

9. FY13 President's Report on Research and Sponsored Programs .....Christopher Brown

**Situation:** Presentation of the annual President's Report on Research and Sponsored Programs.

**Background:** In FY13, institutions reported \$1,255,807,854 in new awards. When adjusted to account for inter-institutional subawards, the FY13 total was \$1,232,123,420 or a 0.6% decrease from FY12. Number of annual proposal submissions remains steady. The mix of sponsors also remained stable, with 69% of awards from Federal agencies. Indicators of commercial activity are included for the first time in the report.

**Assessment:** UNC success in attracting sponsored programs, as evidenced by fiscal year awards made, remains strong in a dynamic fiscal environment.

**Action:** This is for Information Only.

**FY2013**  
**University of North Carolina**  
**Research and Sponsored Programs**  
**Report to the President**

April 9, 2014

Friends of the University of North Carolina,

Once again, the University can take pride in an excellent year for research and sponsored programs. This annual report provides just a brief snapshot into the activity for FY2013. While challenges like sequestration and decreased federal spending did impact us in FY2013, our institutions remained competitive for external funding.

Institutions reported a total of \$1,255,807,854 in new awards in FY2013. When adjusted to take into account subawards made between UNC institutions, the FY2013 total was \$1,232,123,420.

Some sponsored awards provide UNC institutions with a portion of the costs of conducting research. The Facilities and Administrative (F&A) receipts, applied wisely, support the kind of overall growth seen on pages four and five. Page six follows with an overview of the organizations that sponsor these activities across the University.

New to this year's report are the most recent available data on select commercial indicators and activities spawned from UNC research. The table on page seven includes data from the Association of University Technology Managers (AUTM) Annual US Licensing Survey and institutional self-reports. The link between the University's success in research and sponsored programs and our potential for commercialization and economic impact is clear. Both sets of activities must be cultivated to keep our state and nation innovating and prospering.

I invite you to review the full report and contact the Research and Graduate Education Office with any questions.

Sincerely,

Christopher Brown



Vice President for Research and  
Graduate Education



## FY13 Sponsored Program Activity<sup>1</sup>

	FY13 Total Proposal Dollars <sup>3</sup>	FY13 Total Award Dollars <sup>4</sup>	FY13 Total Inter-institutional Award Dollars	FY13 Adjusted Total Award Dollars (minus Inter-institutional awards)
<b>Doctoral Granting Institutions</b>				
<b>ECU</b>	\$ 163,066,559	\$ 35,820,264	\$ 6,001,902	\$ 29,818,362
<b>NCA&amp;TSU</b>	\$ 149,091,309	\$ 56,720,138	\$ 789,163	\$ 55,930,975
<b>NCSU</b>	\$ 839,665,236	\$ 229,277,435	\$ 5,406,066	\$ 223,871,369
<b>UNCCH</b>	\$ 3,185,861,959	\$ 777,838,266	\$ 2,918,653	\$ 774,919,613
<b>UNCC</b>	\$ 192,831,549	\$ 36,100,424	\$ 2,428,876	\$ 33,671,548
<b>UNCG</b>	\$ 150,642,451	\$ 28,836,893	\$ 1,422,298	\$ 27,414,594
<b>Masters Institutions</b>				
<b>ASU</b>	\$ 43,442,307	\$ 11,077,426	\$ 981,136	\$ 10,096,290
<b>FSU</b>	\$ 44,561,178	\$ 11,382,415	\$ 471,891	\$ 10,910,524
<b>NCCU</b>	\$ 77,327,424	\$ 18,753,773	\$ 437,660	\$ 18,316,113
<b>UNCP</b>	\$ 9,387,159	\$ 2,702,764	\$ 379,096	\$ 2,323,668
<b>UNCW</b>	\$ 44,646,422	\$ 9,250,018	\$ 1,069,993	\$ 8,180,025
<b>WCU</b>	\$ 10,186,462	\$ 3,452,970	\$ 381,044	\$ 3,071,926
<b>WSSU</b>	\$ 39,109,396	\$ 16,257,715	\$ 280,350	\$ 15,977,365
<b>Baccalaureate Institutions</b>				
<b>ECSU</b>	\$ 31,023,960	\$ 8,812,174	\$ 103,055	\$ 8,709,119
<b>UNCA</b>	\$ 4,622,740	\$ 1,713,622	\$ 613,250	\$ 1,100,372
<b>Special Focus Institutions</b>				
<b>NCSSM</b>	\$ 431,214	\$ 36,384	\$ -	\$ 36,384
<b>UNCSA</b>	\$ 293,780	\$ 6,000	\$ -	\$ 6,000
<b>System Office</b>				
<b>UNC GA</b>	\$ 16,442,963	\$ 7,769,174	\$ -	\$ 7,769,174
<b>TOTALS</b>	\$ 5,002,634,070	\$ 1,255,807,854	\$ 23,684,434	\$ 1,232,123,420

At \$1.23B, the adjusted total shows a 0.6% decrease in adjusted total from the previous fiscal year. Federal support for research nationwide dropped by 7-8% in the same year<sup>2</sup>. Adjusted award dollars exclude any subawards made between UNC institutions.

After several years of realizing a boost in total award dollars from ARRA funding, these funds totaled less than 0.5% of all dollars awarded in FY13.

Adjusted annual totals increased in FY13 for six institutions (UNC-CH, NC A&T, UNCC, FSU, WSSU, and UNCA).

<sup>1</sup> UNC fiscal year runs July 1 through June 30.

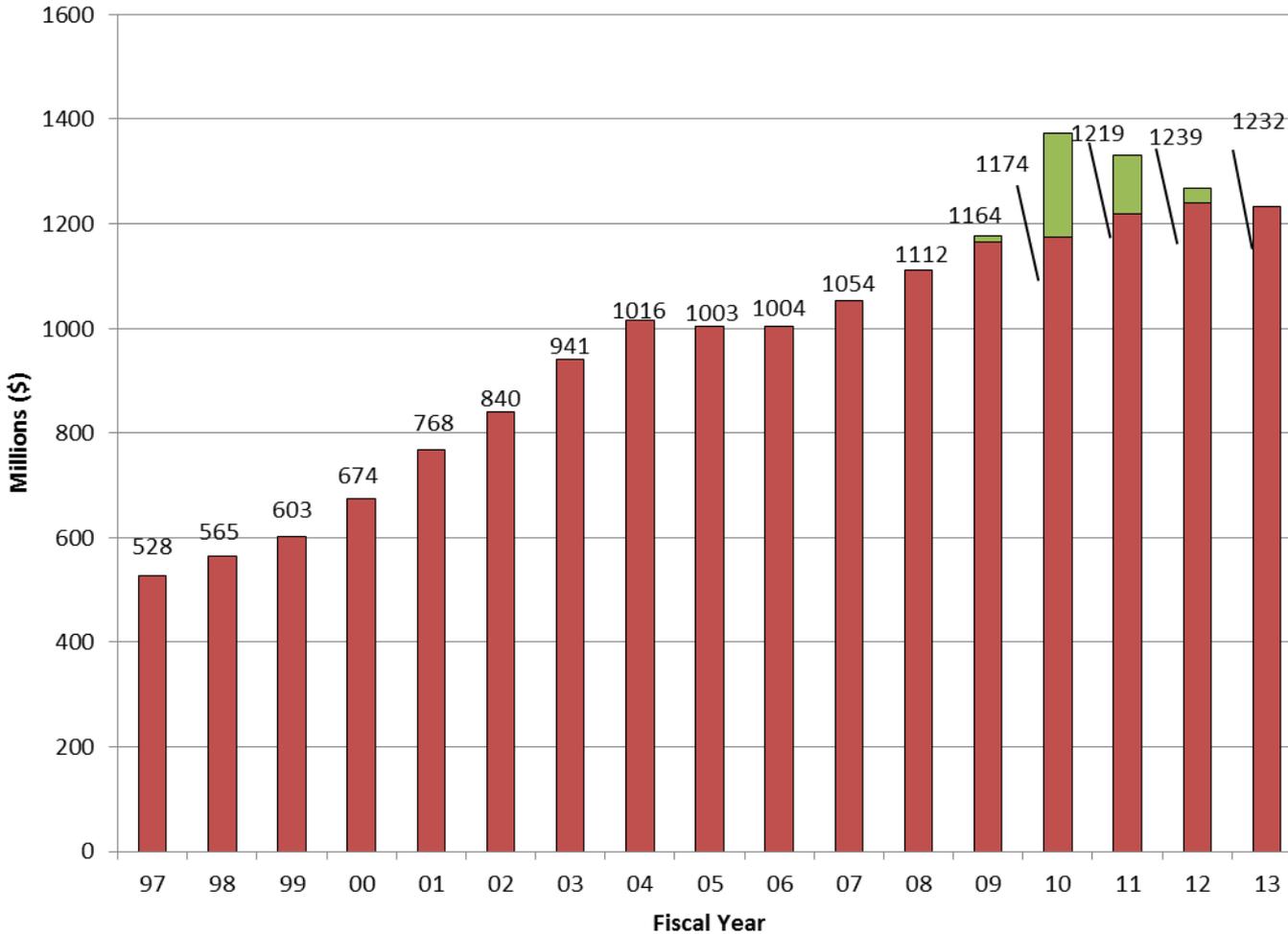
<sup>2</sup> Defense, Nondefense, and Total R&D, 1976-2014 retrieved from <http://www.aas.org/page/guide-rd-funding-data-%E2%80%93-historical-data>

<sup>3</sup> Not all current fiscal year submissions are funded in the same fiscal year.

<sup>4</sup> Some current fiscal year awards are prior fiscal year submissions.

## Trends in Sponsored Program Awards, FY97-FY13

In the last 16 years, UNC sponsored program activity has doubled, even without the recent boost from ARRA funds (shown in green). A significant factor in this sustained growth is the wise use of facilities and administrative (F&A) receipts to help institutions cover the costs of supporting the research enterprise. UNC institutions utilize F&A receipts to, among other things, maintain and expand research infrastructure; invest in new research through matching funds, seed grants and “start up” packages for new faculty; support library holdings; and ensure compliance with federal and other regulations.

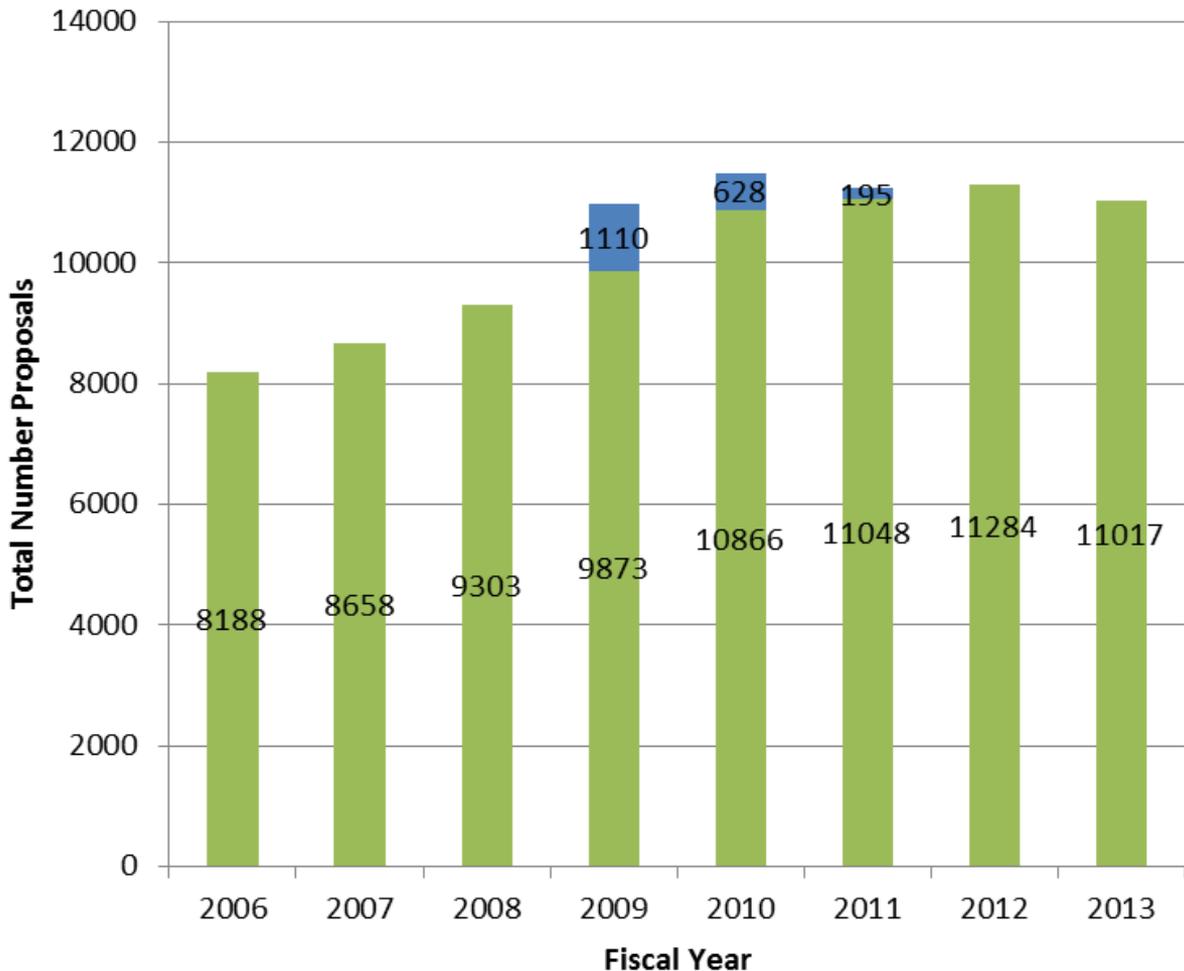


■ ARRA (shown for years exceeding 1% of total award dollars)

■ Annual Awards

*Note: To avoid double-counting, inter-institutional subagreements are not included in Annual Awards.*

## Trends in Proposal Submissions



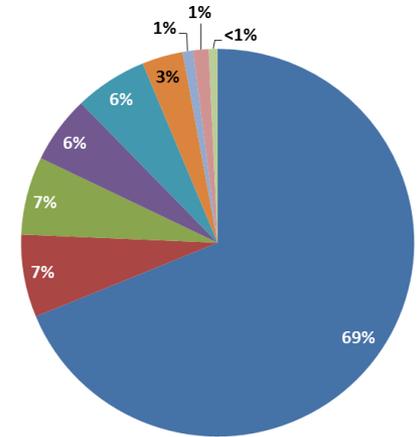
While the number of annual (non-ARRA) proposals submitted has remained somewhat steady since FY2010, the growth in proposal submissions over nearly a decade underscores the important contributions made by campus research faculty, administrators and staff.

- ARRA Proposals (shown for years exceeding 1% of total number submitted)
- Annual Proposals

*Note: Inter-institutional subagreements require staff effort and are included in Annual Proposals.*

## FY13 Sponsors

United States Federal Government		Foundations	
National Aeronautics and Space Administration	\$5,915,581	NC Foundations	\$ 11,813,351
National Foundation on the Arts and Humanities	\$867,815	All other foundations	\$ 62,118,705
National Science Foundation	\$125,424,060	<b>Total Awards from Foundations</b>	<b>\$ 73,932,056</b>
Small Business Administration	\$3,558,446		
U. S. Department of Agriculture	\$36,998,718	Commerce (Business and Industry)	
U. S. Department of Commerce	\$6,809,770	NC Business and Industry	\$ 12,600,204
U. S. Department of Defense	\$32,954,174	All other business and industry	\$ 67,622,069
U. S. Department of Education	\$74,463,339	<b>Total Awards from Commerce (Business and Industry)</b>	<b>\$ 80,222,273</b>
U. S. Department of Energy	\$21,362,645		
U. S. Department of Health and Human Services (Non-NIH)	\$52,612,695	Associations	
U. S. DHHS National Institutes of Health	\$406,437,669	NC Associations	\$ 1,832,825
U. S. Department of Homeland Security	\$4,956,551	All other associations	\$ 13,815,783
U. S. Department of Housing and Urban Development	\$46,745	<b>Total Awards from Associations</b>	<b>\$ 15,648,608</b>
U. S. Department of the Interior	\$4,172,581		
U. S. Department of Justice	\$2,649,321	Educational/Research Institutions	
U.S. Department of Labor	\$50,000	NC Institutions	\$ 33,310,385
U. S. Department of State	\$2,277,710	All other institutions	\$ 75,179,626
U. S. Department of Transportation	\$3,820,392	<b>Total Awards from Educational/Research Institutions</b>	<b>\$ 108,490,011</b>
U. S. Department of Veterans Affairs	\$159,474		
U. S. Environmental Protection Agency	\$6,720,427	Not-for-Profit Organizations	
U. S. International Development Cooperation Agency	\$49,955,459	NC Not-for-profit organizations	\$ 18,623,243
All Other Federal Agencies	\$4,188,236	All other not-for-profit organizations	\$ 22,815,872
Corporation for National and Community Service	\$1,168,524	<b>Total Awards from Not-for-Profit Organizations</b>	<b>\$ 41,439,115</b>
<b>Total Awards from Federal Government</b>	<b>\$847,570,332</b>		
		Other Sponsors	
State Government		Other NC sponsors	\$ 600,898
State of North Carolina	\$ 66,601,266	All other US sponsors	\$ 3,114,526
All other states	\$ 2,315,244	Foreign Sponsors	\$ 601,358
<b>Total Awards from State Government</b>	<b>\$ 68,916,510</b>	All other/uncodable	\$ 4,590,380
		<b>Total Awards from Other Sponsors</b>	<b>\$ 8,907,162</b>
Local Government			
NC Local Government	\$ 9,701,703	<b>UNC TOTAL</b>	<b>\$ 1,255,807,854</b>
All other local government	\$ 980,084	Interinstitutional Subagreements	\$ 23,684,434
<b>Total Awards from Local Government</b>	<b>\$ 10,681,787</b>	<b>Adjusted Total</b>	<b>\$ 1,232,123,420</b>



- Federal (69%)
- Non-UNC Edu/Res Orgs (7%)
- Industry (7%)
- State (6%)
- Foundations (6%)
- Not-for-Profits (3%)
- Local (1%)
- Associations (1%)
- Other (1%)

## FY13 Commercial Activity

	Invention Disclosures	US Patents Issued	Licenses or Options Executed	Start-ups
<b>Doctoral Granting Institutions</b>				
<b>ECU</b>	10	2	1	1
<b>NCA&amp;TSU</b>	8	2	0	1
<b>NCSU</b>	238	37	111	8
<b>UNCCH</b>	138	25	56	14
<b>UNCC</b>	31	17	18	4
<b>UNCG</b>	18	1	10	1
<b>All other Institutions</b>				
	6	1	1	1

UNC institutions represent a wide array of existing and emerging strengths in research and related commercial activities. Some institutions are developing inputs and activities (e.g. strategic faculty hires, sponsored awards, entrepreneurship programs) while others are focused on realizing greater outputs, outcomes or impacts from the inputs and activities already in place.<sup>1</sup>

Invention disclosures are one output and a first step in a pathway towards the realization of commercial applications from university discoveries. Outcomes can include, but are not limited to, patents issued, licenses and start-ups.

The Association of University Technology Managers (AUTM) Annual Licensing Survey is a leading source of information on university commercial activity and indicators of potential in this area. With occasional exception, UNC's doctoral granting institutions report their activities in the annual AUTM survey. Data from all other institutions are from institutional self-reports.

<sup>1</sup> See *UNC Innovation Development and Transfer Initiative: Phase 1 Report*, February 4, 2011, at [http://old.northcarolina.edu/research/initiatives/tech\\_transfer/FINAL\\_Phase1\\_Report.pdf](http://old.northcarolina.edu/research/initiatives/tech_transfer/FINAL_Phase1_Report.pdf)