

Office of Grant and Contract Administration

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The FY 1999 Annual Report and unformatted periodic data are available on the WWW –
<http://www.umass.edu/research/ogca>

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Figure A

Proposal Dollars • Three Year Rolling Averages • Fiscal Years 1990-1999

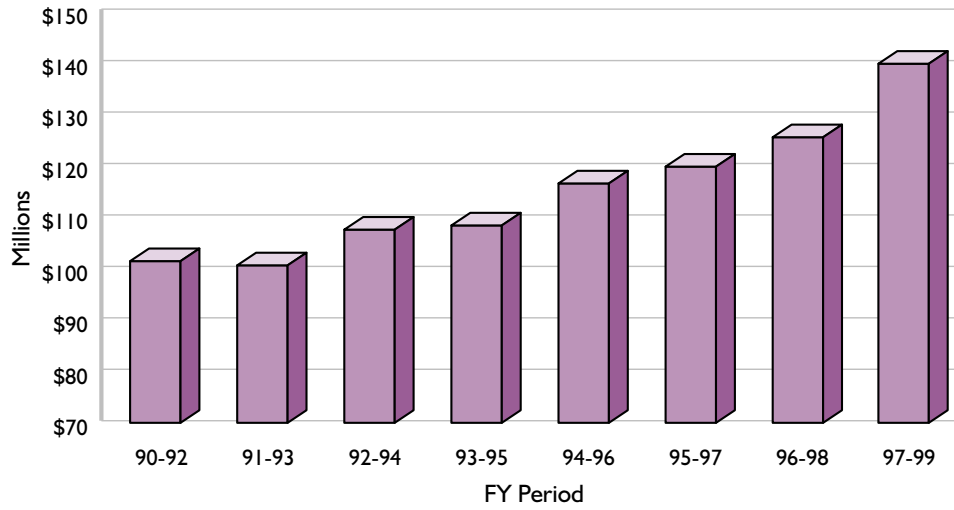
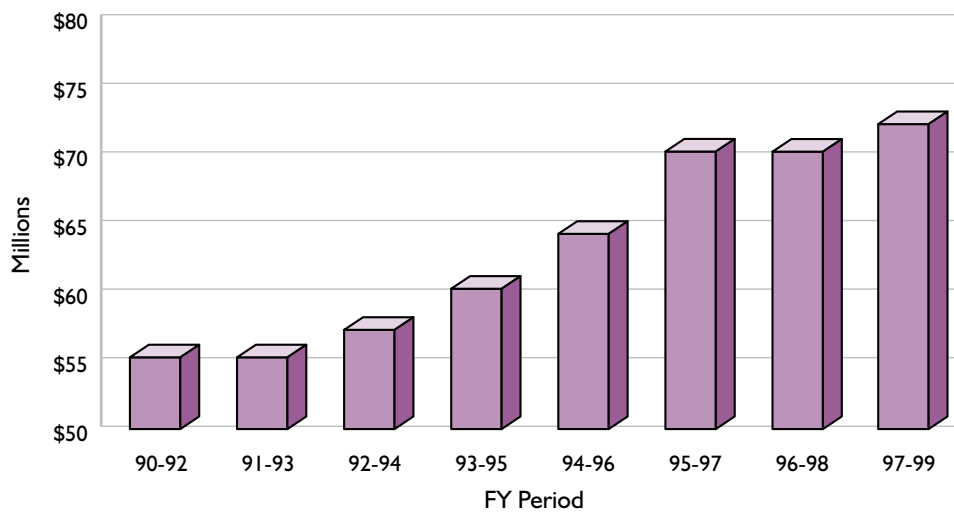


Figure B

Award Dollars • Three Year Rolling Averages • Fiscal Years 1990-1999



Comments from the Vice Chancellor for Research

During FY '99 the University faculty and staff succeeded in continuing the historical upward trend in both proposal submission and award receipt. The dollar amount of proposals submitted rose 15% over FY '98 though the number of proposals did not increase even one-half of one percent. Due to this increase in dollars but not numbers, the average proposal size increased from \$88.5k to almost \$102k in FY '99. As shown on the opposite page, rolling three-year averages for ten years of proposals starting from FY '90 through FY '99, indicate that the campus proposal submission has increased steadily for a 38% increase from the FY '90-92 to the FY '97-99 period.

The dollar amount of proposals submitted to the Federal government and the Commonwealth of MA in FY '99 was greater than FY '98 by 19% and 100% respectively. The number of proposals to those sponsors correspondingly increased by 7% and 29%. The number and dollar amount of proposals to the other sponsor categories decreased in FY '99 but will very likely cycle up again as they have historically.

Although the increase in award dollars from FY '98 to FY '99 appears modest at 4%, several organizational units increased by large percentages. For example, the College of Natural Sciences and Math increased by 22%, the School of Education by 30% and the School of Nursing by 26%. Rolling three-year averages for ten years of awards from FY '90 through FY '99 indicate that, despite year to year variations, award receipts have steadily increased. There was a 33% increase from the FY '90-92 to the FY '97-99 period.

Funding source growth is also more consistent when viewed as rolling three-year averages. Though funding may widely fluctuate from one year to the next, the rolling three-year average shows most categories increasing smoothly and significantly over ten years. For example, Commonwealth of MA awards increased by 41% in FY '99 over FY '98 but decreased by 45% from FY '97 to FY '98. Similarly, Industry funding decreased 15% and Non-Profit Private decreased 8% in FY '99 but increased by 13% and 22% respectively from FY '97 to FY '98. When averaged in three-year increments, growth in sponsorship of all categories was more steady and continuous than year to year figures indicate when taken alone. Industry sponsorship grew by 23% and Non-Profit Private rose by 53% between the FY '90-92 and FY '97-99 averages. Industry funding has not increased as smoothly as other sources over the last ten years, but has remained nearly 10% of overall funding.

Federal sponsors remain the primary source of funding, providing 68% of total Sponsored Activities awards in FY '99. Commonwealth of MA funding has increased 109% from the FY '90-92 average to the FY '97-99 average and represented 9% of the total award amount in FY '99, compared to 6% in 1990.



Frederick W. Byron, Jr.

Vice Chancellor for Research

Proposals

Figure 1

Proposal Dollars • Fiscal Years 1990-1999

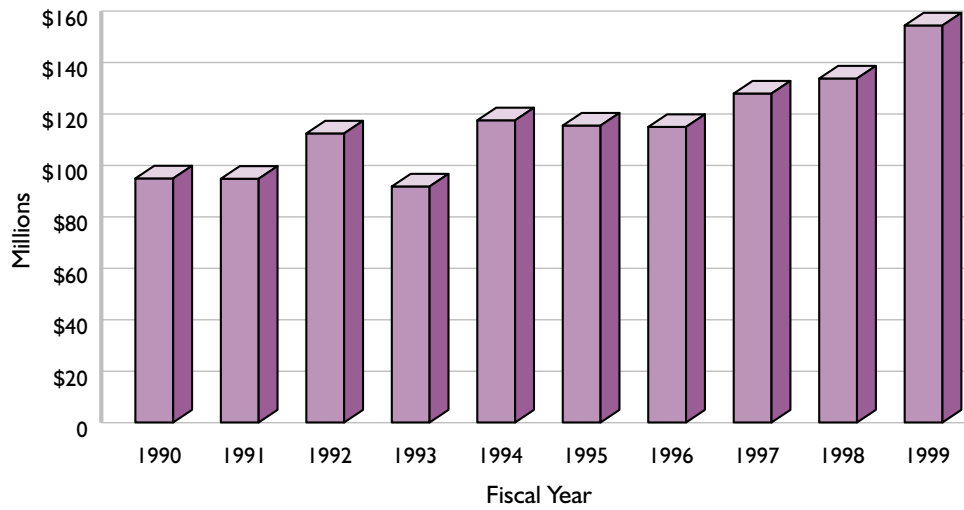


Figure 2

Number of Proposals • Fiscal Years 1990-1999

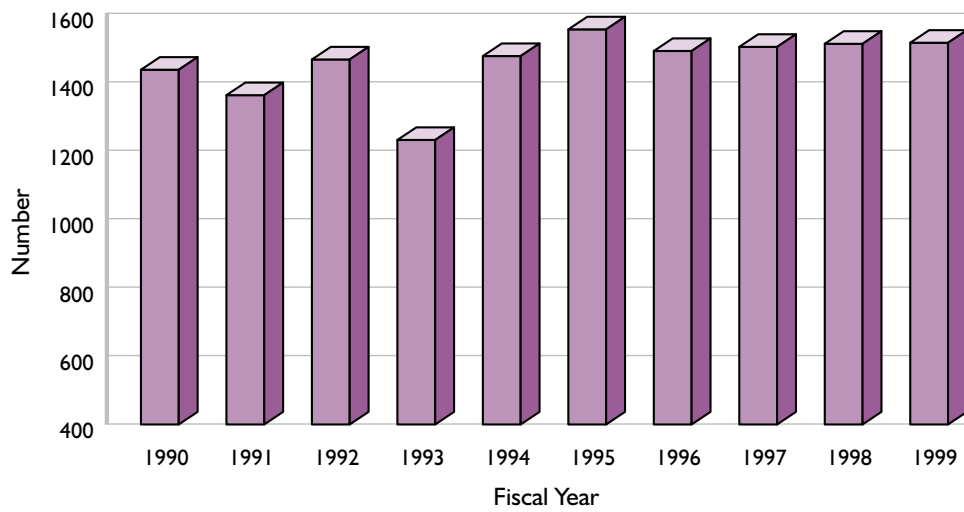


Table 1
Proposals Submitted by Organizational Unit
Fiscal Year 1999

Organizational Unit	Proposals	Direct	Indirect	Total
Academic Administration				
Inst Advanced Study In The Humanities	1	50,000	0	50,000
Provost's Office	1	440,918	44,092	485,010
MBU Total	2	\$490,918	\$44,092	\$535,010
Academic Support				
Fine Arts Center	9	661,452	53,922	715,374
International Programs	4	41,704	3,096	44,800
Teaching Development Center	1	75,000	0	75,000
MBU Total	14	\$778,156	\$57,018	\$835,174
Academic Support Services				
Academic Support Services	5	896,888	60,550	957,438
MBU Total	5	\$896,888	\$60,550	\$957,438
College of Engineering				
Dean-School of Engineering	2	109,800	56,867	166,667
Chemical Engineering	55	4,827,101	1,047,717	5,874,818
Civil & Environmental Engineering	55	5,760,598	1,543,249	7,303,847
Electrical and Computer Engineering	88	6,039,834	2,250,592	8,290,426
Mechanical and Industrial Engineering	72	5,685,763	2,394,338	8,080,101
MBU Total	272	\$22,423,096	\$7,292,763	\$29,715,859
College of Food & Natural Resources				
Administration – CFNR	2	23,254	1,905	25,159
Consumer Studies	1	72,078	38,201	110,279
Entomology	81	2,844,027	459,702	3,303,729
Extension – Cranberry Station	34	498,019	21,404	519,423
Food Science	27	1,451,945	265,756	1,717,701
Forestry and Wildlife Management	99	4,007,824	672,914	4,680,738
Hotel Restaurant and Travel Admin	2	196,555	29,411	225,966
Landscape Arch & Regional Planning	6	249,831	22,835	272,666
Microbiology	31	2,044,921	838,898	2,883,819
Plant and Soil Sciences	51	767,785	95,109	862,894
Resource Economics	6	192,048	15,358	207,406
Veterinary and Animal Sciences	22	1,936,178	617,621	2,553,799
MBU Total	362	\$14,284,465	\$3,079,114	\$17,363,579

Table 1 • Proposals Submitted by Organizational Unit • FY 1999

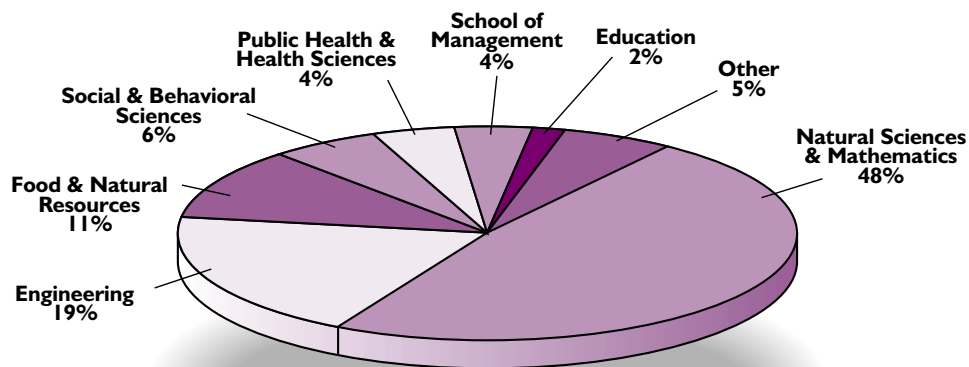
Organizational Unit	Proposals	Direct	Indirect	Total
College of Humanities & Fine Arts				
Comparative Literature	1	85,000	0	85,000
English	5	120,782	13,849	134,631
Germanic Languages and Literature	3	5,454	546	6,000
Linguistics	3	526,055	193,163	719,218
Spanish and Portuguese Languages	1	131,690	10,535	142,225
MBU Total	13	\$868,981	\$218,093	\$1,087,074
College of Natural Sciences and Math				
Biochemistry and Molecular Biology	28	2,533,379	1,125,126	3,658,505
Biology	60	4,803,864	1,768,522	6,572,386
Chemistry	65	6,030,565	1,317,197	7,347,762
Computer Science	134	23,421,647	7,861,518	31,283,165
Geosciences	52	3,672,375	1,364,088	5,036,463
Mathematics and Statistics	27	2,239,431	639,212	2,878,643
Physics and Astronomy	59	7,732,334	1,929,090	9,661,424
Polymer Science and Engineering	70	4,268,958	1,460,070	5,729,028
Scientific Reasoning Research Institute	5	1,023,391	517,274	1,540,665
MBU Total	500	\$55,725,944	\$17,982,097	\$73,708,041
College of Social & Behavioral Sciences				
Anthropology	6	242,662	118,481	361,143
Communication	1	48,387	26,613	75,000
Economics	7	1,161,069	100,184	1,261,253
MA Inst for Social & Economic Research	5	432,681	21,067	453,748
Psychology	65	4,945,762	1,741,832	6,687,594
Sociology	13	417,965	67,680	485,645
MBU Total	97	\$7,248,526	\$2,075,857	\$9,324,383
Dean of Students				
Everywoman's Center	14	325,260	0	325,260
MBU Total	14	\$325,260	\$0	\$325,260
Housing Services				
HS Child Care	1	74,074	5,926	80,000
MBU Total	1	\$74,074	\$5,926	\$80,000

Table 1 • Proposals Submitted by Organizational Unit • FY 1999

Organizational Unit	Proposals	Direct	Indirect	Total
Human Resources				
Human Resources	11	328,116	25,667	353,783
MBU Total	11	\$328,116	\$25,667	\$353,783
Physical Plant				
Physical Plant Grounds Services Office	1	6,500	0	6,500
Physical Plant Waste Management	2	41,756	4,176	45,932
MBU Total	3	\$48,256	\$4,176	\$52,432
School of Education				
Educational Policy Research & Admin	16	977,592	190,559	1,168,151
Student Dev & Pupil Personnel Service	11	1,213,423	88,816	1,302,239
Teacher Ed & Curriculum Studies	22	768,380	189,376	957,756
MBU Total	49	\$2,959,395	\$468,751	\$3,428,146

Figure 3

Distribution of Proposal Dollars by Major Organizational Unit • Fiscal Year 1999



Total Value • \$154,341,223

Table 1 • Proposals Submitted by Organizational Unit • FY 1999

Organizational Unit	Proposals	Direct	Indirect	Total
School of Management				
Finance & Operations Management	4	1,344,215	677,852	2,022,067
MA Small Business Dev Ctr	7	4,707,828	61,906	4,769,734
Management	3	55,029	19,132	74,161
MBU Total	14	\$6,107,072	\$758,890	\$6,865,962
School of Nursing				
School of Nursing	12	449,327	24,801	474,128
MBU Total	12	\$449,327	\$24,801	\$474,128
School of Public Health & Health Sciences				
Office of the Dean-Health Sciences	1	0	0	0
Biostatistics and Epidemiology	26	899,681	438,593	1,338,274
Communications Disorders	4	518,358	150,357	668,715
Community Health Studies	7	525,724	131,275	656,999
Environmental Health Sciences	13	700,638	249,426	950,064
Exercise Science	16	703,343	237,888	941,231
Nutrition	8	1,808,930	226,739	2,035,669
MBU Total	75	\$5,156,674	\$1,434,278	\$6,590,952
University Library				
Library-Acquisition	1	8,000	0	8,000
University Library – Admin Services	2	558	137	695
University Library – Public Services	1	12,000	0	12,000
University Library – Tech Services	1	10,000	0	10,000
MBU Total	5	\$30,558	\$137	\$30,695
University Outreach				
UMASS Extension	2	180,680	46,037	226,717
University Without Walls	2	19,962	1,613	21,575
WFCR	1	226,831	0	226,831
MBU Total	5	\$427,473	\$47,650	\$475,123

Table 1 • Proposals Submitted by Organizational Unit • FY 1999

Organizational Unit	Proposals	Direct	Indirect	Total
Vice Chancellery for Research				
Vice Chancellor For Research				
Office of The Vice Chancellor	4	381,557	36,520	418,077
MBU Total	4	\$381,557	\$36,520	\$418,077
Environmental Institute				
The Environmental Institute	40	1,160,802	103,273	1,264,075
Water Res & Research Ctr	7	294,793	22,662	317,455
MBU Total	47	\$1,455,595	\$125,935	\$1,581,530
Research Services				
Office of Research Affairs	2	109,277	300	109,577
MBU Total	2	\$109,277	\$300	\$109,577
University Press				
University Press	6	29,000	0	29,000
MBU Total	6	\$29,000	\$0	\$29,000
Vice Chancellery for Research Total	59	\$1,975,429	\$162,755	\$2,138,184
Total Fiscal Year 1999	1,513	\$120,598,608	\$33,742,615	\$154,341,223
Total Fiscal Year 1998	1,510	105,038,128	28,675,954	133,714,082
% Change, FY 1998 to FY 1999	0%	15%	18%	15%

Table 2

Proposals Submitted to Federal Agencies

Fiscal Year 1999

Sponsor	Proposals	Direct	Indirect	Total
US Dept of Agriculture				
MIS/Animal and Plant Health Inspection	3	87,792	7,849	95,641
NRE/Forest Service	20	451,451	16,077	467,528
SEA/Agricultural Research Service	1	24,640	0	24,640
SEA/Coop State Res, Educ & Ext Service	27	1,918,034	269,810	2,187,844
US Dept of Agriculture	11	693,477	35,156	728,633
USDA/Agricultural Research Service	1	100,000	0	100,000
Total	63	\$3,275,394	\$328,892	\$3,604,286
US Dept of Commerce				
Economic Development Administration	1	107,407	8,593	116,000
National Institute of Standards & Technologies	3	137,531	32,704	170,235
NOAA/National Marine Fisheries Service	5	212,301	26,150	238,451
NOAA/National Oceanic & Atmospheric Admin	12	454,411	118,986	573,397
US Dept of Commerce	1	24,900	0	24,900
Total	22	\$936,550	\$186,433	\$1,122,983
US Dept of Defense				
Air Force	17	1,568,722	725,050	2,293,772
Air Force Office of Scientific Research	9	1,056,319	370,180	1,426,499
Army	4	495,772	268,038	763,810
Army Natick R&D & Engineering Ctr	1	33,691	0	33,691
Army Research Office	12	938,267	200,210	1,138,477
Defense Advanced Research Proj Agency	13	5,690,530	1,863,003	7,553,533
Naval Command, Control Osc Rdte Div	1	24,500	0	24,500
Office of Naval Research	10	2,285,397	753,979	3,039,376
US Dept of Defense	3	231,497	99,898	331,395
Total	70	\$12,324,695	\$4,280,358	\$16,605,053
US Dept of Education				
US Dept of Education	21	3,053,928	255,898	3,309,826
Total	21	\$3,053,928	\$255,898	\$3,309,826
US Dept of Energy				
Los Alamos National Laboratory	1	83,962	39,399	123,361
US Dept of Energy	29	2,341,766	1,001,687	3,343,453
Total	30	\$2,425,728	\$1,041,086	\$3,466,814

Table 2 • Proposals Submitted to Federal Agencies • FY 1999

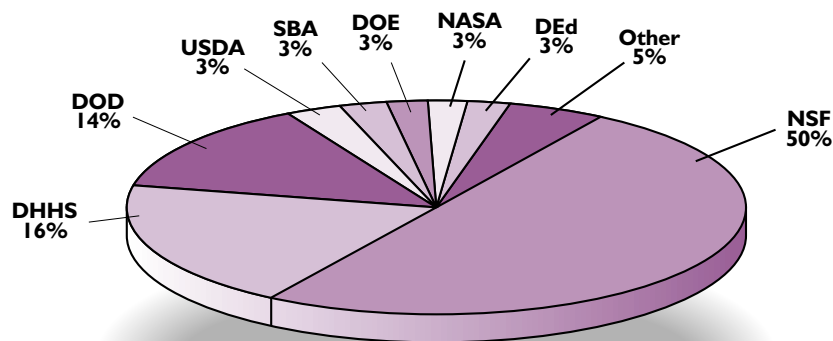
Sponsor	Proposals	Direct	Indirect	Total
US Dept of Health and Human Services				
PHS/Centers for Disease Control	1	16,310	0	16,310
PHS/Health Resources and Services Adm	3	93,080	0	93,080
PHS/National Institutes of Health	122	12,872,660	5,195,295	18,067,955
US Dept of Health and Human Services	2	242,015	30,940	272,955
Total	128	\$13,224,065	\$5,226,235	\$18,450,300
US Dept of Housing & Urban Development				
US Dept of Housing & Urban Development	1	107,878	21,576	129,454
Total	1	\$107,878	\$21,576	\$129,454
US Dept of Interior				
Geological Survey	14	565,866	33,623	599,489
National Park Service	2	108,800	27,200	136,000
US Fish and Wildlife Service	12	172,979	25,532	198,511
Total	28	\$847,645	\$86,355	\$934,000
US Dept of State				
Agency for International Development	2	413,274	92,000	505,274
Total	2	\$413,274	\$92,000	\$505,274
US Dept of Transportation				
Federal Aviation Administration	1	192,755	106,015	298,770
Federal Highway Administration	2	63,046	34,514	97,560
Federal Railroad Administration	2	144,237	78,644	222,881
National Highway Institute	1	1,755	0	1,755
US Dept of Transportation	2	198,210	76,290	274,500
Total	8	\$600,003	\$295,463	\$895,466
Independent Establishments & Govt Corps				
Environmental Protection Agency	11	754,874	371,361	1,126,235
Inter-American Foundation	1	2,408	0	2,408
National Aero & Space Administration	36	2,702,560	783,444	3,486,004
National Endowment for the Humanities	2	71,572	12,552	84,124
National Science Foundation	314	43,945,270	14,836,700	58,781,970
Peace Corps	1	20,981	1,678	22,659

Table 2 • Proposals Submitted to Federal Agencies • FY 1999

Sponsor	Proposals	Direct	Indirect	Total
Independent Establishments & Govt Corps Cont'd				
Small Business Administration	4	3,558,286	0	3,558,286
US Information Agency	2	339,632	0	339,632
US Institute of Peace	1	76,887	0	76,887
US Nuclear Regulatory Commission	2	63,953	21,978	85,931
Total	374	\$51,536,423	\$16,027,713	\$67,564,136
Other/Quasi Government Agencies				
Department of Veterans Affairs	4	100,230	0	100,230
GSA/OPPE/Regulatory Information Service	5	11,840	0	11,840
Smithsonian Astrophysical Observatory	3	245,748	103,172	348,920
Total	12	\$357,818	\$103,172	\$460,990
Total FY 1999 – Federal	759	\$89,103,401	\$27,945,181	\$117,048,582
Total FY 1998 – Federal	711	75,327,374	23,079,983	98,407,357
% Change, FY 1998 to FY 1999	7%	18%	21%	19%

Figure 4

Distribution of Proposal Dollars by Federal Agencies • Fiscal Year 1999



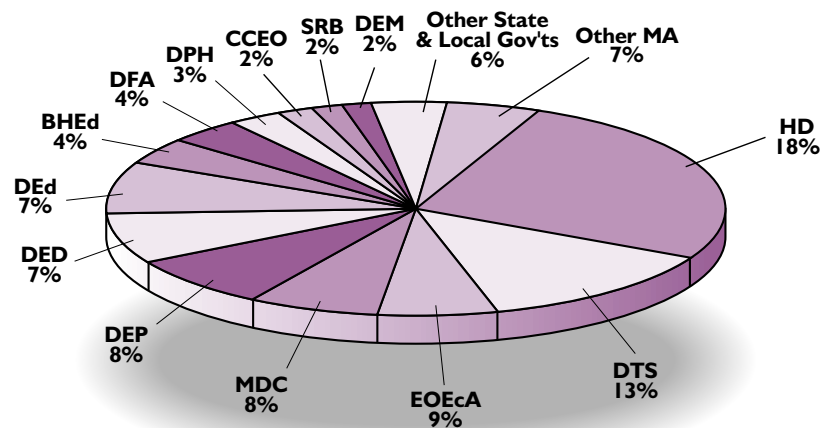
Total Value • \$117,048,582

Table 3 Proposals Submitted to the Commonwealth of Massachusetts Fiscal Year 1999

Sponsor	Proposals	Direct	Indirect	Total
MA Admin Office of the Trial Court	1	85,000	0	85,000
MA Army National Guard	1	46,363	4,636	50,999
MA Board of Higher Education	10	479,620	32,517	512,137
MA Board of Library Commissioners	3	30,000	0	30,000
MA Community Colleges Executive Office	1	222,000	0	222,000
MA Cultural Council	2	35,720	0	35,720
MA Dept of Economic Development	1	896,448	0	896,448
MA Dept of Education	13	805,837	72,102	877,939
MA Dept of Environmental Management	6	155,022	15,026	170,048
MA Dept of Environmental Protection	18	894,006	90,024	984,030
MA Dept of Fisheries, Wildlife, Envr	3	19,744	1,975	21,719
MA Dept of Food and Agriculture	10	473,087	17,636	490,723
MA Dept of Housing & Community Dev	1	26,315	2,631	28,946
MA Dept of Public Health	13	359,207	11,132	370,339
MA Dept of State Police	1	32,407	3,240	35,647

Figure 5

Distribution of Proposal Dollars to the Commonwealth of Massachusetts and Other States and Local Governments • Fiscal Year 1999



Total Value • \$12,008,819

- | | | | | | |
|------|------------------------------------|-----|----------------------------------|-------|----------------------------------|
| BHEd | Board of Higher Education | DEP | Dept of Environmental Protection | DTS | Dept of Transitional Services |
| CCEO | Community College Executive Office | DFA | Dept of Food & Agriculture | HD | Highway Department |
| DEd | Dept of Education | DFW | Division of Fisheries & Wildlife | EOEcA | Exec Off of Economic Affairs |
| DED | Department of Economic Development | DMA | Division of Medical Assistance | MDC | Metropolitan District Commission |
| DEM | Dept of Environmental Management | DPH | Dept of Public Health | | |

Table 3 • Proposals Submitted to the Commonwealth of Massachusetts • FY 1999

Sponsor	Proposals	Direct	Indirect	Total
MA Dept of Transitional Services	2	1,274,500	127,449	1,401,949
MA Division of Energy Resources	1	33,503	3,350	36,853
MA Division of Fisheries and Wildlife	9	123,764	1,836	125,600
MA Division of Forests and Parks	1	19,100	1,910	21,010
MA Division of Marine Fisheries	4	82,800	0	82,800
MA Environmental Trust	1	27,273	2,727	30,000
MA Exec Off of Environmental Affairs	15	977,146	97,716	1,074,862
MA Exec Off of Public Safety	2	37,500	0	37,500
MA Highway Department	8	2,009,168	200,918	2,210,086
MA Office for Victim Assistance	1	38,373	0	38,373
MA Office of Travel and Tourism	1	18,182	1,818	20,000
MA Port Authority/Massport	3	117,759	10,775	128,534
MA Service Alliance	1	40,000	0	40,000
MA State Reclamation Board	1	184,587	18,459	203,046
Metropolitan District Commission	7	909,620	90,962	1,000,582
Total FY 1999 – Commonwealth	141	\$10,454,051	\$808,839	\$11,262,890
Total FY 1998 – Commonwealth	109	5,285,638	347,104	5,632,742
% Change, FY 1998 to FY 1999	29%	98%	133%	100%

Table 4
Proposals Submitted to Other States and Local Governments
Fiscal Year 1999

Sponsor	Proposals	Direct	Indirect	Total
Amherst Town of	1	10,582	1,058	11,640
Athol-Royalston Reg School District	1	16,867	1,686	18,553
Belchertown Public Schools	1	5,653	0	5,653
Conn Dept of Environmental Protection	1	325	175	500
Connecticut Dept of Public Health	1	22,419	12,180	34,599
Dartmouth School Building Committee	1	9,078	908	9,986

Table 4 • Proposals Submitted to Other States and Local Governments • FY 1999

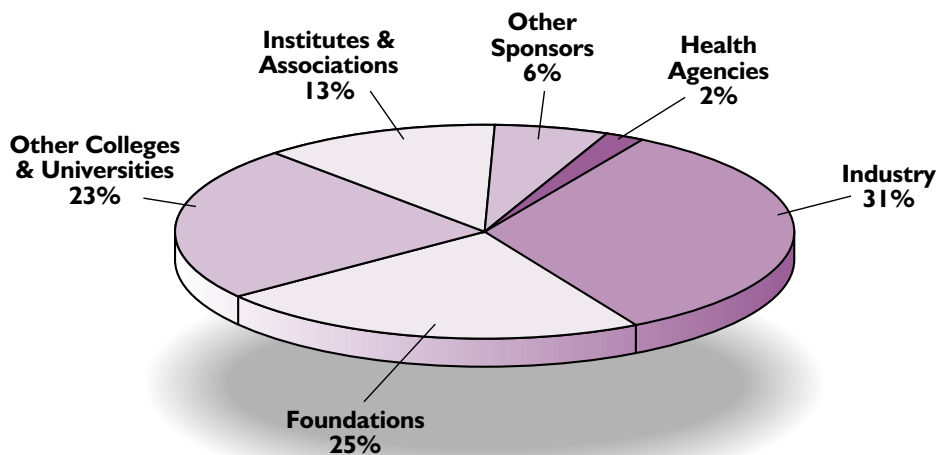
Sponsor	Proposals	Direct	Indirect	Total
Franklin/Hampshire Empl & Train Consortium	2	82,866	4,700	87,566
Greenfield Public Schools	2	16,288	1,629	17,917
Holyoke City of	1	24,400	2,400	26,800
Lawrence Public Schools	1	61,000	6,100	67,100
Martha's Vineyard Commission	1	20,000	2,000	22,000
Montague Economic Dev & Industrial Co	1	9,087	908	9,995
New England Transportation Consortium	1	51,612	28,387	79,999
North Adams Public Schools	1	16,866	1,687	18,553
NY Adirondack Park Agency	1	28,278	15,553	43,831
Pioneer Valley Planning Commission	2	41,587	4,159	45,746
South Central CT Reg Water Authority	1	83,276	45,385	128,661
Springfield City of	1	5,455	545	6,000
Springfield Public Schools	1	60,000	0	60,000
Wilbraham Public Library	1	7,249	725	7,974
Worcester County Conservation District	1	38,960	3,896	42,856
Total FY 1999 – Other States & Local Govts	24	\$611,848	\$134,081	\$745,929
Total FY 1998 – Other States & Local Govts	26	787,398	318,303	1,105,701
% Change, FY 1998 to FY 1999	-8%	-22%	-58%	-33%

Table 5
Proposals Submitted to the Private Sector
Fiscal Year 1999

Sponsor	Proposals	Direct	Indirect	Total
Non-Profit				
Foundations	92	5,544,536	605,385	6,149,921
Health Agencies	12	430,736	171,411	602,147
Institutes and Associations	96	2,738,113	607,490	3,345,603
Other Colleges and Universities	99	4,373,485	1,512,337	5,885,822
Other Sponsors	45	1,399,405	142,637	1,542,042
Total FY 1999 – Non-Profit	344	\$14,486,275	\$3,039,260	\$17,525,535
Total FY 1998 – Non-Profit	345	15,980,965	2,842,199	18,823,164
% Change, FY 1998 to FY 1999	0%	-9%	7%	-7%
Total FY 1999 – Industry	245	\$5,943,033	\$1,815,254	\$7,758,287
Total FY 1998 – Industry	319	7,656,753	2,088,365	9,745,118
% Change, FY 1998 to FY 1999	-23%	-22%	-13%	-20%
Total FY 1999 – Private Sector	589	\$20,429,308	\$4,854,514	\$25,283,822
Total FY 1998 – Private Sector	664	23,637,718	4,930,564	28,568,282
% Change, FY 1998 to FY 1999	-11%	-14%	-2%	-11%

Figure 6

Distribution of Proposal Dollars to Private Sector Sponsors • Fiscal Year 1999



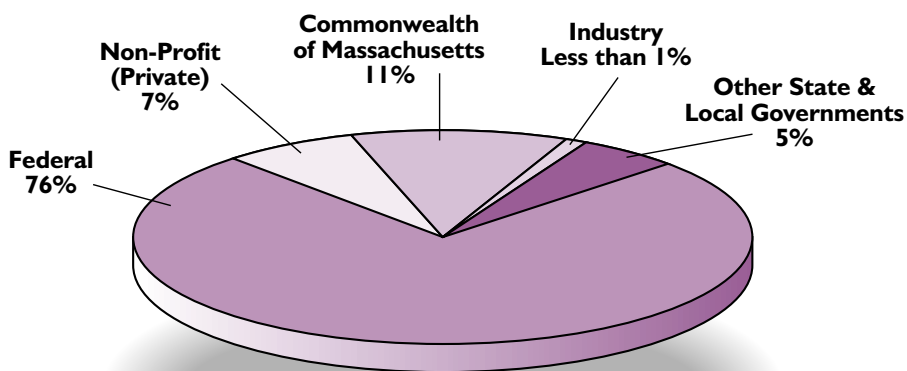
Total Value • \$25,283,822

Table 6
Proposals Submitted by Sponsor Category
Fiscal Year 1999

Sponsor Category	Proposals	Direct	Indirect	Total
Federal	759	\$89,103,401	\$27,945,181	\$117,048,582
Commonwealth of MA	141	\$10,454,051	\$808,839	\$11,262,890
Other States & Local Govts	24	\$611,848	\$134,081	\$745,929
Non-Profit	344	\$14,486,275	\$3,039,260	\$17,525,535
Industry	245	\$5,943,033	\$1,815,254	\$7,758,287
Total Fiscal Year 1999	1513	\$120,598,608	\$33,742,615	\$154,341,223

Figure 7

Distribution of Proposal Dollars by Sponsor Category • Fiscal Year 1999

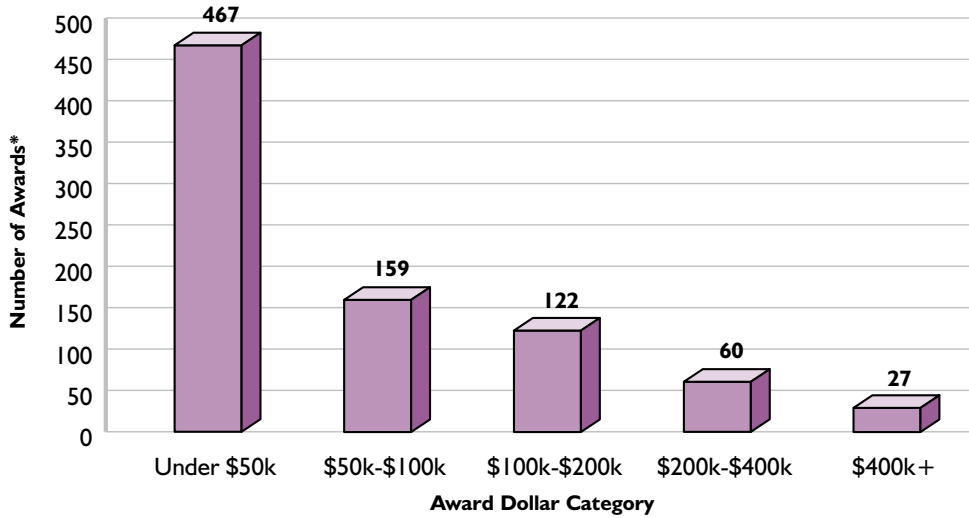


Total Value • \$154,341,223

Awards

Figure 8

Distribution of Awards by Dollar Category • Fiscal Year 1999



* Two or more FY 1999 awards in the same project were grouped together, therefore the total number shown here is less than the total number of awards received in FY '99.

Figure 9

Distribution of Awards by Principal Investigators • Fiscal Year 1999

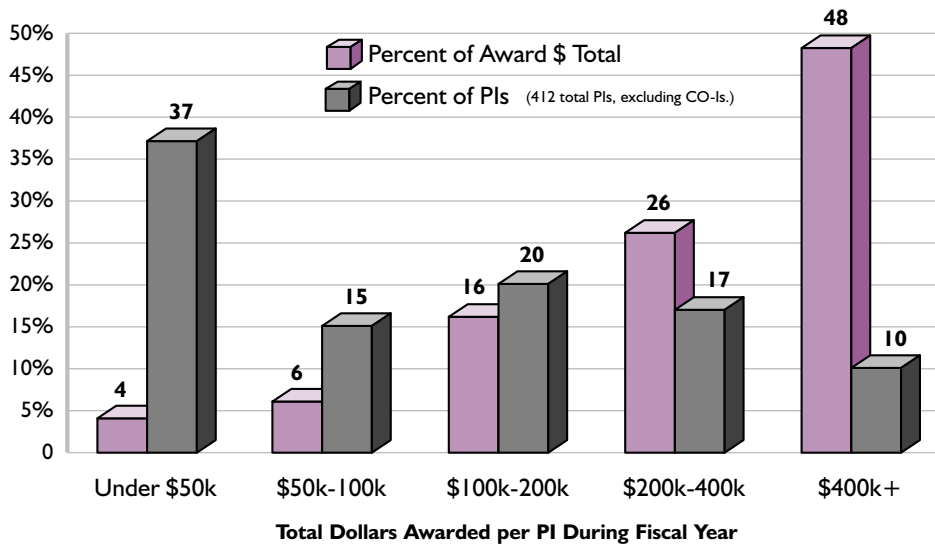
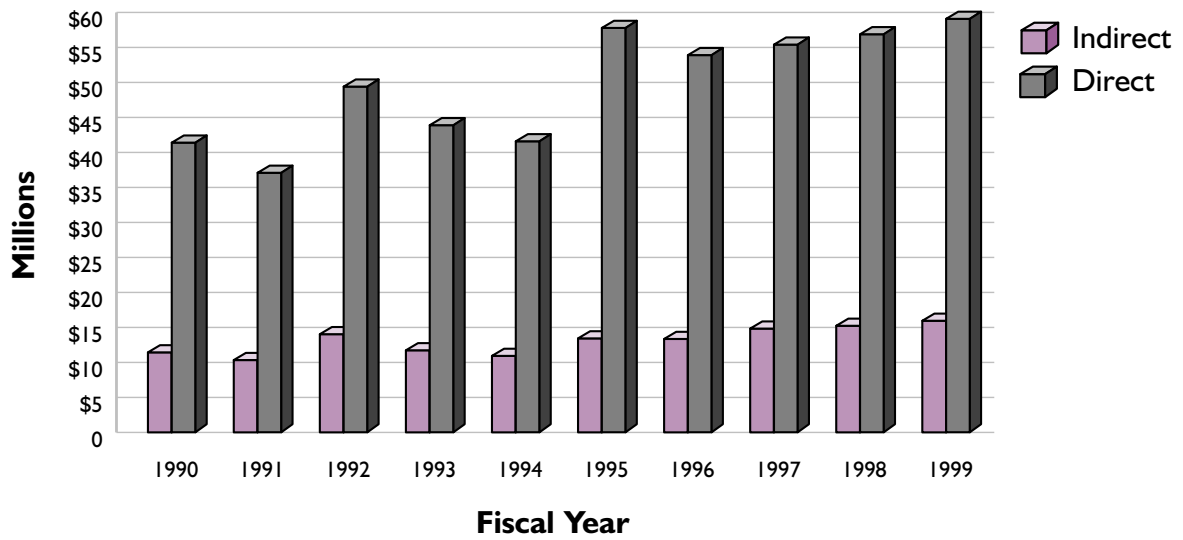


Figure 10

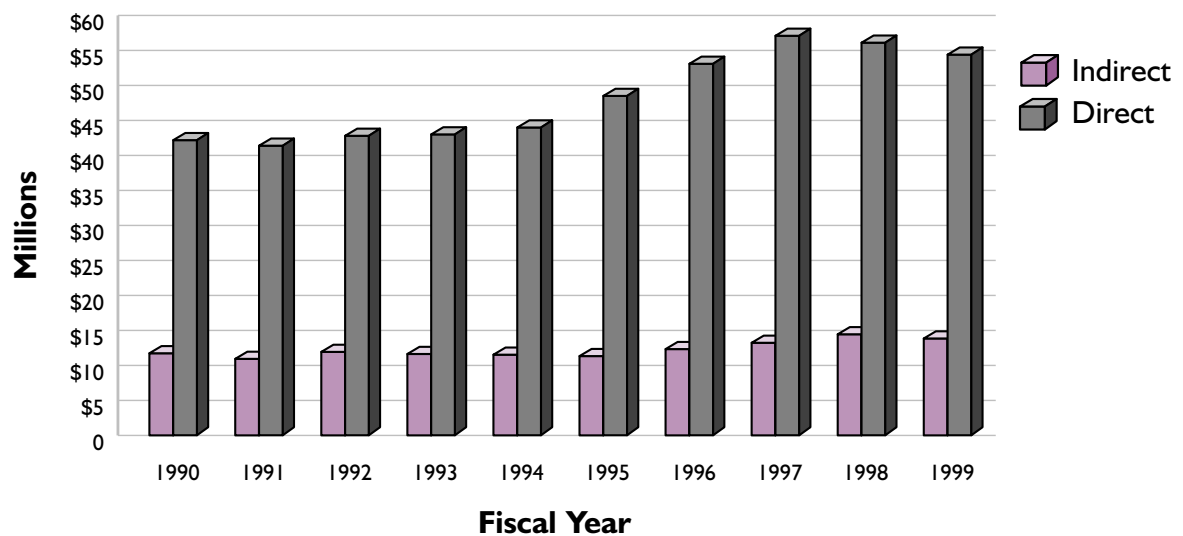
Direct and Indirect Dollar Value of Awards • Fiscal Years 1990-1999



	1990	1991	1992	1993	1994	1995	1996	1997	1998	1999
Direct	41.4	37.1	49.4	43.9	41.6	57.8	53.9	55.4	56.9	59.1
Indirect	11.4	10.3	14.0	11.7	10.9	13.4	13.3	14.8	15.2	15.9
Total	52.8	47.4	63.4	55.6	52.5	71.2	67.2	70.2	72.1	75.0

Figure 11

Direct and Indirect Dollar Expenditures • Fiscal Years 1990-1999 *Data obtained from the Budget Office*



	1990	1991	1992	1993	1994	1995	1996	1997	1998	1999
Direct	42.2	41.4	42.8	43.0	44.0	48.5	53.1	57.1	56.1	54.4
Indirect	11.7	10.9	11.9	11.6	11.5	11.3	12.3	13.2	14.4	13.8
Total	53.9	52.3	54.7	54.6	55.5	59.8	65.4	70.3	70.5	68.2

Table 7
Awards Accepted by Organizational Unit
Fiscal Year 1999

Organizational Unit	Proposals	Direct	Indirect	Total
Academic Administration				
Inst Advanced Study in the Humanities	1	90,000	0	90,000
MBU Total	1	\$90,000	\$0	\$90,000
Academic Support				
Fine Arts Center	7	200,720	0	200,720
International Programs	6	93,360	18,088	111,448
Teaching Development Center	1	75,000	0	75,000
MBU Total	14	\$369,080	\$18,088	\$387,168
Academic Support Services				
Academic Support Services	2	284,206	17,936	302,142
MBU Total	2	\$284,206	\$17,936	\$302,142
College of Engineering				
Dean-School of Engineering	2	109,800	56,867	166,667
Chemical Engineering	40	2,129,294	421,017	2,550,311
Civil & Environmental Engineering	18	920,987	399,484	1,320,471
Electrical and Computer Engineering	64	3,236,197	1,106,544	4,342,741
Mechanical and Industrial Engineering	44	1,901,009	653,286	2,554,295
UMASS Transportation Center	1	82,230	36,243	118,473
MBU Total	169	\$8,379,517	\$2,673,441	\$11,052,958
College of Food & Natural Resources				
Administration – CFNR	2	16,469	1,363	17,832
Consumer Studies	2	94,805	40,474	135,279
Entomology	60	1,400,874	177,670	1,578,544
Extension – Cranberry Station	32	401,618	21,404	423,022
Food Science	14	254,327	38,988	293,315
Forestry and Wildlife Management	71	1,887,343	200,901	2,088,244
Landscape Arch & Regional Planning	5	245,449	22,486	267,935
Microbiology	26	1,465,792	544,890	2,010,682
Plant and Soil Sciences	42	485,345	56,639	541,984
Resource Economics	9	343,707	33,725	377,432
Veterinary and Animal Sciences	11	1,314,336	358,809	1,673,145
MBU Total	274	\$7,910,065	\$1,497,349	\$9,407,414

Table 7 • Awards Accepted by Organizational Unit • FY 1999

Organizational Unit	Proposals	Direct	Indirect	Total
College of Humanities & Fine Arts				
Art History	1	57,131	4,571	61,702
Asian Languages & Literature	1	1,500	0	1,500
Comparative Literature	1	85,000	0	85,000
English	3	140,560	0	140,560
Germanic Languages and Literature	3	9,945	2,055	12,000
MBU Total	9	\$294,136	\$6,626	\$300,762
College of Natural Sciences and Math				
Biochemistry and Molecular Biology	23	1,844,078	732,838	2,576,916
Biology	37	2,900,138	897,599	3,797,737
Chemistry	43	2,957,855	920,803	3,878,658
Computer Science	84	6,414,182	2,489,413	8,903,595
Geosciences	27	1,322,732	555,803	1,878,535
Mathematics and Statistics	12	980,700	447,067	1,427,767
Physics and Astronomy	40	6,983,746	1,800,766	8,784,512
Polymer Science and Engineering	61	4,035,108	1,544,717	5,579,825
Scientific Reasoning Research Institute	1	164,484	88,821	253,305
MBU Total	328	\$27,603,023	\$9,477,827	\$37,080,850
College of Social & Behavioral Sciences				
Anthropology	4	141,103	53,132	194,235
Economics	5	825,373	83,583	908,956
MA Inst For Social & Economic Research	5	432,401	21,039	453,440
Political Science	2	309,426	23,480	332,906
Psychology	49	3,100,998	1,022,821	4,123,819
Sociology	8	212,775	24,425	237,200
MBU Total	73	\$5,022,076	\$1,228,480	\$6,250,556
Dean of Students				
Everywoman's Center	13	257,087	0	257,087
MBU Total	13	\$257,087	\$0	\$257,087
Human Resources				
Human Resources	7	163,354	12,061	175,415
MBU Total	7	\$163,354	\$12,061	\$175,415

Table 7 • Awards Accepted by Organizational Unit • FY 1999

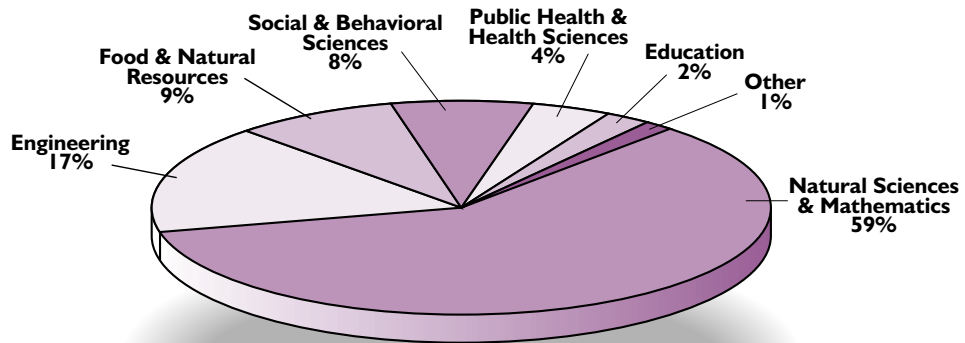
Organizational Unit	Proposals	Direct	Indirect	Total
Physical Plant				
Physical Plant Grounds Services Office	1	6,500	0	6,500
Physical Plant Waste Management	2	41,756	4,176	45,932
MBU Total	3	\$48,256	\$4,176	\$52,432
School of Education				
Educational Policy Research & Admin	15	1,039,945	222,412	1,262,357
Student Dev & Pupil Personnel Service	5	106,269	12,677	118,946
Teacher Ed & Curriculum Studies	15	156,927	11,876	168,803
MBU Total	35	\$1,303,141	\$246,965	\$1,550,106
School of Management				
Finance & Operations Management	1	1,755	0	1,755
MA Small Business Dev Ctr	4	2,714,344	0	2,714,344
Management	3	55,029	19,142	74,171
MBU Total	8	\$2,771,128	\$19,142	\$2,790,270
School of Nursing				
School of Nursing	6	476,643	24,321	500,964
MBU Total	6	\$476,643	\$24,321	\$500,964
School of Public Health & Health Sciences				
Office of the Dean-Health Sciences	1	29,995	0	29,995
Biostatistics and Epidemiology	14	362,803	164,012	526,815
Communications Disorders	4	428,920	148,741	577,661
Community Health Studies	3	107,964	9,832	117,796
Environmental Health Sciences	7	207,983	65,919	273,902
Exercise Science	4	191,611	60,426	252,037
Nutrition	4	1,309,594	131,675	1,441,269
MBU Total	37	\$2,638,870	\$580,605	\$3,219,475
University Library				
University Library – Admin Services	2	558	137	695
MBU Total	2	\$558	\$137	\$695

Table 7 • Awards Accepted by Organizational Unit • FY 1999

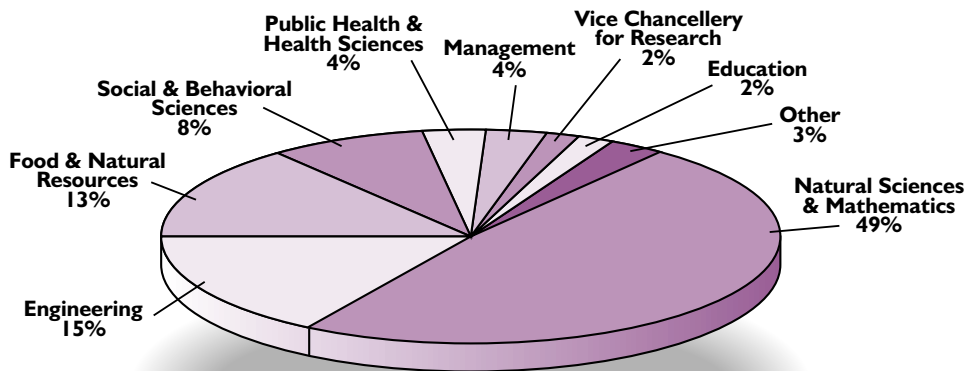
Organizational Unit	Proposals	Direct	Indirect	Total
University Outreach				
University Without Walls	2	19,962	1,613	21,575
WFCR	1	226,381	0	226,381
MBU Total	3	\$246,343	\$1,613	\$247,956
Vice Chancellery for Research				
Vice Chancellor For Research				
Office of the Vice Chancellor	3	211,662	6,262	217,924
MBU Total	3	\$211,662	\$6,262	\$217,924
Environmental Institute				
TEI – Forestry	2	40,191	8,038	48,229
The Environmental Institute	32	668,914	87,426	756,340
Water Res & Research Ctr	6	253,068	14,937	268,005
MBU Total	40	\$962,173	\$110,401	\$1,072,574
Research Services				
Office of Research Affairs	1	19,109	100	19,209
MBU Total	1	\$19,109	\$100	\$19,209
University Press				
University Press	6	29,000	0	29,000
MBU Total	6	\$29,000	\$0	\$29,000
Vice Chancellery for Research Total	50	\$1,221,944	\$116,763	\$1,338,707
<hr/>				
Cumulative Total FY 1999	1,034	\$59,079,427	\$15,925,530	\$75,004,957
Cumulative Total FY 1998	1,167	56,874,099	15,223,301	72,097,400
% Change, FY 1998 to FY 1999	-11%	4%	5%	4%

Figure 12

Distribution of Award Dollars by Major Organizational Unit • Fiscal Year 1999



Indirect Costs • \$15,925,530



Total Costs • \$75,004,957

Table 8
Awards Accepted from Federal Agencies
Fiscal Year 1999

Sponsor	Proposals	Direct	Indirect	Total
US Dept of Agriculture				
MIS/Animal and Plant Health Inspection	4	92,792	8,349	101,141
NRE/Forest Service	15	343,968	12,847	356,815
SEA/Coop State Res, Educ & Ext Service	6	702,480	100,520	803,000
SEA/Cooperative State Research Service	1	161,680	26,320	188,000
US Dept of Agriculture	3	186,136	9,864	196,000
USDA/Agricultural Research Service	2	125,525	0	125,525
Total	31	\$1,612,581	\$157,900	\$1,770,481
US Dept of Commerce				
Economic Development Administration	1	102,780	8,220	111,000
National Institute of Standards & Technology	2	118,440	30,795	149,235
NOAA/National Marine Fisheries Service	3	92,480	18,496	110,976
NOAA/National Oceanic & Atmospheric	10	219,739	52,532	272,271
US Dept of Commerce	1	24,900	0	24,900
Total	17	\$558,339	\$110,043	\$668,382
US Dept of Defense				
Air Force	20	2,164,438	1,020,896	3,185,334
Air Force Office of Scientific Research	7	859,846	267,812	1,127,658
Army	2	93,396	46,730	140,126
Army Natick R&D & Engineering Ctr	1	33,691	0	33,691
Army Research Office	9	574,471	92,177	666,648
Naval Command, Control Osc Rdte Div	1	24,500	0	24,500
Office of Naval Research	11	2,281,120	780,353	3,061,473
US Dept of Defense	1	24,500	0	24,500
Total	52	\$6,055,962	\$2,207,968	\$8,263,930
US Dept of Education				
Save The Children	1	218,976	61,228	280,204
US Dept of Education	12	896,199	97,630	993,829
Total	13	\$1,115,175	\$158,858	\$1,274,033
US Dept of Energy				
US Dept of Energy	19	1,764,867	777,225	2,542,092
Total	19	\$1,764,867	\$777,225	\$2,542,092

Table 8 • Awards Accepted from Federal Agencies • FY 1999

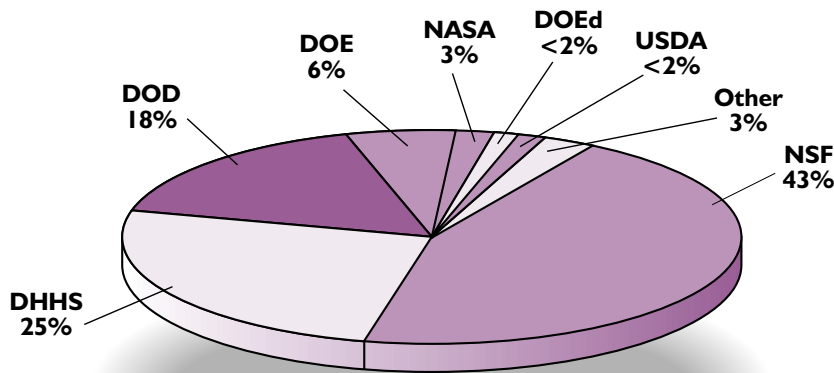
Sponsor	Proposals	Direct	Indirect	Total
US Dept of Health and Human Services				
Admin for Children & Families	1	15,000	0	15,000
PHS/Centers for Disease Control	1	16,310	0	16,310
PHS/Health Resources and Services Adm	3	208,981	0	208,981
PHS/National Institutes of Health	84	7,565,357	3,002,875	10,568,232
US Dept of Health and Human Services	1	217,379	17,390	234,769
Total	90	\$8,023,027	\$3,020,265	\$11,043,292
US Dept of Interior				
Geological Survey	12	327,872	33,623	361,495
National Park Service	2	108,800	27,200	136,000
US Fish and Wildlife Service	11	165,570	24,421	189,991
Total	25	\$602,242	\$85,244	\$687,486
US Dept of State				
Agency for International Development	1	45,274	0	45,274
Total	1	45,274	0	45,274
US Dept of Transportation				
Federal Highway Administration	1	30,798	16,939	47,737
Federal Railroad Administration	1	62,062	33,820	95,882
National Highway Institute	1	1,755	0	1,755
US Dept of Transportation	1	24,500	0	24,500
Total	4	\$119,115	\$50,759	\$169,874
Independent Establishments & Govt Corps				
Environmental Protection Agency	3	54,554	21,248	75,802
National Aero & Space Administration	18	938,166	379,466	1,317,632
National Endowment for the Humanities	1	4,491	1,509	6,000
National Science Foundation	143	15,419,852	5,250,655	20,670,507
Peace Corps	1	14,196	1,136	15,332
Small Business Administration	2	1,802,896	0	1,802,896
US Information Agency	1	266,460	0	266,460
US Nuclear Regulatory Commission	2	63,953	21,978	85,931
Total	171	\$18,564,568	\$5,675,992	\$24,240,560
Other/Quasi Government Agencies				
Department of Veterans Affairs	4	101,233	1,627	102,860
GSA/OPPE/Regulatory Information Serv	5	11,840	0	11,840

Table 8 • Awards Accepted from Federal Agencies • FY 1999

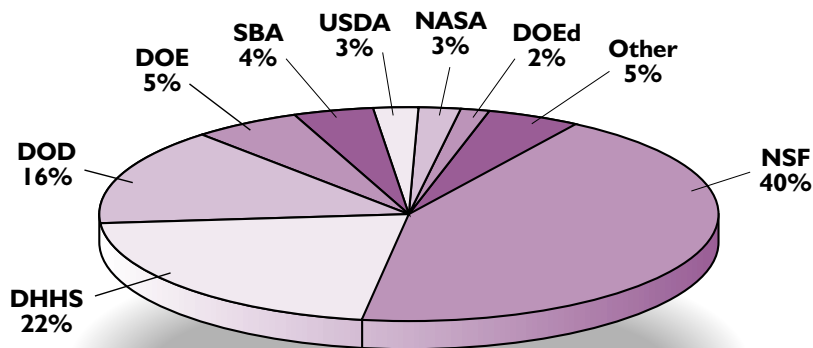
Sponsor	Proposals	Direct	Indirect	Total
Other/Quasi Government Agencies Cont'd				
National Fish and Wildlife Foundation	1	50,000	0	50,000
Smithsonian Astrophysical Observatory	3	100,435	43,966	144,401
Total	13	\$263,508	\$45,593	\$309,101
Total FY 1999 – Federal	436	\$38,724,658	\$12,289,847	\$51,014,505
Total FY 1998 – Federal	483	36,184,567	11,496,637	47,681,204
% Change, FY 1998 to FY 1999	-10%	7%	7%	7%

Figure 13

Distribution of Award Dollars from Federal Agencies • Fiscal Year 1999



Indirect Costs • \$12,289,847



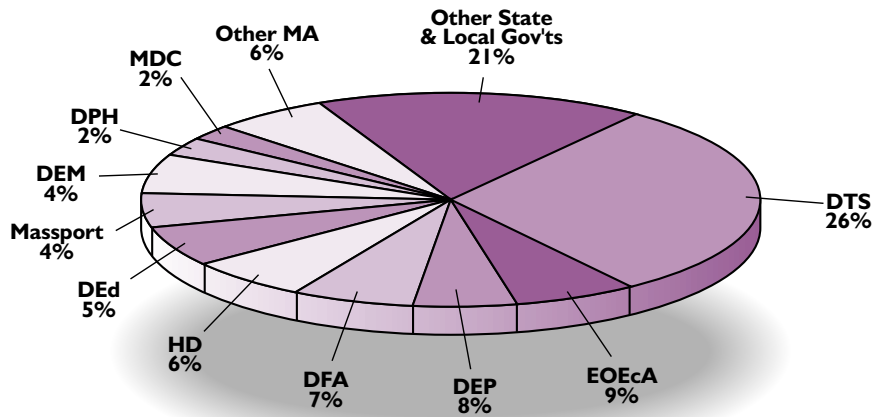
Total Costs • \$51,014,505

Table 9
Awards Accepted from the Commonwealth of Massachusetts
Fiscal Year 1999

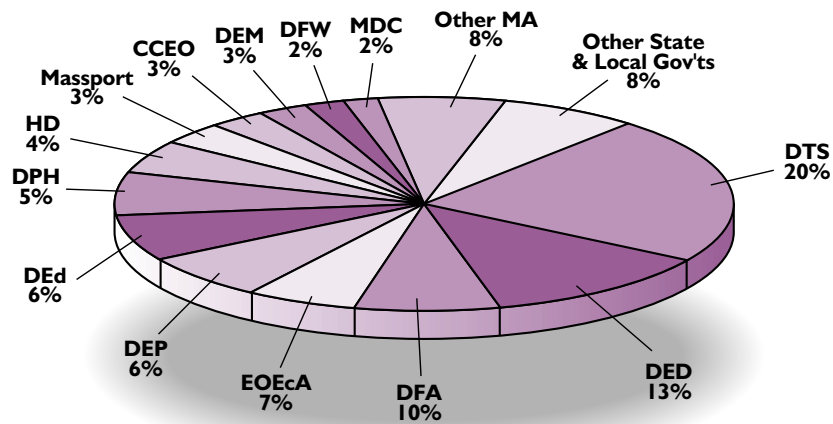
Sponsor	Proposals	Direct	Indirect	Total
MA Admin Office of The Trial Court	1	85,000	0	85,000
MA Army National Guard	1	46,363	4,636	50,999
MA Board of Higher Education	6	66,046	5,284	71,330
MA Community Colleges Executive Office	1	222,000	0	222,000
MA Cultural Council	2	35,720	0	35,720
MA Dept of Economic Development	1	896,448	0	896,448
MA Dept of Education	10	412,881	24,778	437,659
MA Dept of Environmental Management	6	195,717	19,571	215,288
MA Dept of Environmental Protection	11	401,013	39,439	440,452
MA Dept of Fisheries Wildlife Environmental Law	2	14,409	1,091	15,500
MA Dept of Food and Agriculture	10	663,541	36,682	700,223
MA Dept of Housing & Community Dev	1	26,315	2,631	28,946
MA Dept of Public Health	13	344,652	11,132	355,784
MA Dept of State Police	1	32,407	3,240	35,647
MA Dept of Transitional Services	2	1,274,500	127,449	1,401,949
MA Division of Energy Resources	1	33,503	3,350	36,853
MA Division of Fisheries and Wildlife	11	137,632	3,223	140,855
MA Division of Forests and Parks	1	19,100	1,910	21,010
MA Division of Marine Fisheries	5	100,300	0	100,300
MA Exec Off of Environmental Affairs	15	454,440	45,445	499,885
MA Exec Off of Public Safety	2	25,000	0	25,000
MA Highway Department	3	272,350	27,236	299,586
MA Office for Victim Assistance	1	37,255	0	37,255
MA Office of Travel and Tourism	1	18,182	1,818	20,000
MA Port Authority/Massport	3	209,091	19,909	229,000
Metropolitan District Commission	3	109,091	10,909	120,000
Total FY 1999 – Commonwealth	114	\$6,132,956	\$389,733	\$6,522,689
Total FY 1998 – Commonwealth	94	4,379,791	250,478	4,630,269
% Change, FY 1998 to FY 1999	21%	40%	56%	41%

Figure 14

Distribution of Award Dollars from Commonwealth of Massachusetts and Other States and Local Governments • Fiscal Year 1999



Indirect Costs • \$498,238



Total Costs • \$7,148,812

BHEd	Board of Higher Education	DEP	Dept of Environmental Protection	DTS	Dept of Transitional Services
CCEO	Community College Executive Office	DFA	Dept of Food & Agriculture	HD	Highway Department
DEd	Dept of Education	DFW	Division of Fisheries & Wildlife	EOEcA	Exec Off of Economic Affairs
DED	Department of Economic Development	DMA	Division of Medical Assistance	MDC	Metropolitan District Commission
DEM	Dept of Environmental Management	DPH	Dept of Public Health		

Table 10
Awards Accepted from Other States and Local Governments
Fiscal Year 1999

Sponsor	Proposals	Direct	Indirect	Total
Amherst Town of	1	10,582	1,058	11,640
Athol-Royalston Reg School District	1	16,867	1,686	18,553
Belchertown Public Schools	1	5,653	0	5,653
Conn Dept of Environmental Protection	1	325	175	500
Dartmouth School Building Committee	1	9,078	908	9,986
Franklin/Hampshire Empl & Train Consortium	2	43,213	2,450	45,663
Greenfield Public Schools	2	16,881	1,689	18,570
Holyoke City of	1	24,400	2,400	26,800
Lawrence Public Schools	1	61,000	6,100	67,100
Martha's Vineyard Commission	1	20,000	2,000	22,000
Montague Economic Dev & Industrial Co	1	9,087	908	9,995
New England Transportation Consortium	1	82,230	36,243	118,473
North Adams Public Schools	1	16,866	1,687	18,553
Pioneer Valley Planning Commission	1	6,496	650	7,146
South Central CT Reg Water Authority	1	83,276	45,385	128,661
Springfield City of	1	5,455	545	6,000
Springfield Public Schools	1	60,000	0	60,000
Wilbraham Public Library	1	7,249	725	7,974
Worcester County Conservation District	1	38,960	3,896	42,856
Total FY 1999-Other States & Local Govts	21	\$517,618	\$108,505	\$626,123
Total FY 1998-Other States & Local Govts	25	659,797	162,306	822,103
% Change, FY 1998 to FY 1999	-16%	-22%	-33%	-24%

Table 11

Awards Accepted from the Private Sector

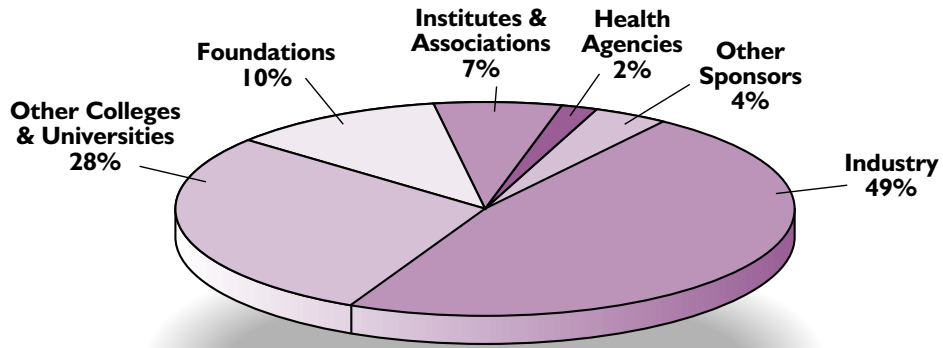
Fiscal Year 1999

Sponsor	Proposals	Direct	Indirect	Total
Non-Profit				
Foundations	49	3,001,346	312,387	3,313,733
Health Agencies	7	166,203	75,702	241,905
Institutes and Associations	67	1,073,122	236,200	1,309,322
Other Colleges and Universities*	75	2,968,988	866,514	3,835,502
Other Sponsors	32	969,776	111,596	1,081,372
Total FY 1999 – Non-Profit	230	\$8,179,435	\$1,602,399	\$9,781,834
Total FY 1998 – Non-Profit	262	9,078,287	1,543,177	10,621,464
% Change, FY 1998 to FY 1999	-12%	-10%	4%	-8%
Total FY 1999 – Industry	233	\$5,524,760	\$1,535,046	\$7,059,806
Total FY 1998 – Industry	303	6,571,657	1,770,703	8,342,360
% Change, FY 1998 to FY 1999	-23%	-16%	-13%	-15%
Total FY 1999 – Private Sector	463	\$13,704,195	\$3,137,445	\$16,841,640
Total FY 1998 – Private Sector	565	15,649,944	3,313,880	18,963,824
% Change, FY 1998 to FY 1999	-18%	-12%	-5%	-11%

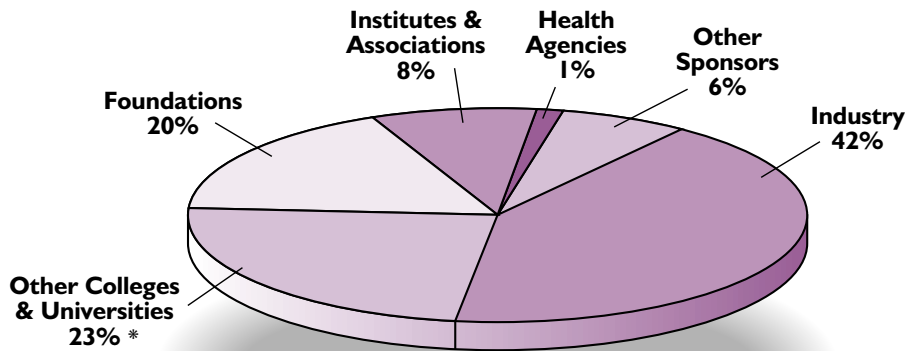
*Approximately 62% of the total is from prime sponsors, most of which are Federal Agencies.

Figure 15

Distribution of Award Dollars from the Private Sector • Fiscal Year 1999



Indirect Costs • \$3,137,445



Total Costs • \$16,841,640

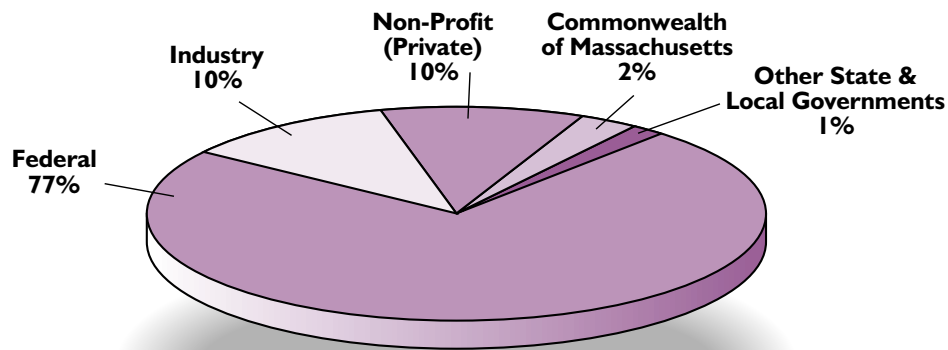
* Please see note on Table 11

Table 12
Summary of Awards Accepted by Sponsor Category
Fiscal Year 1999

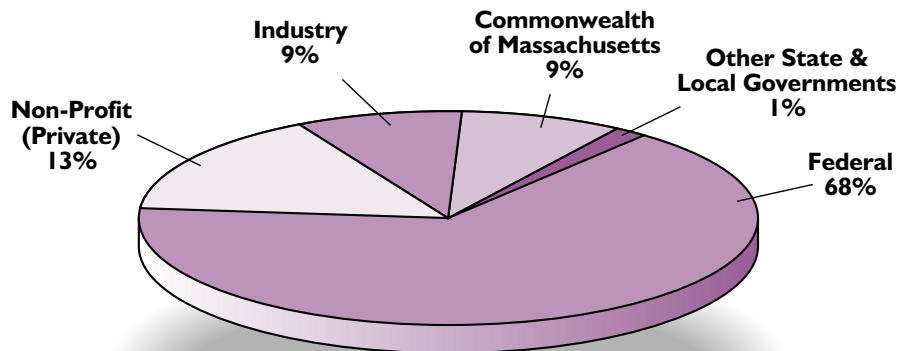
Sponsor Category	Proposals	Direct	Indirect	Total
Federal	436	\$38,724,658	\$12,289,847	\$51,014,505
Commonwealth of Massachusetts	114	\$6,132,956	\$389,733	\$6,522,689
Other States & Local Govts	21	\$517,618	\$108,505	\$626,123
Private Sector – Industry	230	\$8,179,435	\$1,602,399	\$9,781,834
Private Sector – Non-Profit	233	\$5,524,760	\$1,535,046	\$7,059,806
Total Fiscal Year 1999	1,034	\$59,079,427	\$15,925,530	\$75,004,957

Figure 16

Distribution of Award Dollars by Sponsor Category • Fiscal Year 1999



Indirect Costs • \$15,925,530



Total Costs • \$75,004,957

Table 13
Summary of Project Characteristics &
Award Types by Sponsor Category
Fiscal Year 1999

	Project Type	Award Type	Number Awards	\$ Amount Awards
Federal	Research	Grant	312	34,979,704
	Instruction	Grant	4	479,139
	Other	Grant	11	810,212
	Research	Contract	98	12,538,410
	Instruction	Contract	3	44,992
	Other	Contract	8	2,162,048
Commonwealth of Massachusetts	Research	Grant	1	10,000
	Instruction	Grant	0	0
	Other	Grant	0	0
	Research	Contract	75	3,320,845
	Instruction	Contract	11	368,649
	Other	Contract	27	2,823,195
Other States & Local Govt's	Research	Grant	1	18,553
	Instruction	Grant	0	0
	Other	Grant	2	11,853
	Research	Contract	11	441,999
	Instruction	Contract	1	41,863
	Other	Contract	6	111,855
Non-Profit Private	Research	Grant	85	3,587,554
	Instruction	Grant	6	83,195
	Other	Grant	33	722,835
	Research	Contract	83	4,257,197
	Instruction	Contract	3	29,432
	Other	Contract	20	1,110,621
Industry	Research	Grant	116	1,515,965
	Instruction	Grant	0	0
	Other	Grant	9	127,160
	Research	Contract	91	4,673,556
	Instruction	Contract	0	0
	Other	Contract	17	743,125
Total			1,034	\$75,004,957

Notes

I. Reporting Costs, Awarded vs. Recovered

There is often a significant difference between the funds reported in the OGCA Report of Sponsored Activities (RSA) as awarded during the fiscal year to the Amherst Campus, and the University's Financial Records Systems (FRS), of funds expended and indirect costs earned during the same fiscal year. This discrepancy can be especially problematic in projecting indirect cost.

To clarify:

A. The OGCA Report of Sponsored Activities lists the amount of firm commitments awarded by outside sponsors to the University during the period of the fiscal year being reported. This does not necessarily coincide with the effective dates for incurring expenditures and recovering indirect costs. Figures 10 and 11 on page 20 illustrate the differences between dollars awarded and dollars expended over a ten year period.

B. If a multiple year award is issued, the firm commitment of funds is reported in the RSA. For example, if a three year award is issued with either incremental funding or firm commitment for the first year only, we report only the amount of the increment or the first year (generally the effective dates will reflect only the first period). The remainder of the funds and effective dates are reported when the sponsor authorizes or releases the additional funds. If the Sponsor authorizes the full amount with no contingencies for a multiple year period, then the total amount for the full project period is reported in the same year it was awarded.

C. The University Financial System reports expenditures and indirect cost recovery during the period that the awards are active. Indirect costs are charged and recovered monthly, based on the current month's actual expenditures of each account/award.

As a result of the two reporting functions, awarded vs. earned indirect costs in any given period cannot be reconciled exactly. However, the data from both systems are valuable in the University's analyses and projections.

2. Awards with negative dollar amounts.

Reductions of awards, e.g. sponsor mandated reduction, early termination, transfer of grant to another institution, etc., are recorded as negative dollar amounts. They are listed in the report as credits with new OGCA numbers. This serves to report changes in awards during the period in which they occur.

3. Report Distribution and Availability.

This report and further details on individual awards and sponsors are available online at:

<http://www.umass.edu/research/ogca>

For a printed copy of the Sponsor Supplement and Award Detail report please send a written request to:

Wayne Gelineau
gelineau@admin.umass.edu
OGCA, 408 Goodell Building

◆ Awards ◆ Proposals ◆ Funding ◆ Projects ◆ Collaboration ◆ Teaming Agreements ◆ Sp
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