Sponsored Project Funding: Pre-Award

Presented by Michael Kusiak
UCOP Research Policy Analysis and Coordination

on behalf of
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Sponsored Projects Administration
University of California, Irvine

November 2012
Overview

• University of California Research

• Pre-Award Issues

• Requirements
Sponsored Programs support the UC Mission

- External sponsors (federal, foundations, state agencies)
- UC to UC
- Sponsored by another university
- UCOP sponsored
Impact

- Economic
- Social
- Political
- Quality of life
Sponsored Research Funding

- Grants and Contracts
  - Governmental
  - Private
    - Non-Profit
    - For-Profit
  - UC Systemwide
- Gifts
- Campus seed and bridge funding
- Transactions
  - Material Transfer Agreements
  - Licenses
  - Equipment and Instrumentation Loans
Funding Mechanisms

Gift
- Irrevocable
- Unrestricted
- No SOW
- No Period
- Discretionary

Grant
- Revocable
- Financial Assistance
- SOW
- Performance Period
- Reporting

Contract
- Revocable
- SOW
- Deliverables
- Restrictive
- Performance Period
- Acquisition
Obligations

- Compliance
- Performance with integrity
- Stewardship of public assets
- Upholding the public trust
Guidance for Sponsored Project Administration
University of California
University Regulation No. 4

University participation in tests and investigations shall be limited to activities which lead to the extension of knowledge or to increased effectiveness in teaching. Routine tasks of a commonplace type will not be undertaken.

http://www.ucop.edu/academic-personnel/_files/apm/apm-020.pdf
UC Presidential Policy

It is the policy of the University of California that employees who receive any part of their salary through the University, or whose activities use any University resources or facilities, must submit their proposals for extramural support through the appropriate local contracts and grants office. Awards must be made to The Regents of the University of California.

This requirement is necessary to insure that all research and other extramurally funded projects conducted by University employees, or with the use of University resources or facilities, are approved by the appropriate University contract and grant office and comply with relevant University policies and guidelines . . .

Regents Standing Order

Duties of the President of the University *(excerpted from section dd)*

... the President is authorized to execute on behalf of the Corporation all contracts and other documents necessary in the exercise of the President's duties, including documents to solicit and accept pledges, gifts, and grants ...

Signature authority for proposals and awards is typically delegated:

- Chancellor, Executive Vice Chancellor, Provost
- Vice Chancellor for Research
- Staff in UC Campus Sponsored Programs Office
  - Director
  - Contract & Grant Officers

www.universityofcalifornia.edu/regents/bylaws/so1004.html
Principal Investigator  Departmental Administrator

Sign  Sign
Principal Investigator

• Eligibility may vary from campus to campus
  – Academic Senate membership
  – Qualified Appointment (generally > 50%)
  – Exception (include space commitment)

• Requirements
  – Responsible for scientific, administrative and financial management of project
  – Participate to a significant degree
Pre-Award Process

1. Idea
2. SOW
3. Budget
4. Peer Review
5. Award

- Search
- Review
- Route
- Submit
Award Acceptance Process

1. Notice
2. Review
3. Negotiation
4. Account Assignment
5. Acceptance
COMPLIANCE AND INTEGRITY
A situation where an individual’s outside financial interest(s) or obligations bias or have the potential to bias the conduct and management of a research project.

Unmanaged or undisclosed COI may lead to:

- Scientific misconduct
- Misuse of UC facilities
- Improper direction of UC personnel
- Delays in publishing
- Improper channeling of funds
- Failure to recognize UC interests
- Erosion of public trust
Research and Acquisition Disclosures

- Interests in non-governmental Sponsors
  - Financial
  - Management
- PI/Co-PI/Spouse/Dependent Children

- Separate University and private interests
- Recuse from decision-making
- No purchases, leases, subcontracts
- Exceptions after campus review

www.ucop.edu/ucophome/policies/bfb/bus43p7.pdf
COI Along the Award Cycle

Proposal
State disclosure
PHS/NSF disclosure

Award

Project
Human Research

• Any systematic investigation designed to develop or contribute generalizable knowledge and which uses living humans or identifiable information about living humans.

• Applies regardless of funding source.

• Must be registered and approved by campus IRB before recruiting subjects and commencing human research.

• All research staff must receive training before engaging in human research.
Animal Use in Research

• Use of animals must comply with Federal regulations regardless of funding source.

• Animals generally means a live vertebrate.

• All animal procedures must be approved by the campus IACUC prior to commencing project work that involves animals.

• All personnel must have received training regarding the handling of animals.
Environmental Health & Safety

• Biohazards and toxic materials
• Potential environmental impact
• rDNA and pathogens
Safety Committees

- Institutional Biosafety
- Radiation Safety
- Embryonic Stem Cell Research Oversight
Areas of Concern

- ARRA and FFATA Reporting
- Cost Transfers
- Cost Sharing
- Effort Reporting
- Subrecipient Monitoring
- Responsible Conduct of Research

- Fraud
- Waste
- Abuse and Mismanagement
- Export Controls
- Citizenship Requirements
- Effective Oversight
Summary

- Research is an important and integral part of UC’s mission
- As stewards of public funds, UC employees have an obligation to do the right thing
- Submit proposals and direct awards through local SPO
- Comply with research regulations
- ASK QUESTIONS!
Executive Summary

UC's extramural awards for FY 2012 totaled $5.34 billion, about $51 million below the 2011 total, representing a dip of less than 1%. However, Recovery Act (ARRA) awards during 2012 amounted to just $34 million from all sources, compared to $284 million the previous year. Considering only base funding, the award total for 2012 shows a 3.9% increase over 2011, and is greater than in any previous year.

This increase is not due to any expansion of federal base funding, which remains essentially unchanged from FY 2011, but to growth in state and private sources. The most striking increase was a 29% jump in funding provided by corporate sponsors, from $377 million in 2011 to a record $486 million in 2012. This reflects the slowly improving economic climate, and suggests that UC's corporate research partners are anticipating increased long-term demand for their products and are investing in academic R&D as a way to fill their innovation pipelines.

Other key findings for Q412 and FY 2012 are as follows:

- UC received nearly $1.37 billion in extramural contracts and grants during Q412, about $45 million more than during Q411.
- Of this total, research awards for Q412, including clinical trials, came to $1.14 billion, up about 6% from Q411.
- ARRA awards during Q412 totaled about $11.5 million, and little if any additional ARRA funding is expected in the coming year. ARRA award funds, however, will continue to be expended through September 2013.
- Non-profit sponsorship for FY 2012, at about $520 million, remains roughly where it was during 2011.
- Federal funding, including both direct and flow-through awards, provided 72% of all awards, about the same percentage as FY 2009, prior to the influx of ARRA funding.

I. Research Award Dashboard

The data visualization on the following page provides an interactive view of research funding trends at UC since FY 2001. (DOE lab awards are not included here.) Selector buttons allow multiple views of Universitywide and campus data by year, by location and by sponsor category in dynamic bar charts, pie charts and data summary tables. The dashboard automatically opens when the page following this one is visible, and closes when the page is no longer on-screen. Right-clicking on the dashboard allows several other viewing options, including full-screen and floating window.
II. Quarterly Performance Metrics

Extramural awards for Q412 totaled $1.369 billion, $45 more than Q411, and only $5M below Q410, which also saw over $93M in ARRA awards. The full fiscal year shows a 0.95% decline from FY 2011, but a 3.9% increase in base funding.

Extramural Awards, FY 2001 – 2012 ($ millions)

<table>
<thead>
<tr>
<th></th>
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<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Q1</td>
<td>999</td>
<td>987</td>
<td>1,290</td>
<td>1,282</td>
<td>1,442</td>
<td>1,305</td>
<td>1,440</td>
<td>1,545</td>
<td>1,650</td>
<td>2,037</td>
<td>1,998</td>
<td>2,030</td>
</tr>
<tr>
<td>Q2</td>
<td>612</td>
<td>750</td>
<td>713</td>
<td>780</td>
<td>724</td>
<td>760</td>
<td>802</td>
<td>972</td>
<td>991</td>
<td>1,063</td>
<td>1,120</td>
<td>958</td>
</tr>
<tr>
<td>Q3</td>
<td>625</td>
<td>737</td>
<td>644</td>
<td>805</td>
<td>809</td>
<td>826</td>
<td>997</td>
<td>915</td>
<td>1,099</td>
<td>949</td>
<td>982</td>
<td></td>
</tr>
<tr>
<td>Q4</td>
<td>750</td>
<td>894</td>
<td>1,002</td>
<td>956</td>
<td>1,177</td>
<td>1,223</td>
<td>1,301</td>
<td>1,395</td>
<td>1,383</td>
<td>1,374</td>
<td>1,324</td>
<td>1,369</td>
</tr>
<tr>
<td>FYTD</td>
<td>2,986</td>
<td>3,368</td>
<td>3,649</td>
<td>3,823</td>
<td>4,152</td>
<td>4,096</td>
<td>4,370</td>
<td>4,909</td>
<td>4,938</td>
<td>5,573</td>
<td>5,391</td>
<td>5,340</td>
</tr>
</tbody>
</table>
III. Award Trends by Project Type

Research awards during Q412 amounted to $1.14 billion (including $64.5M in clinical trial sponsorship) for a year-to-date total of over $4.4 billion. Training, service and other awards came to about $906M, for an extramural sponsorship total for this fiscal year of nearly $5.34 billion.

### FY 2012 Distribution of Project Funds

<table>
<thead>
<tr>
<th>PROJECT TYPE</th>
<th>Q112</th>
<th>Q212</th>
<th>Q312</th>
<th>Q412</th>
<th>FY TOTAL</th>
<th>FY %</th>
</tr>
</thead>
<tbody>
<tr>
<td>Research</td>
<td>1,664,882,376</td>
<td>682,417,910</td>
<td>782,395,884</td>
<td>1,077,506,942</td>
<td>4,207,203,112</td>
<td>78.8%</td>
</tr>
<tr>
<td>Clinical Trials</td>
<td>47,670,989</td>
<td>55,446,943</td>
<td>58,644,535</td>
<td>64,535,731</td>
<td>226,298,198</td>
<td>4.2%</td>
</tr>
<tr>
<td>Service</td>
<td>94,003,681</td>
<td>90,003,067</td>
<td>45,771,136</td>
<td>64,066,293</td>
<td>293,844,177</td>
<td>5.5%</td>
</tr>
<tr>
<td>Other</td>
<td>95,408,454</td>
<td>90,607,548</td>
<td>48,256,178</td>
<td>54,644,914</td>
<td>288,917,094</td>
<td>5.4%</td>
</tr>
<tr>
<td>TOTAL</td>
<td>2,029,867,679</td>
<td>958,424,300</td>
<td>982,497,018</td>
<td>1,369,049,236</td>
<td>5,339,838,233</td>
<td>100.0%</td>
</tr>
</tbody>
</table>

Research awards, together with clinical trial awards, have historically contributed about 80-85% of all extramural contracts and grants. FY 2012, in this regard, seems fairly typical.

IV. Award Trends by Sponsor Category

FY 2012 saw an increase in funding over FY 2011 from nearly every non-Federal sponsor category. The most substantial growth in funding came from the business community which provided $486M in awards, compared to $377M in 2011, for an increase of 29%. This is an all-time record for UC, even after factoring in the effects of inflation, and reflects the year’s generally more positive economic outlook.

### Extramural Awards by Sponsor Category, FY 2006-2012, $ millions

<table>
<thead>
<tr>
<th></th>
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<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Federal*</td>
<td>2,646</td>
<td>2,712</td>
<td>2,844</td>
<td>2,987</td>
<td>3,661</td>
<td>3,474</td>
<td>3,248</td>
</tr>
<tr>
<td>State</td>
<td>372</td>
<td>322</td>
<td>421</td>
<td>450</td>
<td>428</td>
<td>426</td>
<td>428</td>
</tr>
<tr>
<td>Other Gov’t**</td>
<td>98</td>
<td>157</td>
<td>125</td>
<td>145</td>
<td>155</td>
<td>103</td>
<td>126</td>
</tr>
<tr>
<td>Business</td>
<td>241</td>
<td>336</td>
<td>458</td>
<td>363</td>
<td>349</td>
<td>377</td>
<td>486</td>
</tr>
<tr>
<td>Non-Profit</td>
<td>397</td>
<td>460</td>
<td>601</td>
<td>562</td>
<td>516</td>
<td>522</td>
<td>520</td>
</tr>
<tr>
<td>Academia***</td>
<td>342</td>
<td>383</td>
<td>420</td>
<td>431</td>
<td>463</td>
<td>489</td>
<td>533</td>
</tr>
<tr>
<td>TOTAL</td>
<td>4,096</td>
<td>4,370</td>
<td>4,909</td>
<td>4,938</td>
<td>5,573</td>
<td>5,391</td>
<td>5,340</td>
</tr>
</tbody>
</table>

* For consistency with prior years, Federal amounts are not adjusted for ARRA sub-awards from non-federal sources. Those awards are attributed here to the category of the prime contractor.

** Other Gov’t includes Agricultural Market Order Boards

**Academia includes the categories of Higher Education, DOE Labs, Campuses and UCOP.
V. Largest FY 2012 Awards

During FY 2012, UC received 23 research awards for amounts of $10M or more. Most awards of this magnitude are intended to support ongoing programs, centers or affiliation agreements, rather than specific projects, and may receive funding extending over several fiscal years.

<table>
<thead>
<tr>
<th>LOCATION</th>
<th>SPONSOR CATEGORY</th>
<th>SPONSOR</th>
<th>PROJECT TITLE</th>
<th>AMOUNT</th>
</tr>
</thead>
<tbody>
<tr>
<td>San Francisco</td>
<td>Federal</td>
<td>National Inst of Allergy and Infectious Diseases</td>
<td>Collaborative Network for Clinical Research on Immune Tolerance</td>
<td>39,327,103</td>
</tr>
<tr>
<td>Berkeley</td>
<td>State</td>
<td>California Department Of Social Services</td>
<td>Title IV-E Social Work Training Program</td>
<td>32,463,656</td>
</tr>
<tr>
<td>Los Angeles</td>
<td>Other Gov't</td>
<td>County of Los Angeles</td>
<td>Affiliation Agreement - Medical School Operating Agreement</td>
<td>26,728,000</td>
</tr>
<tr>
<td>Berkeley</td>
<td>Federal</td>
<td>Department of Energy</td>
<td>Nuclear Science and Security Consortium (NSSC)</td>
<td>26,400,000</td>
</tr>
<tr>
<td>San Francisco</td>
<td>Business</td>
<td>Pfizer Inc.</td>
<td>Centers for Therapeutic Innovation</td>
<td>25,000,000</td>
</tr>
<tr>
<td>Davis</td>
<td>State</td>
<td>California Department Of Transportation</td>
<td>Partnered Pavement Research Center</td>
<td>24,530,000</td>
</tr>
</tbody>
</table>
### VI. Federal Award Funding

Federal awards reported for Q4 of 2012 amounted to about $904 million, or 66% of the award total. The federal funding total for Q412 was nearly $40 million greater than in Q411. For the fiscal year as a whole, federal funding declined by $227M, or about 6.5%. Nearly all of this difference, however, reflects $285M in ARRA awards received last year. Base federal award funding for all of FY 2012 was $3.24 billion, compared to $3.26 billion the previous year, a difference of less than 1%.

<table>
<thead>
<tr>
<th>San Francisco</th>
<th>State</th>
<th>California Department of Public Health</th>
<th>California Department of Public Health (CDPH) Immunization Branch Contract</th>
<th>23,864,444</th>
</tr>
</thead>
<tbody>
<tr>
<td>Berkeley</td>
<td>Foundation</td>
<td>Bill &amp; Melinda Gates Foundation</td>
<td>Measuring the Benefits of Sanitation, Water Quality and Handwashing Interventions for Improving Health &amp; Development</td>
<td>17,496,804</td>
</tr>
<tr>
<td>San Diego</td>
<td>Federal</td>
<td>National Oceanic and Atmospheric Administration (NOAA)</td>
<td>CIMEC: Cooperative Institute for Marine Ecosystems And Climate</td>
<td>16,843,886</td>
</tr>
<tr>
<td>Davis</td>
<td>State</td>
<td>California Department of Public Health</td>
<td>Communicable Disease Emergency Response</td>
<td>15,594,195</td>
</tr>
<tr>
<td>Los Angeles</td>
<td>Federal</td>
<td>NIH National Center for Advancing Translational Sciences</td>
<td>UCLA Clinical and Translational Science Institute</td>
<td>15,079,371</td>
</tr>
<tr>
<td>Berkeley</td>
<td>State</td>
<td>California Department of Transportation</td>
<td>Research and Innovation for Traffic Operations</td>
<td>14,971,306</td>
</tr>
<tr>
<td>Los Angeles</td>
<td>Federal</td>
<td>Veterans Affairs</td>
<td>Affiliation Agreement</td>
<td>14,331,252</td>
</tr>
<tr>
<td>Berkeley</td>
<td>Federal</td>
<td>National Science Foundation</td>
<td>Graduate Research Fellowship Program</td>
<td>14,136,833</td>
</tr>
<tr>
<td>Davis</td>
<td>Federal</td>
<td>National Institute for Food and Agriculture</td>
<td>Afghanistan Agricultural Extension Project</td>
<td>13,471,057</td>
</tr>
<tr>
<td>Berkeley</td>
<td>Federal</td>
<td>Environmental Health Sciences, National Institute of</td>
<td>Toxic Substances in the Environment</td>
<td>13,446,970</td>
</tr>
<tr>
<td>San Francisco</td>
<td>Federal</td>
<td>National Inst of Allergy and Infectious Diseases</td>
<td>UZ-UCSF Clinical Trials Unit</td>
<td>12,356,778</td>
</tr>
<tr>
<td>Davis</td>
<td>Foundation</td>
<td>Gordon and Betty Moore Foundation</td>
<td>Nursing Prelicensure Program</td>
<td>11,878,907</td>
</tr>
<tr>
<td>Davis</td>
<td>Federal</td>
<td>National Institutes of Health Office of the Director</td>
<td>California National Primate Research Center</td>
<td>11,356,381</td>
</tr>
<tr>
<td>San Diego</td>
<td>Federal</td>
<td>Department of Army</td>
<td>3D Computational Optic Systems for Soldier-Centric Imaging</td>
<td>10,918,810</td>
</tr>
<tr>
<td>Los Angeles</td>
<td>Business</td>
<td>Bayer AG</td>
<td>A Phase 2 Randomized Multicenter Placebo-Controlled Blinded Study of Sorafenib Adjuvant Therapy In High Risk Orthotopic Liver Transplants</td>
<td>10,875,452</td>
</tr>
<tr>
<td>Berkeley</td>
<td>Federal</td>
<td>National Science Foundation</td>
<td>Making Sense at Scale With Algorithms, Machines and People</td>
<td>10,000,000</td>
</tr>
</tbody>
</table>
The two largest federal contributors to UC are the National Institutes of Health (NIH) and the National Science Foundation (NSF). Historically, both NIH and NSF have back-loaded their awards, distributing proportionately more of their funds during the third and fourth quarters of the federal fiscal year (corresponding to UC’s fourth and first fiscal quarters). The result is a sharp annual spike in awards, most notably in UC’s first fiscal quarter (federal Q4), and this spikiness has increased in recent years. Further back-loading is the likely explanation for the dramatic drop-off in federal awards noted for UC’s Q212, corresponding to the first quarter of federal fiscal 2012.
VII. CIRM’s Contribution to State Funding

The California Institute for Regenerative Medicine (CIRM) continues to provide substantial research and infrastructure funding to UC, and represents a substantial proportion of all state awards. In FY 2012, CIRM awarded UC nearly $68 million, for a lifetime sponsorship total of over $513 million. The FY 2012 CIRM award amount is about $10 million below the FY 2011 total, but the State of California total is very nearly the same, thanks to increases from other agencies.

CIRM's Contribution to UC's State Funding

![Bar chart showing CIRM's Contribution to UC's State Funding from 2006 to 2012.](chart.png)

<table>
<thead>
<tr>
<th>SPONSOR</th>
<th>2006</th>
<th>2007</th>
<th>2008</th>
<th>2009</th>
<th>2010</th>
<th>2011</th>
<th>2012</th>
</tr>
</thead>
<tbody>
<tr>
<td>State Agencies</td>
<td>358,686,662</td>
<td>321,498,558</td>
<td>300,175,623</td>
<td>342,185,687</td>
<td>303,020,651</td>
<td>348,358,997</td>
<td>360,790,766</td>
</tr>
<tr>
<td>CIRM</td>
<td>13,782,346</td>
<td>1,500</td>
<td>121,045,412</td>
<td>108,203,002</td>
<td>125,024,796</td>
<td>77,393,243</td>
<td>67,625,326</td>
</tr>
<tr>
<td><strong>State Total</strong></td>
<td>372,469,008</td>
<td>321,500,058</td>
<td>421,221,035</td>
<td>450,388,689</td>
<td>428,045,447</td>
<td>425,752,240</td>
<td>428,416,092</td>
</tr>
<tr>
<td><strong>CIRM %</strong></td>
<td>3.70%</td>
<td>&lt;0.01%</td>
<td>28.74%</td>
<td>24.02%</td>
<td>29.21%</td>
<td>18.18%</td>
<td>15.78%</td>
</tr>
</tbody>
</table>

In addition to these research and training awards, CIRM has provided substantial infrastructure grants to UC that are not reported through CGX. CIRM grants have, since FY 2008, contributed a significant percentage of UC’s state award total, and will continue to supplement other state sources for the program’s duration (or up to three more years).
VIII. Award Trends by Recipient Location

FY 2012 awards decreased by less than 1% compared to FY 2011, but this change was not evenly distributed across all locations. UC Davis and UC San Diego showed the largest dollar increases, and UC Los Angeles and UC San Francisco showed the largest dollar declines.

### Awards by Location, FY 2006-2012 ($M)

<table>
<thead>
<tr>
<th>UC LOCATION</th>
<th>2006</th>
<th>2007</th>
<th>2008</th>
<th>2009</th>
<th>2010</th>
<th>2011</th>
<th>2012</th>
<th>% Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>SAN DIEGO</td>
<td>733</td>
<td>714</td>
<td>829</td>
<td>882</td>
<td>1,059</td>
<td>960</td>
<td>1,010</td>
<td>5.21%</td>
</tr>
<tr>
<td>LOS ANGELES</td>
<td>711</td>
<td>907</td>
<td>880</td>
<td>961</td>
<td>1,015</td>
<td>1,059</td>
<td>986</td>
<td>-6.90%</td>
</tr>
<tr>
<td>SAN FRANCISCO</td>
<td>809</td>
<td>881</td>
<td>993</td>
<td>918</td>
<td>1,054</td>
<td>1,056</td>
<td>920</td>
<td>-12.95%</td>
</tr>
<tr>
<td>DAVIS</td>
<td>543</td>
<td>532</td>
<td>584</td>
<td>620</td>
<td>679</td>
<td>685</td>
<td>750</td>
<td>9.60%</td>
</tr>
<tr>
<td>BERKELEY</td>
<td>466</td>
<td>501</td>
<td>633</td>
<td>642</td>
<td>739</td>
<td>714</td>
<td>709</td>
<td>-0.66%</td>
</tr>
<tr>
<td>IRVINE</td>
<td>311</td>
<td>276</td>
<td>328</td>
<td>318</td>
<td>337</td>
<td>331</td>
<td>305</td>
<td>-8.06%</td>
</tr>
<tr>
<td>SANTA BARBARA</td>
<td>160</td>
<td>172</td>
<td>195</td>
<td>175</td>
<td>224</td>
<td>184</td>
<td>218</td>
<td>18.19%</td>
</tr>
<tr>
<td>SANTA CRUZ</td>
<td>128</td>
<td>106</td>
<td>132</td>
<td>120</td>
<td>145</td>
<td>125</td>
<td>140</td>
<td>12.06%</td>
</tr>
<tr>
<td>DOE LABS</td>
<td>53</td>
<td>115</td>
<td>147</td>
<td>130</td>
<td>160</td>
<td>138</td>
<td>125</td>
<td>-9.32%</td>
</tr>
<tr>
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<td>87</td>
<td>98</td>
<td>104</td>
<td>89</td>
<td>115</td>
<td>91</td>
<td>111</td>
<td>21.91%</td>
</tr>
<tr>
<td>UCOP</td>
<td>61</td>
<td>39</td>
<td>50</td>
<td>44</td>
<td>12</td>
<td>19</td>
<td>30</td>
<td>54.42%</td>
</tr>
<tr>
<td>AG &amp; NAT RES</td>
<td>27</td>
<td>16</td>
<td>19</td>
<td>18</td>
<td>14</td>
<td>13</td>
<td>18</td>
<td>34.81%</td>
</tr>
<tr>
<td>MERCED</td>
<td>8</td>
<td>12</td>
<td>16</td>
<td>22</td>
<td>19</td>
<td>14</td>
<td>17</td>
<td>24.07%</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td><strong>4,096</strong></td>
<td><strong>4,370</strong></td>
<td><strong>4,909</strong></td>
<td><strong>4,938</strong></td>
<td><strong>5,573</strong></td>
<td><strong>5,391</strong></td>
<td><strong>5,340</strong></td>
<td><strong>-0.95%</strong></td>
</tr>
</tbody>
</table>
IX. Shifts in Funding Sources

While direct federal awards generally supply close to two-thirds of all UC’s extramural funds, private sponsors, including corporations and non-profit organizations, provide significant research support. Private non-academic sponsorship, on the rise since 2004, peaked in FY 2008 at 21.6% of the total award amount. The recession, combined with ARRA funding, reversed this trend for several fiscal years and the percentage of federal support increased. The current year shows a significant increase in private and academic sponsorship, and a corresponding drop in the direct federal award percentage. The table and chart below compare FY 2012 award percentages by funding source to previous fiscal years.

### Extramural Award Sources, % of Total

<table>
<thead>
<tr>
<th></th>
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<tbody>
<tr>
<td>FEDERAL</td>
<td>65.7</td>
<td>63.9</td>
<td>67.4</td>
<td>69.4</td>
<td>66.4</td>
<td>64.6</td>
<td>62.1</td>
<td>58.8</td>
<td>60.5</td>
<td>65.7</td>
<td>64.4</td>
<td>60.8</td>
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<td>6.2</td>
<td>6.6</td>
<td>7.6</td>
<td>9.1</td>
<td>7.4</td>
<td>8.6</td>
<td>9.1</td>
<td>7.7</td>
<td>7.9</td>
<td>8.0</td>
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<tr>
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<td>2.5</td>
<td>2.3</td>
<td>2.5</td>
<td>2.4</td>
<td>3.6</td>
<td>2.6</td>
<td>2.9</td>
<td>2.8</td>
<td>1.9</td>
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<tr>
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<td>6.8</td>
<td>6.2</td>
<td>4.7</td>
<td>5.6</td>
<td>5.4</td>
<td>5.9</td>
<td>7.7</td>
<td>9.3</td>
<td>7.4</td>
<td>6.3</td>
<td>7.0</td>
<td>9.1</td>
</tr>
<tr>
<td>NON-PROFIT</td>
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<td>9.8</td>
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<td>10.5</td>
<td>9.7</td>
<td>10.5</td>
<td>12.2</td>
<td>11.4</td>
<td>9.3</td>
<td>9.7</td>
<td>9.7</td>
</tr>
<tr>
<td>ACADEMIA</td>
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<td>9.0</td>
<td>9.4</td>
<td>8.2</td>
<td>7.7</td>
<td>8.4</td>
<td>8.8</td>
<td>8.5</td>
<td>8.7</td>
<td>8.3</td>
<td>9.1</td>
<td>10.0</td>
</tr>
</tbody>
</table>

Of the non-federal awards in 2012, $596M, or 11.2%, represented flow-throughs of federal funds via third-party prime contracts. This brings the federal award portion to 72%, compared to 76.2% in 2011.
Corporate sponsorship for FY 2012 was up by almost $109 million over FY 2011, to nearly $486M.

Non-profit sponsorship by contrast, remains about where it has been since 2010, down from the 2008 peak. Corporate and non-profit sponsorship levels, which have been fairly closely coupled for many years, appear to have taken separate courses since 2010. This is yet another indication that not all sectors of the economy are recovering at the same rate.

Charles Drucker
Institutional Research
October, 2012