



UNIVERSITY OF OREGON

Sponsored Projects Annual Report

Fiscal Year 2021 (07/01/2020 – 06/30/2021)

Table of Contents

Executive Summary.....	4
Proposal Submissions.....	5
Figure 1: First-year Funding Requested by Proposal Submission Type FY21.....	5
Figure 2: Proposal Submission by Sponsor Type FY21.....	6
Figure 3: First-year Funding Requested by Sponsor Type FY21.....	6
Figure 4: First-year Funding Requested by Federal Agency.....	7
Figure 5: Proposal Submission Counts Across Fiscal Years.....	7
Awards Received.....	8
Figure 6: Total Awards Received by Sponsor Type.....	8
Figure 7: Total Federal Awards by Agency.....	9
Table 1: Total Award Budgets by Year and Sponsor Type.....	9
Figure 8: Total Awards by Year and Sponsor Type (in millions).....	10
Figure 9: Total Awards by Activity Type in FY21 (Percent).....	11
Figure 10: Total Awards by Year and Activity Type (in millions).....	11
Figure 11: FY20 Total Awards by PI's Home Unit.....	12
Table 2: Awards by PI Home Organization FY21.....	13
Figure 12: Awards by Administered Unit FY21.....	14
Table 3: Funding Administered by OVPRI Research Center/Institute FY21.....	15
Sponsored Project Expenditures.....	16
Figure 13: Sponsored Project Expenditures by Year by Sponsor Type (in millions).....	16
Figure 14: Total Direct Sponsored Expenditures by Cost Category FY21.....	17
Figure 15: Total Project Expenditures by Activity Type FY21.....	17
Figure 16: Total Project Expenditures by Year across Activity Type (in millions).....	18
Figure 17: Federally Financed Research Expenditures as Reported on the NSF HERD Survey (in millions).....	19
Figure 18: Total Research Expenditures from Institutional Funds as Reported on the NSF HERD Survey (in millions).....	20
Facilities & Administrative Cost Analysis.....	21
Figure 19: Facilities & Administrative Cost Recovery Totals Across Fiscal Years (in Millions).....	21
Table 4: Historical Federally Negotiated F&A Rates.....	22

Figure 20: Facilities & Administrative Recovery Allocation FY21 22
Appendix I: Data Sources and Methods 24

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](#) and [Monthly Award Reports](#).

Proposals

In fiscal year 2020-2021 (FY21), 1,276 proposals were submitted requesting a total of \$234.2 million in first-year funding. Of that amount, 88% was requested in new proposals (rather than supplements or renewals) and 71% was requested from federal sources, including sub-awards originating from federal sources. Proposals related to COVID relief accounted for an additional 14 proposals and \$72.0 million.

Awards

The University of Oregon (UO) was awarded¹ \$172.5 million from external funding sources in FY21 excluding COVID relief funds. COVID relief funds were an additional \$50.6 million. New award commitments (Figures 8 & 9) over time have grown substantially.

Expenditures

Expenditures on 1,213 active projects during FY21 totaled \$137.4 million, including both direct costs and facilities and administration expenditures, but excluding COVID relief funds. Expenditures increased by 7% (\$9.4 million) compared to FY20. Organized Research accounted for \$90.7 million (66%) of the total sponsored expenditures, while instruction and other sponsored activities account for the remainder. With COVID relief expenditures, FY21 had 1226 active projects and \$172.9m in expenditures, up 30% from FY20.

Facilities and Administrative Costs

Revenue from the federal government and other agencies to reimburse already-expended university facilities and administrative (F&A) costs totaled \$26.0 million in FY21. Although the federally negotiated F&A rate for on-campus organized research activities has been 47.5% since FY18, some activities and sponsors allow only lower F&A rate. The effective F&A recovery rate was 25.1%.

Note: COVID relief funds are excluded from all charts and tables in this report.

¹ In FY20, awards were measured based on award letters received during the fiscal year prior to adjustments. In FY21, the awards are measures using the budget entries in the system of record (Banner) which reflects the actual adjusted award amount received for each year. There are slight differences between methodologies.

Proposal Submissions

Requested First-year Funding Total for Submitted Proposals: **\$234,224,413**

Count of Submitted Proposals: **1,276**

Figure 1: First-year Funding Requested by Proposal Submission Type FY21

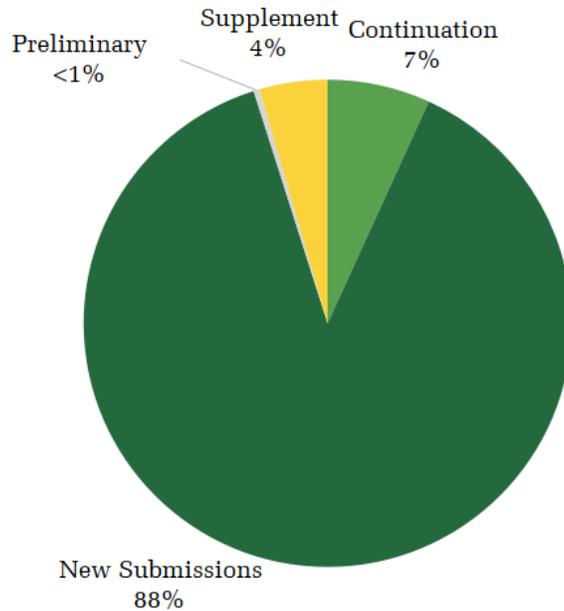


Figure 1 shows funding requested in FY21 broken down by proposal submission type. The dollar values used in this figure reflect proposals' first-year budgets. New submissions are those proposals that request funding for a new project, a category which includes new awards, revisions, and resubmissions. Continuations include both competitive and non-competitive continuations.

Figure 2: Proposal Submission by Sponsor Type FY21

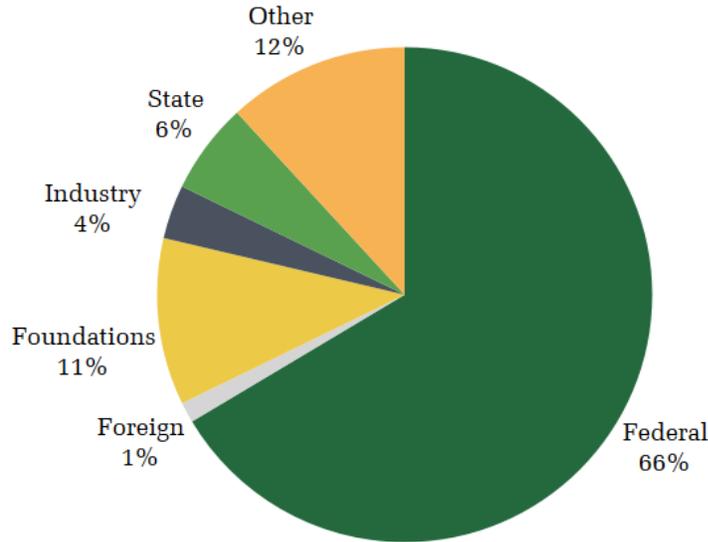


Figure 2 shows the percentage of proposals submitted by sponsor type, where “Federal” includes federal pass-throughs through sub-awards. The “State” category includes U.S. state, county, and municipal governments. The “Other” category includes educational institutions, associations, not-for-profit corporations, and other misc. sources.

Figure 3: First-year Funding Requested by Sponsor Type FY21

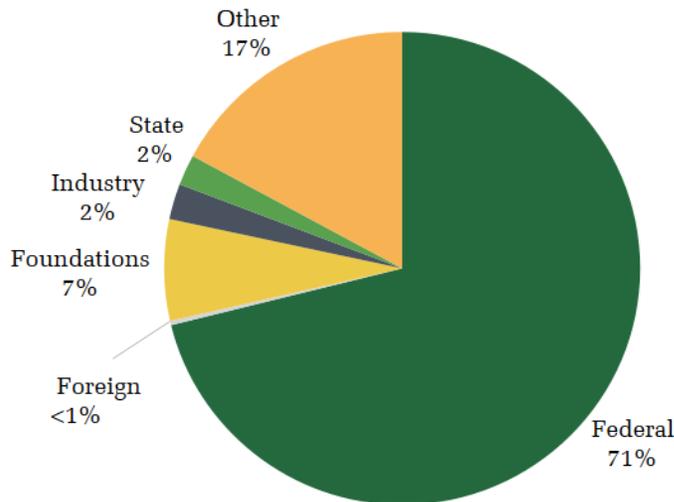


Figure 3 shows funding requested in FY21 categorized by the type of sponsor. When a sub-award is proposed, the funding type of the originating sponsor is used. The “Other” category includes educational institutions, associations, not-for-profit corporations, and other miscellaneous sources.

Figure 4: First-year Funding Requested by Federal Agency

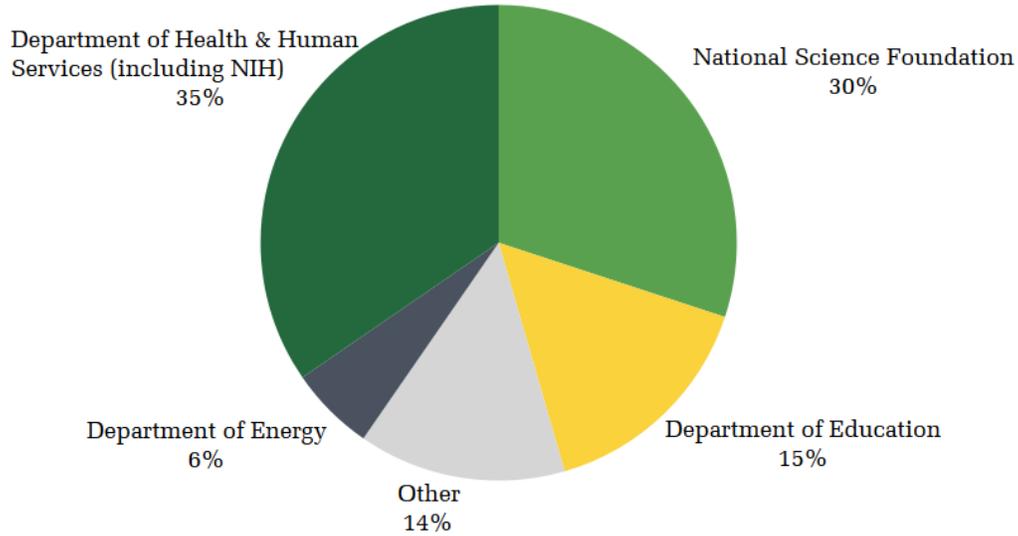


Figure 4 shows federal funding requested in FY21 categorized by the sponsoring agency. Agencies are categorized to the highest-level organization. In most cases, this is a cabinet-level agency. For example, the National Institutes of Health (NIH) are included within the Department of Health and Human Services (DHHS) and consists of about 98% of the proposals under DHHS.

Figure 5: Proposal Submission Counts Across Fiscal Years

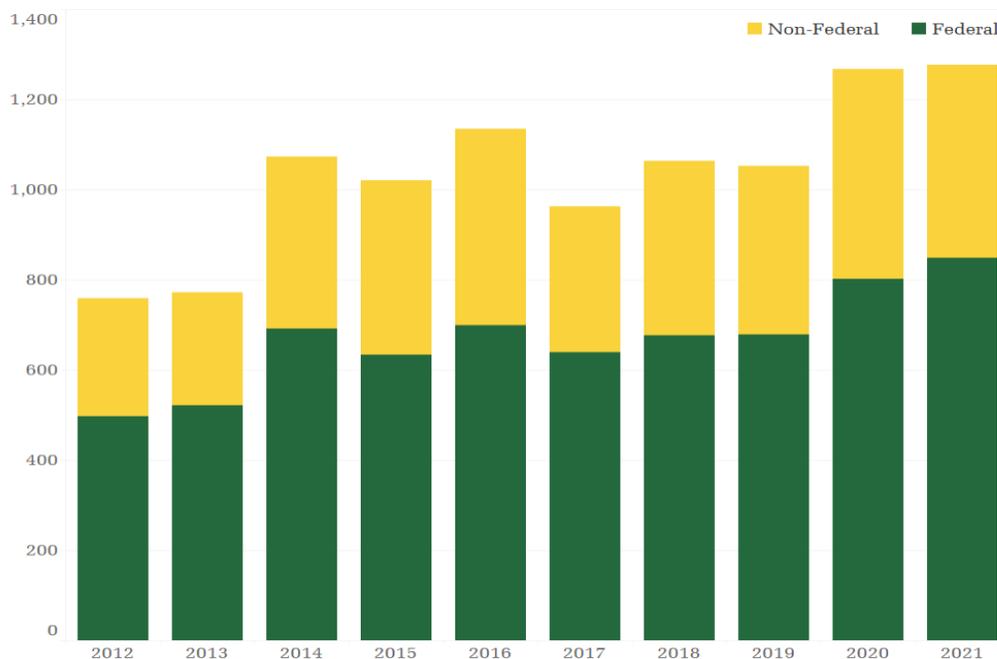


Figure 5 provides a multi-year summary of the number of proposals submitted categorized by whether the funding organization is a federal agency or not. For sub-awards, the funding type of the originating sponsor is used. COVID relief related proposals includes an additional 6 proposals for FY20 (federal) and an additional 14 for FY21 (10 federal and 4 non-federal).

Awards Received

Total FY21 Awards Received: **\$172,489,084**

Methodological Note: Historically, the Awards section of the Annual Report is based on budget entries in Banner. In FY20 this was replaced by data on award letters contained within the Electronic Proposal Clearance System (E-PCS). This process is efficient and precise, and matches the Research and Innovation’s online data portal, ResearchStats. However, for FY21, this section is based on the budget entries in Banner as it reflects actual amounts received after adjustments.

Figure 6: Total Awards Received by Sponsor Type

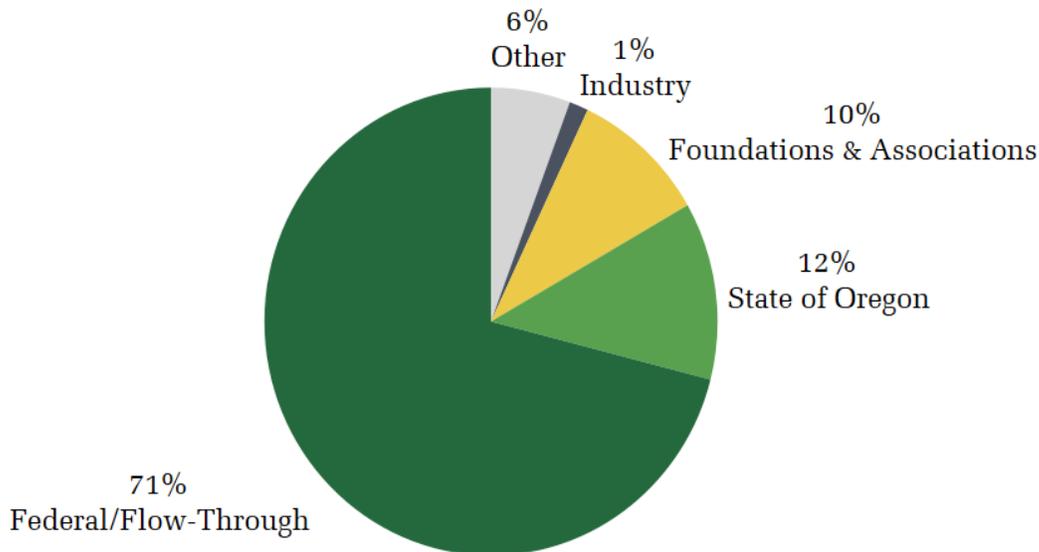


Figure 6 shows total dollar value of awards received from each sponsor type as a proportion of total award dollars received. For sub-awards, the funding type of the originating sponsor is used. The “Other” category includes local governments, foreign entities, and other organizations not otherwise noted.

Figure 7: Total Federal Awards by Agency

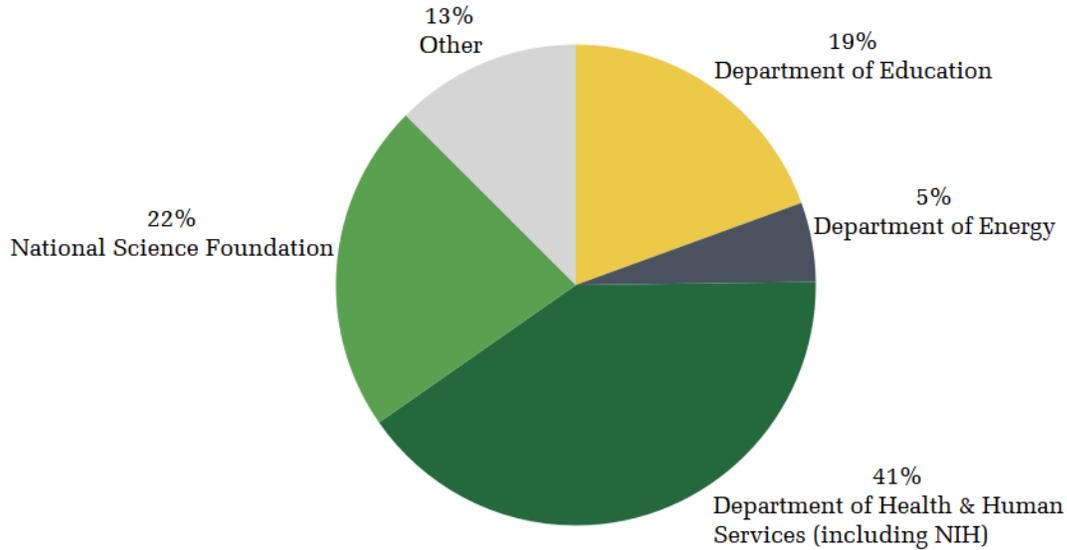


Figure 7 further breaks down the dollar value of federally funded awards to the University in FY21 by the federal agency providing funding. Agencies are categorized to the highest-level organization. In most cases this is a cabinet-level agency. For example, the National Institutes of Health (NIH) are included within the Department of Health and Human Services (DHHS) and constitute about 96% of the DHHS awards.

Table 1: Total Award Budgets by Year and Sponsor Type

Fiscal Year	Federal/ Flow -Through	Foundations & Associations	Industry	Other	State of Oregon	Grand Total
2012	\$108,087,740	\$2,745,963	\$1,006,221	\$6,484,372	\$1,161,282	\$119,485,578
2013	\$84,560,167	\$3,016,299	\$1,690,118	\$4,269,632	\$1,213,263	\$94,749,480
2014	\$93,046,464	\$5,110,965	\$985,684	\$6,184,362	\$2,382,781	\$107,710,255
2015	\$105,591,361	\$3,004,033	\$630,545	\$3,205,425	\$4,008,219	\$116,439,582
2016	\$97,814,546	\$10,719,341	\$431,610	\$5,323,172	\$2,008,811	\$116,297,479
2017	\$94,393,748	\$3,711,446	\$680,095	\$4,587,474	\$12,519,000	\$115,891,762
2018	\$97,370,142	\$5,913,343	\$608,457	\$5,629,706	\$13,331,506	\$122,853,154
2019	\$101,664,610	\$4,217,200	\$596,871	\$4,911,584	\$14,438,194	\$125,828,458
2020	\$114,893,241	\$8,625,247	\$515,883	\$5,987,073	\$16,551,683	\$146,573,127
2021	\$122,459,236	\$16,760,857	\$2,322,636	\$9,746,747	\$21,208,608	\$172,498,084

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 do not fit into existing categories.

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

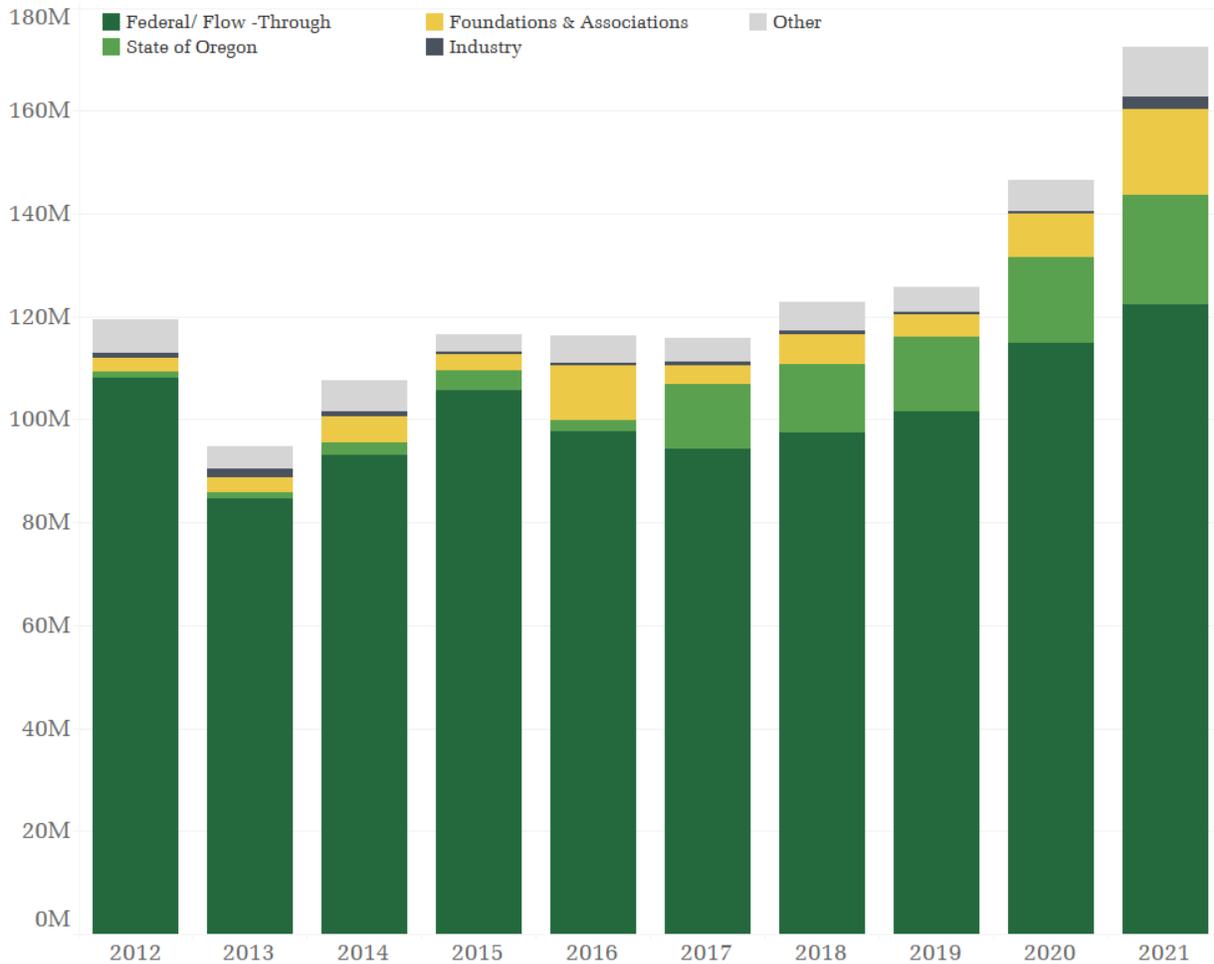


Figure 8 is a visual representation of the information in Table 1 provides a multi-year summary of total awards by sponsor type. This is based on the funding organization’s profile in E-PCS. When an award is received through a sub-award, this reflects the type of the originating sponsor. The “Other” category includes local governments, foreign entities, and other organizations that do not fit into existing categories.

Figure 9: Total Awards by Activity Type in FY21 (Percent)

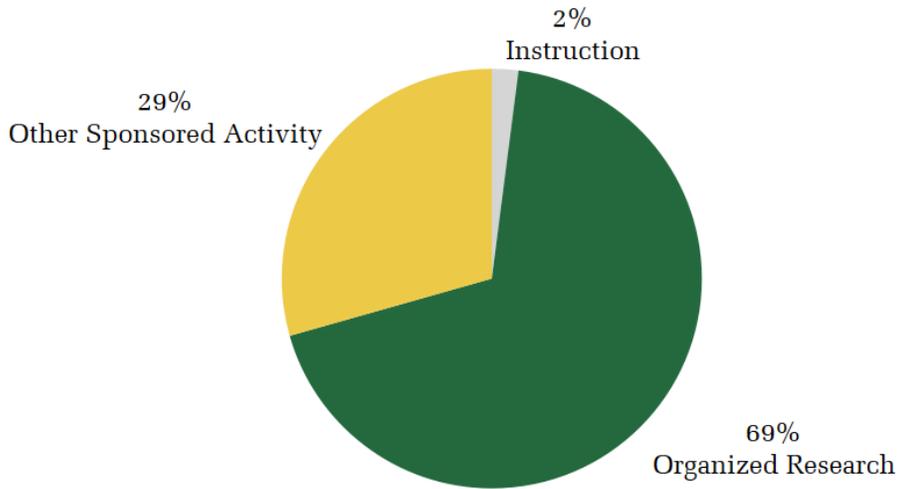


Figure 9 shows the percentage of award dollars entered in FY21 by activity type. The “Other Sponsored Activity” category includes awards for fellowships, equipment purchases, and public service.

Figure 10: Total Awards by Year and Activity Type (in millions)

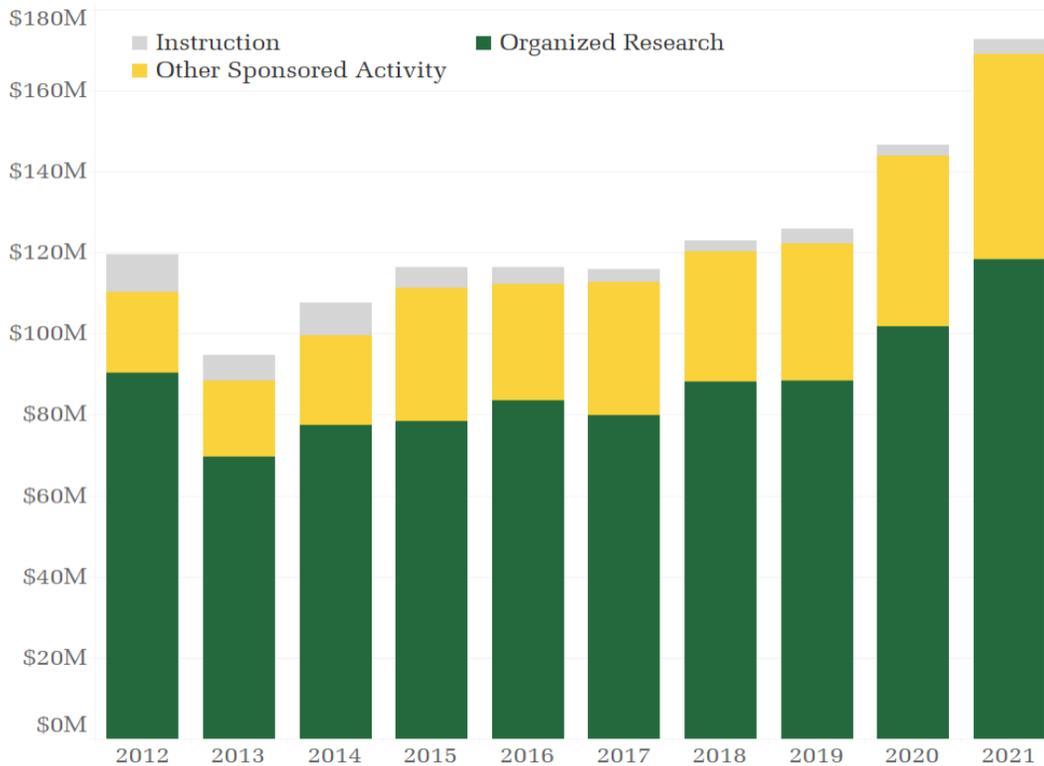


Figure 10 provides a multi-year summary of award dollars by activity type. The “Other Sponsored Activity” category includes awards for fellowships, equipment purchases, and public service.

Figure 11: FY20 Total Awards by PI’s Home Unit

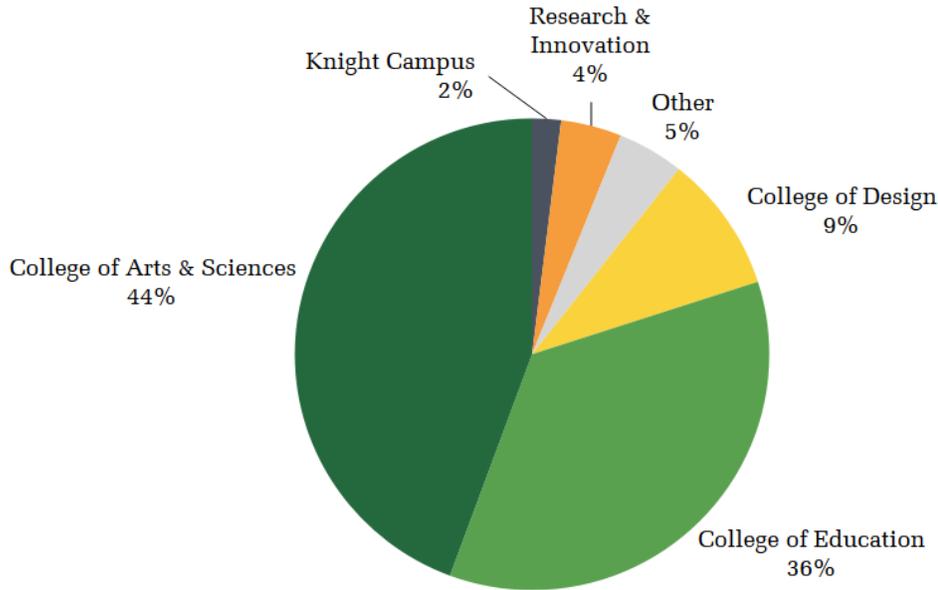


Figure 11 shows the proportion of award dollars received in FY21 aggregated by each college or organization. Awards are categorized based on the home unit of the PI who received the award. The “Other” category includes all other units not explicitly shown such as the School of Journalism and Communication, campus museums, and others. Table 2 shows additional information about awards received by each OVPRI center and institute.

Table 2: Awards by PI Home Organization FY21

College of Arts & Sciences	\$	73,123,109
American English Institute	\$	329,913
Department of Anthropology	\$	323,924
Department of Biology	\$	25,089,446
Department of Chemistry	\$	11,336,831
Department of Computer & Information Science	\$	2,436,497
Department of Earth Sciences (formerly Geological Science)	\$	5,631,246
Department of East Asian Languages and Literatures	\$	949,079
Department of Economics	\$	104,147
Department of Geography	\$	1,692,236
Department of History	\$	138,257
Department of Human Physiology	\$	3,819,618
Department of Linguistics	\$	784,150
Department of Mathematics	\$	650,596
Department of Physics	\$	7,408,155
Department of Political Science	\$	183,707
Department of Psychology	\$	11,701,216
Department of Religious Studies	\$	97,000
Department of Romance Languages	\$	137,431
Environmental Studies Program	\$	40,000
NW Indian Language Institute Operations	\$	269,659
College of Business	\$	374,026
College of Design	\$	15,507,609
Department of Sports Product Design	\$	31,500
Department of Architecture & Interior Architecture	\$	2,558,143
Department of Art History	\$	65,000
Department of Landscape Architecture	\$	638,102
Department of Planning, Public Policy and Management	\$	9,747,444
Institute for Policy Research and Engagement	\$	1,948,961
Department of Product Design	\$	5,000
Energy Studies Building Lab	\$	513,459
College of Education	\$	58,714,989
Behavioral Research and Training	\$	2,630,986
Center for Equity Promotion	\$	893,839
Center on Human Development	\$	886,508
College of Education, Office of the Dean (Non-Submitting)	\$	281,683
Communication Disorders & Sciences	\$	216,343
Counseling Psychology	\$	2,810,084
Counseling, Family & Human Services	\$	1,042,793
Early Childhood (EC) Cares Program	\$	18,301,780
Early Intervention Program	\$	60,403
Ed Prevention Science	\$	9,994,425
Education Studies	\$	1,277,055
Educational and Community Supports	\$	749,663
Educational Methodology, Policy and Leadership	\$	642,427
Family and Human Services	\$	22,343
Rsch Ctr on Teaching & Learning	\$	3,372,305
School Psychology	\$	2,426,303
Secondary Special Education and Transition Research Programs	\$	1,490,110
Special Education	\$	11,615,939
Honors College	\$	518,886

Knight Campus	\$	3,220,877
Library	\$	2,078,748
Research & Innovation	\$	6,200,583
Ecology & Evolution (Non-Submitting)	\$	409,926
Genomics and Cell Characterization Core Facility (GC3F)	\$	4,890
Institute for a Sustainable Environment	\$	104,816
Institute of Molecular Biology	\$	813,757
Institute of Neuroscience	\$	1,923,354
Materials Science Institute	\$	31,241
Neuroinformatics Center	\$	1,741,487
Oregon Advanced Computing Institute for Science & Society	\$	220,000
Oregon Center for Optical, Molecular, and Quantum Science	\$	111,900
Oregon Institute of Marine Biology	\$	30,546
Prevention Sci Inst Operations	\$	199,902
Research Core Business Services	\$	42,018
Technology Transfer Services	\$	230,357
Vice President for Research	\$	336,389
School of Journalism	\$	738,520
School of Law	\$	3,715,193
School of Music and Dance	\$	51,846
All Others	\$	8,253,698

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 12: Awards by Administered Unit FY21

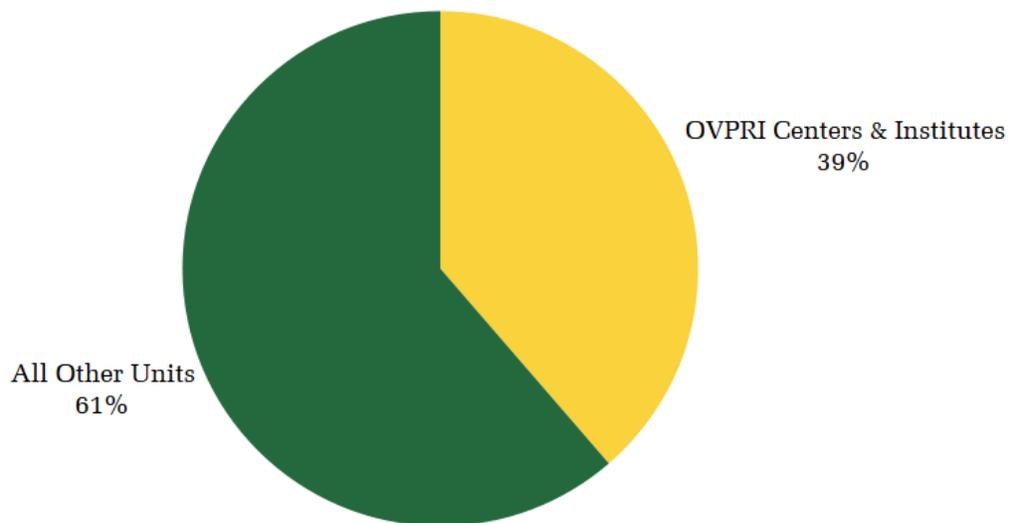


Figure 12 shows FY21 awards by the organization administering the award. This is based on an award's administering organization as recorded in E-PCS.

Table 3: Funding Administered by OVPRI Research Center/Institute FY21

Research Centers & Institutes	FY21 Awards
COACH	\$783,312
Institute for a Sustainable Environment	\$90,536
Institute for Fundamental Science	\$2,060,099
Institute of Ecology & Evolution	\$6,875,977
Institute of Molecular Biology	\$9,690,138
Institute of Neuroscience	\$17,500,849
Material Science Institute	\$9,124,439
Neuroinformatics Center	\$430,947
Oregon Advanced Computing Institute for Science & Society	\$2,051,817
Oregon Center for Optical, Molecular, and Quantum Science	\$3,378,468
Oregon Institute of Marine Biology	\$350,740
Prevention Sci Inst Operations	\$14,367,920
Grand Total	\$66,705,242

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 13: Sponsored Project Expenditures by Year by Sponsor Type
(in millions)**

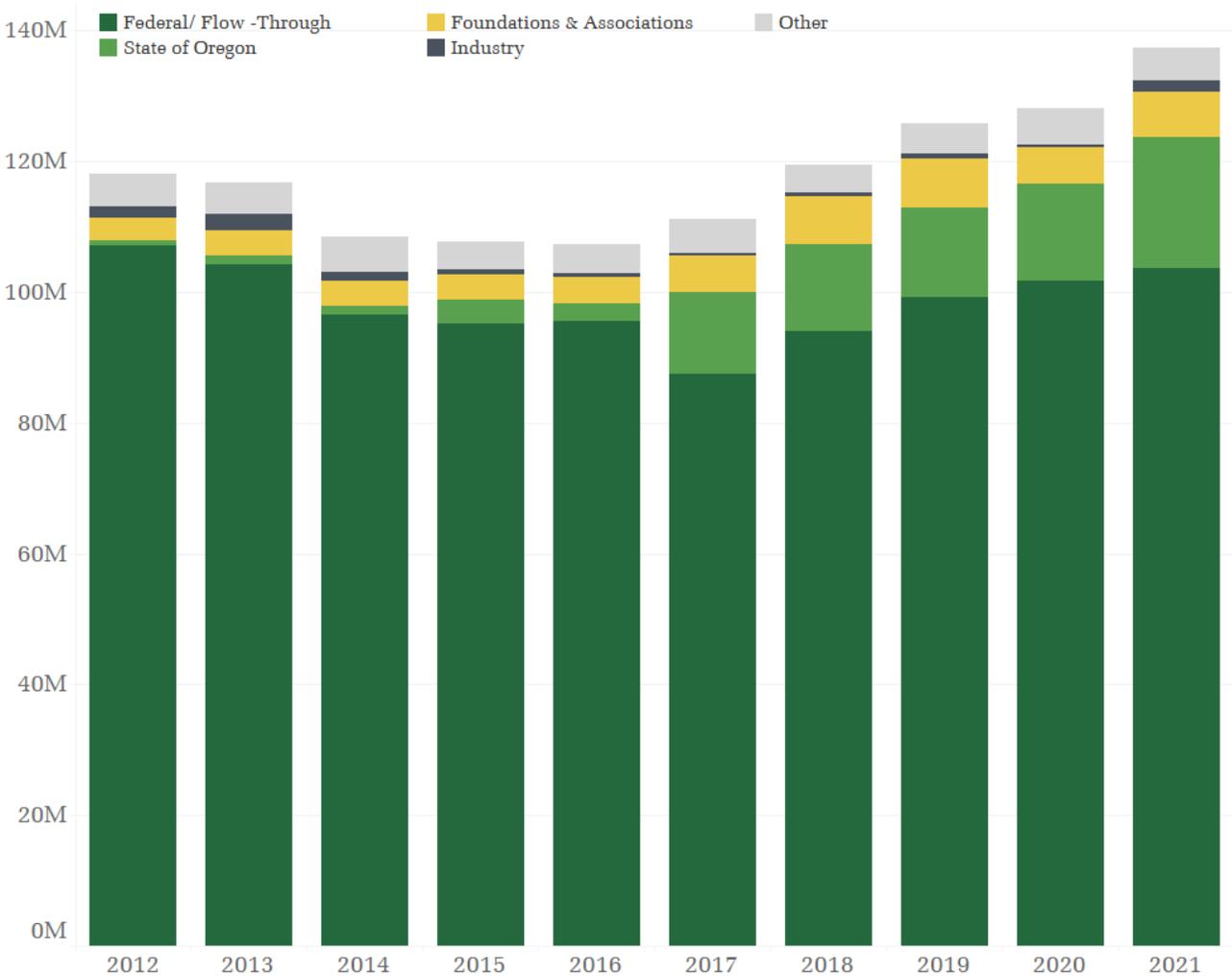


Figure 13 is a multi-year summary of expenditures from sponsored funds by sponsor type. This is based on the award’s category as recorded in Banner. When an award is received through a sub-award this reflects the type of the originating sponsor.

Figure 14: Total Direct Sponsored Expenditures by Cost Category FY21

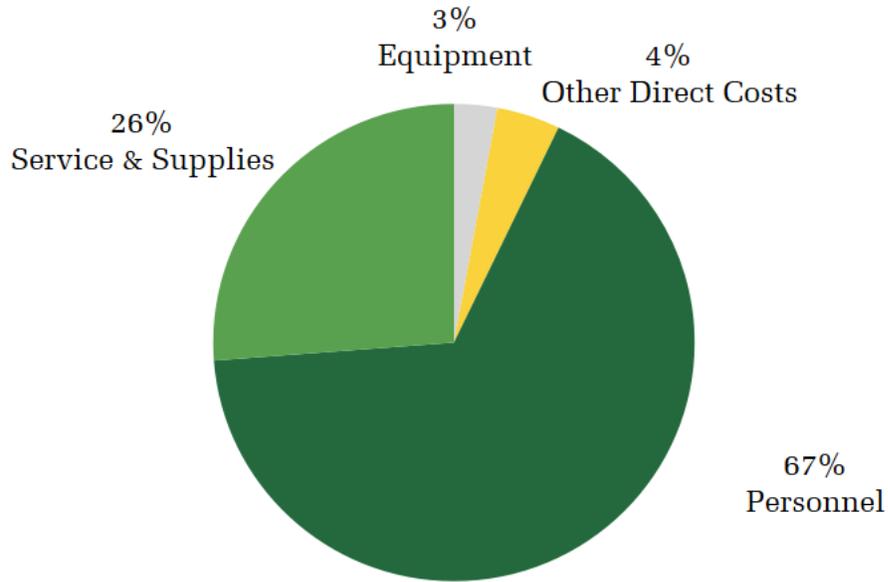


Figure 14 summarizes the expenditure of sponsored funds in FY21, not including indirect costs. Indirect costs are also called “facilities and administration” costs and are discussed further in the F&A section. The “Other” category includes student aid.

Figure 15: Total Project Expenditures by Activity Type FY21

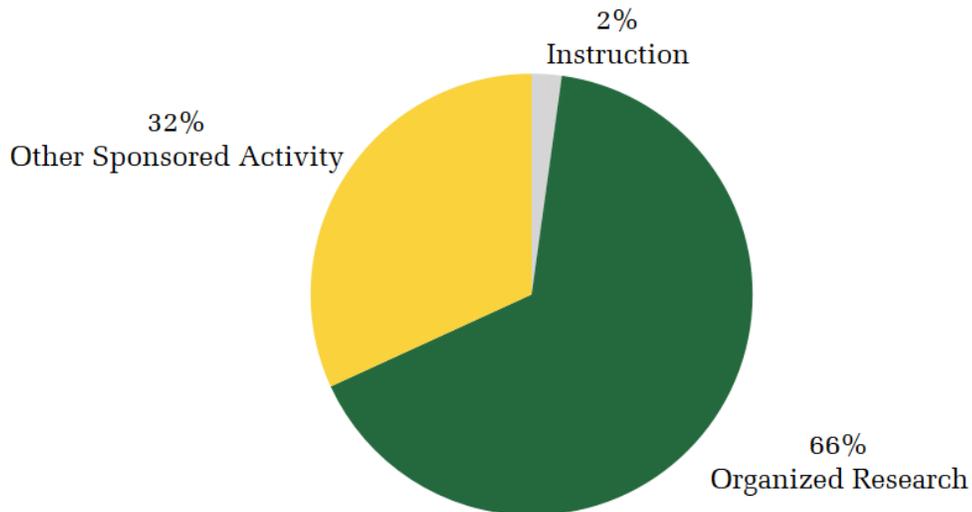


Figure 15 summarizes expenditures from sponsored funds in FY21 by activity type. The “Other” category includes primarily expenditures for public service projects, but also includes fellowships, equipment, and others.

Figure 16: Total Project Expenditures by Year across Activity Type (in millions)

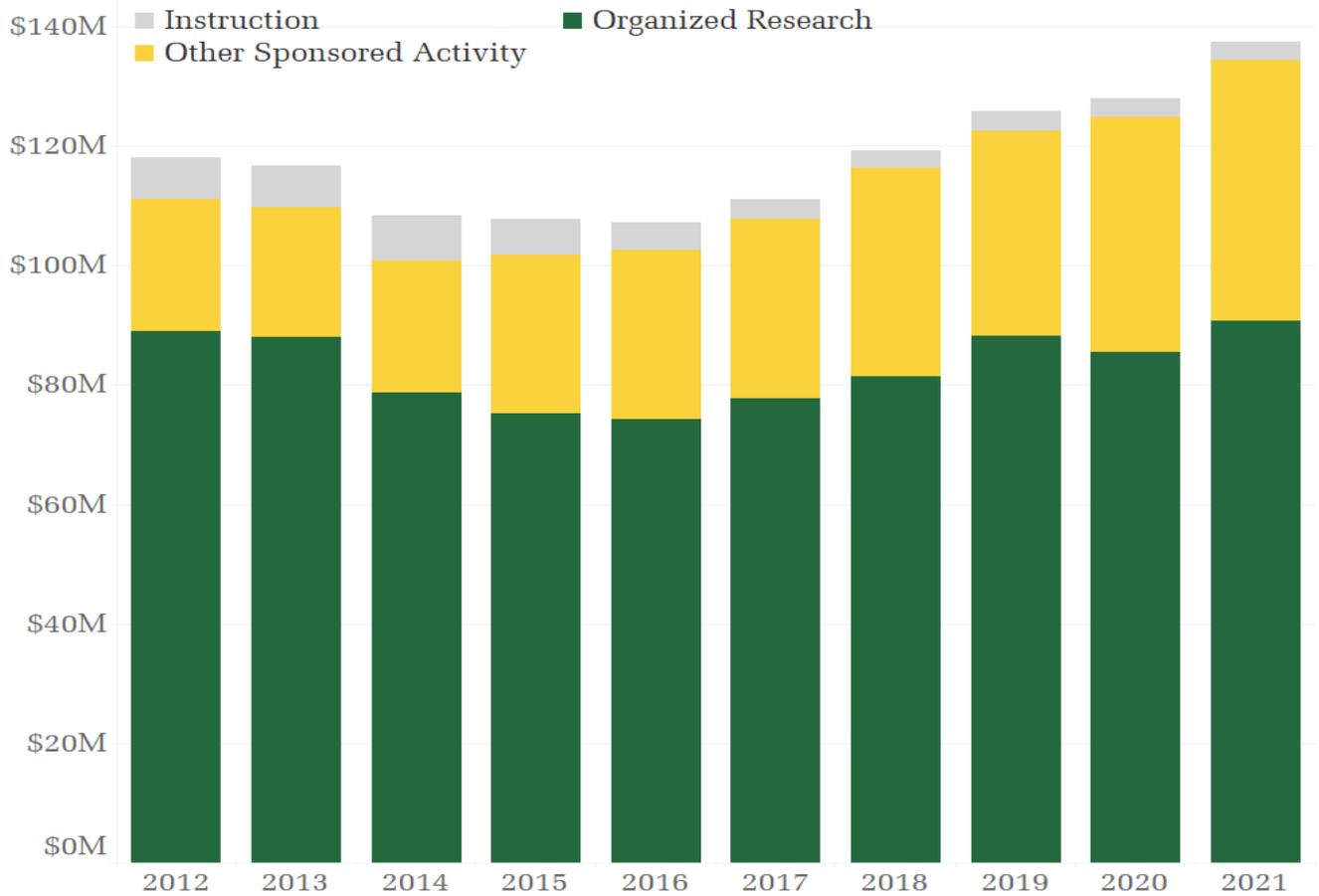
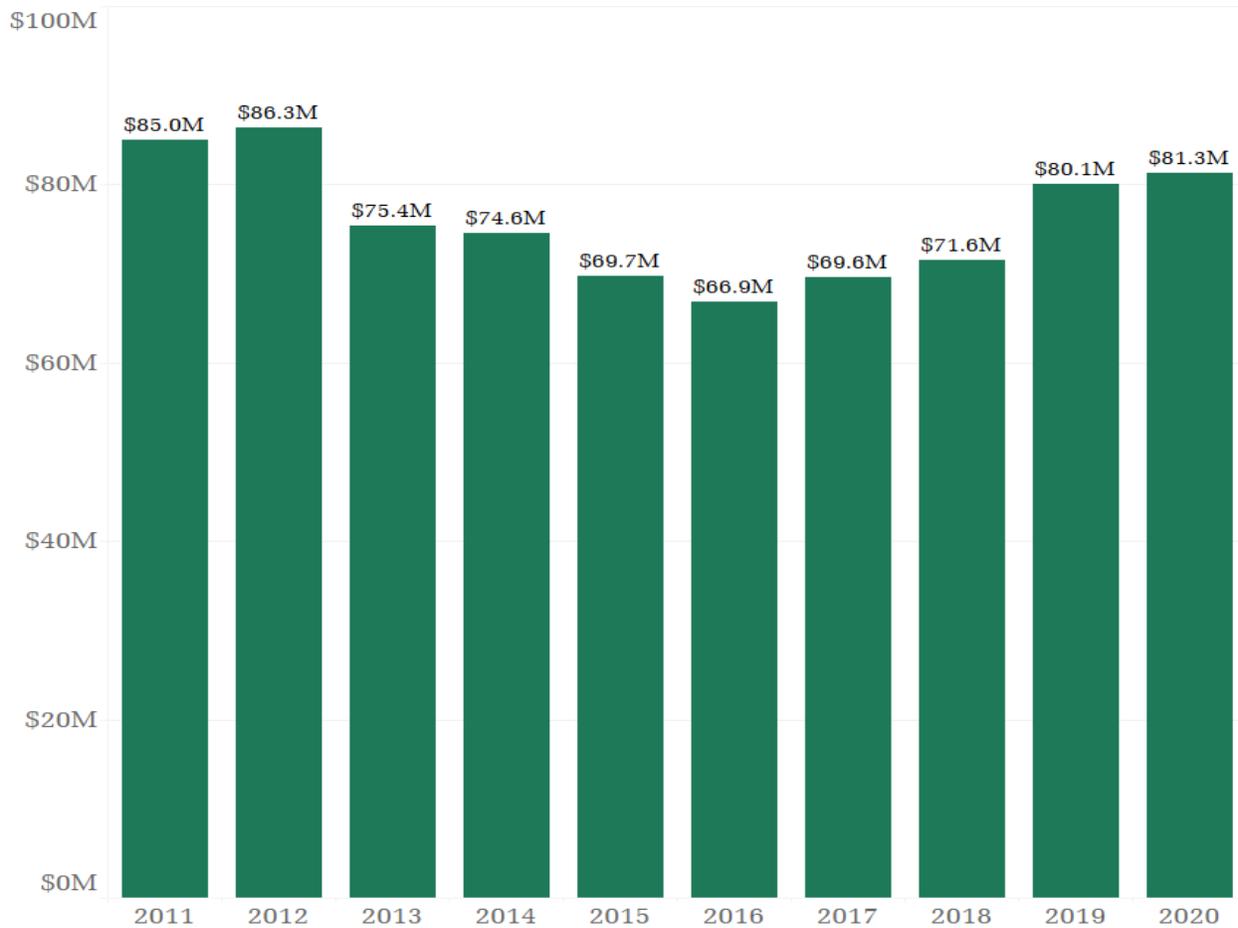


Figure 16 is a multi-year summary of expenditures from sponsored funds by activity type. This is based on the program level information in Banner. The “Other” category includes primarily expenditures for public service projects, but also includes fellowships, equipment, and others.

Figure 17: 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 17 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 funding, but do not include some categories of spending, such as capital costs.

Figure 18: Total Research Expenditures from Institutional Funds as Reported on the NSF HERD Survey (in millions)

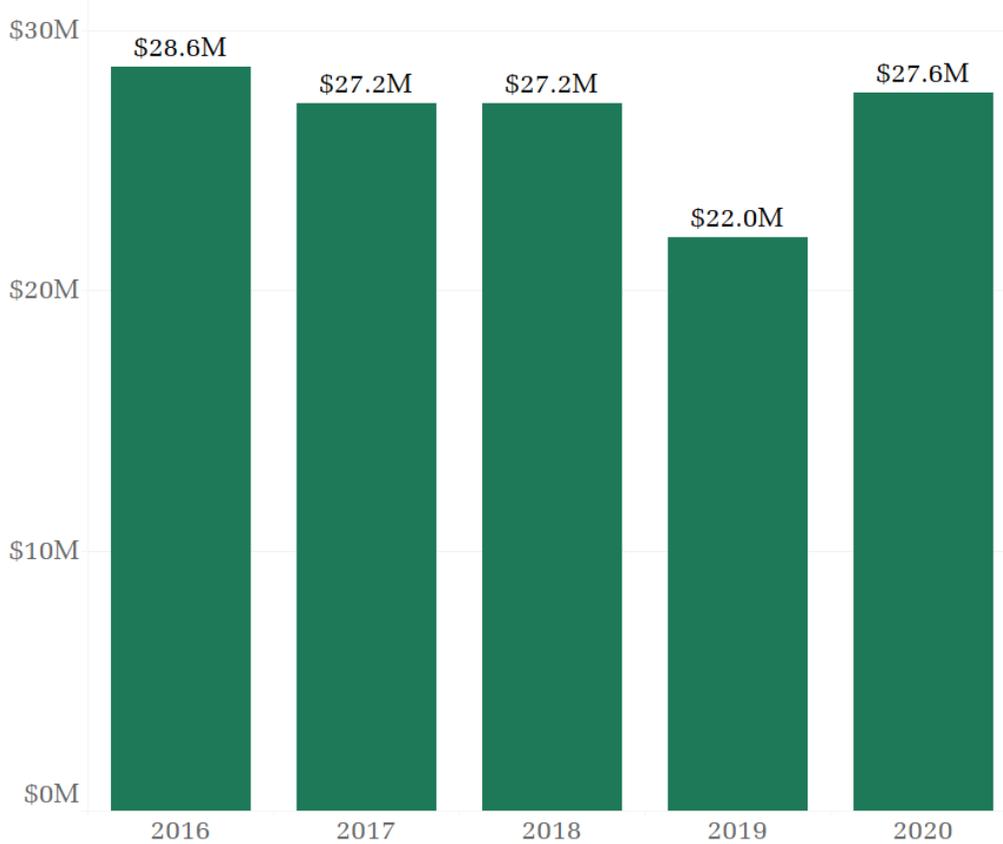


Figure 18 summarizes our reported expenditure of institutional funds. Institutional funds include UO-funded training grants, startup funds, and other amounts used to fund research. It does not include some specific forms of institutional spending, such as capital costs related to research facilities.

Facilities & Administrative Cost Analysis

Figure 19: Facilities & Administrative Cost Recovery Totals Across Fiscal Years (in Millions)

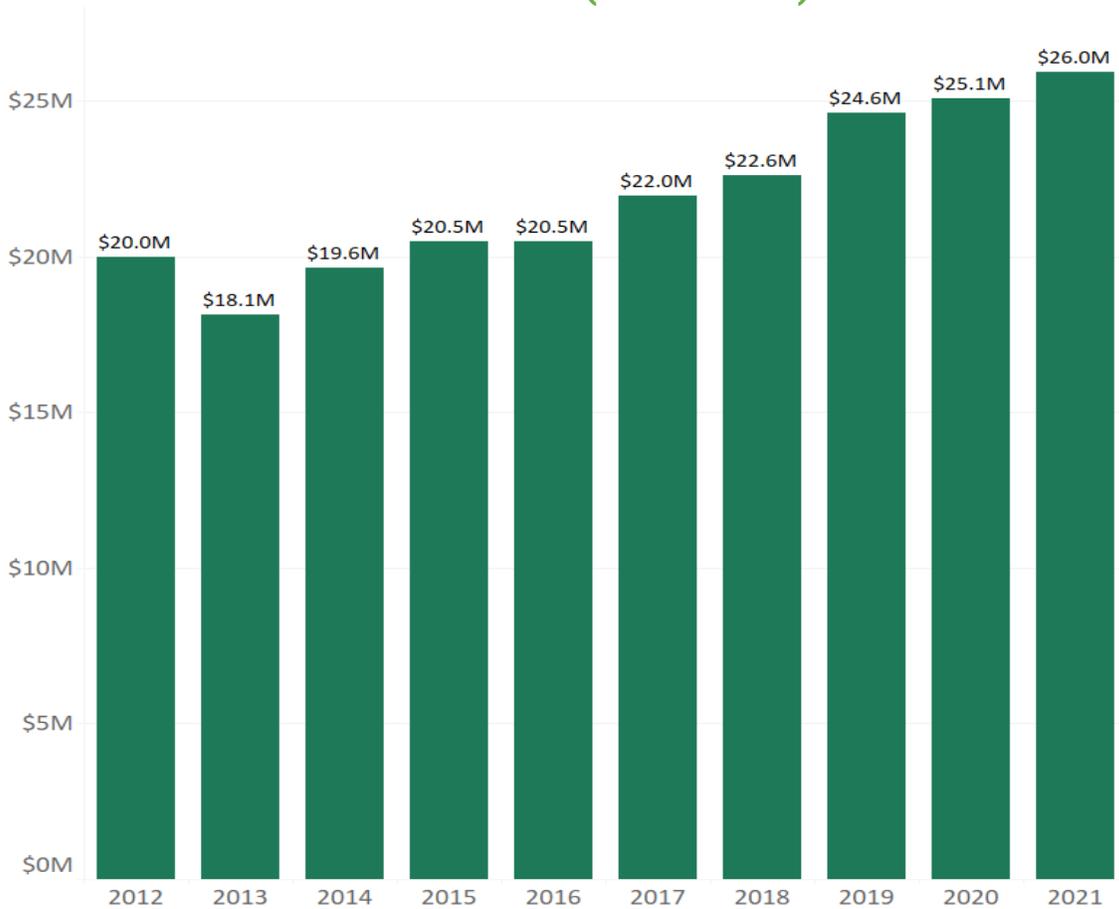


Figure 19 summarizes recovered facilities and administrations costs for the past 10 years. Recovered indirect costs are those indirect costs paid for by sponsored funds. The university also incurs unrecovered indirect costs, such as cost-share requirements, and capped administrative expenses that are not included here.

Table 4: Historical Federally Negotiated F&A Rates

Fiscal Year	Research		Instruction		Other	
	On-Campus	Off-Campus	On-Campus	Off-Campus	On-Campus	Off-Campus
2012	42.0	26.0	53.0	26.0	29.0	23.8
2013	42.0	26.0	59.4	26.0	30.7	24.3
2014	42.0	26.0	59.4	26.0	30.7	24.3
2015	42.0	26.0	59.4	26.0	30.7	24.3
2016	42.0	26.0	59.4	26.0	30.7	24.3
2017	46.5	26.0	46.0	26.0	30.7	26.0
2018	47.5	26.0	46.0	26.0	30.7	26.0
2019	47.5	26.0	46.0	26.0	30.7	26.0
2020	47.5	26.0	46.0	26.0	30.7	26.0
2021	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 established periodically with the Department of Health and Human Services serving as our cognizant agency. The University’s federally negotiated rates are summarized above over a 10-year period.

Figure 20: Facilities & Administrative Recovery Allocation FY21

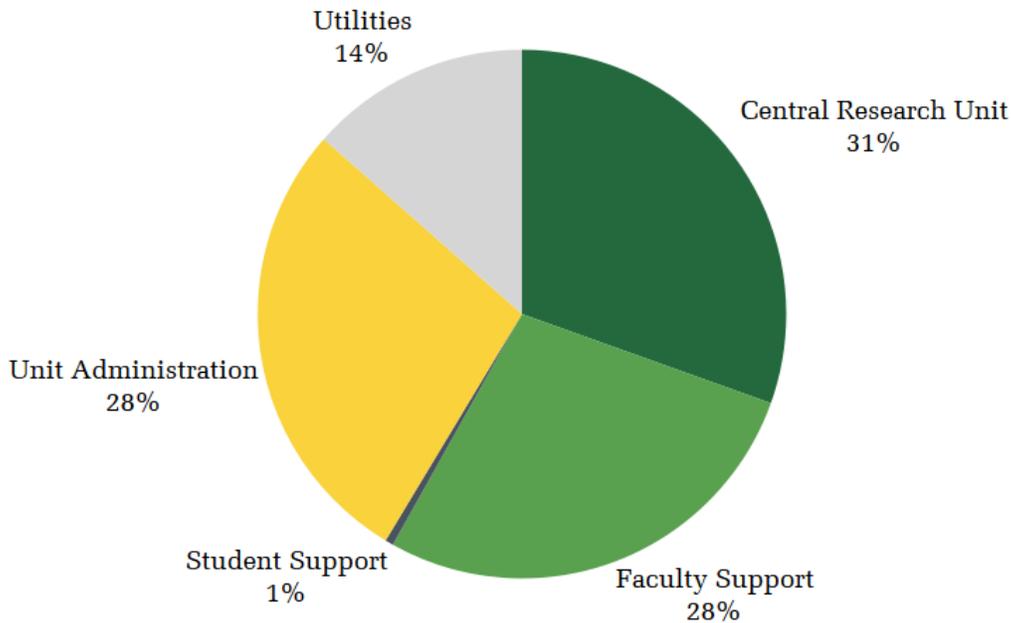


Figure 20 summarizes how facilities and administrative funds (F&A) collected in FY21 were allocated in the FY22 beginning budget process. F&A is also known as Indirect Cost Credit

(ICC) funds. These funds are provided to the institution based on federally approved rates as shown in Table 4 and are based on periodic negotiations with UO's cognizant agency – the Department of Health and Human Services. This fund is charged to and collected from sponsors as directly charged funds are billed to sponsors to recover the costs associated with supporting research that are not directly allocable to a project, such as costs associated with facilities maintenance, utilities, compliance activities, and administrative support. The funds were allocated as shown.

Appendix I: Data Sources and Methods

This section describes the sources used to create 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 appointed. 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 FY21 are included.

Awards

Award amounts are based on amounts received from sponsors, which are recorded in Banner and generated through Cognos. Award amounts used have been adjusted to reflect the actual amount received by Principal Investigator (PI).

Sponsored Project Expenditures

Sponsored project expenditures are based on expenditures in Banner, subject to some filters. Only expenditures from sponsored funds and associated with a grant ID are included. Additionally, expenditures for program codes associated with financial aid 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).