



UNIVERSITY AT ALBANY

State University of New York

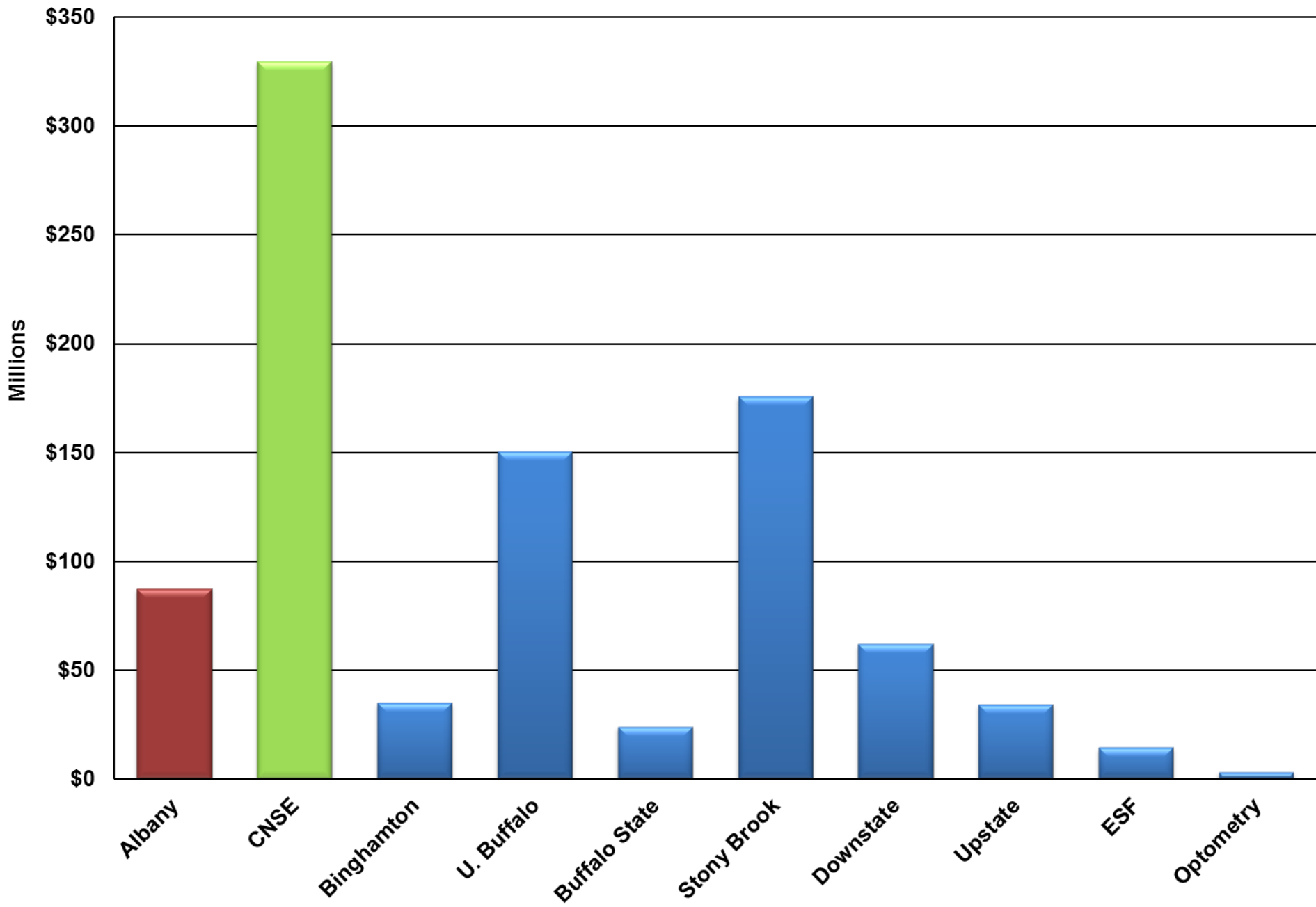
DIVISION FOR RESEARCH

***UAlbany Research
Report
FY 2013***

***Presented to:
University Council
10/11/2013, 2:00 PM***

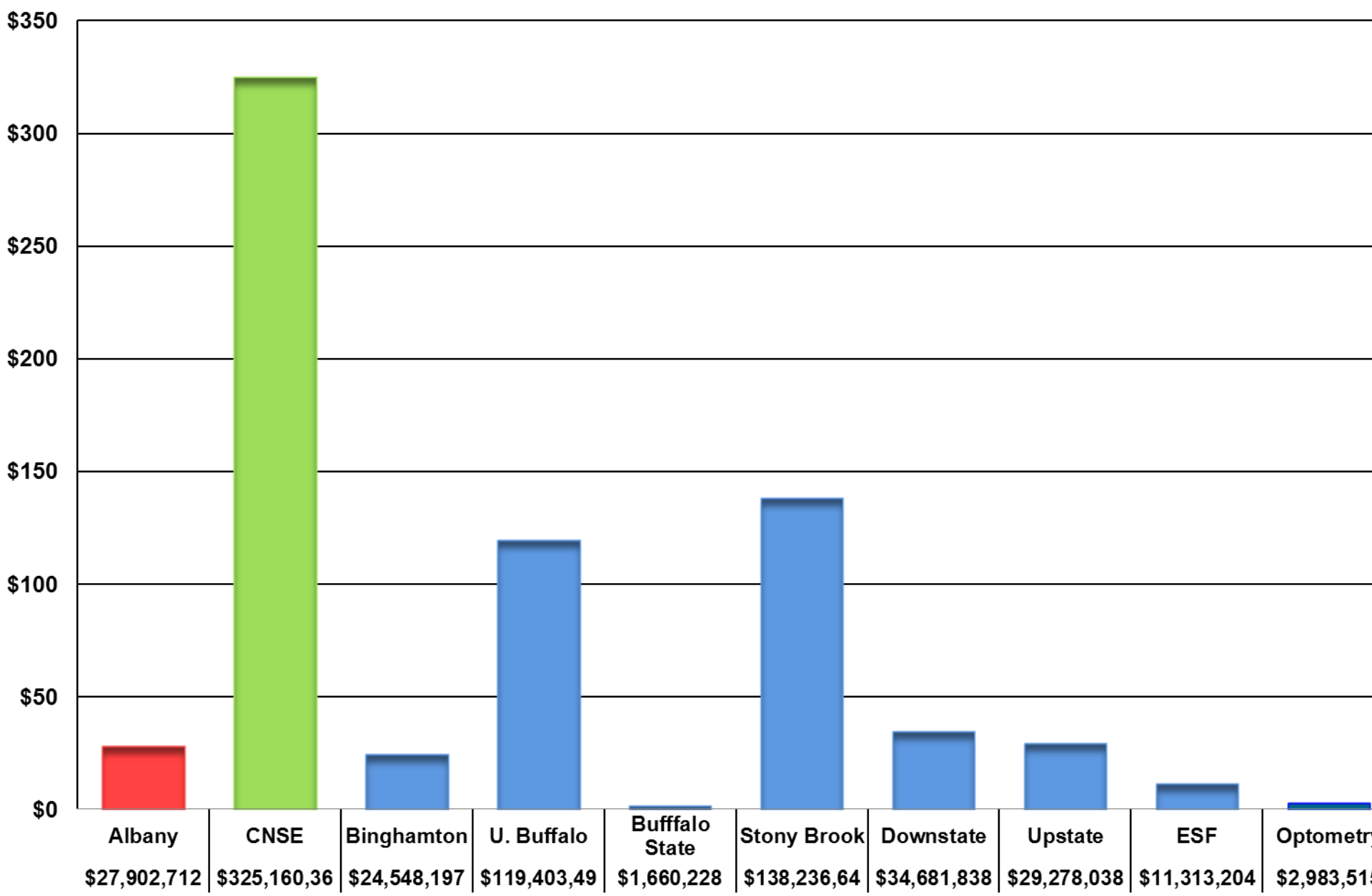
***Presented by:
James Dias
Vice President for Research***

University Centers Fiscal Year 12-13 Total Research Foundation Expenditures



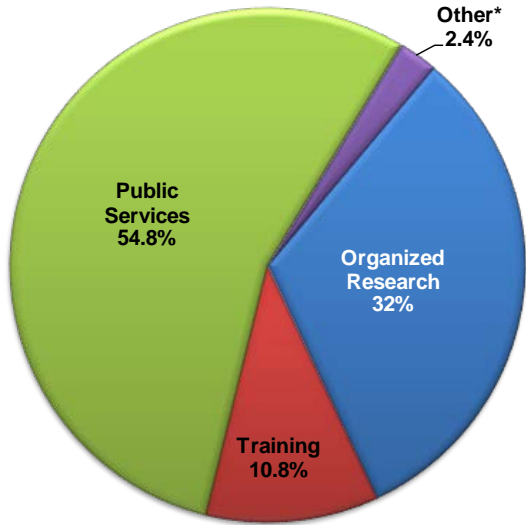
University Centers and Doctoral Degree Granting Institutions FY '13 Organized Research Expenditures

Millions



Fiscal Year 2012-13
Total Expenditures by Program Class (NACUBO)

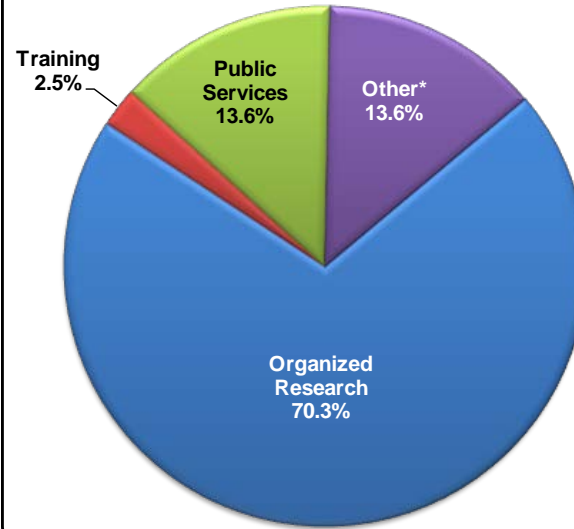
Albany



Albany F&A	Rate of Return	18.4%
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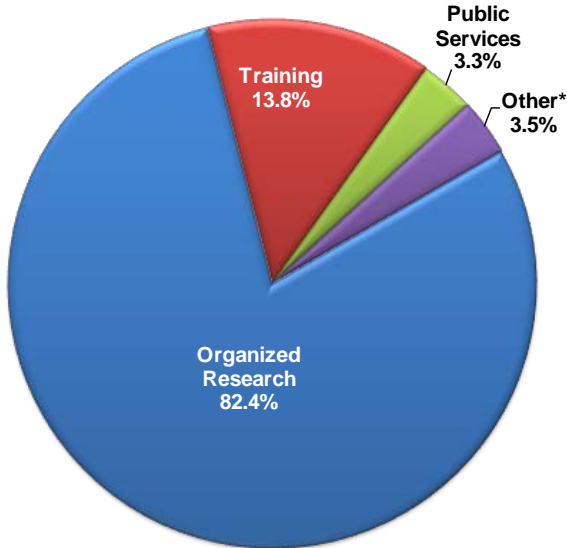
CNSE F&A	Rate of Return	3.7%
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Binghamton



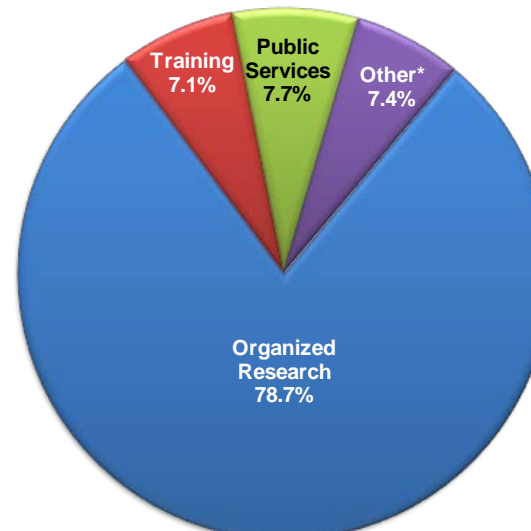
Binghamton F&A	Rate of Return	25.1%
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Buffalo



Buffalo F&A	Rate of Return	31.9%
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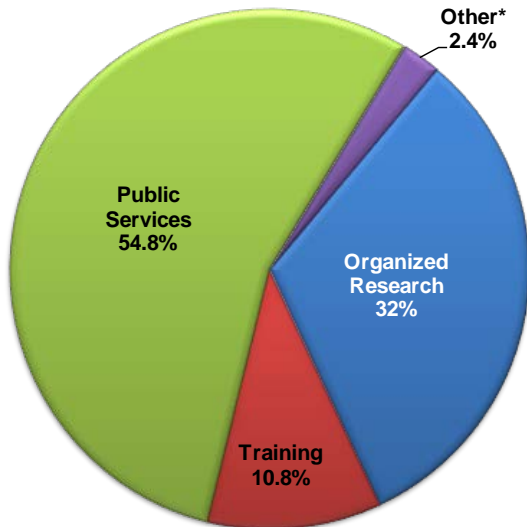
Stony Brook



Stony Brook F&A	Rate of Return	29.4%
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**Fiscal Year 2012-13
Total Expenditures by Program Class (NACUBO)**

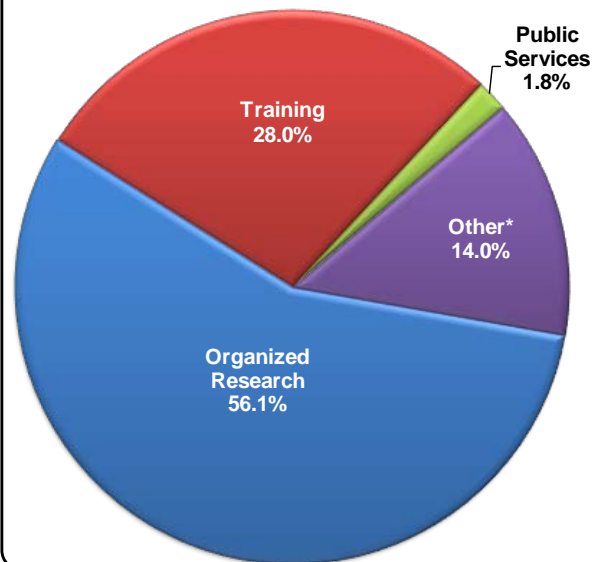
Albany



Albany F&A	
Rate of Return	18.4%

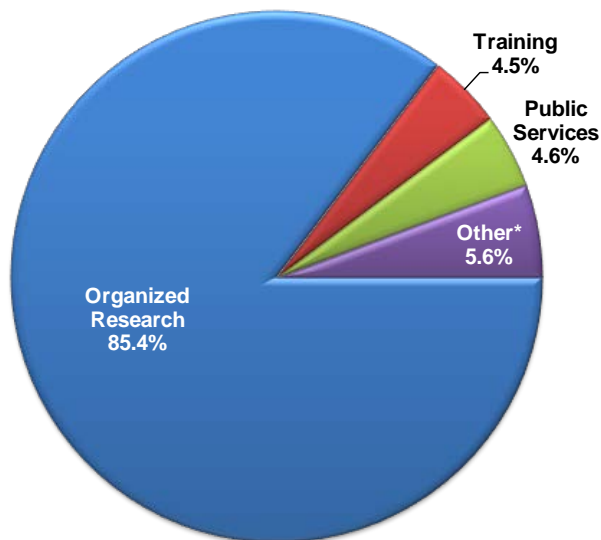
CNSE F&A	
Rate of Return	3.7%

Downstate Medical



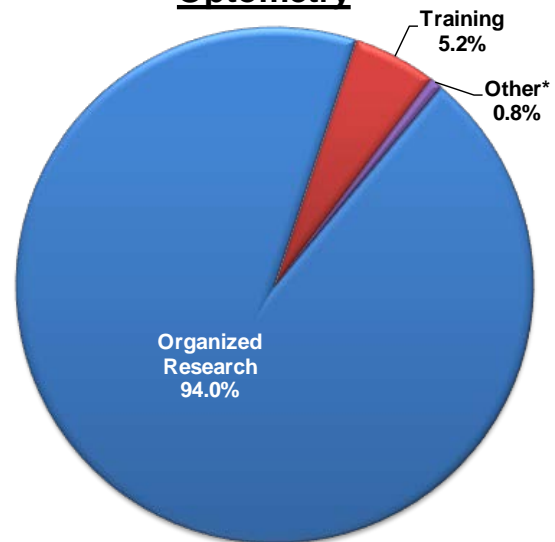
Downstate F&A	
Rate of Return	19.7%

Upstate Medical



Upstate F&A	
Rate of Return	33.2%

Optometry

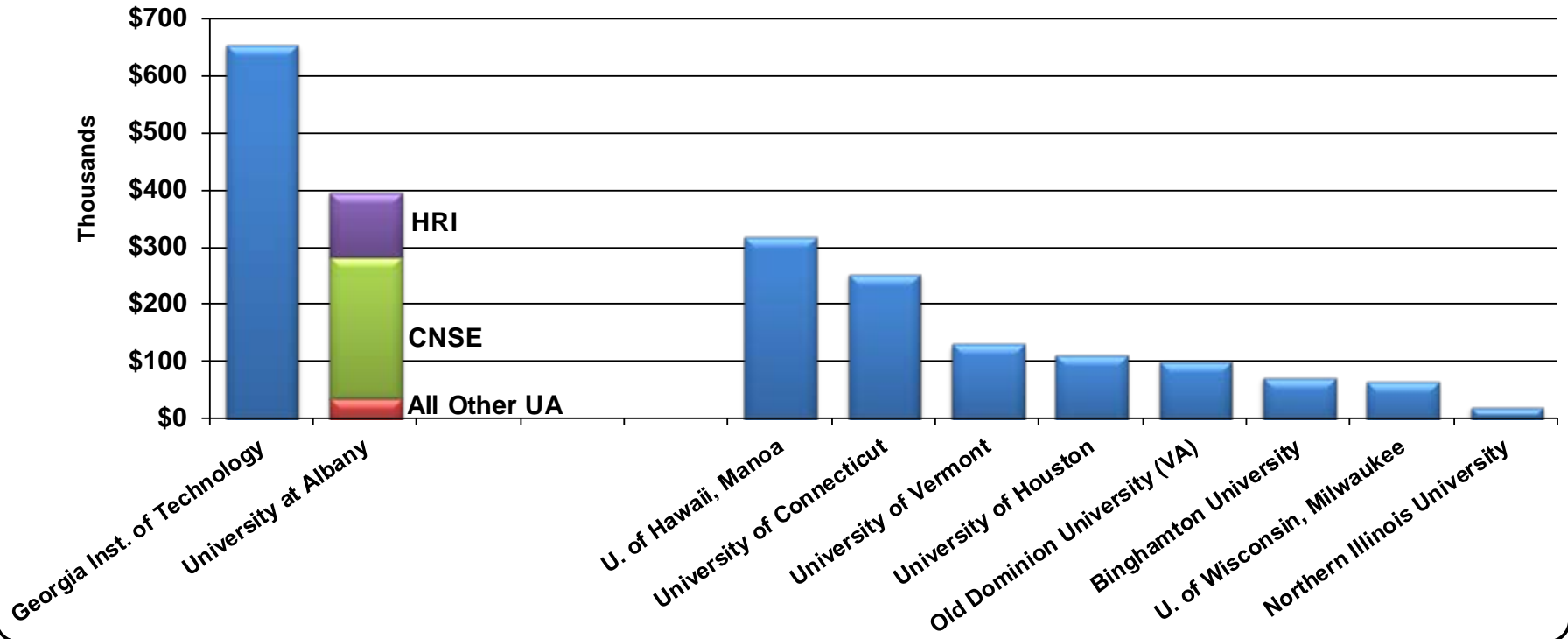


Optometry F&A	
Rate of Return	34.9%

NACUBO's Financial Accounting and Reporting Manual (FARM) defines the functional category of Organized Research as including "all expenses for activities specifically organized to produce research, whether commissioned by an agency external to the institution or separately budgeted by an organizational unit within the institution."

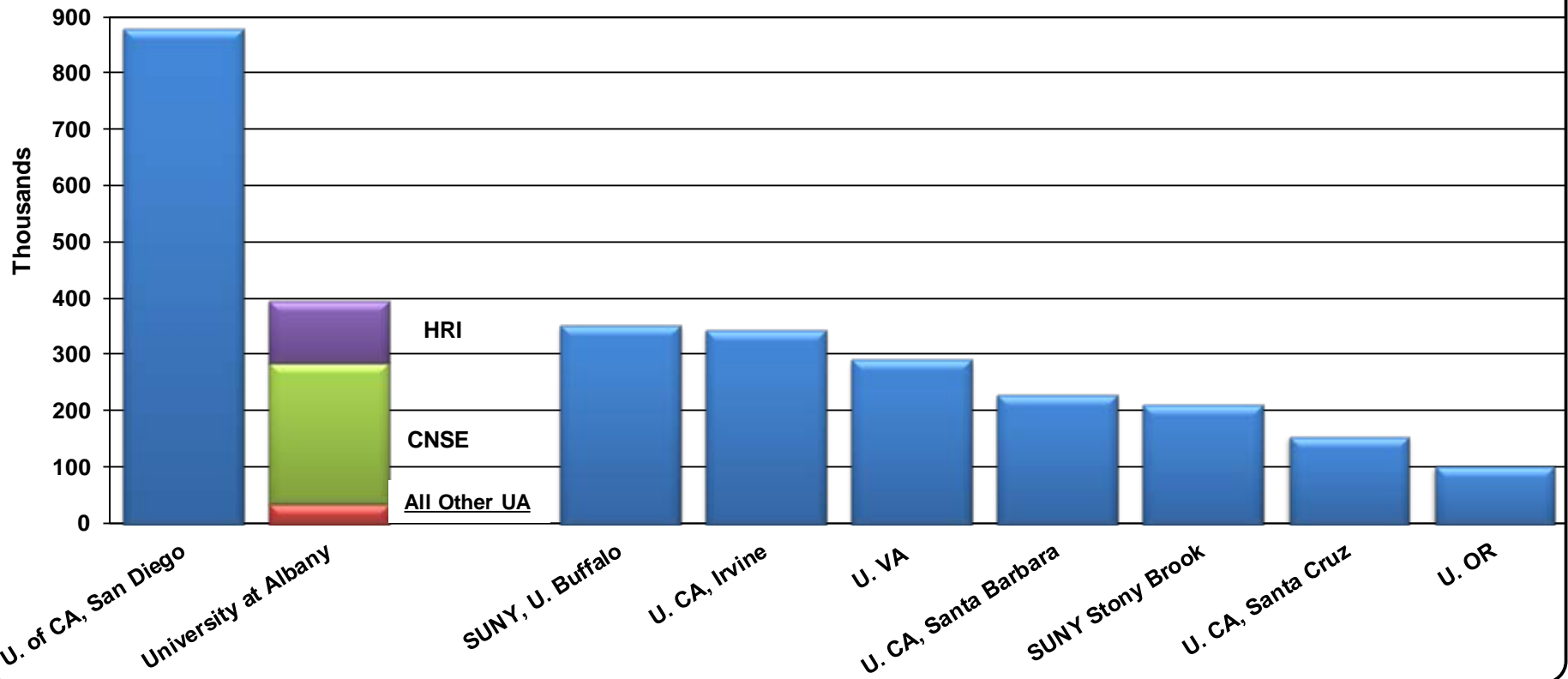
Current Peer Institution Comparison

Fiscal Year 2011 Total R&D Expenditures as Reported to the National Science Foundation



<u>Institution</u>	<u>Rank</u>	<u>Total Expenditures</u>
Georgia Inst. of Technology	26	655,475
U. of Hawaii, Manoa	70	318,316
University of Connecticut	81	253,792
University at Albany	123	\$397,403 <u>(HRI \$111,586; CNSE \$248,778; All Other UA \$37,039)</u>
University of Vermont	129	132,356
University of Houston	137	113,709
Old Dominion University (VA)	146	102,192
Binghamton University	170	72,539
U. of Wisconsin, Milwaukee	176	65,648
Northern Illinois University	270	21,748
TOTAL Respondents	910	

Aspirational Peers Comparison
Fiscal Year 2011 R&D Expenditures as Reported to the National Science Foundation



<u>Institution</u>	<u>Rank</u>	<u>Total Expenditures</u>
U. of CA, San Diego	6	\$943,219
University at Albany	59	\$359,364
University of Buffalo	61	\$349,670
U. of CA, Irvine	65	\$327,594
University of Virginia	75	\$276,308
U. of CA, Santa Barbara	90	\$225,730
Stony Brook University	97	\$204,728
U. of CA, Santa Cruz	121	\$143,919
University of Oregon	147	\$94,107

(HRI \$111,586; CNSE \$248,778; All Other UA \$37,039)

TOTAL Respondents 910

Data Source: NSF Survey of R&D Expenditures at Universities and Colleges, FY 2011 (latest data available)

Fiscal Year 2014

Campus Assessment Model

Total Assessment Percentage - 3.0%

Assessment Base = weighted average of Total Revenue

FY 2011 - 20.0% - \$109,096,500

FY 2012 - 30.0% - \$106,885,405

FY 2013 - 50.0% - \$87,376,576

Campus Assessment Distribution

Research Foundation Central Office Operations	2.70%
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SUNY System Administration	0.30%
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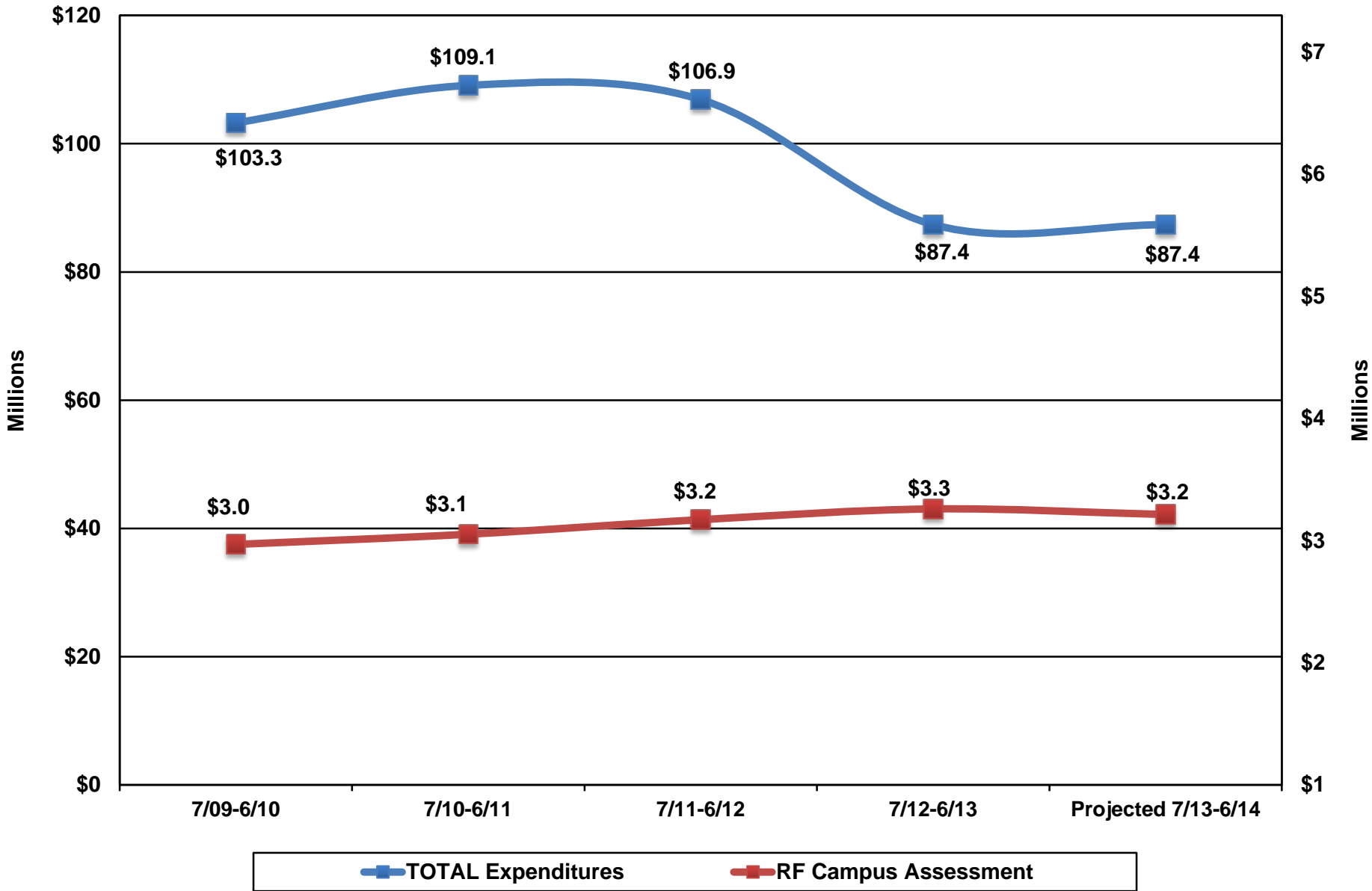
Expenditures/RF Assessment Research Foundation of SUNY

<u>Fiscal Year</u>	<u>Direct Expenditures</u>	<u>F&A Expenditures</u>	<u>TOTAL Expenditures</u>	<u>RF Campus Assessment</u>
7/08-6/09	\$251,908,831	\$18,536,089	\$270,444,920	\$6,181,463
7/09-6/10	\$86,937,278	\$16,315,196	\$103,252,474	\$2,968,531
7/10-6/11	\$92,198,858	\$16,897,642	\$109,096,500	\$3,052,199
7/11-6/12	\$90,923,356	\$15,962,059	\$106,885,414	\$3,171,223
7/12-6/13	\$73,773,508	\$13,603,069	\$87,376,576	\$3,259,302

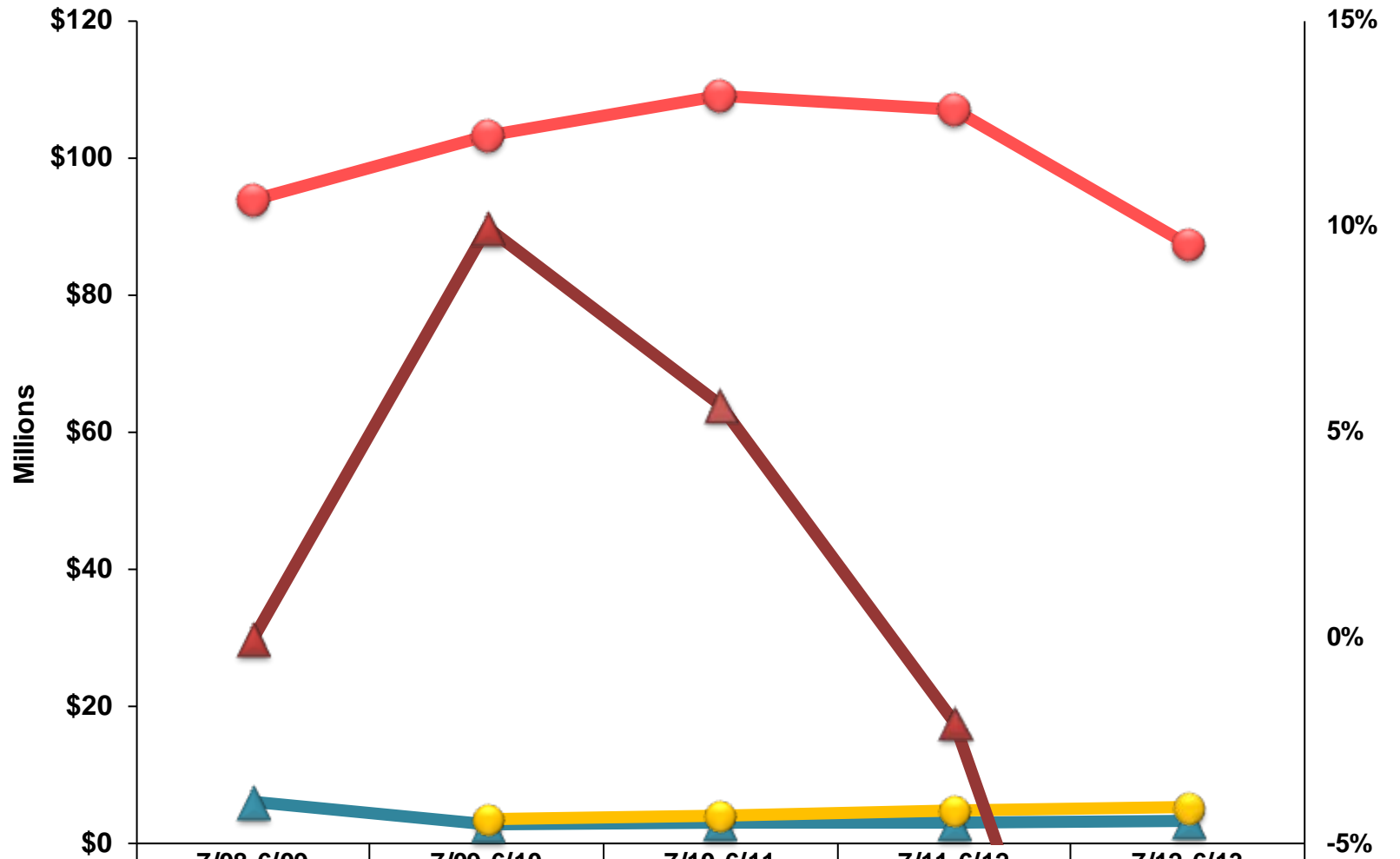
CNSE data separate from UAlbany beginning 2009-10

Total Expenditures with RF Assessment

RF



Total UAlbany Expenditures without CNSE



Total Expenditures	\$93,900,788	\$103,252,474	\$109,096,500	\$106,885,414	\$87,376,576
UA Assessment	\$6,181,463	\$2,968,531	\$3,052,199	\$3,171,223	\$3,259,302
CNSE Assessment		\$3,669,986	\$4,190,595	\$4,980,173	\$5,351,158
Annual Growth	0%	10%	6%	-2%	-18%

UA Assessment for 2008-09 includes CNSE expenditures

Research Foundation Expenditures

Fiscal Year 2012-13

	Direct Volume	Change	Indirect Volume	Change	Total Volume	Change
Albany	\$73,773,502.00	-19.0%	\$13,603,067.00	-15.0%	\$87,376,569.00	-18.0%
CNSE	\$317,869,195.00	49.0%	\$11,616,370.00	8.0%	\$329,485,565.00	47.0%
Binghamton	\$27,901,266.00	-13.0%	\$7,002,423.00	-15.0%	\$34,903,689.00	-13.0%
U. Buffalo	\$114,065,779.00	-4.0%	\$36,359,953.00	-4.0%	\$150,425,732.00	-4.0%
Stony Brook	\$135,750,254.00	-4.0%	\$39,889,389.00	-5.0%	\$175,639,643.00	-4.0%
Downstate	\$51,600,317.00	0.0%	\$10,187,804.00	-4.0%	\$61,788,121.00	-1.0%
Upstate	\$25,750,066.00	-7.0%	\$8,546,677.00	-8.0%	\$34,296,743.00	-7.0%
ESF	\$12,120,834.00	-5.0%	\$2,318,653.00	0.0%	\$14,439,487.00	-4.0%
Optometry	\$2,352,348.00	-3.0%	\$821,593.00	-15.0%	\$3,173,941.00	-6.0%

Major Reasons for 18% Decrease in Expenditures in FY 2013

Loss of Funding/Major Projects in Three Areas:

- CAS - RNA Institute Building Grant received in FY 2010-11
- CID - Loss of Lebanon Project
- PDP - Loss of Funding in 2011-12 resulting in lower expenditures in 2012-13

CAS	TOTAL Awards	TOTAL Expenditures
2010-11	\$18,672,390	\$13,643,039
2011-12	\$15,207,674	\$20,296,014
2012-13	\$13,973,942	\$12,544,433

CID	TOTAL Awards	TOTAL Expenditures
2010-11	\$20,592,883	\$21,018,529
2011-12	\$13,895,762	\$13,986,461
2012-13	\$11,131,120	\$7,373,210

PDP	TOTAL Awards	TOTAL Expenditures
2010-11	\$33,875,785	\$32,920,229
2011-12	\$30,444,423	\$30,323,143
2012-13	\$32,327,535	\$27,722,486

1st Quarter Expenditure Report - TOTAL Expenditures

	Last FY	Current FY	Change
	<u>2012-13</u> Jul. '12 - Sep '12	<u>2013-14</u> Jul. '13 - Sep '13	
Albany	\$23,384,253	\$23,168,616	-1.0%
CNSE	\$61,526,934	\$124,973,401	103.0%
Binghamton	\$9,639,723	\$8,681,371	-10.0%
U. Buffalo	\$39,262,995	\$41,361,427	5.0%
Buffalo State	\$6,067,779	\$5,905,858	-3.0%
Stony Brook	\$51,281,940	\$42,207,208	-18.0%
Downstate	\$15,265,054	\$14,273,750	-6.0%
Upstate	\$7,888,630	\$8,100,952	3.0%
ESF	\$3,858,166	\$4,297,963	11.0%
Optometry	\$706,999	\$666,817	-6.0%

Calculating Method for Return to Units

The total Return to Units for the upcoming fiscal year are calculated from the Projected Indirect Expenditures for that year. From the Projected Indirect Expenditures, the RF Central Assessment for that fiscal year are deducted. The remaining funds are then allocated to the campus, as the Annual ICR Allocation for the UAlbany Campus. 10% of the ICR Allocation to the Campus is the amount returned to units.

The ICR Allocation for each academic unit is calculated by dividing its indirect expenditures minus the RF assessment from the previous fiscal year by the Total Indirect Expenditures from the same year. The resulting percentage is multiplied by the Total UAlbany ICR Unit Allocations to determine the allocation amount.

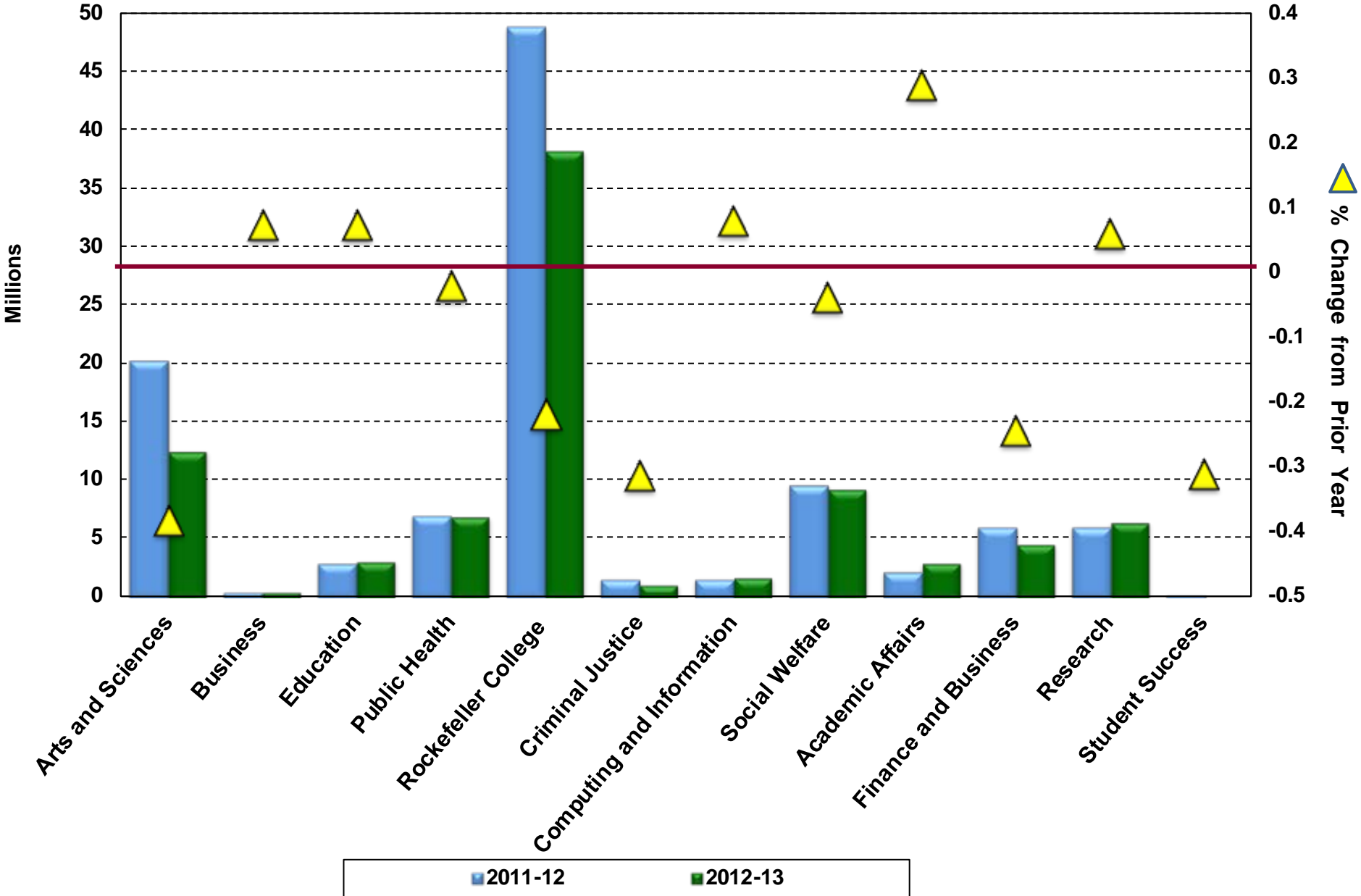
The calculated allocation amount is then split 80% to the Unit and 20% to the Dean.

% F&A Return to Schools/Colleges

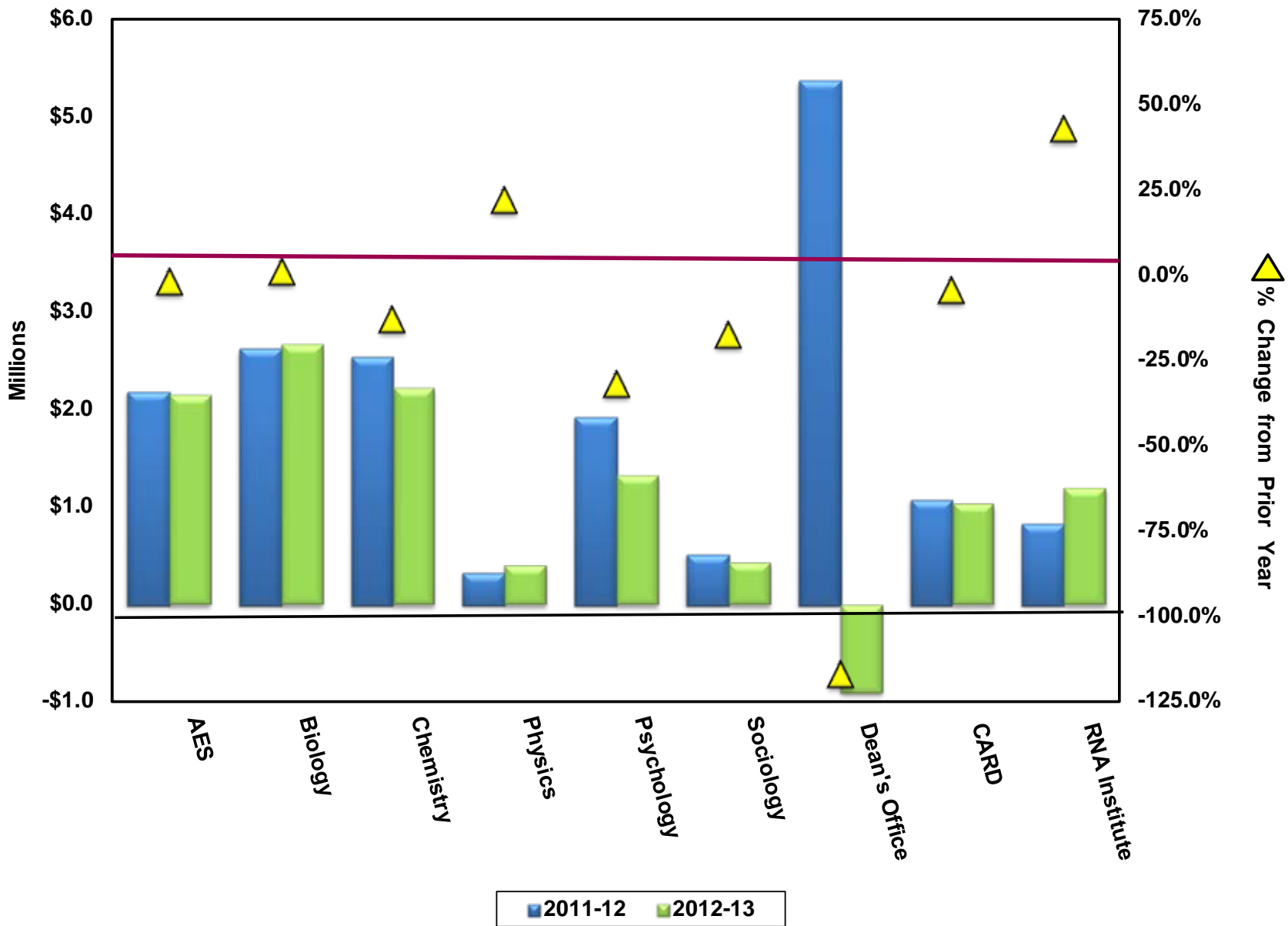
	<u>2012-13 TOTAL ICR & 2011-12 VPR Support</u>	<u>% of TOTAL ICR & VPR Support of Adjusted F&A</u>
COLLEGE OF ARTS AND SCIENCES	\$722,954	22.61%
COLLEGE OF COMPUTING AND INFORMATION	\$56,099	15.82%
ROCKEFELLER COLLEGE	\$341,472	10.37%
CRIMINAL JUSTICE	\$38,274	10.24%
SCHOOL OF BUSINESS	\$10,277	18.62%
SCHOOL OF EDUCATION	\$27,253	11.30%
SCHOOL OF PUBLIC HEALTH	\$162,538	16.88%
SCHOOL OF SOCIAL WELFARE	\$155,953	30.52%
PROVOST & ACADEMIC AFFAIRS	\$14,896	10.72%
FINANCE AND BUSINESS	\$169	9.51%
STUDENT SUCCESS	\$5,792	30.05%
DIVISION FOR RESEARCH	\$752,285	54.79%

Percent Change in Total Expenditures by School/College

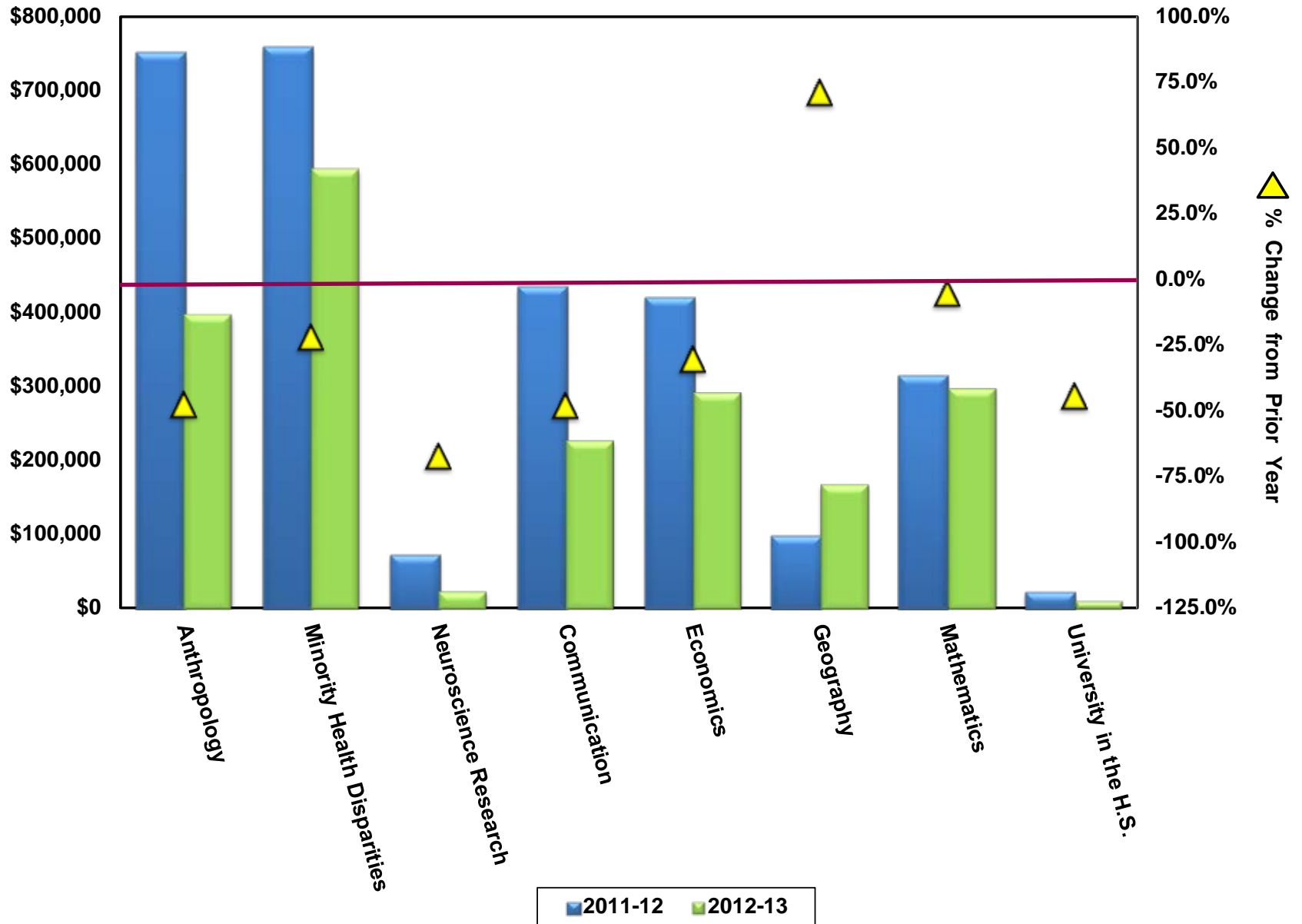
Total Expenditures - Fiscal Year Comparison



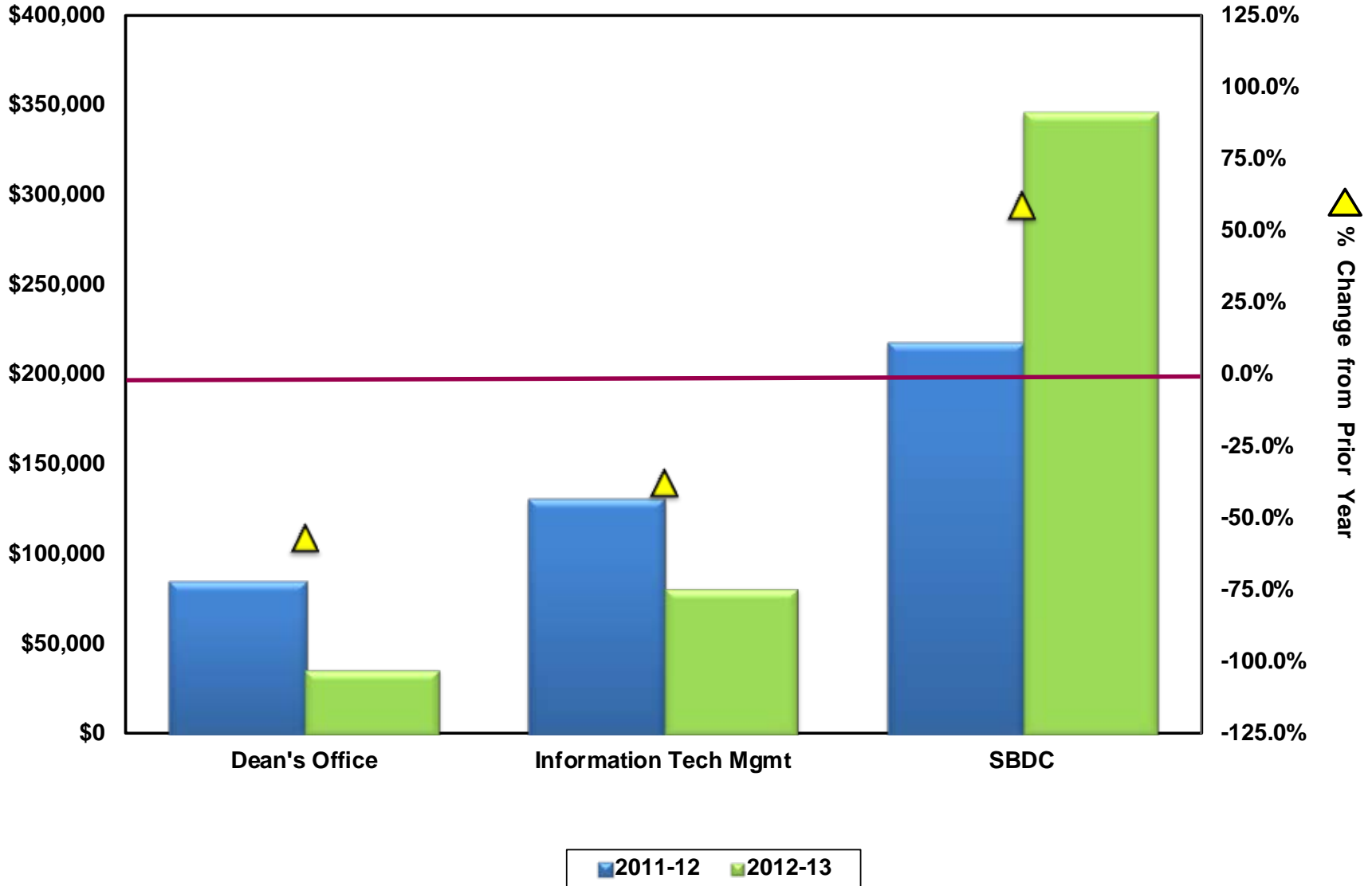
College of Arts and Sciences Total Expenditures - Fiscal Year Comparison



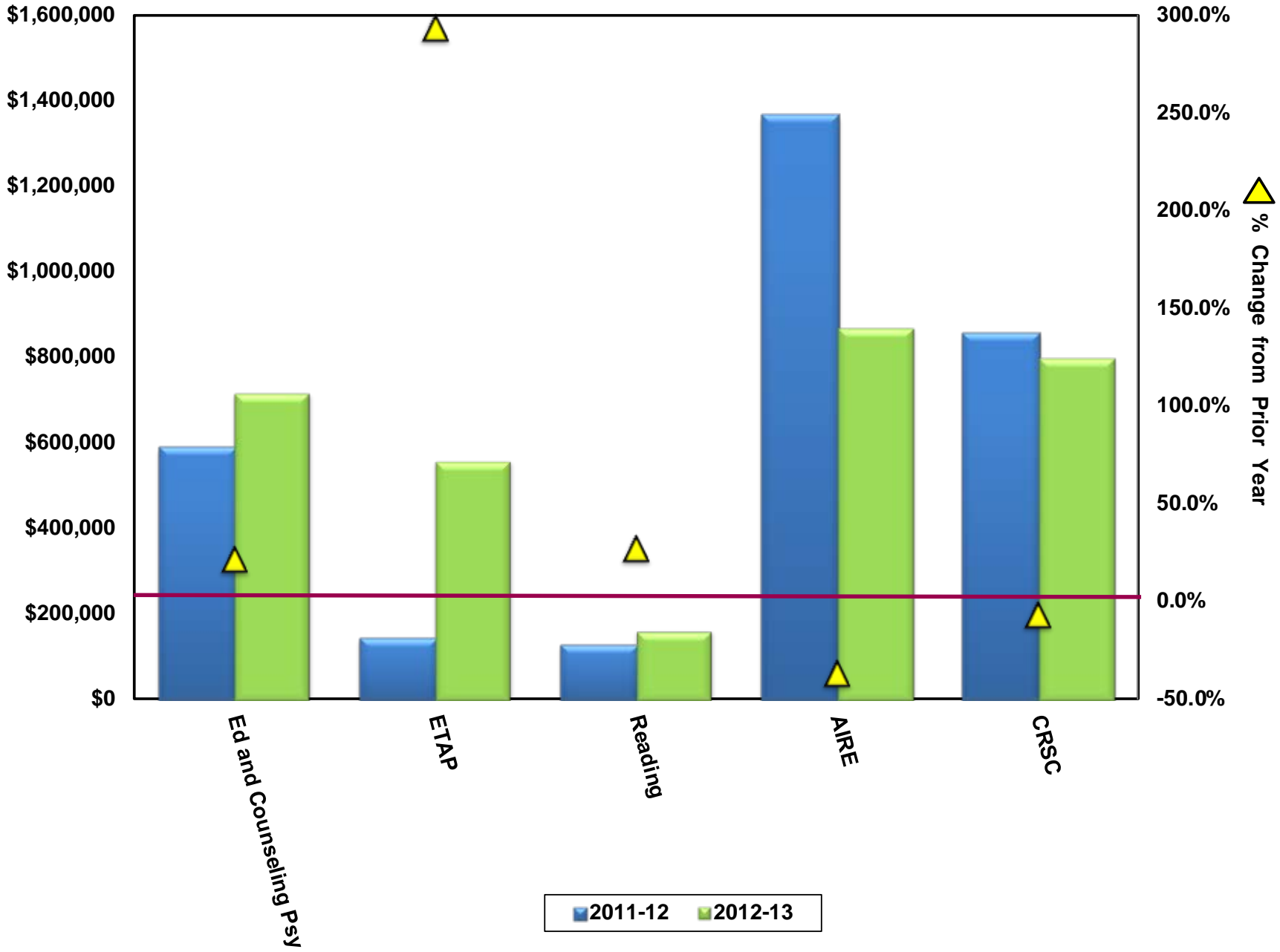
College of Arts and Sciences con't



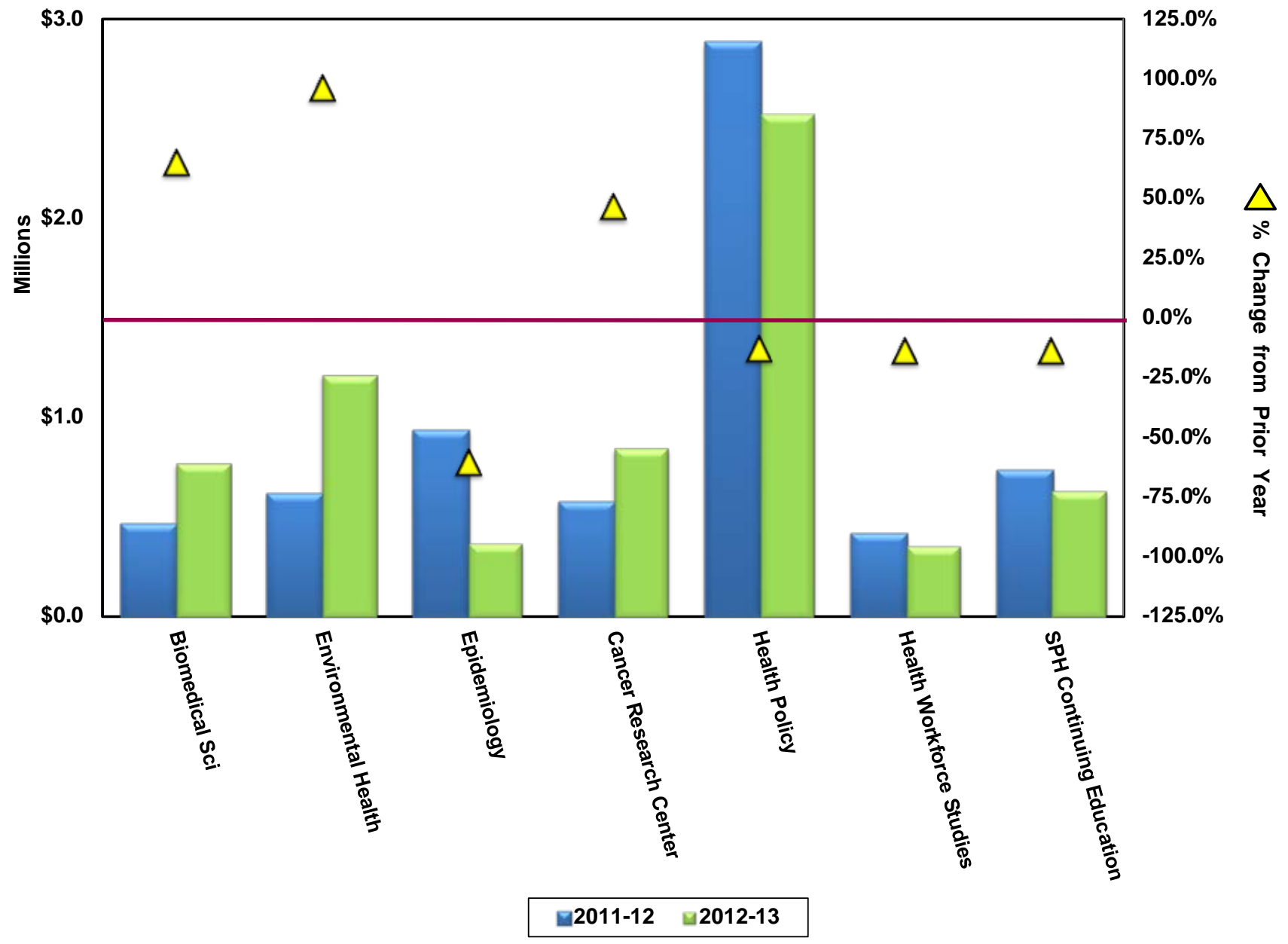
School of Business Total Expenditures - Fiscal Year Comparison



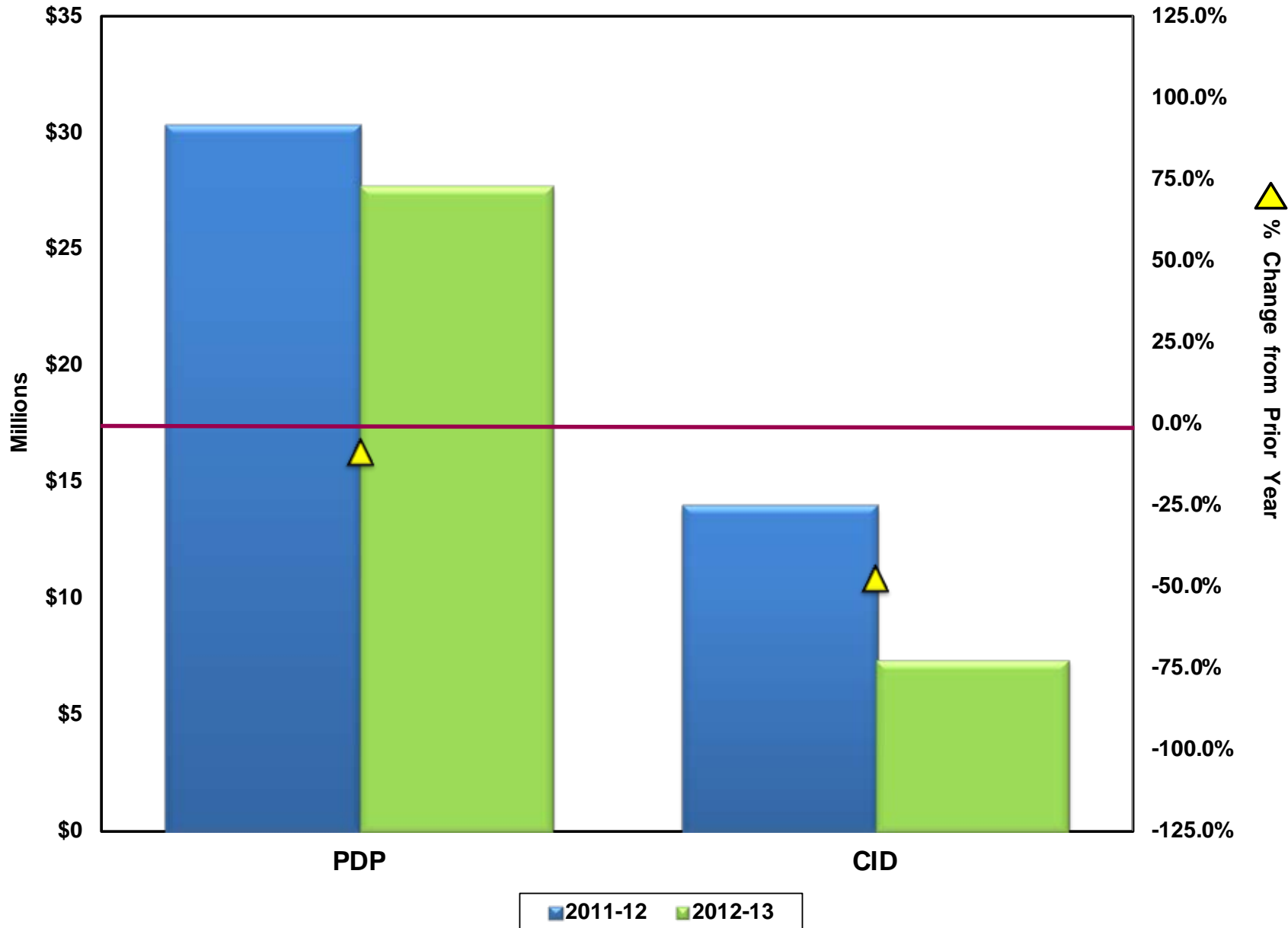
School of Education Total Expenditures - Fiscal Year Comparison



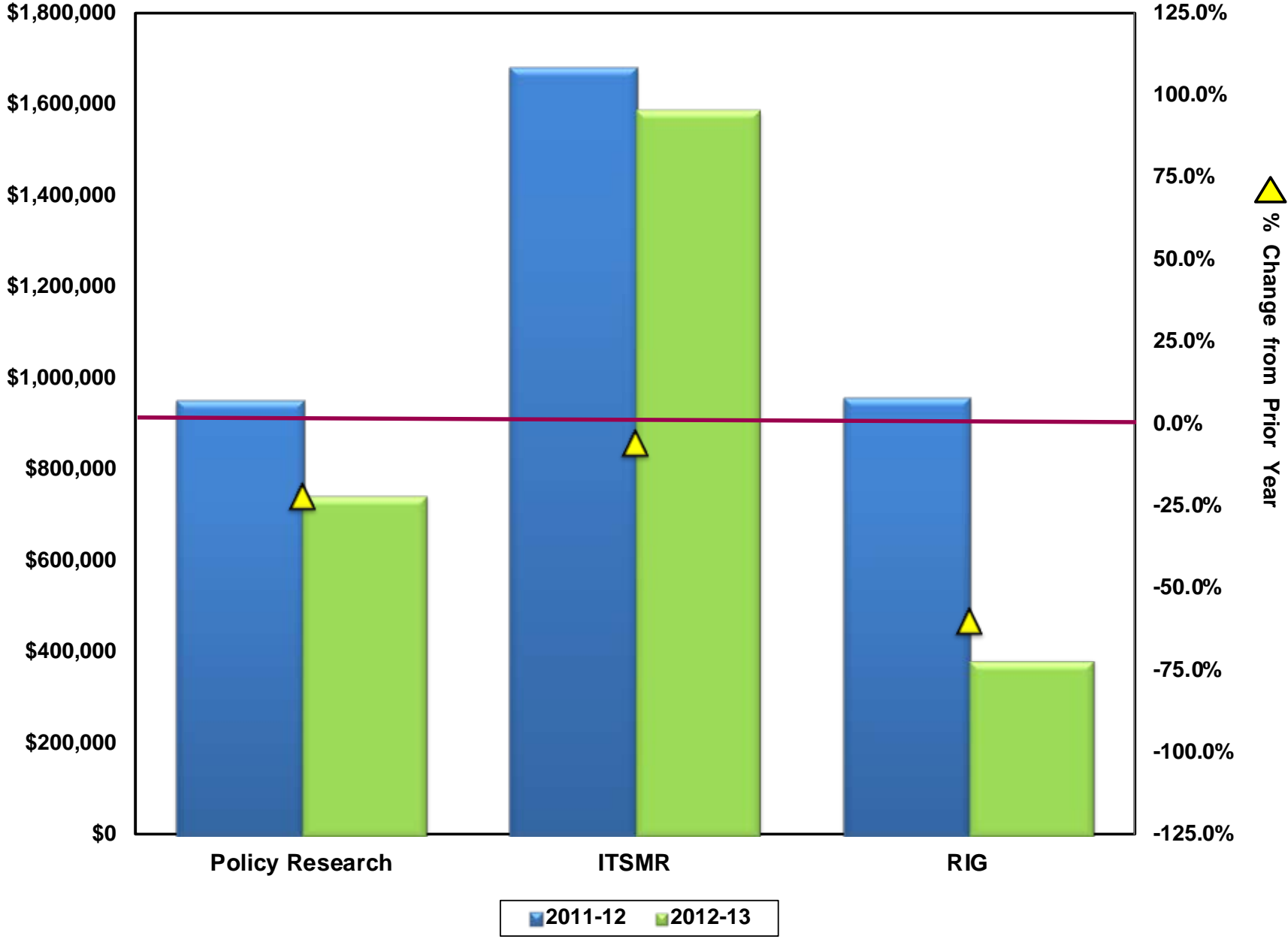
School of Public Health Total Expenditures - Fiscal Year Comparison



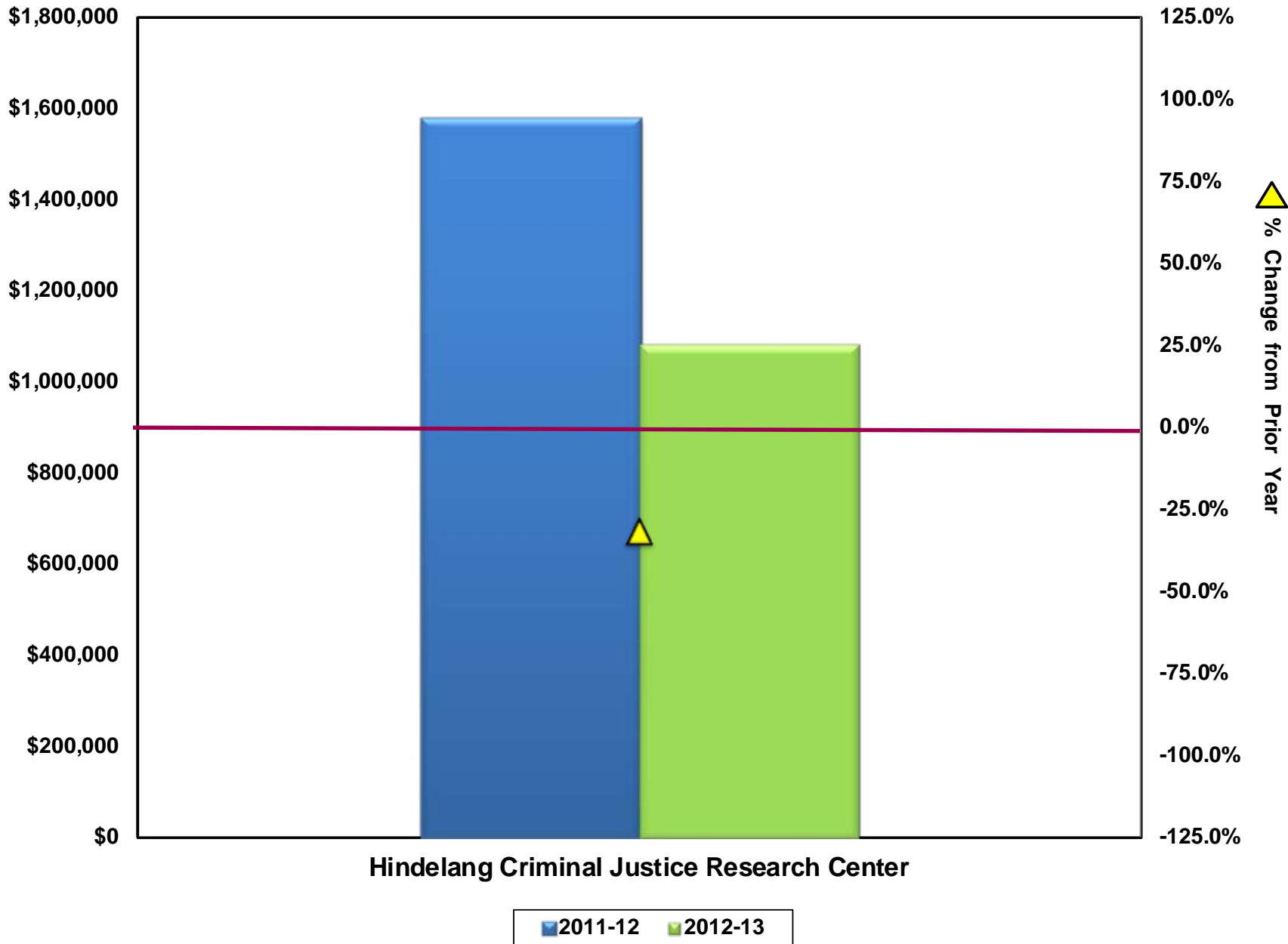
Rockefeller College Total Expenditures - Fiscal Year Comparison



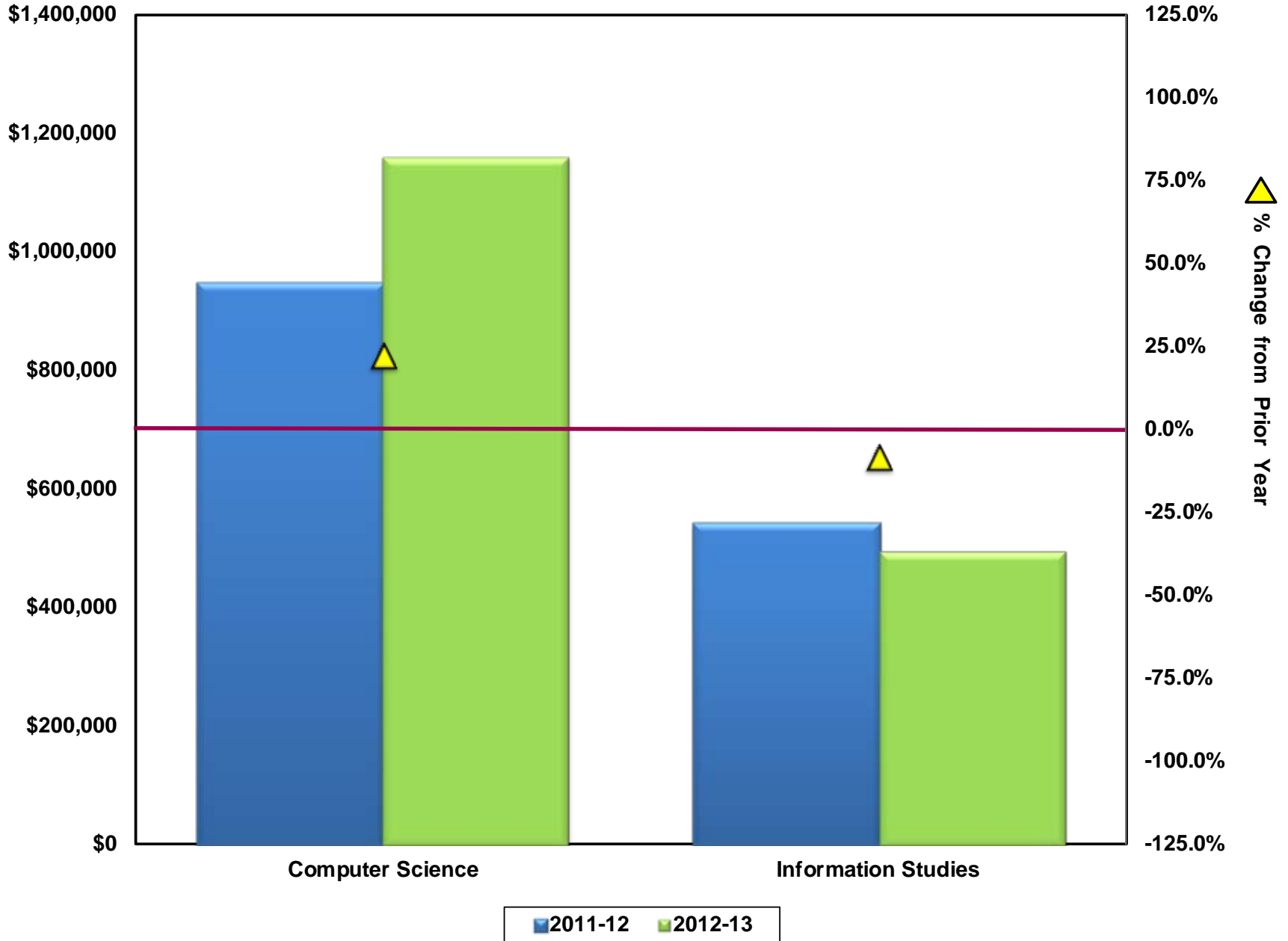
Rockefeller College con't.
Total Expenditures - Fiscal Year Comparison



Criminal Justice Total Expenditures - Fiscal Year Comparison

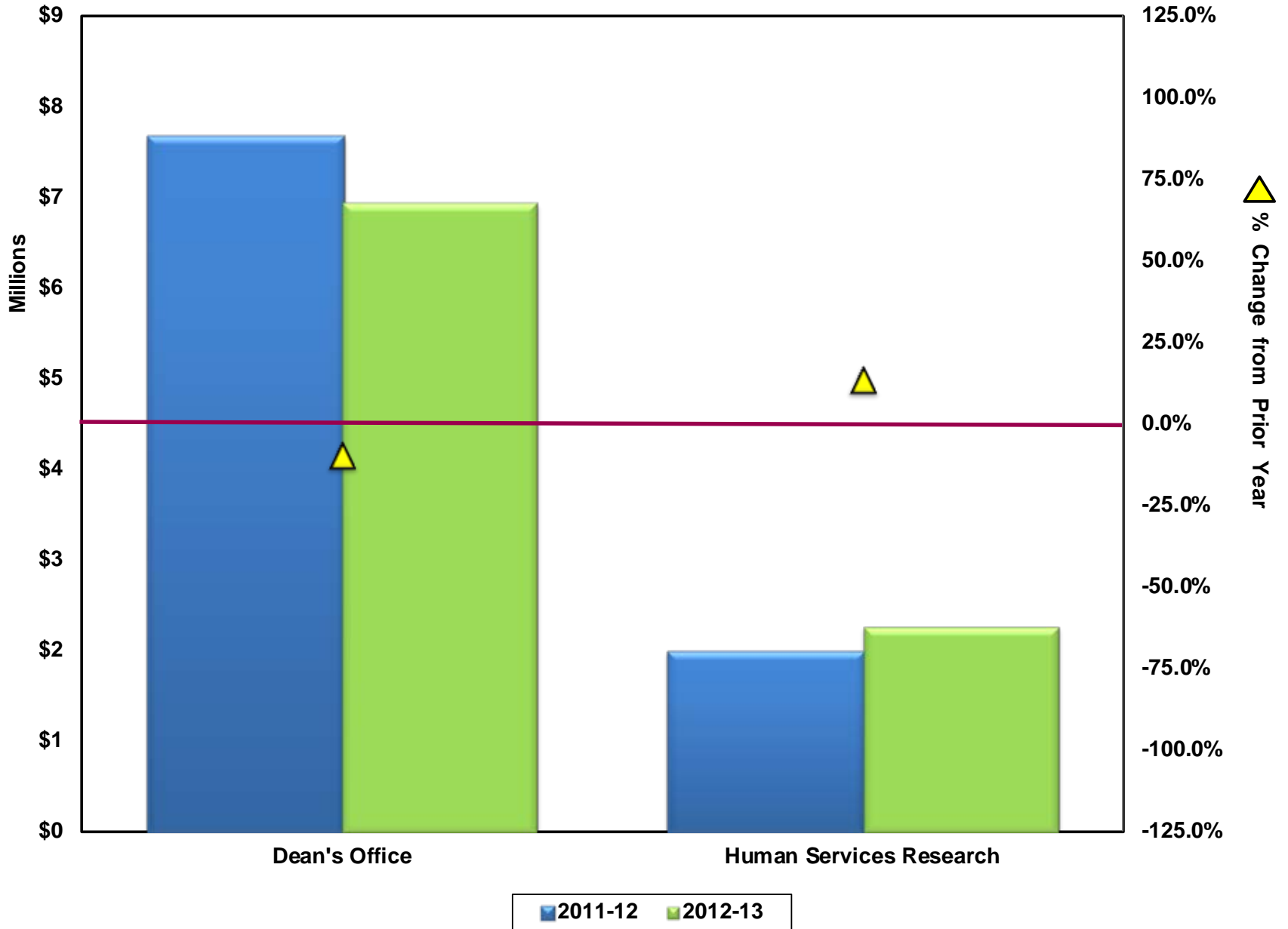


Computing and Information Total Expenditures - Fiscal Year Comparison

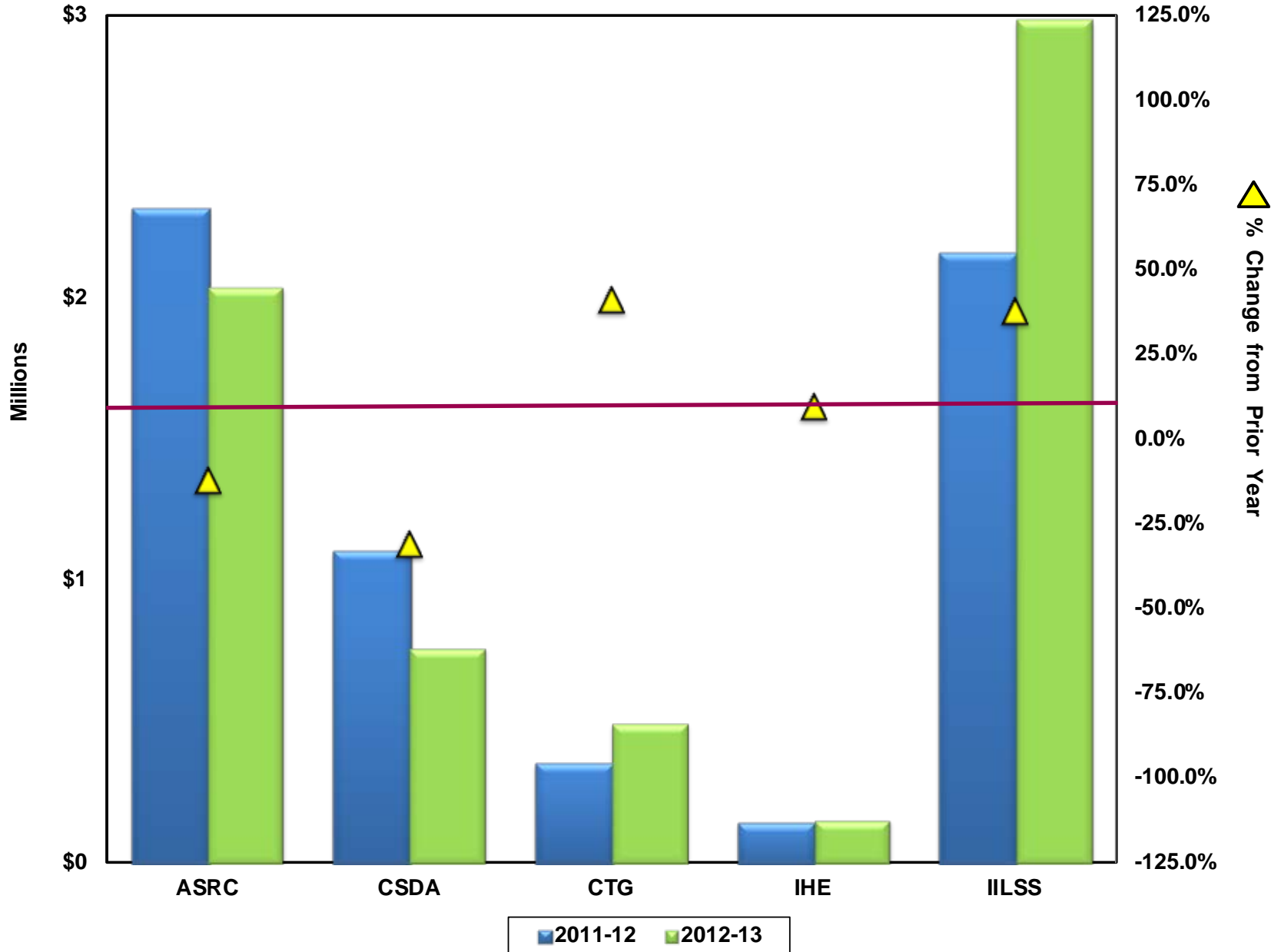


Social Welfare

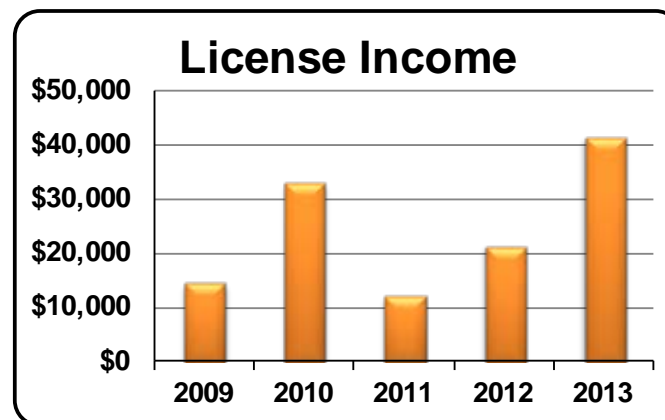
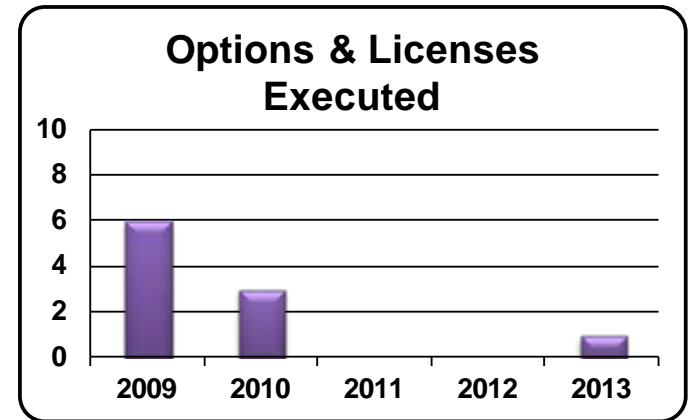
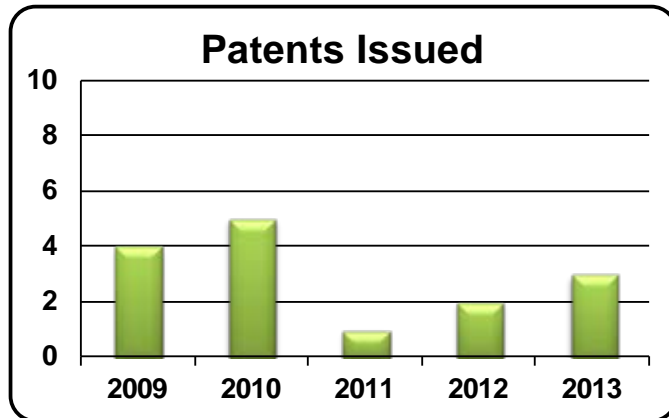
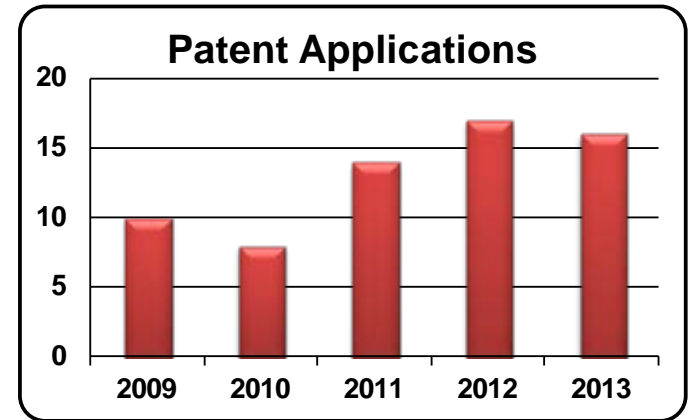
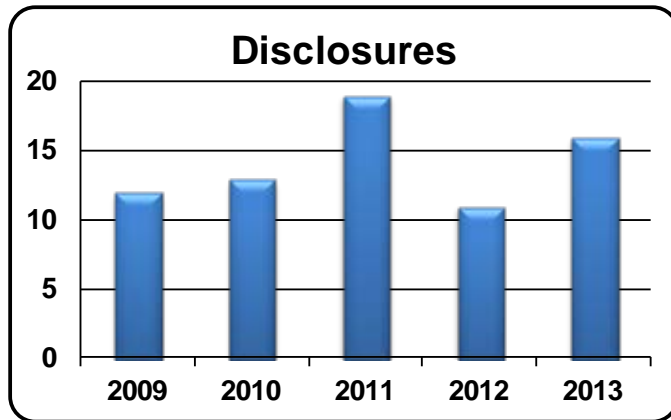
Total Expenditures - Fiscal Year Comparison



University-Wide Centers Reporting to the VP for Research Total Expenditures - Fiscal Year Comparison

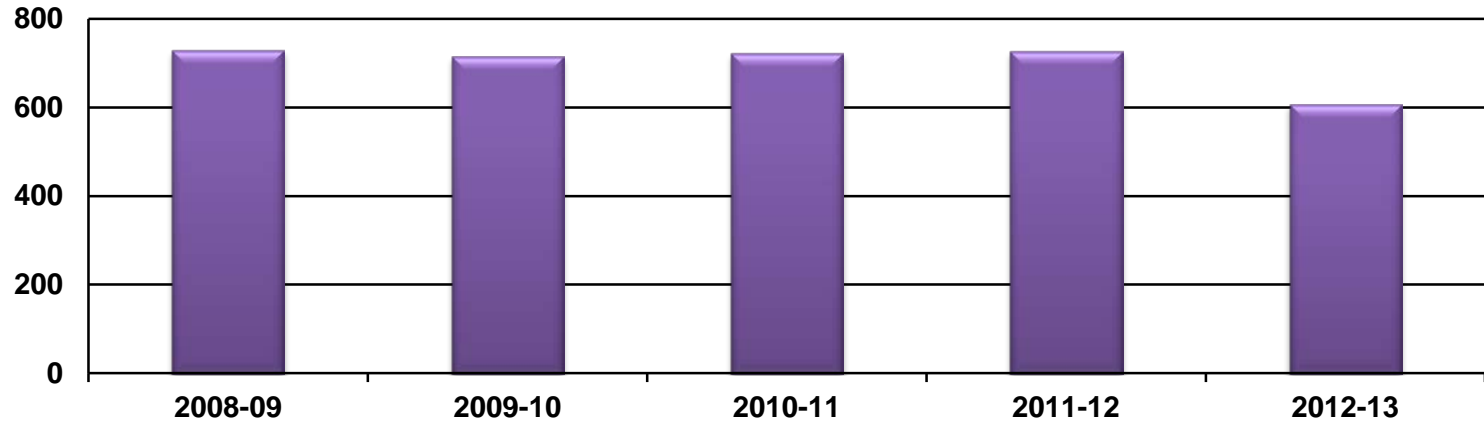


Innovation Development and Commercialization

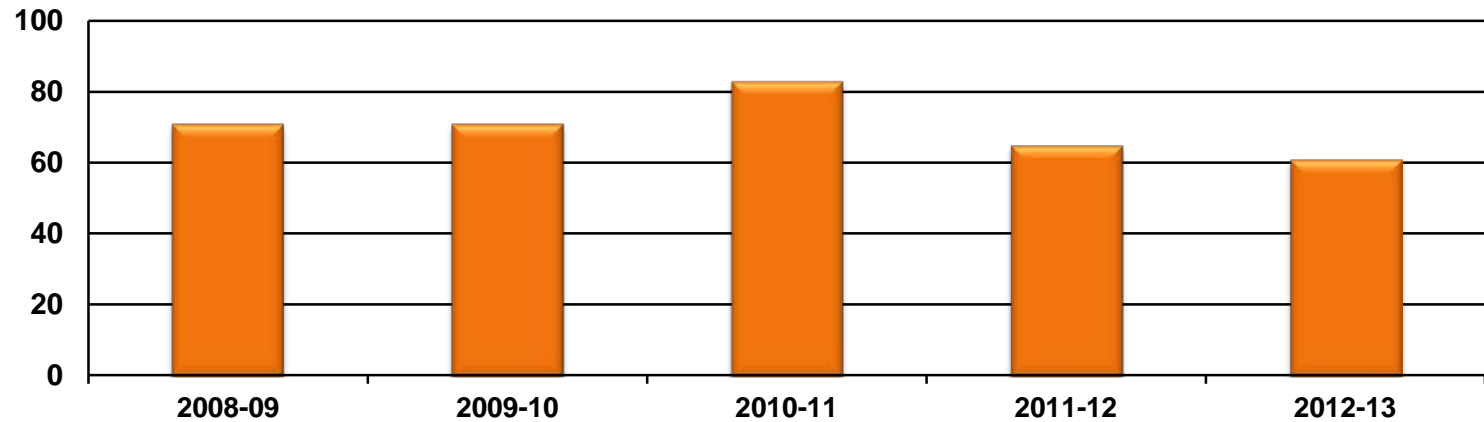


Research Compliance

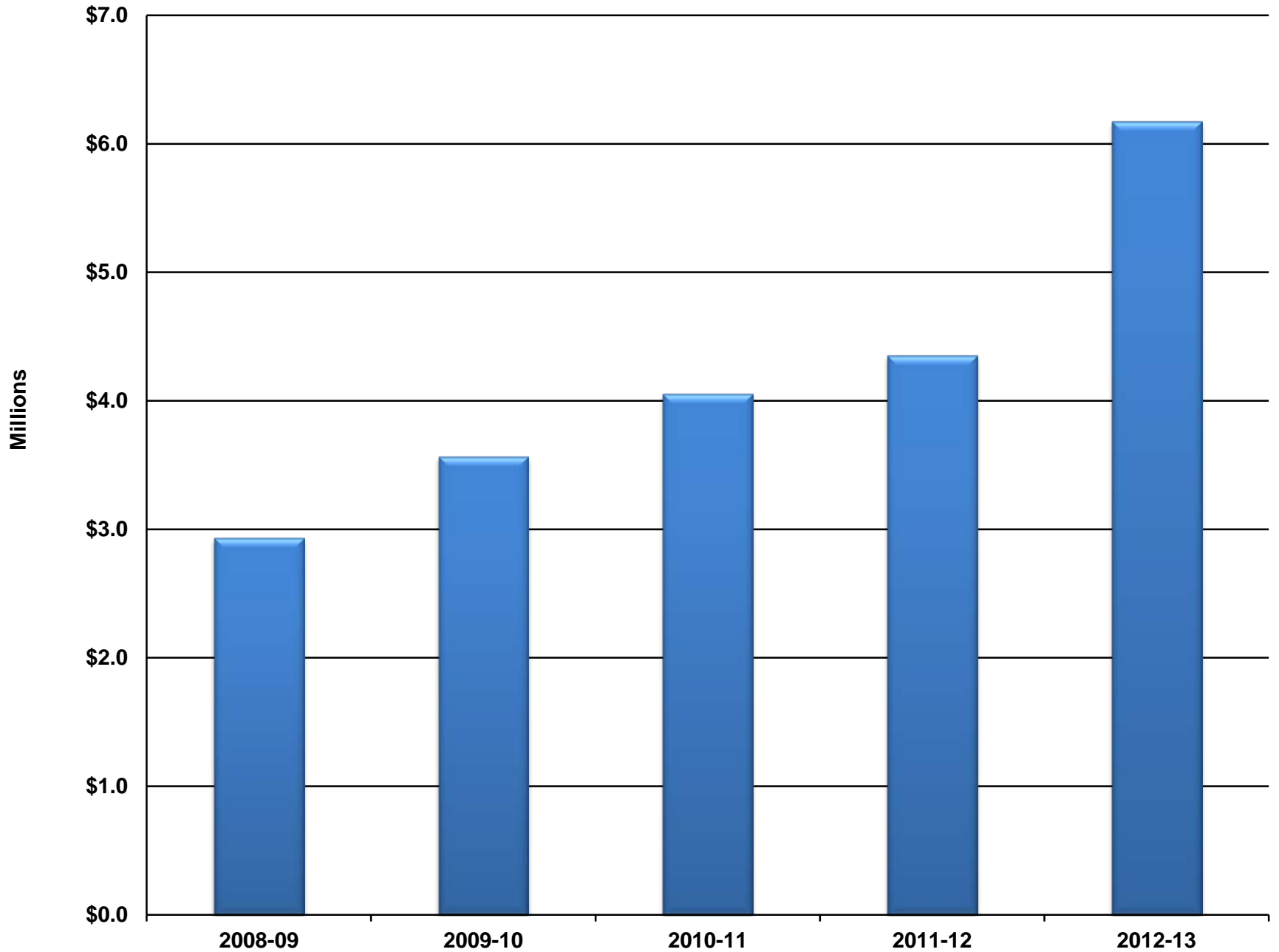
Human Subjects Protocols



Animal Subjects Protocols



Total MOU's



Excellence in Research and Creative Activities Award

- 2012-13 nominations have decreased from prior years
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Excellence in Research - Nominees

Year	# of Nominees
2006-07	8
2007-08	4
2008-09	4
2009-10	14
2010-11	4
2011-12	3
2012-13	3

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- **Benefits to Department**
 - **Opportunity for Chancellors' Awards for Excellence and National recognition for recipients of UAlbany Excellence in Research and Creative Activities Award**
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