,344	\$3,855,696
School of Architecture	\$102,384	\$724,222	\$1,086,260	\$588,805	\$1,433,391
School of Public Policy	\$3,980,715	\$5,034,882	\$4,322,385	\$4,811,565	\$6,037,228
<i>Fiscal Year Totals</i>	<u>\$352,378,665</u>	<u>\$321,652,389</u>	<u>\$352,422,162</u>	<u>\$329,307,836</u>	<u>\$349,541,516</u>

- In Table 6, amounts include all projects at UM that were active between 1 July – 30 June

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

<u>School/College</u>	<u>FY 2002</u>	<u>FY 2003</u>	<u>FY 2004</u>	<u>FY 2005</u>	<u>FY 2006</u>
A. James Clark School of Engineering	878	1034	1117	1048	1241
College of Agriculture & Natural Resources	372	347	357	343	401
College of Arts & Humanities	90	93	107	71	141
College of Behavioral & Social Sciences	522	546	587	480	498
College of Education	201	192	196	362	393
College of Health & Human Performance	78	114	99	170	215
College of Information Studies	10	15	8	94	89
College of Life Sciences	305	354	373	4	9
College of Math, Computer & Physical Sciences	1107	1118	1294	1146	1213
Other Administrative Units ¹	198	157	247	242	249
Philip Merrill College of Journalism	7	5	5	8	6
Robert H. Smith School of Business	10	21	28	39	54
School of Architecture	11	22	19	32	70
School of Public Policy	58	51	55	49	50
<i>Fiscal Year Totals</i>	<u>3847</u>	<u>4069</u>	<u>4492</u>	<u>4088</u>	<u>4629</u>

* This includes all award activity at UM in FY 2002 – 2006.

** This includes all award actions processed through ORAA only in FY 2002 – 2006.

¹ Other Administrative Units include the VP Office of Academic Affairs, Student Affairs, Office of Information Technology, Graduate School, VP for Research, & Undergraduate Studies

Overview of ORAA Sponsored Program Expenditures

In Fiscal Year 2006, the UM expenditures were in excess of \$313 million for sponsored activities.* This is an increase of nearly \$4 million from FY 2005.

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

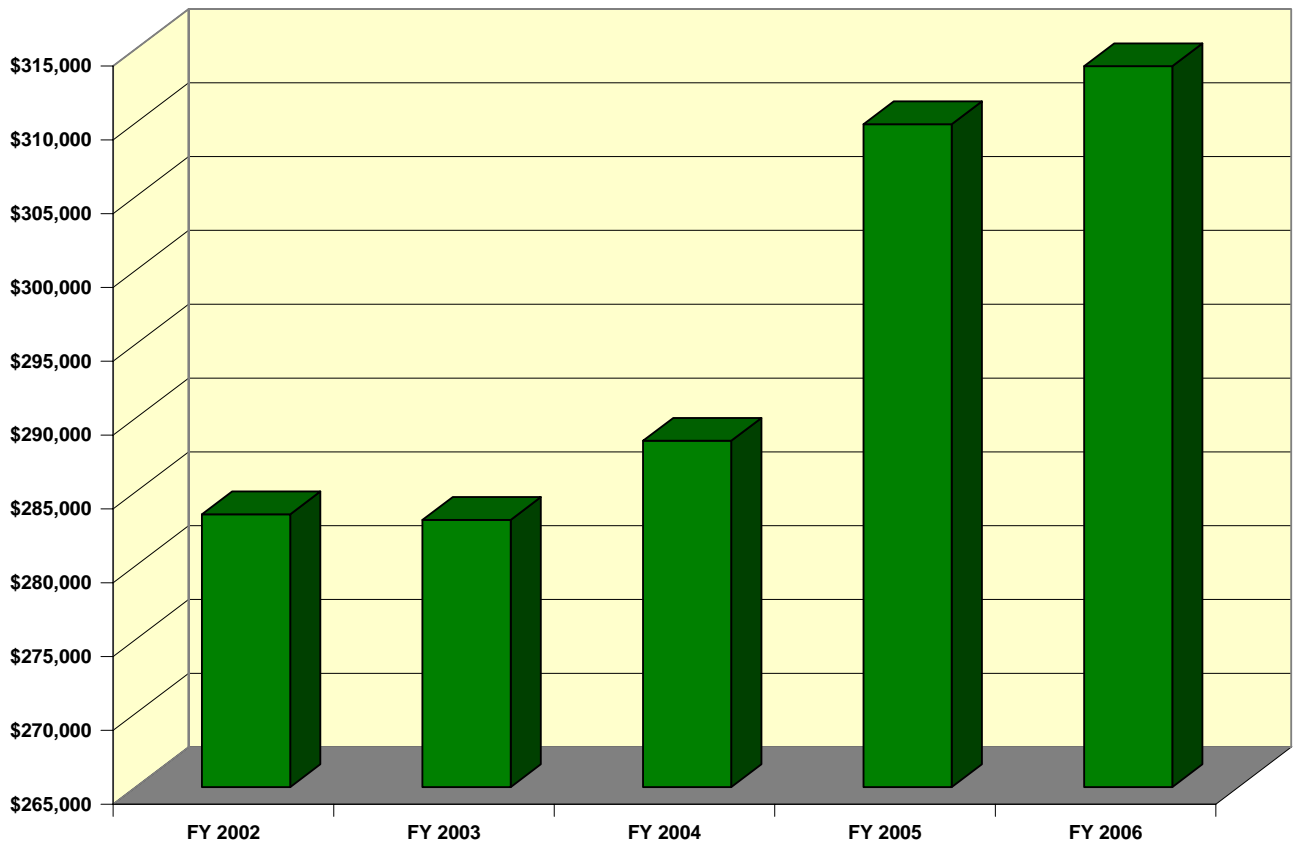


Table 8
Sponsored Research Expenditures
Total University

	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006
Total University	\$283,477,679	\$ 283,095,601	\$288,452,630	\$309,898,312	\$313,826,827

Source: UM Comptroller

Chart F
Fiscal Year Comparison: Sponsored Program Expenditures by Cost Element
 (Dollars in thousands)

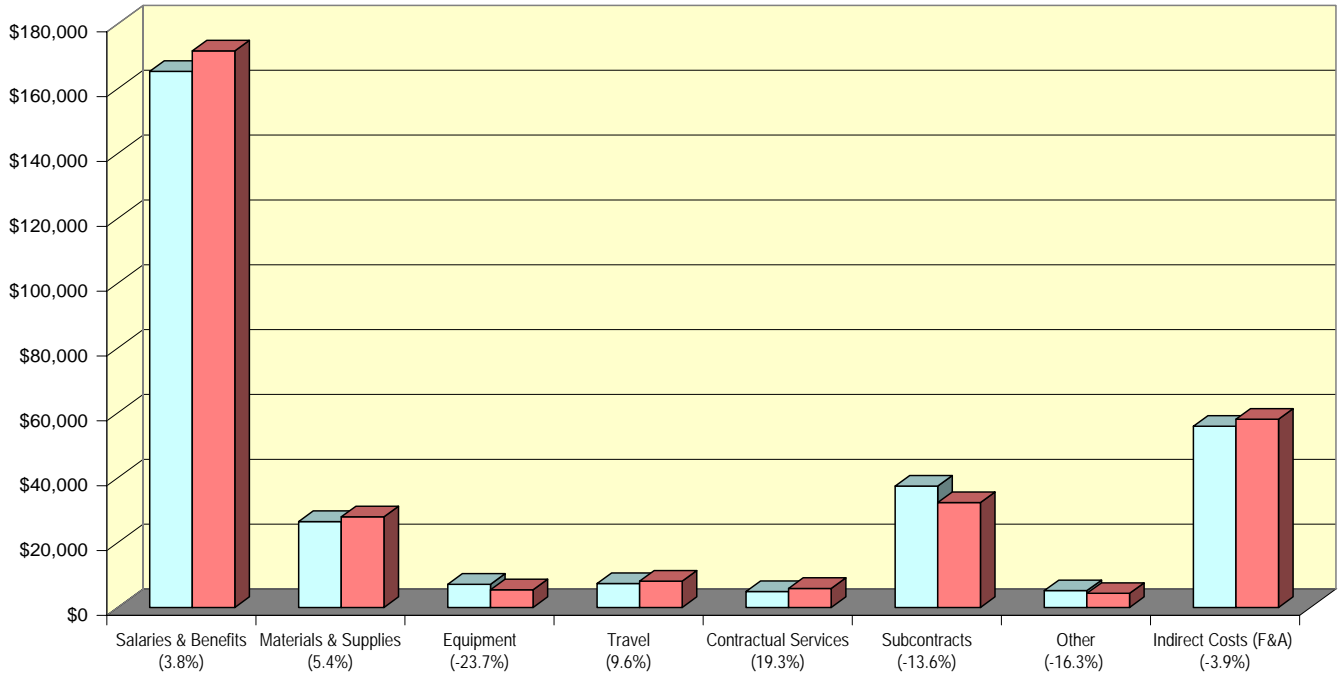


Table 9
Fiscal Year Comparison: Sponsored Program Expenditures by Cost Element

Cost Element	FY 2005	FY 2006	% Change
1. Salaries & Benefits	\$165,365,612	\$171,681,019	3.82%
2. Materials & Supplies	\$26,506,426	\$27,944,481	5.43%
3. Equipment	\$7,159,057	\$5,462,190	-23.70%
4. Travel	\$7,397,778	\$8,107,955	9.60%
5. Contractual Services	\$4,921,864	\$5,870,166	19.27%
6. Subcontracts	\$37,447,713	\$32,351,653	-13.61%
7. Other *	\$5,191,018	\$4,346,479	-16.27%
8. Indirect Costs (F&A)	\$55,908,844	\$58,062,885	3.85%
<i>TOTAL</i>	<u>\$309,898,312</u>	<u>\$313,826,828</u>	<u>1.27%</u>

* Including "Transfer" totals
 Source: UM Comptroller

Chart G
FY 2005 Sponsored Program Expenditures by Cost Element

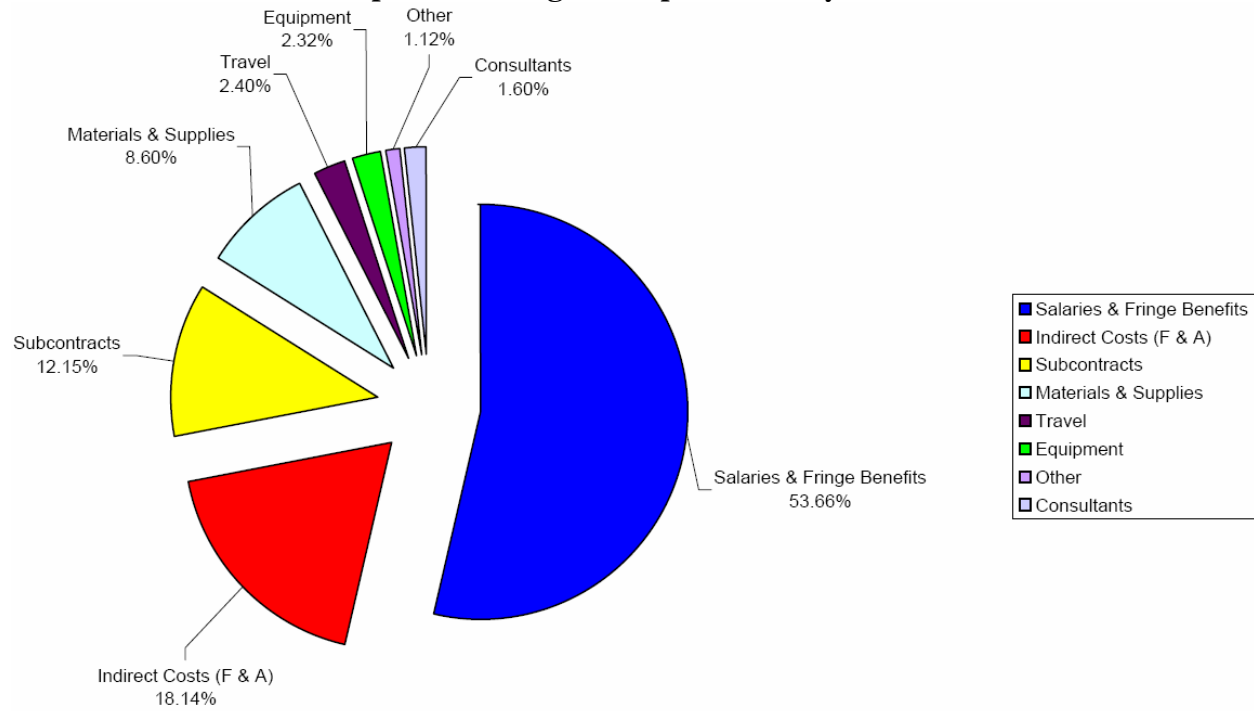
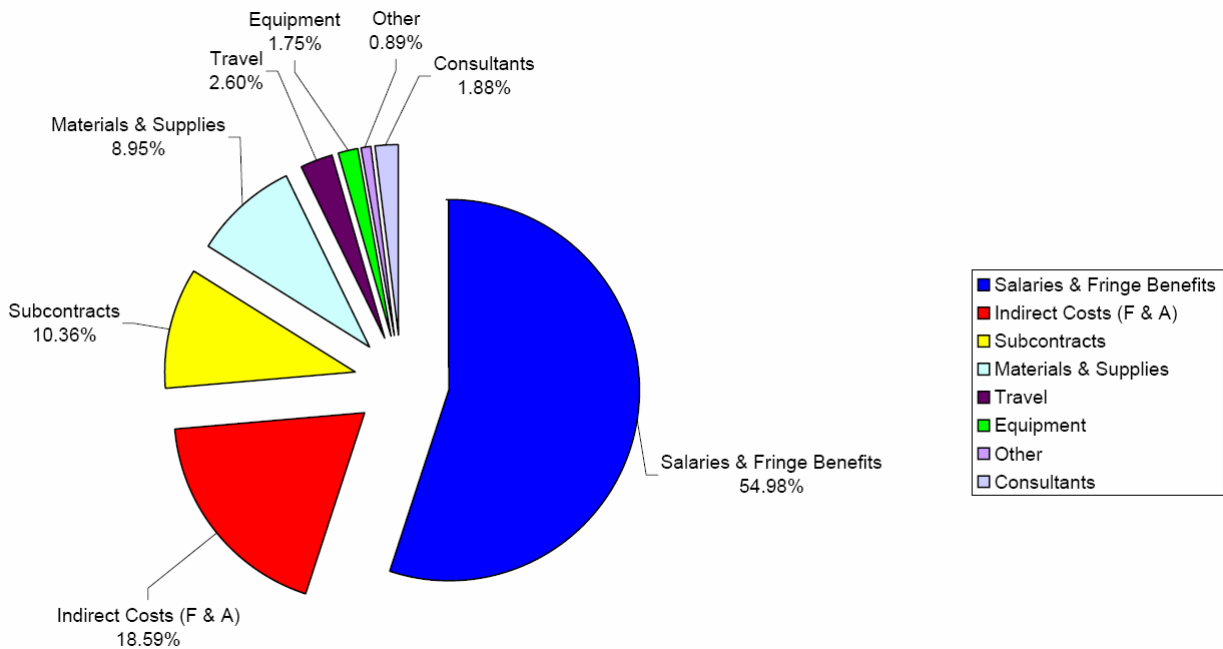


Chart H
FY 2006 Sponsored Program Expenditures by Cost Element



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) Summary data, FY 2004:

On An Expenditure Basis¹

- **25th** in Federally financed research and development (R&D) expenditures at public universities and colleges by science & engineering field: FY 2004
- **49th** in Federally financed R&D expenditures at universities and colleges: FY 2004
- **33rd** in Non-Federally financed R&D expenditures at universities and colleges: FY 2004
- **38th** in total R&D expenditures at universities and colleges (*see table 10*)

National Institutes of Health (NIH) FY 2005 data:

- Ranked **112th** nationally for Awards to Domestic Institutions of Higher Education (*see table 11*).

National Aeronautics and Space Administration (NASA) FY 2003 data:

- Ranked **6th** nationally for total obligations to educational institutions (*see table 13*).

¹.All data taken from NSF Academic Research and Development Expenditures tables for Fiscal Year 2004.

². All data taken from NSF Federal Science and Engineering Support to Universities, Colleges, and Nonprofit Institutions: Fiscal Year 2004

Table 10
NSF: FY 2004 R&D expenditures at Universities and Colleges
(Dollars in thousands)

<u>Rank</u>	<u>Institution</u>	<u>Total Amount</u>
1	Johns Hopkins U., The	\$1,375,014
2	U. CA, Los Angeles	\$772,569
3	U. MI all campuses	\$769,126
4	U. WI Madison	\$763,875
5	U. CA, San Francisco	\$728,321
6	U. WA	\$713,976
7	U. CA, San Diego	\$708,690
8	Stanford U.	\$671,046
9	PA State U. all campuses	\$600,139
10	U. PA	\$596,756
11	Cornell U. all campuses	\$575,554
12	MA Institute of Technology	\$543,448
13	U. CA, Berkeley	\$525,598
14	Duke U.	\$520,871
15	OH State U. all campuses	\$518,088
16	U. MN all campuses	\$515,061
17	U. CA, Davis	\$511,757
18	U. IL Urbana-Champaign	\$506,041
19	Washington U. St. Louis	\$489,565
20	U. CO all campuses	\$482,992
21	U. AZ	\$478,680
22	Baylor C. of Medicine	\$476,075
23	Columbia U. in the City of NY	\$468,484
24	U. Pittsburgh all campuses	\$461,693
25	TX A&M U. all campuses	\$456,809
26	Harvard U.	\$454,495
27	U. FL	\$447,146
28	U. Southern CA	\$426,665
29	Yale U.	\$422,828
30	U. NC Chapel Hill	\$416,727
31	GA Institute of Technology all campuses	\$410,799
32	IN U. all campuses	\$384,168
33	Purdue U. all campuses	\$365,779
34	Northwestern U.	\$358,947
35	U. TX M. D. Anderson Cancer Ctr.	\$353,034
36	U. TX Austin	\$343,886
37	LA State U. all campuses	\$341,634
38	<i>U. MD College Park</i>	<i>\$325,648</i>

Source: National Science Foundation/SRS, Academic Research and Development Expenditures: Fiscal Year 2004
 TABLE 27. R&D expenditures at universities and colleges, ranked by FY 2004 R&D expenditures: FY 1997–2004

Table 11
NIH Awards to Domestic Institutions of Higher Education, FY 2005
Ranked by Amount

Rank	Institution	Number	Amount
1	JOHNS HOPKINS UNIVERSITY	1,299	\$607,222,589
2	UNIVERSITY OF PENNSYLVANIA	1,153	\$471,350,481
3	UNIVERSITY OF WASHINGTON	997	\$462,021,658
4	UNIVERSITY OF CALIFORNIA SAN FRANCISCO	988	\$452,165,301
5	WASHINGTON UNIVERSITY	855	\$394,788,334
6	DUKE UNIVERSITY	795	\$391,196,272
7	UNIVERSITY OF MICHIGAN	975	\$386,027,410
8	UNIVERSITY OF CALIFORNIA LOS ANGELES	914	\$385,788,286
9	UNIVERSITY OF PITTSBURGH	969	\$385,680,084
10	YALE UNIVERSITY	868	\$336,742,948
11	COLUMBIA UNIVERSITY	763	\$330,754,949
12	HARVARD UNIVERSITY	682	\$321,223,983
13	UNIVERSITY OF CALIFORNIA SAN DIEGO	681	\$309,416,840
14	STANFORD UNIVERSITY	763	\$305,561,055
15	UNIVERSITY OF NORTH CAROLINA CHAPEL HILL	782	\$296,566,365
16	CASE WESTERN RESERVE UNIVERSITY	673	\$278,820,079
17	VANDERBILT UNIVERSITY	668	\$266,236,625
18	UNIVERSITY OF WISCONSIN MADISON	670	\$257,144,598
19	BAYLOR COLLEGE OF MEDICINE	585	\$256,809,346
20	UNIVERSITY OF ALABAMA AT BIRMINGHAM	518	\$228,687,941
**	**	**	**
111	LOYOLA UNIVERSITY OF CHICAGO	85	\$23,936,661
112	UNIVERSITY OF MARYLAND COLLEGE PK CAMPUS	97	\$23,483,942
113	UNIVERSITY OF OREGON	55	\$23,394,858

Source: NIH Awards to Domestic Institutions of Higher Education, <<http://grants.nih.gov/grants/award/trends/dbeallinst05.htm>>

Table 12
NASA: 50 Educational Institutions Listed according to Total obligation – FY 2003

Rank	Institution	Total Obligations (in Thousands)
1	Johns Hopkins University	186,950,953
2	Stanford University	87,267,231
3	University of Colorado – Boulder	43,306,382
4	Baylor College of Medicine	33,271,626
5	University of California – Berkeley	31,897,335
6	University of Maryland – College Park	28,671,918

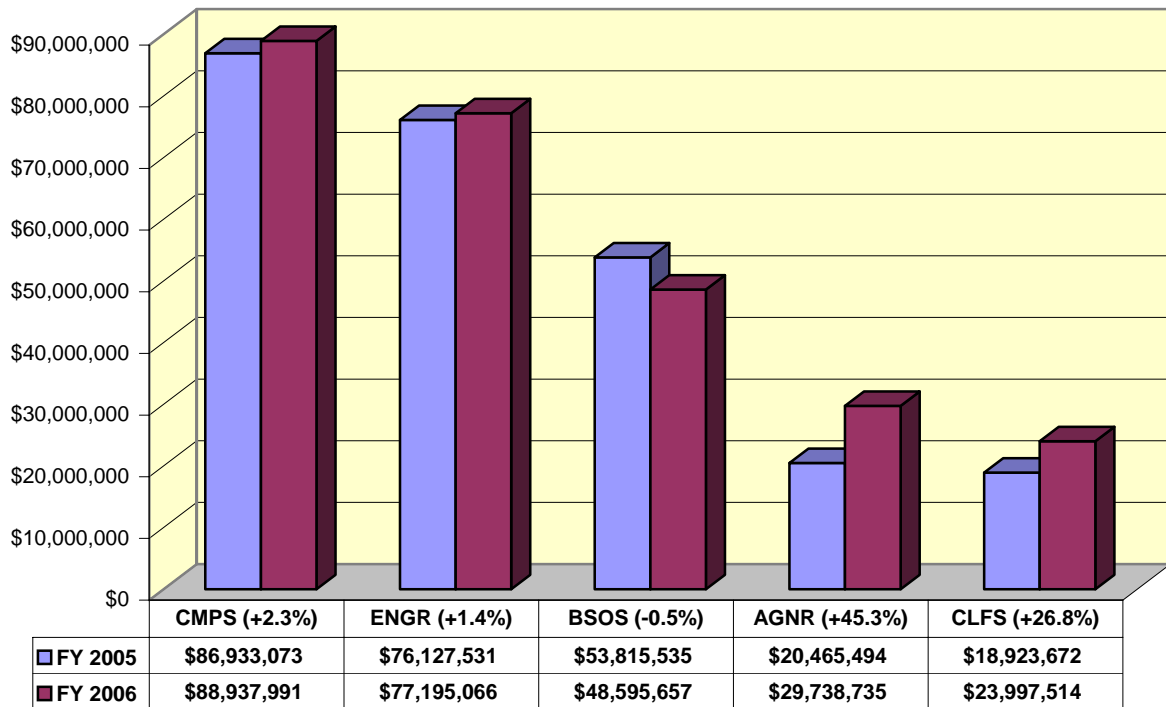
Source: NASA: University Program Management Information System: (NASA/TM—2004-212986) p.6
 <http://education.nasa.gov/pdf/56152main_2003umis508nbc.pdf>

APPENDIX: FY 2005 & 2006 COMPARATIVE DATA

I. Sponsored Research & Outreach, FY 2006 at the top five academic colleges:

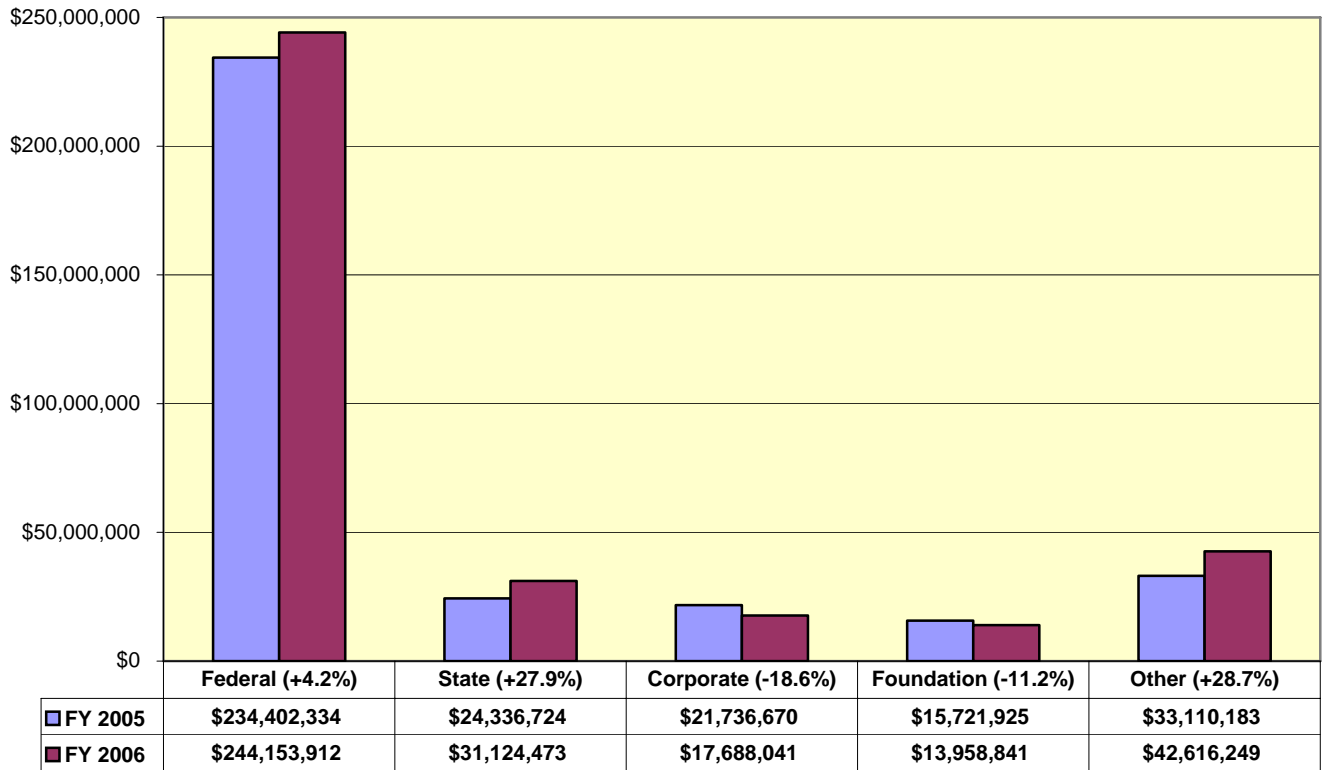
- College of Math, Computer & Physical Sciences (CMPS)
- A. James Clark School of Engineering (ENGR)
- College of Behavioral & Social Sciences (BSOS)
- College of Agriculture & Natural Resources (AGNR)
- College of Chemical & Life Sciences (CLFS)

**Sponsored Research & Outreach Activity Top 5 Colleges
FY 2005 - 2006**



III. The chart below shows the change in funding by agency type in FY 2006. Federal sources came out on top again for FY 2006 with a 4.2% increase.

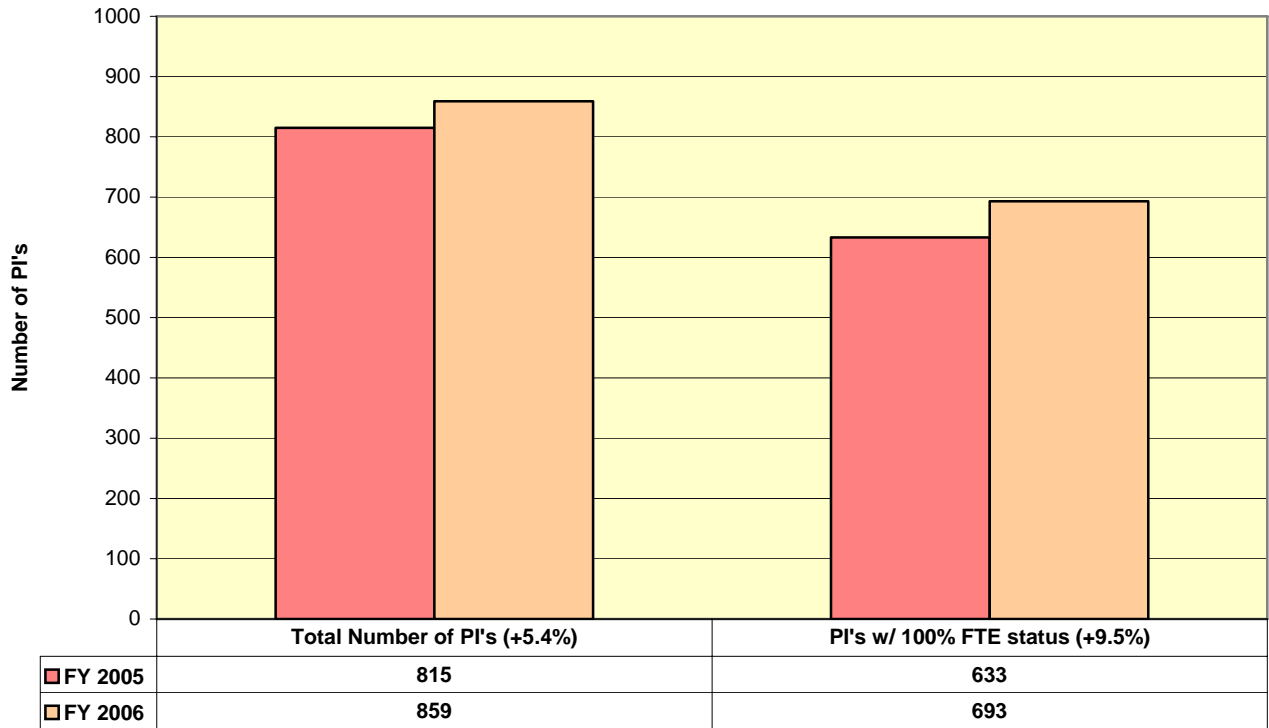
FY 2005 - 2006 Sponsored Research & Outreach Activity Comparison



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

IV. Principal Investigators (PIs) in FY 2006 increased from 815 to 859, with a 81% being full time UM employees (FTE).*

Principal Investigators: FY 2005 - 2006



* Data are current as of 5 October 2006.
 This is a count of all PIs on projects that received funds in FYs 2005 & 2006