

OFFICE OF RESEARCH ADMINISTRATION & ADVANCEMENT

ANNUAL REPORT
OF
SPONSORED PROGRAM ACTIVITIES
Fiscal Year 2004

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 2004

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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 decade, more than doubling our award totals (FY95: \$149 million) to a current level of approximately \$352 million. The past year alone has shown a 10% increase in activity. On average, each faculty member brought in \$445,540 in research funds and 141 brought in \$1 million 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 comprised of two main units. The administration unit has responsibility for providing support and service to Colleges, Departments and Principal Investigators in the areas of research compliance, proposal submission and award negotiation, acceptance and administration. The advancement unit has responsibility for promoting funding opportunities, managing training and implementing electronic Research Administration (eRA) initiatives.

III. ORAA Responsibilities:

- 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; and
- Coordinate other research – related functions.

COMBINED SPONSORED PROGRAM TOTALSI. Explanation

UM has a combined sponsored research award total of \$352 million for FY 2004. This combined total includes:

- ORAA – administered awards (\$302 million total in 2004)
- 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 Continuing & Extended Education (OCEE) and the Technology Extension Service (MTES)

II. Tables & Charts:

The following tables and charts illustrate combined research dollars at UM. Overall, the University experienced a 9.57% increase from FY 2003. It is important to note that FY 2004 is the “banner year” for sponsored funding at UM.

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

<u>Source</u>	<u>Combined 2003</u>	<u>Combined 2004</u>	<u>% Change</u>
Federal	\$231,511,132	\$234,705,891	1.38%
State	\$29,497,533	\$46,453,782	57.48%
Corporate	\$20,564,942	\$23,427,095	13.92%
Foundations	\$17,425,001	\$15,371,586	-11.78%
Other	\$22,653,781	\$32,463,808	43.30%
<u>TOTAL</u>	<u>\$321,652,389</u>	<u>\$352,422,162</u>	9.57%

Chart A
Combined Data: Awards Activity - FY 2004

The majority of funding during FY 2004 was from Federal sources. UM experienced a 1.38% increase in Federal funding compared to FY 2003.

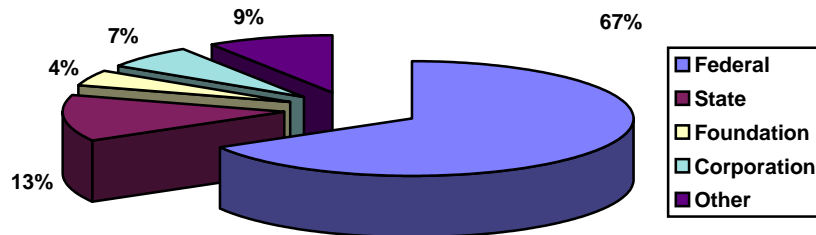
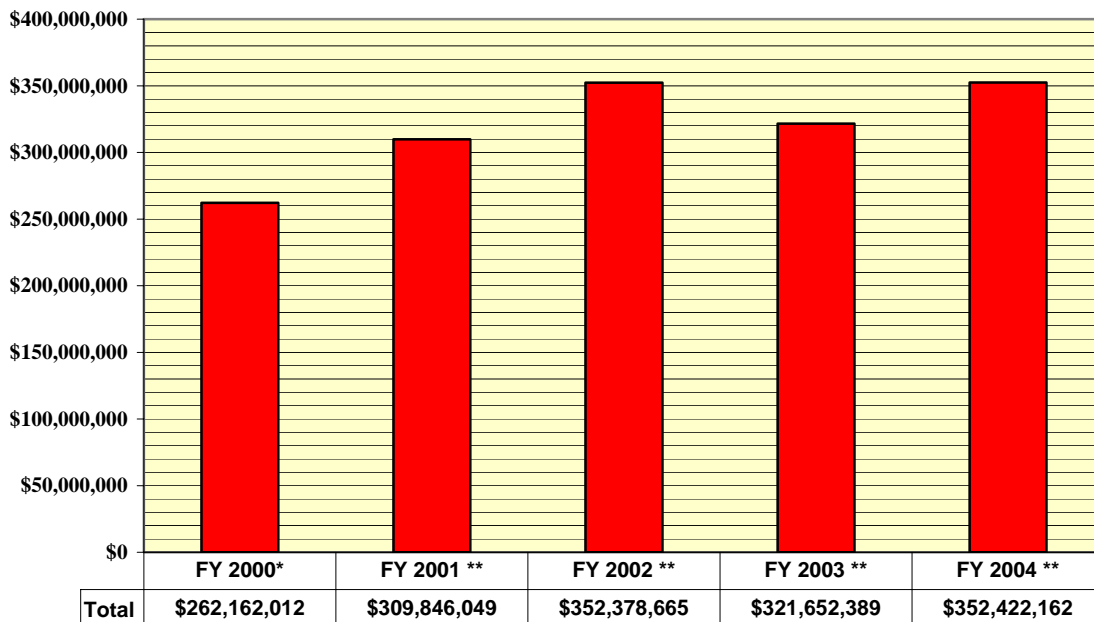


Chart B – Five Year Combined† Total Research Dollars at UM
FY 2000 - 2004



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

* FY 2000 totals have been amended to reflect expanded report totals. The previous amount listed was \$212,172,012

** FY 2001 to 2004 contain totals from expanded extramural report

ORAA - ADMINISTERED PROPOSAL AND AWARD ACTIVITY

Fiscal year 2004 was a banner year for proposals and awards administered by the Office of Research Administration and Advancement (ORAA).

- The University's three primary sponsors are:
 - **Department of Defense (DoD)****
 - FY 2004 funding of \$49,705,874 (16.33% of FY04 total)
 - DoD award dollars increased \$10 million from FY 2003 (\$39.7 million)
 - 567 award actions were recorded for FY 2004, as compared to 404 in FY 2003
 - **National Science Foundation (NSF)**
 - FY 2004 funding of \$46,156,496 (15.27% of FY04 total)
 - NSF award dollars increased \$6.8 million from FY 2003 (\$39.3 million)
 - 625 award actions were recorded for FY 2004, as compared to 550 in FY 2003
 - **State of Maryland (STMD)**
 - FY 2004 funding of \$45,797,452 (15.2% of FY04 total)
 - STMD award dollars increased \$18 million from FY 2003 (\$28.5 million)
 - 470 award actions were recorded for FY 2004

ORAA processed 4,492 award actions, totaling over \$302 million. This is an increase of nearly 10% from FY 2003.*

Table 2 below displays the distribution of ORAA-administered **Federal** award dollars during FY 2004.

Table 2
Federal Award Dollars - FY 2004

Agency or Sub-category	Award Amount	Percentage of Federal	Percentage of 2004 Total
Department of Defense	\$49,341,102	23.29%	16.33%
National Science Foundation	\$46,156,496	21.79%	15.27%
Department of Health & Human Services	\$28,063,809	13.25%	9.29%
National Aeronautics & Space Admin.	\$25,772,983	12.17%	8.53%
All Other Federal	\$20,147,699	9.51%	6.67%
Department of Education	\$12,841,612	6.06%	4.25%
Department of Commerce	\$11,595,512	5.47%	3.84%
Department of Agriculture	\$9,444,584	4.46%	3.13%
Energy Department	\$8,489,802	4.01%	2.81%
FEDERAL TOTAL	\$211,853,599	100.00%	70.11%

Table 3 displays the distribution of ORAA-administered **Non-Federal** funds during FY 2004.

Table 3
Non-Federal Award Dollars - FY 2004

Agency or Sub-category	Award Amount	Percentage of Non-Federal	Percentage of 2003 Total
State of Maryland	\$45,797,452	50.70%	15.16%
Universities	\$12,888,454	14.27%	4.27%
Corporations	\$10,611,062	11.75%	3.51%
All Other Non-Profit	\$6,165,122	6.82%	2.04%
Foundations	\$5,379,670	5.96%	1.78%
Foreign & Other Non-Federal	\$4,394,971	4.87%	1.45%
Other Govt. Entities	\$2,702,336	2.99%	0.89%
Univ. Research Corp. International	\$2,394,198	2.65%	0.79%
NON-FEDERAL TOTAL	\$90,333,265	100.00%	29.89%

ORAA - ADMINISTERED PROPOSAL AND AWARD ACTIVITY

The following table lists the top sponsors in FY 2004.

Table 4
Individual Sponsors Awarding a Total of \$1,000,000 or more in FY 2004*

Total Rank	Sponsor Name	Dollars Awarded
1	Department of Defense**	\$49,426,432
2	National Science Foundation	\$46,156,496
3	State of Maryland	\$45,797,452
5	Department of Health & Human Services	\$28,063,809
4	National Aeronautics & Space Administration	\$25,772,983
6	Universities	\$12,888,454
7	Department of Education	\$12,841,612
8	Other Federal	\$12,769,599
9	Department of Commerce	\$11,595,512
10	Corporations	\$10,611,062
11	Department of Agriculture	\$9,444,584
12	Department of Energy	\$8,489,802
13	Foundations	\$5,535,088
14	Other Non-Federal	\$3,754,309
15	Institutes	\$3,555,718
16	University Research Corp. International	\$2,394,198
17	Other State Governments	\$2,075,301
18	Department of Justice	\$1,619,241
19	Department of Transportation	\$1,555,596
20	Government Labs	\$1,408,706
21	Societies	\$1,009,505

Source: UM Data Warehouse

*All totals are ORAA administered totals

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

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

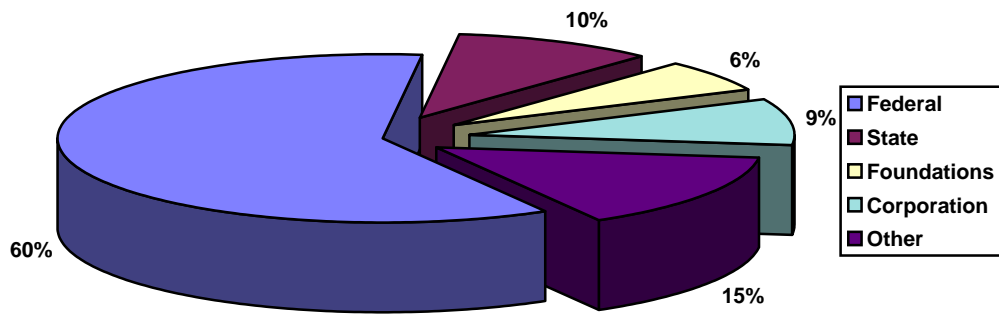
<u>School/College</u>	<u>FY 2000</u>	<u>FY 2001</u>	<u>FY 2002</u>	<u>FY 2003</u>	<u>FY 2004</u>
A. James Clark School of Engineering	573	564	548	572	647
College of Agriculture & Natural Resources	223	206	206	215	230
College of Arts & Humanities	41	54	49	61	67
College of Behavioral & Social Sciences	268	266	323	316	280
College of Education	80	113	91	107	123
College of Health & Human Performance	41	56	61	66	54
College of Information Studies	8	9	7	7	6
College of Life Sciences	184	174	182	189	184
College of Math, Computer & Physical Sciences	444	490	433	577	564
Other Administrative Units	63	75	75	101	103
Philip Merrill College of Journalism	4	4	1	4	11
Robert H. Smith School of Business	13	8	16	18	23
School of Architecture	1	5	9	18	20
School of Public Affairs	28	52	19	22	22
<i>Fiscal Year Totals</i>	<u>1971</u>	<u>2076</u>	<u>2020</u>	<u>2273</u>	<u>2334</u>

Source: UM Data Warehouse

- 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 2004, 2334 proposals were processed by ORAA.

Chart C
Proposal Volume - FY 2004



Source: UM Data Warehouse

* Number of processed proposals through ORAA

Proposal and Award Activity – Historical Data

Table 6
Award Totals by College – Five -Year Combined Funding at UM*

<u>School/College</u>	<u>FY 2000</u>	<u>FY 2001</u>	<u>FY 2002</u>	<u>FY 2003</u>	<u>FY 2004</u>
A. James Clark School of Engineering	\$71,177,211	\$68,003,872	\$73,844,493	\$82,537,371	\$96,251,991
College of Agricult. & Natural Res.	\$16,401,294	\$23,287,133	\$22,583,738	\$21,598,869	\$24,560,698
College of Arts & Humanities	\$2,029,803	\$5,101,261	\$6,561,365	\$5,470,159	\$13,676,424
College of Behavioral & Social Sciences	\$53,500,856	\$63,502,087	\$69,277,058	\$58,899,109	\$57,668,765
College of Education	\$11,289,992	\$14,812,358	\$15,489,154	\$11,682,041	\$20,097,330
College of Health & Human Perf.	\$4,770,647	\$4,950,193	\$7,116,133	\$8,880,529	\$9,945,871
College of Information Studies	(\$373,816)	\$313,147	\$149,633	\$132,275	\$383,337
College of Life Sciences	\$21,951,285	\$20,922,580	\$23,627,878	\$23,465,996	\$22,553,819
College of Math, Comp & Phys Science	\$49,663,008	\$72,322,987	\$101,937,758	\$72,629,065	\$76,156,018
Other Administrative Units ¹	\$16,931,561	\$21,983,554	\$17,840,563	\$24,167,017	\$18,312,279
Philip Merrill College of Journalism	\$3,353,627	\$2,786,588	\$4,886,150	\$2,138,841	\$2,249,102
Robert H. Smith School of Business	\$8,395,483	\$5,601,362	\$4,981,643	\$4,292,013	\$5,157,883
School of Architecture	\$16,500	\$144,104	\$102,384	\$724,222	\$1,086,260
School of Public Policy	\$3,054,561	\$6,114,823	\$3,980,715	\$5,034,882	\$4,322,385
<i>Fiscal Year Totals</i>	<u>\$262,162,012</u>	<u>\$309,846,049</u>	<u>\$352,378,665</u>	<u>\$321,652,389</u>	<u>\$352,422,162</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 2000</u>	<u>FY 2001</u>	<u>FY 2002</u>	<u>FY 2003</u>	<u>FY 2004</u>
A. James Clark School of Engineering	832	901	878	1034	1117
College of Agriculture & Natural Resources	260	306	372	347	357
College of Arts & Humanities	59	83	90	93	107
College of Behavioral & Social Sciences	422	418	522	546	587
College of Education	150	140	201	192	196
College of Health & Human Performance	80	80	78	114	99
College of Information Studies	11	13	10	15	8
College of Life Sciences	285	300	305	354	373
College of Math, Computer & Physical Sciences	898	1012	1107	1118	1294
Other Administrative Units ¹	157	134	198	157	247
Philip Merrill College of Journalism	6	4	7	5	5
Robert H. Smith School of Business	14	12	10	21	28
School of Architecture	3	4	11	22	19
School of Public Policy	27	54	58	51	55
<i>Fiscal Year Totals</i> ¹	<u>3204</u>	<u>3461</u>	<u>3847</u>	<u>4069</u>	<u>4492</u>

* This includes all awards activity at UM in FY 2000 – 2004. FY 2002 totals have been amended to reflect this (previously listed as \$212,172,012).

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 2004, the UM expenditures were in excess of \$288 million for sponsored activities.* This is an increase of \$5 million from FY 2003.

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

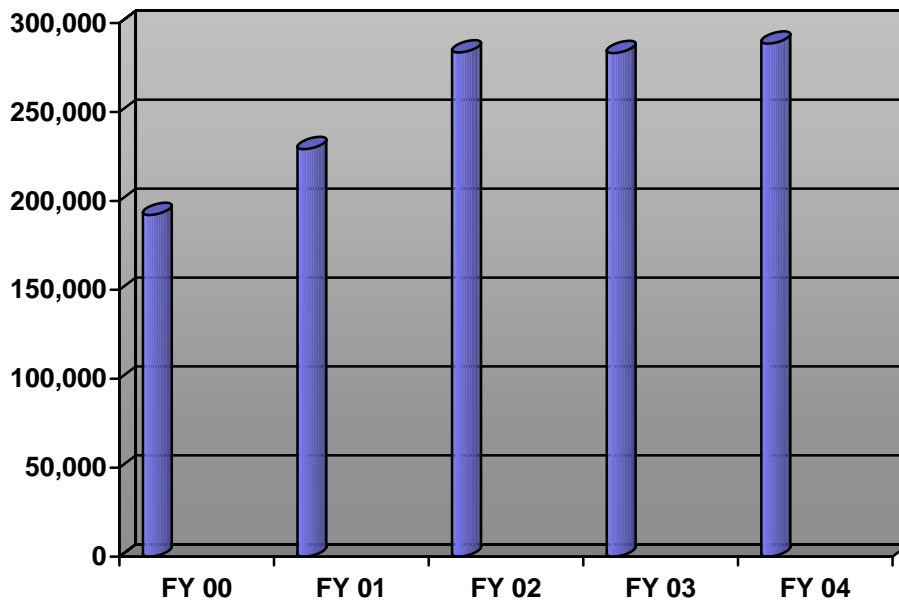


Table 8
Sponsored Program Expenditures
Total University

	FY 2000	FY 2001	FY 2002	FY 2003	FY 2004
Total University	\$192,051,674	\$229,095,551	\$283,477,679	\$283,095,601	\$288,452,630

Source: UM Comptroller

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

Cost Element	FY 2003	FY 2004	% Change
1. Salaries & Benefits	\$148,856,459	\$156,874,651	5%
2. Materials & Supplies	\$25,324,055	\$27,908,111	10%
3. Equipment	\$8,091,460	\$6,194,206	-23%
4. Travel	\$6,639,082	\$7,190,911	8%
5. Contractual Services	\$1,731,498	\$3,380,257	95%
6. Subcontracts	\$38,562,035	\$30,232,814	-22%
7. Other *	\$5,949,687	\$4,273,724	-28%
8. Indirect Costs (F&A)	\$47,941,325	\$52,397,958	9%
<u>TOTAL</u>	<u>\$283,095,601</u>	<u>\$288,452,630</u>	<u>2%</u>

* Including "Transfer" totals
Source: UM Comptroller

Chart E
FY 2003 Sponsored Program Expenditures by Cost Element

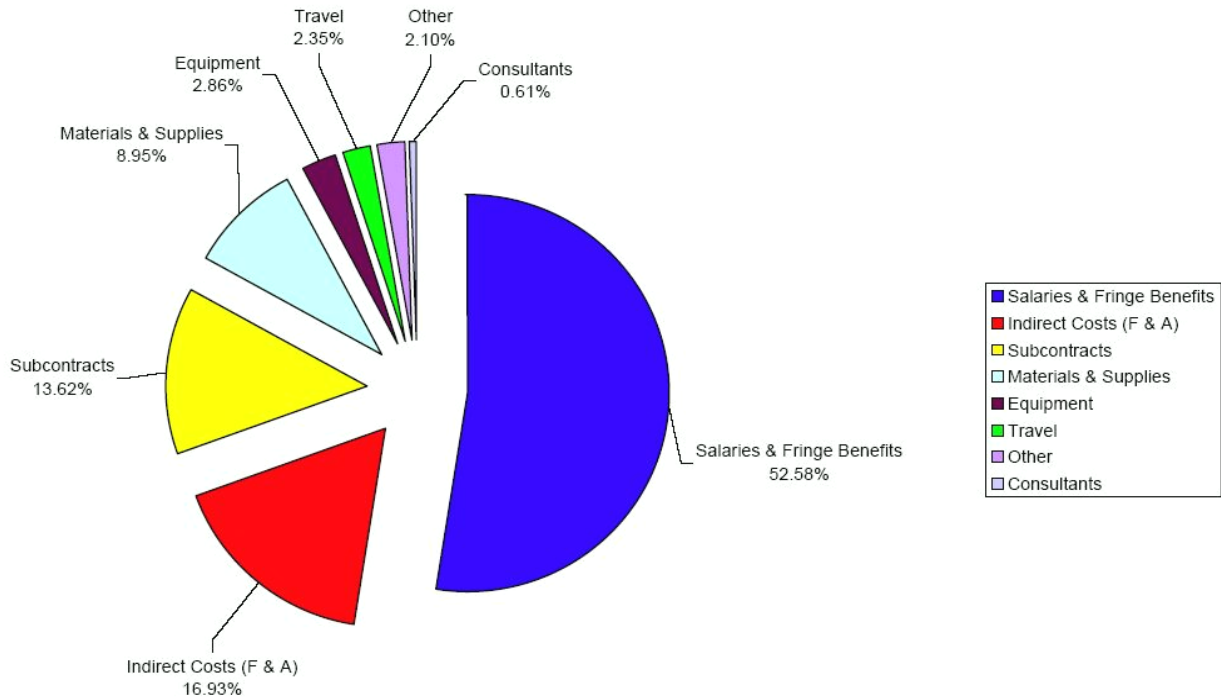
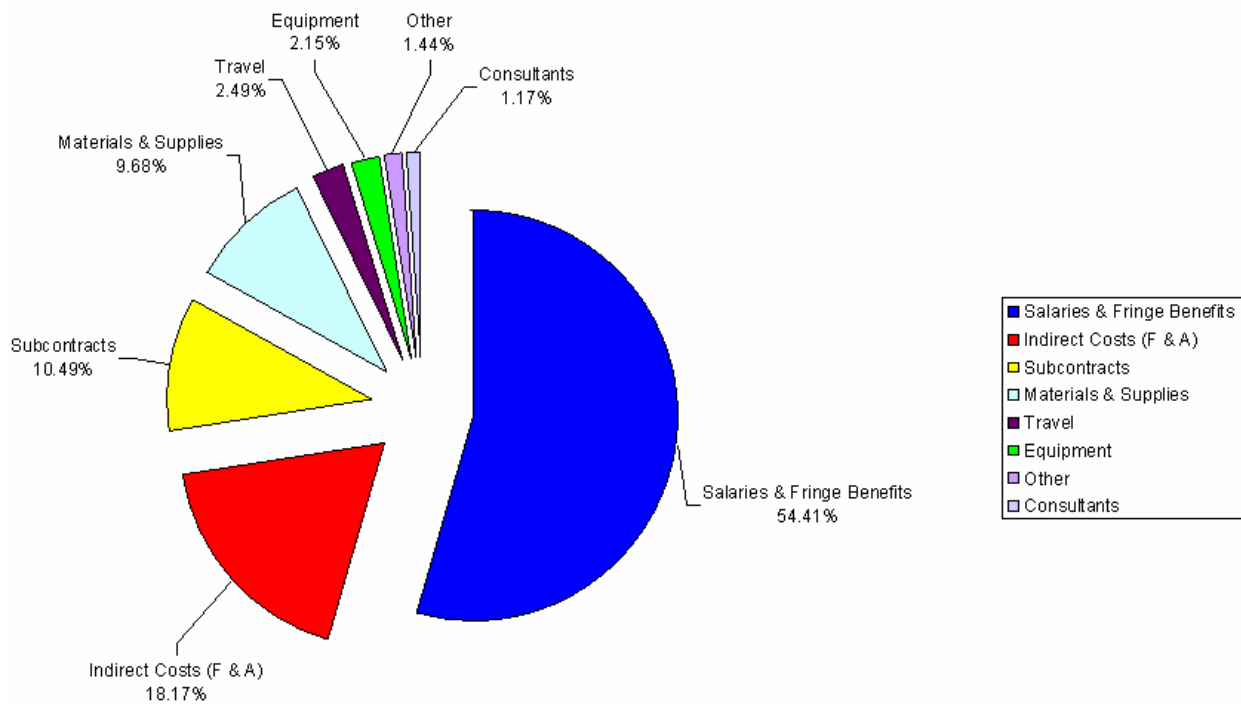


Chart F
FY 2004 Sponsored Program Expenditures by Cost Element



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:

On An Expenditure Basis¹

- **17th** in Federally financed research and development (R&D) expenditures at public universities and colleges by science & engineering field: FY 2002
- **31st** in Federally financed R&D expenditures at universities and colleges: FY 2002
- **32nd** in total R&D expenditures at universities and colleges (*see table 10*)

On An Obligation Basis²

- 54th in Federal obligations for science and engineering R&D: FY 2002
- 64th in Federal obligations for fellowships, traineeships, and training grants: FY 2002
- 2nd in Federal obligations for science and engineering to Universities and colleges in the state of Maryland: FY 2002 (*rank order: Johns Hopkins, UM, UMLAB*)

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

- Ranked **6th** 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 2002.

². All data taken from NSF Federal Science and Engineering Support to Universities, Colleges, and Nonprofit Institutions: Fiscal Year 2002

Table 10
NSF: FY 2002 R&D expenditures at Universities and Colleges
(Dollars in thousands)

Rank	Institution	Total Expenditures (in Thousands)
1	Johns Hopkins U., The	1,140,235
2	U. CA Los Angeles	787,598
3	U. MI all campuses	673,724
4	U. WI Madison	662,101
5	U. WA	627,273
6	U. CA San Francisco	596,965
7	U. CA San Diego	585,008
8	Stanford U.	538,474
9	U. PA	522,269
10	Cornell U. all campuses	496,123
11	U. MN all campuses	494,265
12	PA State U. all campuses	492,739
13	U. CA Berkeley	474,746
14	U. CA Davis	456,653
15	MA Institute of Technology	455,491
16	Duke U.	441,533
17	TX A&M U. all campuses	436,681
18	OH State U. all campuses	432,387
19	U. IL Urbana-Champaign	427,174
20	Washington U. St. Louis	416,960
21	Baylor C. of Medicine	411,924
22	Columbia U.	405,403
23	Harvard U.	401,367
24	U. Pittsburgh all campuses	400,200
25	U. CO all campuses	399,818
32	U. MD College Park	324,980

Source: National Science Foundation/SRS, Academic Research and Development Expenditures: Fiscal Year 2002
 Table B-35. R&D expenditures at universities and colleges, by source of funds: fiscal year 2002

Table 11
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

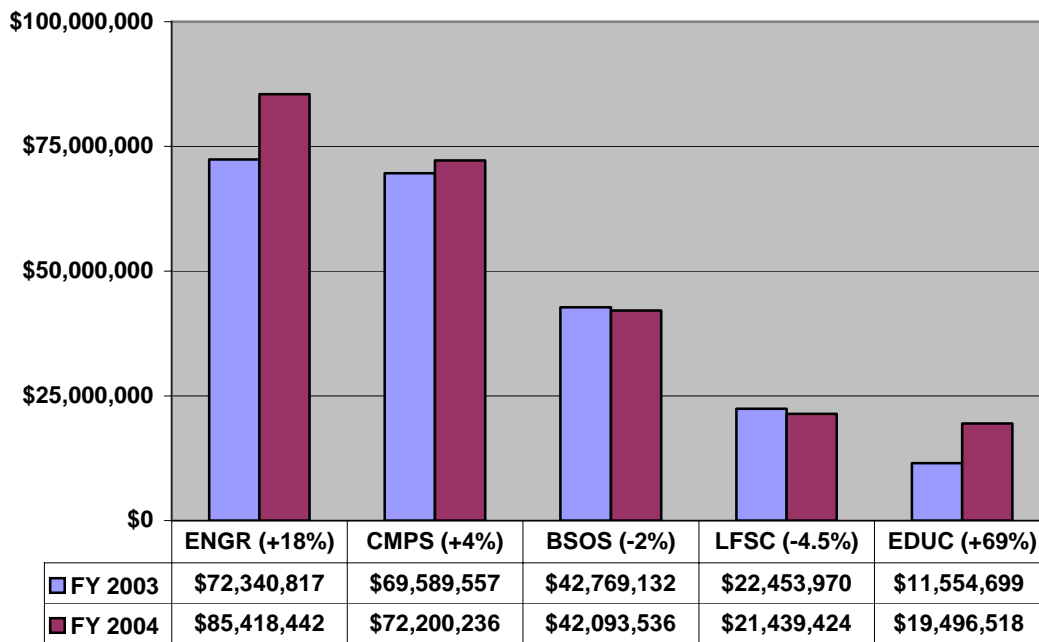
APPENDIX: FY 2003 & 2004 ORAA COMPARATIVE DATA

I. Highlights of current changes in ORAA award dollars for FY 2004.

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 Education (EDUC)

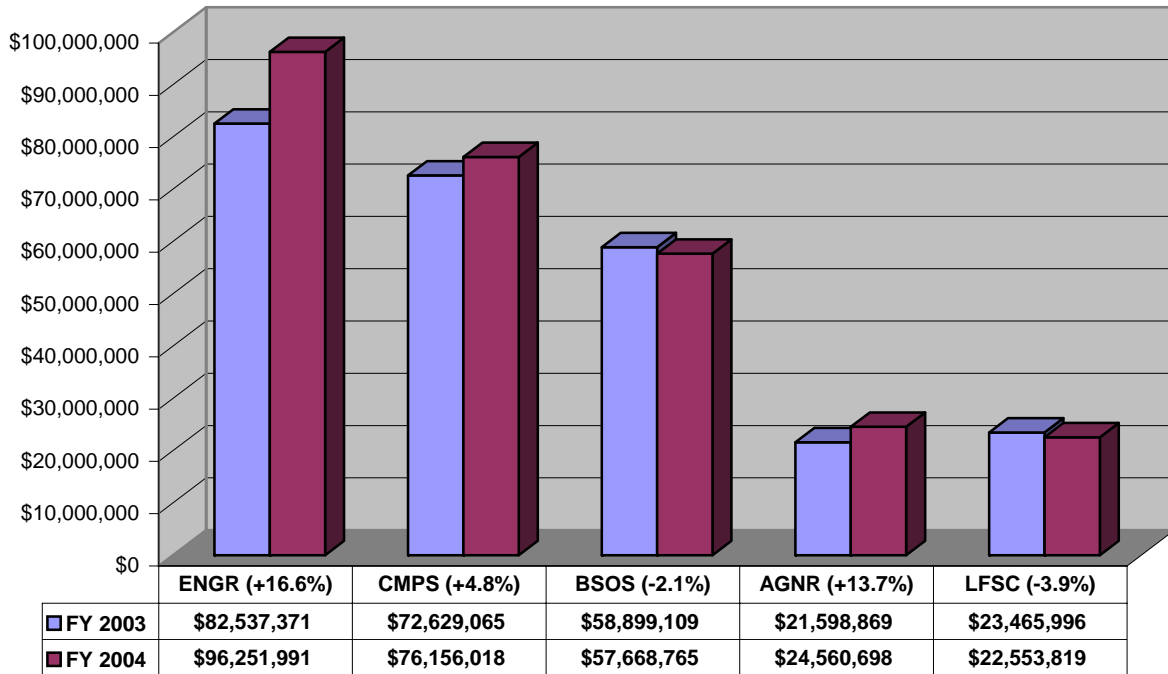
**Top 5 UM Colleges ORAA Award Activity
FY 2003 - 2004**



II. The top five colleges in COMBINED* funding for FY 2004 :

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

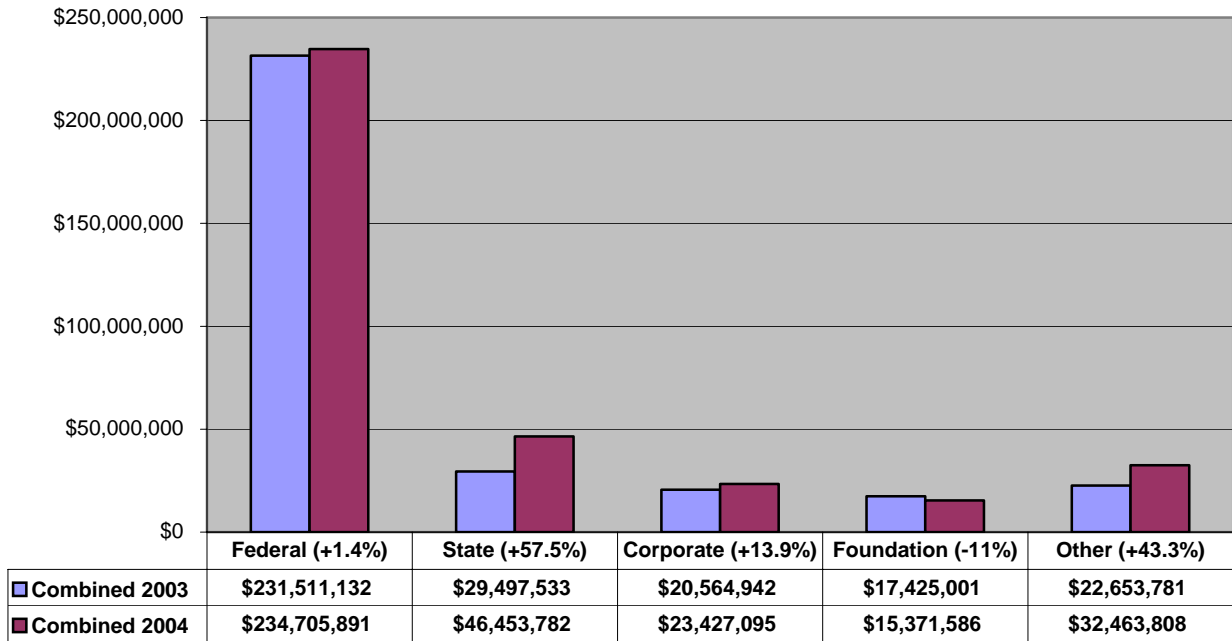
**Top 5 Colleges COMBINED Award Activity
FY 2003 - 2004**



*“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 2004. Federal sources came out on top again for FY 2004 with a \$3.2 Million increase (1.4%) from FY 2003.

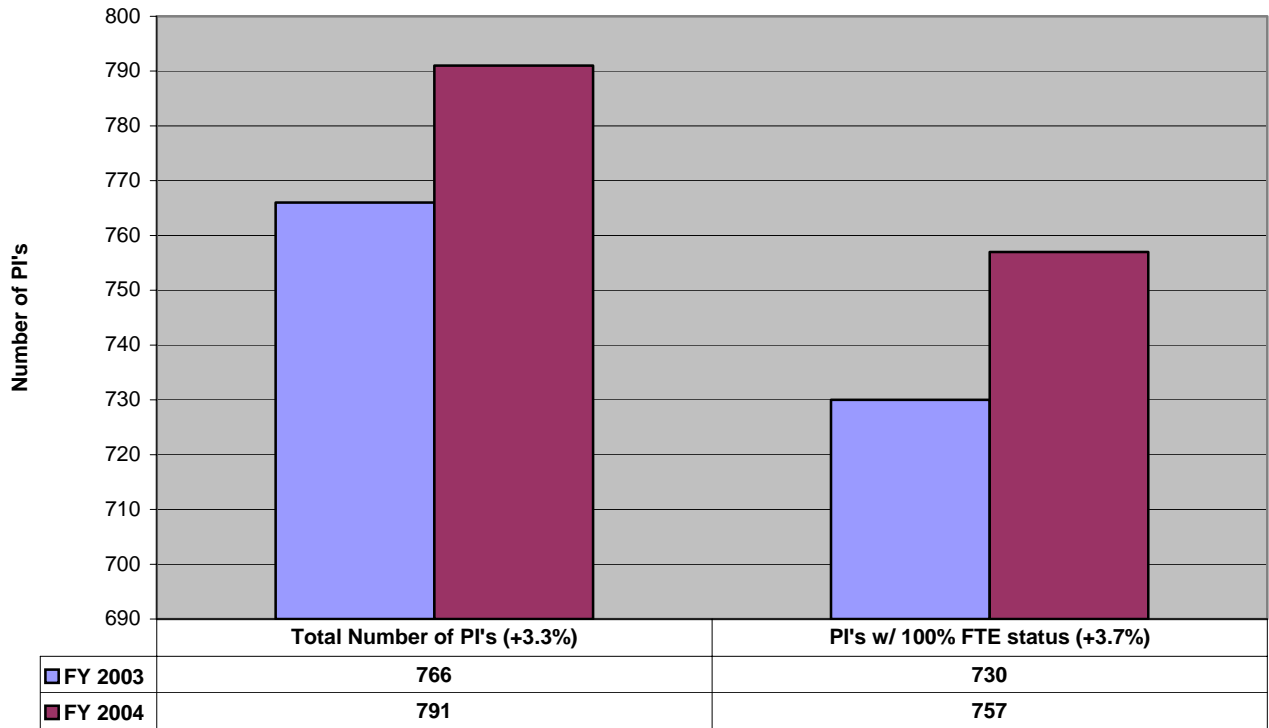
FY 2003 - 2004 Combined Research Activity Comparison Graph



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

IV. Principal Investigators (PIs) in FY 2004 increased from 766 to 791, with a large portion of those numbers (95% and 96% respectively) being full time UM employees (FTE).*

Principal Investigators: FY 2003 - 2004



* 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 2003, 2004.