

*Sponsorship ♦ Scholarship ♦  
Awards Management ♦  
Contract ♦ Cooperative  
Health Agencies ♦  
Facilitation ♦ Awards ♦  
Student Support ♦  
Interpretation ♦  
Cooperative Agreement ♦ Basic  
Institutes ♦ Associations ♦  
Proposals ♦ Funding ♦  
Education ♦  
Reasonableness  
Basic Agreement ♦  
Associations ♦ Audits ♦  
Funding ♦ Projects ♦  
Allocability ♦  
Reasonableness of Cost ♦  
Agreement ♦ Foundations ♦  
Audits ♦ Intellectual Property  
Collaboration ♦  
Liaison ♦ Contract*

# **Sponsored Activities Annual Report Fiscal Year 2000**



**Supporting Tomorrow Today**

**University of Massachusetts Amherst  
Office of Grant and Contract Administration**

# Office of Grant and Contract Administration

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## Staff Directory

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### Directors

**Maggie K. Vidrine** – Acting Director (5-5890)

**Carol Sprague** – Acting Associate Director (5-0296)

**Jennifer Donais** – Assistant Director (5-5888)

Margo Zobka – Office Manager (7-1590)

Dianne Madigan – Receptionist (5-0698)

Reprographics (5-5889)

### Proposal Processing

#### Fiscal Administrator

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Wayne Gelineau – Database Manager (5-5897)

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This Annual Report and current monthly data, as well as other sponsored activity information and resources are available on our website at <http://www.umass.edu/research/ogca>

# Table of Contents

---

## Comments from the Vice Chancellor for Research 3

---

### Proposals

#### Ten Year Summary 5

- Figure 1 Proposal Dollars – Fiscal Years 1991-2000
  - Figure 2 Number of Proposals – Fiscal Years 1991-2000
- 

#### Proposals by Organizational Unit • Fiscal Year 2000 6

- Table 1 Proposals Submitted by Organizational Units of the University
  - Figure 3 Distribution of Proposal Dollars by Major Organizational Unit
- 

#### Proposals by Sponsor • Fiscal Year 2000 11

- Table 2 Proposals Submitted to Federal Agencies
  - Figure 4 Distribution of Proposal Dollars by Federal Agencies
  - Table 3 Proposals Submitted to the Commonwealth of Massachusetts
  - Table 4 Proposals Submitted to Other States and Local Governments
  - Figure 5 Distribution of Proposal Dollars to the Commonwealth of Massachusetts
  - Figure 6 Distribution of Proposal Dollars to Private Sector Sponsors
  - Table 5 Proposals Submitted to the Private Sector
  - Figure 7 Distribution of Proposal Dollars by Sponsor Category
  - Table 6 Summary of Proposals Submitted by Sponsor Category
- 

### Awards

#### Award Distribution Summaries 19

- Figure 8 Distribution of Awards by Dollar Category – Fiscal Year 2000
- Figure 9 Distribution of Awards to PIs – Fiscal Year 2000

#### Ten Year Summary 20

- Figure 10 Direct, Indirect & Total Dollar Value of Awards – Fiscal Years 1991-2000
  - Figure 11 Direct, Indirect & Total Dollar Expenditures – Fiscal Years 1991-2000
- 

#### Awards by Organizational Unit • Fiscal Year 2000 21

- Table 7 Awards Accepted by Organizational Units of the University
  - Figure 12 Distribution of Award Dollars by Major Organizational Unit
- 

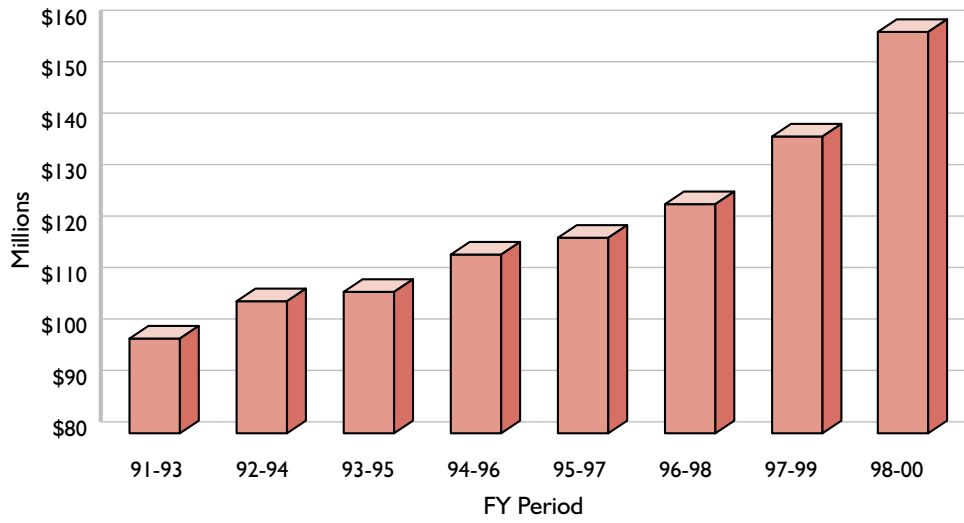
#### Awards by Sponsor • Fiscal Year 2000 26

- Table 8 Awards Accepted from Federal Agencies
  - Figure 13 Distribution of Award Dollars from Federal Agencies
  - Table 9 Awards Accepted from the Commonwealth of Massachusetts
  - Figure 14 Distribution of Award Dollars from the Commonwealth of Massachusetts and Other State and Local Governments
  - Table 10 Awards Accepted from Other States and Local Governments
  - Table 11 Awards Accepted from the Private Sector
  - Figure 15 Distribution of Award Dollars from Private Sector Sponsors
  - Table 12 Summary of Awards Accepted by Sponsor Category
  - Figure 16 Distribution of Award Dollars by Sponsor Category
  - Table 13 Summary of Project Characteristic & Award Types by Sponsor Category
- 

### Notes

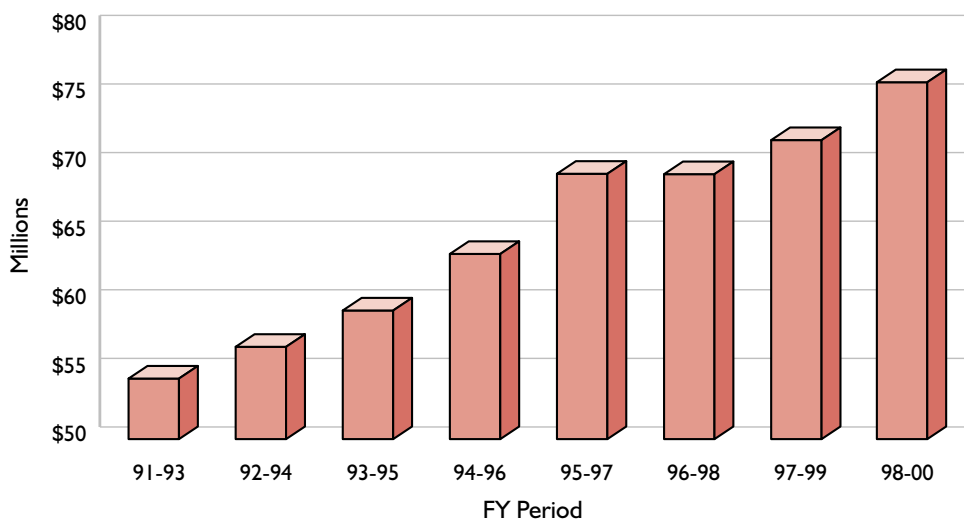
**Figure A**

Proposal Dollars • Three Year Rolling Averages • Fiscal Years 1991-2000



**Figure B**

Award Dollars • Three Year Rolling Averages • Fiscal Years 1991-2000



## Comments from the Vice Chancellor for Research

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I am happy to bring you the annual report of sponsored activities for Fiscal Year 2000. This year continues a decennial trend of growth in both proposal and award activity that exceeds inflation. This is best presented by the three-year rolling averages in Figures A & B that introduce this report. I'd like to call your attention to two areas. First is the distribution of the awards by dollar category along with the distribution by Investigator. Secondly, I'd like to focus on proposal activity, primarily because it is under the control of the campus, whereas there are many mitigating factors that influence award outcomes.

Figures 8 and 9 provide a summary of the distribution of awards by dollar volume and the number of investigators associated with award total categories. The dramatic conclusion from these figures is the high amount of granting activity associated with small grants. The implication for a campus that aspires to substantial growth in sponsored activity is that more attempts need to be made to increase the average award size. I have asked that the Research Council look more closely at these numbers to determine what the institutional barriers may be to increasing award sizes. Obviously there is no one single answer, but it is clear that greater attention needs to be spent on understanding the development path from small grants to larger ones.

Proposal activity this year experienced a sizable increase (24%) in dollars requested. This increase is wholly attributable to the efforts of three departments, Computer Science, Civil and Environmental Engineering and Electrical and Computer Engineering. It is a testimony to the fact that concentrated effort can have a significant impact. I'd like to acknowledge the enormous effort represented in these numbers and congratulate all those involved.

Just a few closing remarks about our funding sector makeup. Figures 7 and 16 show the overall distribution of proposal and award dollars by funding sector. This distribution has stayed pretty constant over the last year. One last trend deserves pointing out. Table 13 attempts to categorize our awards by whether they are grants or contracts. The trend of course has been to more contracts. The sad fact is that contracts require significantly more oversight and accountability and cost the university more dollars to administer. This trend simply demands more creativity in streamlining for more efficiency.



Frederick W. Byron, Jr.

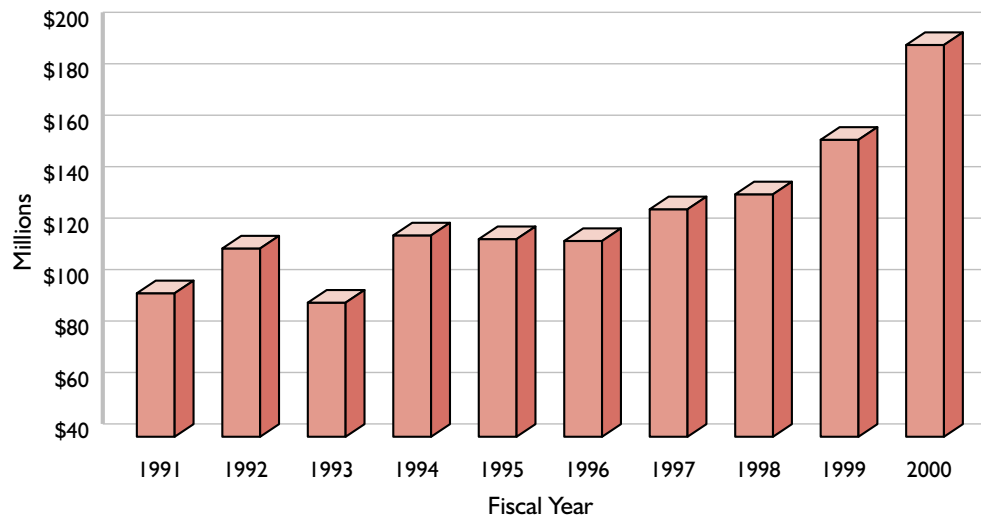
Vice Chancellor for Research



# Proposals

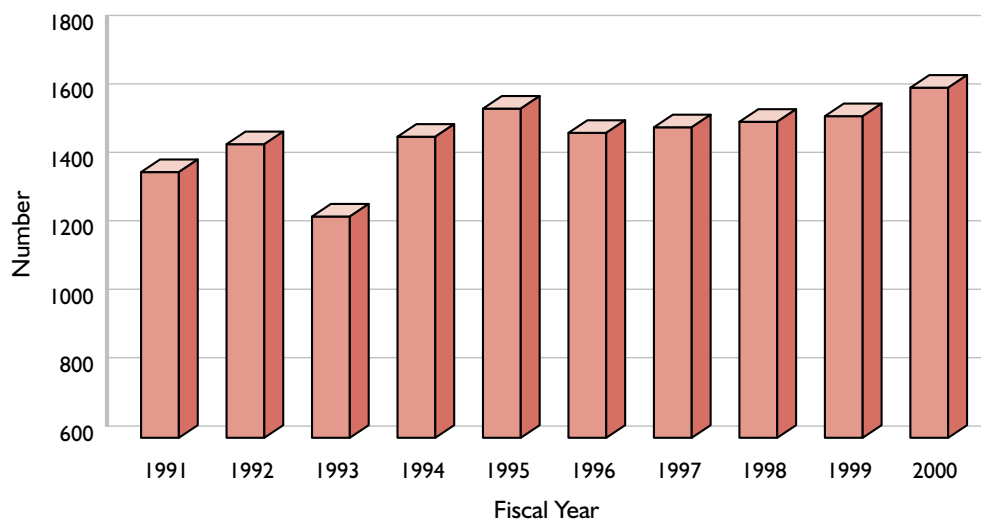
**Figure 1**

Proposal Dollars • Fiscal Years 1991-2000



**Figure 2**

Number of Proposals • Fiscal Years 1991-2000



**Table 1**  
**Proposals Submitted by Organizational Unit**  
**Fiscal Year 2000**

<b>Organizational Unit</b>	<b>Proposals</b>	<b>Direct</b>	<b>Indirect</b>	<b>Total</b>
<b>Academic Administration</b>				
Provost's Office	1	0	0	0
<b>MBU Total</b>	<b>1</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>Academic Support</b>				
Fine Arts Center	30	847,437	30,667	878,104
International Programs	4	67,496	0	67,496
<b>MBU Total</b>	<b>34</b>	<b>\$914,933</b>	<b>\$30,667</b>	<b>\$945,600</b>
<b>Academic Support Services</b>				
Academic Support Services	3	333,261	26,661	359,922
<b>MBU Total</b>	<b>3</b>	<b>\$333,261</b>	<b>\$26,661</b>	<b>\$359,922</b>
<b>College of Engineering</b>				
Office of the Dean–School of Engineering	1	105,069	54,607	159,676
Chemical Engineering	55	2,610,530	738,553	3,349,083
Civil & Environmental Engineering	43	15,535,254	3,206,289	18,741,543
Electrical & Computer Engineering	96	9,394,025	2,807,096	12,201,121
Mechanical & Industrial Engineering	63	4,584,201	1,345,563	5,929,764
UMASS Transportation Center	2	66,296	6,630	72,926
<b>MBU Total</b>	<b>260</b>	<b>\$32,295,375</b>	<b>\$8,158,738</b>	<b>\$40,454,113</b>
<b>College of Food &amp; Natural Resources</b>				
Administration–CFNR	4	40,703	2,322	43,025
Consumer Studies	2	50,000	5,000	55,000
Entomology	81	3,398,584	640,251	4,038,835
Environmental Science	1	50,641	4,052	54,693
Extension–Cranberry Station	28	299,010	26,203	325,213
Food Science	30	1,622,031	293,434	1,915,465
Hotel Restaurant & Travel Admin	3	26,565	3,985	30,550
Landscape Architecture & Regional Planning	4	396,938	58,636	455,574
Microbiology	47	2,099,818	1,009,697	3,109,515
Natural Resources Conservation	78	3,505,012	720,289	4,225,301
Plant & Soil Sciences	55	1,026,255	140,124	1,166,379
Resource Economics	9	548,697	76,359	625,056
Stockbridge	1	19,522	0	19,522
Veterinary & Animal Sciences	29	3,118,624	1,042,067	4,160,691
<b>MBU Total</b>	<b>372</b>	<b>\$16,202,400</b>	<b>\$4,022,419</b>	<b>\$20,224,819</b>



*Table 1 • Proposals Submitted by Organizational Unit • FY 2000*

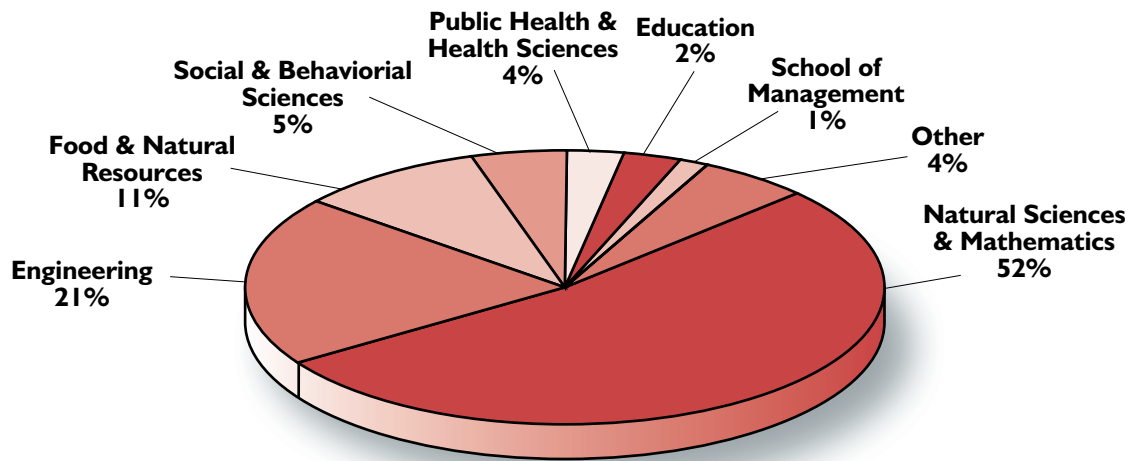
<b>Organizational Unit</b>	<b>Proposals</b>	<b>Direct</b>	<b>Indirect</b>	<b>Total</b>
<b>College of Humanities &amp; Fine Arts</b>				
Office of the Dean–College of Humanities and Fine Arts	1	1,091	109	1,200
Afro-American Studies	1	8,000	0	8,000
Art History	1	79,252	6,340	85,592
English	6	162,935	0	162,935
Germanic Languages & Literature	1	15,000	0	15,000
History	1	182,620	14,610	197,230
Linguistics	9	962,288	322,421	1,284,709
Spanish and Portuguese Languages & Literature	1	177,194	14,175	191,369
<b>MBU Total</b>	<b>21</b>	<b>\$1,588,380</b>	<b>\$357,655</b>	<b>\$1,946,035</b>
<b>College of Natural Sciences &amp; Math</b>				
Biochemistry & Molecular Biology	29	3,714,220	1,353,448	5,067,668
Biology	48	4,488,938	1,595,415	6,084,353
Chemistry	67	5,254,034	1,259,541	6,513,575
Computer Science	152	41,703,056	16,773,253	58,476,309
Geosciences	50	2,089,591	972,190	3,061,781
Mathematics & Statistics	35	2,028,068	653,383	2,681,451
Physics & Astronomy	68	7,071,325	2,010,085	9,081,410
Polymer Science & Engineering	105	5,508,140	1,880,666	7,388,806
Scientific Reasoning Research Institute	5	607,329	249,224	856,553
<b>MBU Total</b>	<b>559</b>	<b>\$72,464,701</b>	<b>\$26,747,205</b>	<b>\$99,211,906</b>
<b>College of Social &amp; Behavioral Sciences</b>				
Anthropology	3	142,056	43,260	185,316
Economics	4	1,134,475	9,478	1,143,953
Legal Studies	1	272,727	27,273	300,000
MA Institute for Social & Economic Research	10	550,249	94,315	644,564
Political Science	3	86,647	100	86,747
Psychology	60	4,719,417	1,720,947	6,440,364
Public Policy	2	72,281	0	72,281
Sociology	22	649,544	93,951	743,495
<b>MBU Total</b>	<b>105</b>	<b>\$7,627,396</b>	<b>\$1,989,324</b>	<b>\$9,616,720</b>
<b>Dean of Students</b>				
Everywoman's Center	8	1,327,078	103,840	1,430,918
<b>MBU Total</b>	<b>8</b>	<b>\$1,327,078</b>	<b>\$103,840</b>	<b>\$1,430,918</b>
<b>Facilities Planning</b>				
Planning Office	1	19,500	0	19,500
<b>MBU Total</b>	<b>1</b>	<b>\$19,500</b>	<b>\$0</b>	<b>\$19,500</b>

*Table 1 • Proposals Submitted by Organizational Unit • FY 2000*

<b>Organizational Unit</b>	<b>Proposals</b>	<b>Direct</b>	<b>Indirect</b>	<b>Total</b>
<b>Health Services</b>				
Administration & General–UHS	3	155,864	4,226	160,090
<b>MBU Total</b>	<b>3</b>	<b>\$155,864</b>	<b>\$4,226</b>	<b>\$160,090</b>
<b>Housing Services</b>				
HS Resident Life System	1	69,080	5,526	74,606
<b>MBU Total</b>	<b>1</b>	<b>\$69,080</b>	<b>\$5,526</b>	<b>\$74,606</b>
<b>Human Resources</b>				
Human Resources	12	591,533	48,654	640,187
<b>MBU Total</b>	<b>12</b>	<b>\$591,533</b>	<b>\$48,654</b>	<b>\$640,187</b>

**Figure 3**

Distribution of Proposal Dollars by Major Organizational Unit • Fiscal Year 2000



**Total Value • \$191,984,941**

*Table 1 • Proposals Submitted by Organizational Unit • FY 2000*

<b>Organizational Unit</b>	<b>Proposals</b>	<b>Direct</b>	<b>Indirect</b>	<b>Total</b>
<b>Physical Plant</b>				
Physical Plant Grounds Services Office	2	12,030	0	12,030
<b>MBU Total</b>	<b>2</b>	<b>\$12,030</b>	<b>\$0</b>	<b>\$12,030</b>
<b>School of Education</b>				
Office of the Dean–School of Education	1	284,899	22,792	307,691
Educational Policy Research & Administration	20	2,335,439	453,279	2,788,718
Student Development & Pupil Personnel Services	10	763,596	46,551	810,147
Teacher Ed & Curriculum Studies	9	482,986	154,185	637,171
<b>MBU Total</b>	<b>40</b>	<b>\$3,866,920</b>	<b>\$676,807</b>	<b>\$4,543,727</b>
<b>School of Management</b>				
Office of the Dean–School of Management	1	7,301	0	7,301
Finance & Operations Management	5	635,769	192,479	828,248
MA Small Business Development Center	6	1,492,930	54,546	1,547,476
Management	1	-18,870	0	-18,870
<b>MBU Total</b>	<b>13</b>	<b>\$2,117,130</b>	<b>\$247,025</b>	<b>\$2,364,155</b>
<b>School of Nursing</b>				
School of Nursing	12	649,651	47,352	697,003
<b>MBU Total</b>	<b>12</b>	<b>\$649,651</b>	<b>\$47,352</b>	<b>\$697,003</b>
<b>School of Public Health &amp; Health Sciences</b>				
Office of the Dean–Health Sciences	2	39,086	909	39,995
Biostatistics & Epidemiology	26	841,052	368,317	1,209,369
Communications Disorders	7	1,010,580	214,045	1,224,625
Community Health Studies	8	366,725	110,493	477,218
Environmental Health Sciences	12	206,731	106,254	312,985
Exercise Science	23	1,406,239	608,291	2,014,530
Nutrition	9	1,529,946	212,648	1,742,594
<b>MBU Total</b>	<b>87</b>	<b>\$5,400,359</b>	<b>\$1,620,957</b>	<b>\$7,021,316</b>
<b>University Library</b>				
Collection Management	1	159,712	75,000	234,712
University Library–Administrative Services	1	624	153	777
<b>MBU Total</b>	<b>2</b>	<b>\$160,336</b>	<b>\$75,153</b>	<b>\$235,489</b>

*Table 1 • Proposals Submitted by Organizational Unit • FY 2000*

<b>Organizational Unit</b>	<b>Proposals</b>	<b>Direct</b>	<b>Indirect</b>	<b>Total</b>
<b>University Outreach</b>				
C.E.–Arts Extension–A	1	25,000	0	25,000
UMASS Extension	3	118,467	27,554	146,021
University Without Walls	2	27,703	2,217	29,920
WFCR	2	254,740	1,025	255,765
<b>MBU Total</b>	<b>8</b>	<b>\$425,910</b>	<b>\$30,796</b>	<b>\$456,706</b>
<b>Vice Chancellery for Research</b>				
<b>Vice Chancellor for Research</b>				
Office of The Vice Chancellor	2	222,940	7,560	230,500
<b>MBU Total</b>	<b>2</b>	<b>\$222,940</b>	<b>\$7,560</b>	<b>\$230,500</b>
<b>Environmental Institute</b>				
TEI–Archaeological Services	38	376,963	67,394	444,357
The Environmental Institute	11	292,816	83,811	376,627
Water Resources & Research Center	7	304,958	59,501	364,459
<b>MBU Total</b>	<b>56</b>	<b>\$974,737</b>	<b>\$210,706</b>	<b>\$1,185,443</b>
<b>Research Services</b>				
Office of Research Affairs	1	117,579	500	118,079
<b>MBU Total</b>	<b>1</b>	<b>\$117,579</b>	<b>\$500</b>	<b>\$118,079</b>
<b>University Press</b>				
University Press	8	36,077	0	36,077
<b>MBU Total</b>	<b>8</b>	<b>\$36,077</b>	<b>\$0</b>	<b>\$36,077</b>
<b>Vice Chancellery for Research Total</b>	<b>67</b>	<b>\$1,351,333</b>	<b>\$218,766</b>	<b>\$1,570,099</b>
<b>Total Fiscal Year 2000</b>	<b>1,611</b>	<b>\$147,573,170</b>	<b>\$44,411,771</b>	<b>\$191,984,941</b>
Total Fiscal Year 1999	1,513	120,598,608	33,742,615	154,341,223
Change, FY 1999 to FY 2000	6%	22%	32%	24%

**Table 2**  
**Proposals Submitted to Federal Agencies**  
**Fiscal Year 2000**

<b>Sponsor</b>	<b>Proposals</b>	<b>Direct</b>	<b>Indirect</b>	<b>Total</b>
<b>US Department of Agriculture</b>				
MIS–Animal & Plant Health Inspection Service	1	71,272	0	71,272
Northeastern Forest Experimental Station	1	82,460	19,342	101,802
NRE–Forest Service	22	519,192	45,222	564,414
SEA–Coop State Research, Education & Extension Service	18	1,981,530	464,801	2,446,331
SEA–Cooperative State Research Service	15	1,562,819	225,453	1,788,272
US Department of Agriculture	16	957,585	175,369	1,132,954
USDA–Agricultural Research Service	2	114,069	14,595	128,664
<b>Total</b>	<b>75</b>	<b>\$5,288,927</b>	<b>\$944,782</b>	<b>\$6,233,709</b>
<b>US Department of Commerce</b>				
Economic Development Administration	1	141,111	10,889	152,000
National Institute of Standards & Technology	4	197,642	51,878	249,520
NOAA–National Marine Fisheries Service	8	280,642	53,718	334,360
NOAA–National Oceanic & Atmospheric Admin.	3	223,688	53,881	277,569
US Department of Commerce	1	31,858	9,066	40,924
<b>Total</b>	<b>17</b>	<b>\$874,941</b>	<b>\$179,432</b>	<b>\$1,054,373</b>
<b>US Department of Defense</b>				
Air Force	15	1,697,273	885,462	2,582,735
Air Force Office of Scientific Research	8	868,434	349,640	1,218,074
Army	6	233,789	127,498	361,287
Army Corps of Engineers	1	12,914,000	2,329,390	15,243,390
Army Natick R&D & Engineering Center	4	79,982	12,864	92,846
Army Research Office	5	312,017	97,119	409,136
Defense Advanced Research Projects Agency	12	2,337,259	932,800	3,270,059
Defense Logistics Agency	1	272,727	27,273	300,000
Maryland Procurement Office	3	852,172	337,831	1,190,003
National Reconnaissance Office	2	451,614	248,386	700,000
National Security Agency	2	37,826	5,674	43,500
Navy	3	369,738	178,793	548,531
Office of Naval Research	17	2,065,310	349,033	2,414,343
Spawarsyscen–SD	1	232,742	117,017	349,759
US Army Natick Soldier Center	1	19,544	10,456	30,000
US Department of Defense	2	526,041	192,263	718,304
<b>Total</b>	<b>83</b>	<b>\$23,270,468</b>	<b>\$6,201,499</b>	<b>\$29,471,967</b>
<b>US Department of Education</b>				
US Department of Education	25	4,262,604	407,560	4,670,164
<b>Total</b>	<b>25</b>	<b>\$4,262,604</b>	<b>\$407,560</b>	<b>\$4,670,164</b>

Table 2 • Proposals Submitted to Federal Agencies • FY 2000

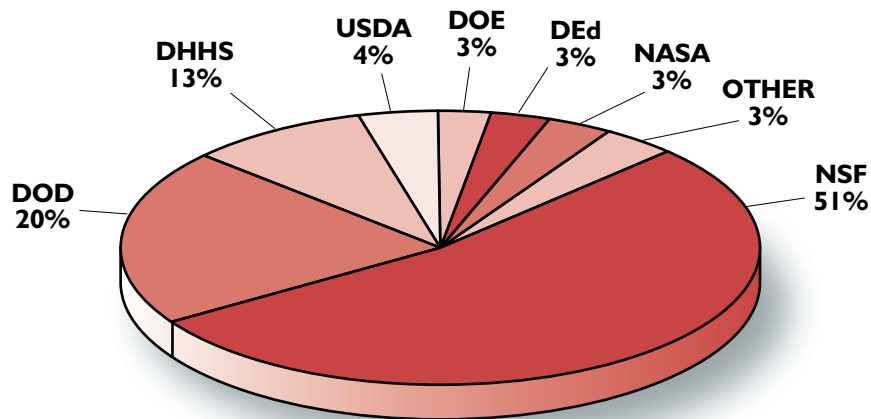
Sponsor	Proposals	Direct	Indirect	Total
<b>US Department of Energy</b>				
US Department of Energy	26	3,407,507	1,299,779	4,707,286
<b>Total</b>	<b>26</b>	<b>\$3,407,507</b>	<b>\$1,299,779</b>	<b>\$4,707,286</b>
<b>US Department of Health &amp; Human Services</b>				
PHS–Centers for Disease Control	2	144,796	76,075	220,871
PHS–Food & Drug Administration	1	12,903	7,097	20,000
PHS–Health Resources & Services Administration	2	29,995	0	29,995
PHS–National Institutes of Health	118	13,635,949	5,691,263	19,327,212
US Department of Health & Human Services	2	242,004	17,760	259,764
<b>Total</b>	<b>125</b>	<b>\$14,065,647</b>	<b>\$5,792,195</b>	<b>\$19,857,842</b>
<b>US Department of the Interior</b>				
Geological Survey	10	423,303	72,539	495,842
National Park Service	3	132,990	33,510	166,500
National Park Service–North Atlantic Region	1	16,000	4,000	20,000
US Fish and Wildlife Service	9	143,976	19,649	163,625
<b>Total</b>	<b>23</b>	<b>\$716,269</b>	<b>\$129,698</b>	<b>\$845,967</b>
<b>US Department of Justice</b>				
Office of Justice Programs	1	681,818	68,182	750,000
US Department of Justice	1	356,580	35,658	392,238
<b>Total</b>	<b>2</b>	<b>\$1,038,398</b>	<b>\$103,840</b>	<b>\$1,142,238</b>
<b>US Department of Transportation</b>				
Federal Aviation Administration	1	194,223	106,823	301,046
<b>Total</b>	<b>1</b>	<b>\$194,223</b>	<b>\$106,823</b>	<b>\$301,046</b>
<b>Independent Establishments &amp; Government Corps</b>				
Corps for National & Community Service	1	119,320	5,966	125,286
Environmental Protection Agency	4	432,216	88,117	520,333
National Aero & Space Administration	45	2,963,434	1,193,222	4,156,656
National Endowment for the Arts	3	241,800	22,500	264,300
National Science Foundation	308	57,382,912	20,803,272	78,186,184
Peace Corps	2	29,023	2,322	31,345
Small Business Administration	2	79,233	0	79,233
US Bureau of the Census	1	59,013	31,572	90,585
US Nuclear Regulatory Commission	1	14,970	5,030	20,000
<b>Total</b>	<b>367</b>	<b>\$61,321,921</b>	<b>\$22,152,001</b>	<b>\$83,473,922</b>

*Table 2 • Proposals Submitted to Federal Agencies • FY 2000*

Sponsor	Proposals	Direct	Indirect	Total
<b>Other/Quasi Government Agencies</b>				
Department of Veterans Affairs	3	73,945	0	73,945
Smithsonian Astrophysical Observatory	6	242,357	115,275	357,632
<b>Total</b>	<b>9</b>	<b>316,302</b>	<b>115,275</b>	<b>431,577</b>
<b>Total FY 2000—Federal</b>	<b>753</b>	<b>\$114,757,207</b>	<b>\$37,432,884</b>	<b>\$152,190,091</b>
Total FY 1999—Federal	759	89,103,401	27,945,181	117,048,582
% Change, FY 1999 to FY 2000	-1%	29%	34%	30%

**Figure 4**

Distribution of Proposal Dollars by Federal Agencies • Fiscal Year 2000



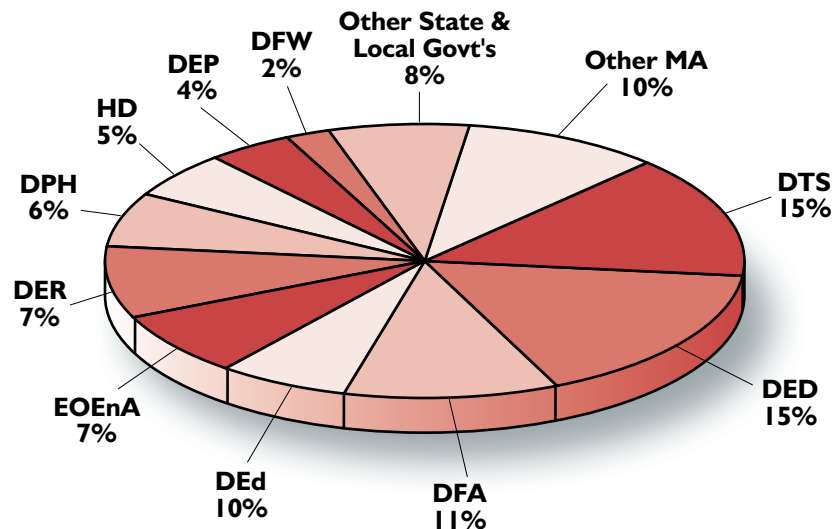
**Total Value • \$152,190,091**

### Table 3 Proposals Submitted to the Commonwealth of Massachusetts Fiscal Year 2000

Sponsor	Proposals	Direct	Indirect	Total
Governor's Highway Safety Bureau	1	9,000	900	9,900
MA Admin Office of the Trial Court	1	11,905	1,190	13,095
MA Board of Higher Education	1	45,173	3,614	48,787
MA Coastal Zone Management	1	15,152	848	16,000
MA Community Colleges Executive Office	2	53,200	0	53,200
MA Cultural Council	4	65,720	0	65,720
MA Department of Economic Development	3	1,140,970	27,273	1,168,243
MA Department of Education	15	705,075	41,646	746,721
MA Department of Environmental Management	4	107,485	9,545	117,030
MA Department of Environmental Protection	3	276,494	27,649	304,143

**Figure 5**

Distribution of Proposal Dollars to the Commonwealth of Massachusetts and Other States and Local Governments • Fiscal Year 2000



**Total Value • \$11,965,963**

DEd	Dept of Education	DFA	Dept of Food & Agriculture	EOEnA	Exec Off of Environmental Affairs
DED	Dept of Economic Development	DFW	Division of Fish and Wildlife	HD	Highway Dept
DEP	Dept of Environmental Protection	DPH	Dept of Public Health		
DER	Division of Energy Resources	DTS	Dept of Transitional Services		



*Table 3 • Proposals Submitted to the Commonwealth of Massachusetts • FY 2000*

<b>Sponsor</b>	<b>Proposals</b>	<b>Direct</b>	<b>Indirect</b>	<b>Total</b>
MA Department of Fisheries, Wildlife, Environmental Law	1	5,455	545	6,000
MA Department of Food & Agriculture	8	783,926	34,318	818,244
MA Department of Housing & Community Development	1	0	0	0
MA Department of Public Health	12	449,026	22,935	471,961
MA Department of State Police	1	45,455	4,545	50,000
MA Department of Transitional Services	2	1,077,548	107,755	1,185,303
MA Division of Health Care Finance & Policy	1	25,919	2,592	28,511
MA Division of Energy Resources	6	413,921	85,294	499,215
MA Division of Fisheries and Wildlife	8	139,119	3,362	142,481
MA Division of Marine Fisheries	4	87,800	0	87,800
MA Environmental Trust	3	51,610	6,569	58,179
MA Executive Office of Environmental Affairs	12	511,295	51,131	562,426
MA Executive Office of Public Safety	1	49,505	0	49,505
MA Highway Department	10	376,751	37,674	414,425
MA Office for Victim Assistance	1	74,856	0	74,856
MA Port Authority—Massport	1	10,000	0	10,000
Metropolitan District Commission	6	50,861	5,086	55,947
<b>Total FY 2000—Commonwealth</b>	<b>113</b>	<b>\$6,583,221</b>	<b>\$474,471</b>	<b>\$7,057,692</b>
Total FY 1999—Commonwealth	141	10,454,051	808,839	11,262,890
% Change, FY 1999 to FY 2000	-20%	-37%	-41%	-37%

**Table 4**  
**Proposals Submitted to Other States and Local Governments**  
**Fiscal Year 2000**

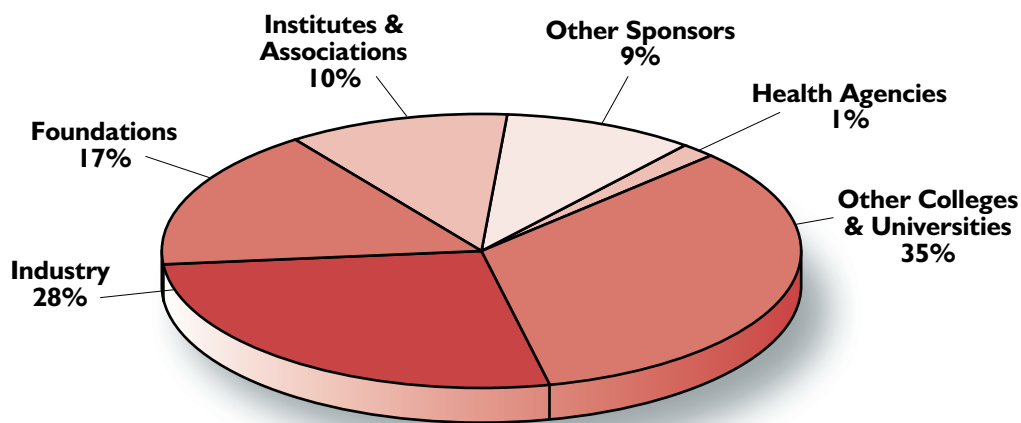
<b>Sponsor</b>	<b>Proposals</b>	<b>Direct</b>	<b>Indirect</b>	<b>Total</b>
Athol-Royalston Regional School District	1	14,013	1,401	15,414
Barnstable County	1	2,727	273	3,000
Belchertown Public Schools	4	14,154	0	14,154
Boston Public Schools	1	8,439	844	9,283
East Bridgewater, Town of	1	5,903	590	6,493
Franklin/Hampshire Employment & Training Consort	1	52,611	2,971	55,582
Frontier Regional School District	1	15,500	0	15,500
Holyoke, City of	1	4,700	0	4,700
Holyoke Public Schools	2	19,688	1,969	21,657
Monson, Town of	2	5,436	544	5,980
New England Transportation Consortium	2	55,615	30,588	86,203
North Adams Public Schools	1	18,005	1,800	19,805
Pioneer Valley Planning Commission	1	35,091	3,509	38,600
Pittsfield Public Schools	1	7,002	700	7,702
Quabbin Regional School District	1	19,850	1,985	21,835
Regional Employment Board of Hampden County	1	7,273	727	8,000
South Central CT Reg Water Authority	1	64,513	35,482	99,995
Springfield, City of	1	81,031	43,351	124,382
VT Department of Fish & Wildlife	1	35,450	7,090	42,540
<b>Total FY 2000—Other States &amp; Local Gov'ts</b>	<b>25</b>	<b>\$467,001</b>	<b>\$133,824</b>	<b>\$600,825</b>
Total FY 1999—Other States & Local Gov'ts	24	611,848	134,081	745,929
% Change, FY 1999 to FY 2000	4%	-24%	0%	-19%

## Table 5 Proposals Submitted to the Private Sector Fiscal Year 2000

Sponsor	Proposals	Direct	Indirect	Total
<b>Non-Profit</b>				
Foundations	98	5,228,747	373,453	5,602,200
Health Agencies	14	291,999	90,098	382,097
Institutes & Associations	103	2,765,130	550,394	3,315,524
Other Colleges & Universities	143	8,365,395	2,908,338	11,273,733
Other Sponsors	51	2,370,773	368,216	2,738,989
<b>Total FY 2000—Non-Profit</b>	<b>409</b>	<b>\$19,022,044</b>	<b>\$4,290,499</b>	<b>\$23,312,543</b>
Total FY 1999—Non-Profit	344	14,486,275	3,039,260	17,525,535
% Change, FY 1999 to FY 2000	19%	31%	41%	33%
<b>Total FY 2000—Industry</b>	<b>311</b>	<b>\$6,743,697</b>	<b>\$2,080,093</b>	<b>\$8,823,790</b>
Total FY 1999—Industry	245	5,943,033	1,815,254	7,758,287
% Change, FY 1999 to FY 2000	27%	13%	15%	14%
<b>Total FY 2000—Private Sector</b>	<b>720</b>	<b>\$25,765,741</b>	<b>\$6,370,592</b>	<b>\$32,136,333</b>
Total FY 1999—Private Sector	589	20,429,308	4,854,514	25,283,822
% Change, FY 1999 to FY 2000	22%	26%	31%	27%

### Figure 6

Distribution of Proposal Dollars to Private Sector Sponsors • Fiscal Year 2000



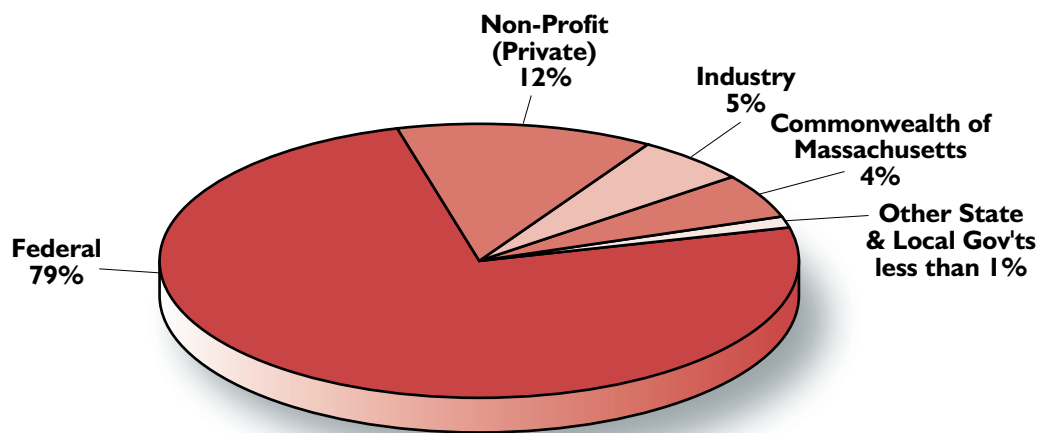
Total Value • \$32,136,333

**Table 6**  
**Proposals Submitted by Sponsor Category**  
**Fiscal Year 2000**

<b>Sponsor Category</b>	<b>Proposals</b>	<b>Direct</b>	<b>Indirect</b>	<b>Total</b>
<b>Federal</b>	<b>753</b>	<b>\$114,757,207</b>	<b>\$37,432,884</b>	<b>\$152,190,091</b>
<b>Commonwealth of MA</b>	<b>113</b>	<b>\$6,583,221</b>	<b>\$474,471</b>	<b>\$7,057,692</b>
<b>Other States &amp; Local Gov'ts</b>	<b>25</b>	<b>\$467,001</b>	<b>\$133,824</b>	<b>\$600,825</b>
<b>Non-Profit</b>	<b>409</b>	<b>19,022,044</b>	<b>4,290,499</b>	<b>23,312,543</b>
<b>Industry</b>	<b>311</b>	<b>\$6,743,697</b>	<b>\$2,080,093</b>	<b>\$8,823,790</b>
<b>Total Fiscal Year 2000</b>	<b>1611</b>	<b>\$147,573,170</b>	<b>\$44,411,771</b>	<b>\$191,984,941</b>

**Figure 7**

Distribution of Proposal Dollars by Sponsor Category • Fiscal Year 2000

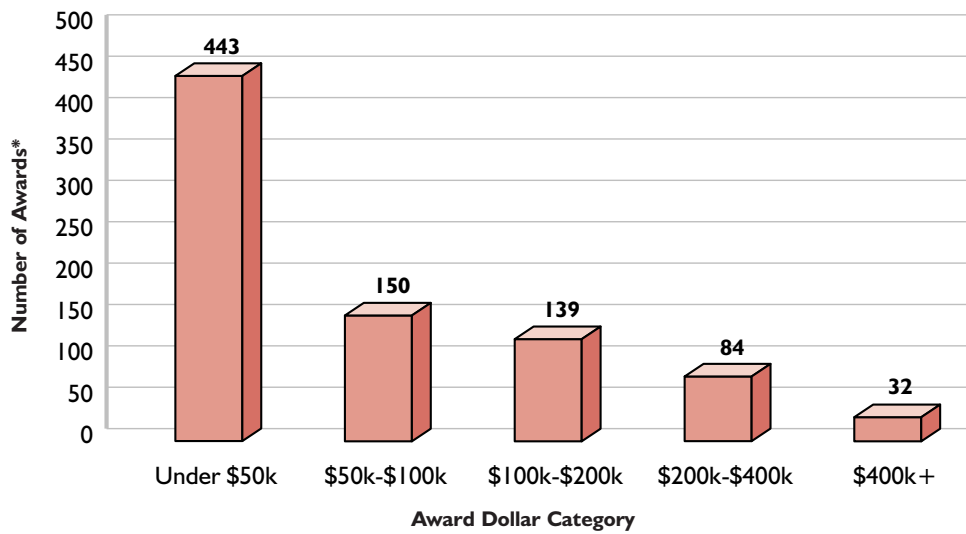


Total Value • \$191,984,941

# Awards

**Figure 8**

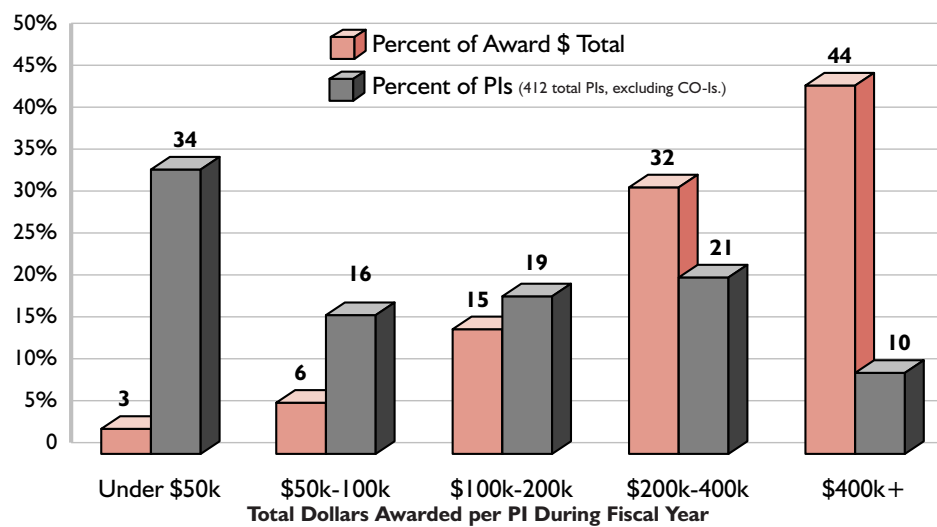
Distribution of Awards by Dollar Category • Fiscal Year 2000



\* Two or more FY 2000 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 '00.

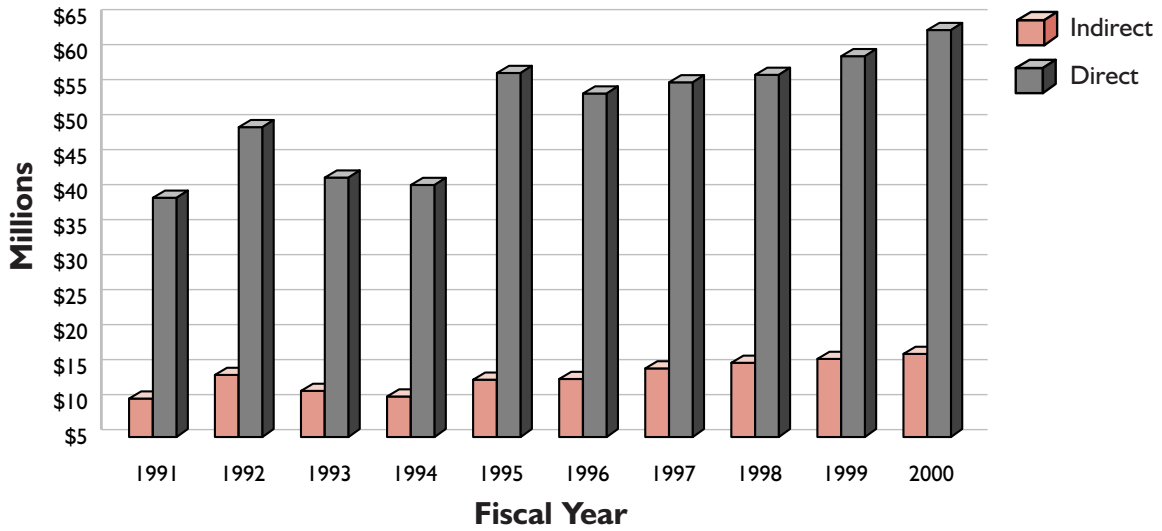
**Figure 9**

Distribution of Awards by Principal Investigators • Fiscal Year 2000



**Figure 10**

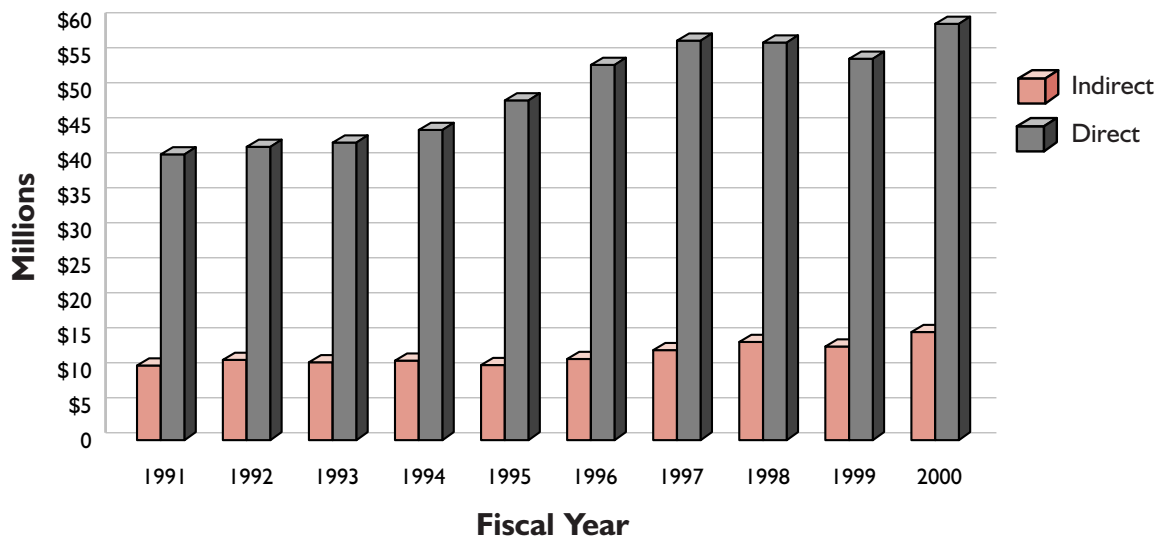
Direct and Indirect Dollar Value of Awards • Fiscal Years 1991-2000



	1991	1992	1993	1994	1995	1996	1997	1998	1999	2000
<b>Direct</b>	37.1	49.4	43.9	41.6	57.8	53.9	55.4	56.9	59.1	63.0
<b>Indirect</b>	10.3	14.0	11.7	10.9	13.4	13.3	14.8	15.2	15.9	16.5
<b>Total</b>	47.4	63.4	55.6	52.5	71.2	67.2	70.2	72.1	75.0	79.5

**Figure 11**

Direct and Indirect Dollar Expenditures • Fiscal Years 1991-2000 *Data obtained from the Budget Office*



	1991	1992	1993	1994	1995	1996	1997	1998	1999	2000
<b>Direct</b>	41.4	42.8	43.0	44.0	48.5	53.1	57.1	56.1	54.4	59.1
<b>Indirect</b>	10.9	11.9	11.6	11.5	11.3	12.3	13.2	14.4	13.8	15.1
<b>Total</b>	52.3	54.7	54.6	55.5	59.8	65.4	70.3	70.5	68.2	74.2

**Table 7**  
**Awards Accepted by Organizational Unit**  
**Fiscal Year 2000**

<b>Organizational Unit</b>	<b>Awards</b>	<b>Direct</b>	<b>Indirect</b>	<b>Total</b>
<b>Academic Administration</b>				
Provost's Office	2	801,447	98,123	899,570
<b>MBU Total</b>	<b>2</b>	<b>\$801,447</b>	<b>\$98,123</b>	<b>\$899,570</b>
<b>Academic Support</b>				
Fine Arts Center	14	219,795	16,025	235,820
International Programs	2	50,096	0	50,096
<b>MBU Total</b>	<b>16</b>	<b>\$269,891</b>	<b>\$16,025</b>	<b>\$285,916</b>
<b>Academic Support Services</b>				
Academic Support Services	2	229,616	18,369	247,985
<b>MBU Total</b>	<b>2</b>	<b>\$229,616</b>	<b>\$18,369</b>	<b>\$247,985</b>
<b>College of Engineering</b>				
Chemical Engineering	42	1,743,730	453,052	2,196,782
Civil & Environmental Engineering	33	3,008,990	474,752	3,483,742
Electrical & Computer Engineering	67	3,437,358	1,401,241	4,838,599
Mechanical & Industrial Engineering	48	2,922,556	901,516	3,824,072
UMASS Transportation Center	1	9,000	900	9,900
<b>MBU Total</b>	<b>191</b>	<b>\$11,121,634</b>	<b>\$3,231,461</b>	<b>\$14,353,095</b>
<b>College of Food &amp; Natural Resources</b>				
Administration—CFNR	2	16,088	1,136	17,224
Consumer Studies	1	22,727	2,273	25,000
Entomology	63	1,821,945	143,967	1,965,912
Extension—Cranberry Station	28	209,165	1,285	210,450
Food Science	16	603,768	84,909	688,677
Landscape Architecture & Regional Planning	2	151,212	12,788	164,000
Microbiology	29	917,923	404,059	1,321,982
Natural Resources Conservation	54	2,285,663	225,670	2,511,333
Plant & Soil Sciences	45	665,292	63,051	728,343
Resource Economics	5	148,739	8,161	156,900
Stockbridge	1	19,522	0	19,522
Veterinary & Animal Sciences	15	1,265,912	273,187	1,539,099
<b>MBU Total</b>	<b>261</b>	<b>\$8,127,956</b>	<b>\$1,220,486</b>	<b>\$9,348,442</b>

Table 7 • Awards Accepted by Organizational Unit • FY 2000

Organizational Unit	Awards	Direct	Indirect	Total
<b>College of Humanities &amp; Fine Arts</b>				
Office of the Dean–College of Humanities & Fine Arts	1	1,091	109	1,200
Art History	1	79,252	6,340	85,592
English	3	126,935	0	126,935
Germanic Languages & Literature	1	15,000	0	15,000
Linguistics	1	156,598	84,672	241,270
<b>MBU Total</b>	<b>7</b>	<b>\$378,876</b>	<b>\$91,121</b>	<b>\$469,997</b>
<b>College of Natural Sciences and Math</b>				
Biochemistry & Molecular Biology	21	1,842,070	848,678	2,690,748
Biology	32	2,427,960	832,934	3,260,894
Chemistry	45	2,317,510	631,272	2,948,782
Computer Science	95	7,328,745	3,217,726	10,546,471
Geosciences	30	1,415,912	586,435	2,002,347
Mathematics & Statistics	14	769,854	236,138	1,005,992
Physics and Astronomy	54	5,884,508	1,510,968	7,395,476
Polymer Science & Engineering	85	2,788,846	913,191	3,702,037
Scientific Reasoning Research Institute	4	1,061,791	452,685	1,514,476
<b>MBU Total</b>	<b>380</b>	<b>\$25,837,196</b>	<b>\$9,230,027</b>	<b>\$35,067,223</b>
<b>College of Social &amp; Behavioral Sciences</b>				
Anthropology	1	89,805	49,393	139,198
Communication	1	48,388	26,612	75,000
Economics	3	985,660	3,573	989,233
Legal Studies	1	272,727	27,273	300,000
MA Institute for Social & Economic Research	9	321,671	37,308	358,979
Political Science	1	11,569	0	11,569
Psychology	41	3,194,270	1,111,144	4,305,414
Public Policy	1	48,281	0	48,281
Sociology	15	302,848	12,824	315,672
<b>MBU Total</b>	<b>73</b>	<b>\$5,275,219</b>	<b>\$1,268,127</b>	<b>\$6,543,346</b>
<b>Dean of Students</b>				
Everywoman's Center	7	259,692	0	259,692
<b>MBU Total</b>	<b>7</b>	<b>\$259,692</b>	<b>\$0</b>	<b>\$259,692</b>
<b>Health Services</b>				
Administration and General–UHS	2	24,091	2,409	26,500
<b>MBU Total</b>	<b>2</b>	<b>\$24,091</b>	<b>\$2,409</b>	<b>\$26,500</b>



*Table 7 • Awards Accepted by Organizational Unit • FY 2000*

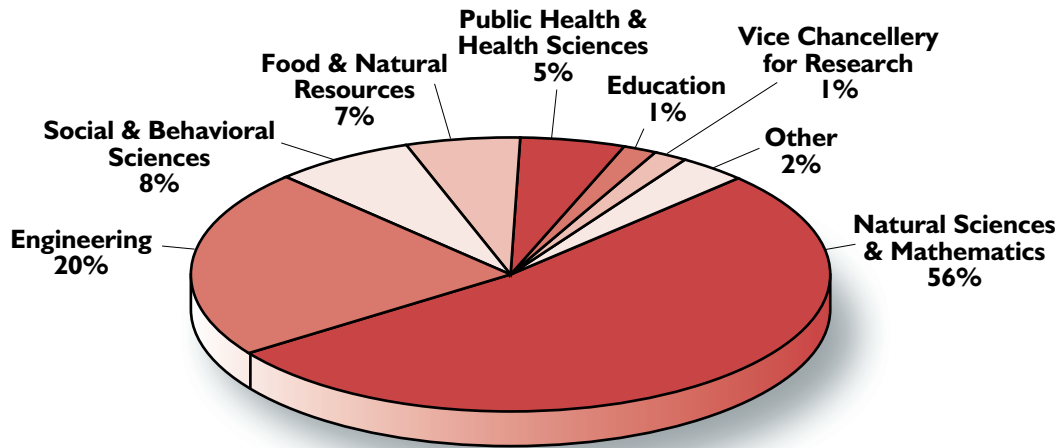
<b>Organizational Unit</b>	<b>Awards</b>	<b>Direct</b>	<b>Indirect</b>	<b>Total</b>
<b>Human Resources</b>				
Human Resources	9	238,656	19,251	257,907
<b>MBU Total</b>	<b>9</b>	<b>\$238,656</b>	<b>\$19,251</b>	<b>\$257,907</b>
<b>Physical Plant</b>				
Physical Plant Grounds Services Office	2	12,030	0	12,030
<b>MBU Total</b>	<b>2</b>	<b>\$12,030</b>	<b>\$0</b>	<b>\$12,030</b>
<b>School of Education</b>				
Office of the Dean-School of Education	1	150,902	12,072	162,974
Educational Policy Research & Administration	17	837,612	118,749	956,361
Student Development & Pupil Personnel Services	7	392,804	25,561	418,365
Teacher Education & Curriculum Studies	6	131,196	21,876	153,072
<b>MBU Total</b>	<b>31</b>	<b>\$1,512,514</b>	<b>\$178,258</b>	<b>\$1,690,772</b>
<b>School of Management</b>				
Office of the Dean-School of Management	1	7,301	0	7,301
MA Small Business Development Center	7	3,086,730	54,546	3,141,276
Management	1	-18,870	0	-18,870
<b>MBU Total</b>	<b>9</b>	<b>\$3,075,161</b>	<b>\$54,546</b>	<b>\$3,129,707</b>
<b>School of Nursing</b>				
School of Nursing	6	402,602	24,041	426,643
<b>MBU Total</b>	<b>6</b>	<b>\$402,602</b>	<b>\$24,041</b>	<b>\$426,643</b>
<b>School of Public Health &amp; Health Sciences</b>				
Office of the Dean-Health Sciences	2	32,056	909	32,965
Biostatistics & Epidemiology	16	378,310	167,074	545,384
Communications Disorders	3	463,859	155,432	619,291
Community Health Studies	8	281,931	80,188	362,119
Environmental Health Sciences	13	430,307	185,054	615,361
Exercise Science	14	501,333	95,391	596,724
Nutrition	6	1,386,923	172,064	1,558,987
<b>MBU Total</b>	<b>62</b>	<b>\$3,474,719</b>	<b>\$856,112</b>	<b>\$4,330,831</b>

*Table 7 • Awards Accepted by Organizational Unit • FY 2000*

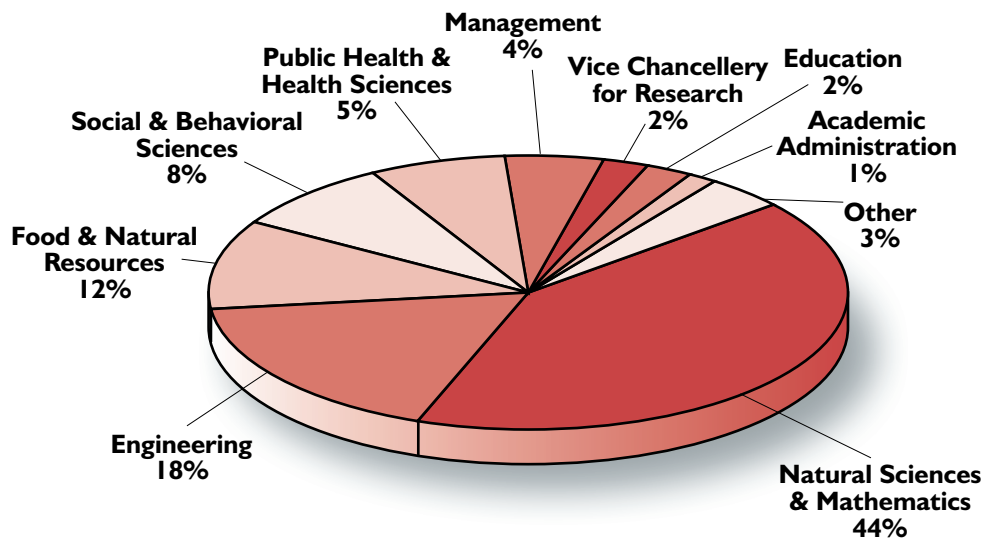
<b>Organizational Unit</b>	<b>Awards</b>	<b>Direct</b>	<b>Indirect</b>	<b>Total</b>
<b>University Library</b>				
Collection Management	2	169,712	75,000	244,712
Program Support	1	8,000	0	8,000
University Library–Admin Services	1	624	153	777
University Library–Public Services Division	1	13,000	0	13,000
<b>MBU Total</b>	<b>5</b>	<b>\$191,336</b>	<b>\$75,153</b>	<b>\$266,489</b>
<b>University Outreach</b>				
C.E.–Arts Extension–A	1	25,000	0	25,000
UMASS Extension	1	1,000	0	1,000
University Without Walls	2	27,524	2,396	29,920
WFCR	1	244,489	0	244,489
<b>MBU Total</b>	<b>5</b>	<b>\$298,013</b>	<b>\$2,396</b>	<b>\$300,409</b>
<b>Vice Chancellery for Research</b>				
<b>Vice Chancellor for Research</b>				
Office of The Vice Chancellor	3	247,485	8,390	255,875
<b>MBU Total</b>	<b>3</b>	<b>\$247,485</b>	<b>\$8,390</b>	<b>\$255,875</b>
<b>Environmental Institute</b>				
TEI–Archaeological Services	36	339,608	59,920	399,528
The Environmental Institute	12	628,229	40,218	668,447
Water Resources & Research Center	5	190,905	12,273	203,178
<b>MBU Total</b>	<b>53</b>	<b>\$1,158,742</b>	<b>\$112,411</b>	<b>\$1,271,153</b>
<b>University Press</b>				
University Press	8	36,077	0	36,077
<b>MBU Total</b>	<b>8</b>	<b>\$36,077</b>	<b>\$0</b>	<b>\$36,077</b>
<b>Vice Chancellery for Research Total</b>	<b>64</b>	<b>\$1,442,304</b>	<b>\$120,801</b>	<b>\$1,563,105</b>
<b>Cumulative Total FY 2000</b>	<b>1,134</b>	<b>\$62,972,953</b>	<b>\$16,506,706</b>	<b>\$79,479,659</b>
Cumulative Total FY 1999	1,034	59,079,427	15,925,530	75,004,957
% Change, FY 1999 to FY 2000	10%	7%	4%	6%

**Figure 12**

Distribution of Award Dollars by Major Organizational Unit • Fiscal Year 2000



Indirect Costs • \$16,506,706



Total Costs • \$79,479,659

## Table 8

### Awards Accepted from Federal Agencies

#### Fiscal Year 2000

Sponsor	Awards	Direct	Indirect	Total
<b>US Department of Agriculture</b>				
MIS–Animal & Plant Health Inspection Service	1	71,272	0	71,272
NRE–Forest Service	21	483,058	7,798	490,856
SEA–Coop State Research, Education & Extension Service	12	1,569,783	202,290	1,772,073
SEA–Cooperative State Research Service	1	7,789	0	7,789
US Department of Agriculture	4	124,136	11,064	135,200
USDA–Agricultural Research Service	1	51,850	0	51,850
<b>Total</b>	<b>40</b>	<b>\$2,307,888</b>	<b>\$221,152</b>	<b>\$2,529,040</b>
<b>US Department of Commerce</b>				
Economic Development Administration	1	116,666	9,334	126,000
National Institute of Standards & Technology	2	67,079	16,921	84,000
NOAA–National Marine Fisheries Service	8	311,237	52,737	363,974
NOAA–National Oceanic & Atmospheric Admin	1	45,270	23,524	68,794
US Department of Commerce	1	31,858	9,066	40,924
<b>Total</b>	<b>13</b>	<b>\$572,110</b>	<b>\$111,582</b>	<b>\$683,692</b>
<b>US Department of Defense</b>				
Air Force	11	1,361,980	713,484	2,075,464
Air Force Office of Scientific Research	8	606,367	272,139	878,506
Army	5	351,398	177,616	529,014
Army Natick R&D & Engineering Center	4	79,982	12,864	92,846
Army Research Office	7	334,070	130,924	464,994
Defense Advanced Research Projects Agency	5	959,710	352,965	1,312,675
Navy	1	64,508	35,479	99,987
Office of Naval Research	13	963,588	265,512	1,229,100
Spawarsyscen–SD	1	232,742	117,017	349,759
US Department of Defense	1	72,000	0	72,000
<b>Total</b>	<b>56</b>	<b>\$5,026,345</b>	<b>\$2,078,000</b>	<b>\$7,104,345</b>
<b>US Department of Education</b>				
US Department of Education	10	1,256,563	56,118	1,312,681
<b>Total</b>	<b>10</b>	<b>\$1,256,563</b>	<b>\$56,118</b>	<b>\$1,312,681</b>
<b>US Department of Energy</b>				
US Department of Energy	21	2,006,739	848,670	2,855,409
<b>Total</b>	<b>21</b>	<b>\$2,006,739</b>	<b>\$848,670</b>	<b>\$2,855,409</b>

*Table 8 • Awards Accepted from Federal Agencies • FY 2000*

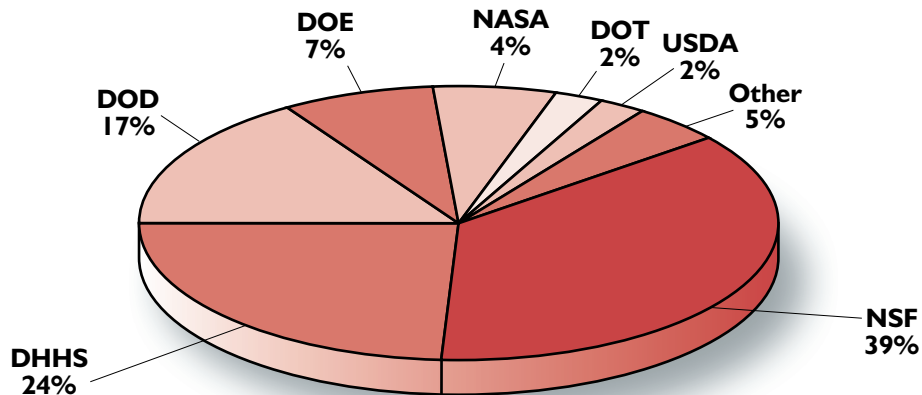
<b>Sponsor</b>	<b>Awards</b>	<b>Direct</b>	<b>Indirect</b>	<b>Total</b>
<b>US Department of Health &amp; Human Services</b>				
PHS—Centers for Disease Control	1	24,636	13,550	38,186
PHS—Food & Drug Administration	1	12,903	7,097	20,000
PHS—Health Resources & Services Admin	2	68,478	3,641	72,119
PHS—National Institutes of Health	73	7,140,920	2,980,972	10,121,892
US Department of Health & Human Services	1	227,577	18,206	245,783
<b>Total</b>	<b>78</b>	<b>\$7,474,514</b>	<b>\$3,023,466</b>	<b>\$10,497,980</b>
<b>US Department of the Interior</b>				
Geological Survey	8	393,663	46,004	439,667
National Park Service	3	132,990	33,510	166,500
US Fish & Wildlife Service	9	141,385	20,760	162,145
<b>Total</b>	<b>20</b>	<b>\$668,038</b>	<b>\$100,274</b>	<b>\$768,312</b>
<b>US Department of State</b>				
Agency for International Development	1	0	0	0
<b>Total</b>	<b>1</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>US Department of Transportation</b>				
Federal Aviation Administration	2	386,978	212,838	599,816
Federal Railroad Administration	1	82,175	44,824	126,999
<b>Total</b>	<b>3</b>	<b>\$469,153</b>	<b>\$257,662</b>	<b>\$726,815</b>
<b>Independent Establishments &amp; Government Corps</b>				
Environmental Protection Agency	3	321,631	160,078	481,709
National Aero & Space Administration	29	1,212,806	518,197	1,731,003
National Endowment for the Arts	2	40,725	4,275	45,000
National Science Foundation	147	15,127,077	4,855,824	19,982,901
Peace Corps	1	14,196	1,136	15,332
Small Business Administration	3	1,673,033	0	1,673,033
US Information Agency	1	292,696	0	292,696
US Nuclear Regulatory Commission	1	14,970	5,030	20,000
<b>Total</b>	<b>\$187</b>	<b>\$18,697,134</b>	<b>\$5,544,540</b>	<b>\$24,241,674</b>

Table 8 • Awards Accepted from Federal Agencies • FY 2000

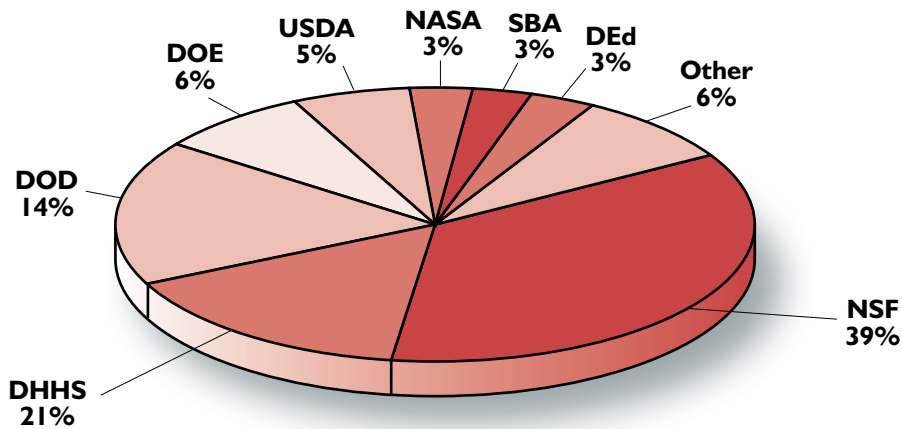
Sponsor	Awards	Direct	Indirect	Total
<b>Other/Quasi Government Agencies</b>				
Department of Veterans Affairs	4	89,214	0	89,214
Smithsonian Astrophysical Observatory	6	258,719	118,107	376,826
<b>Total</b>	<b>10</b>	<b>\$347,933</b>	<b>\$118,107</b>	<b>\$466,040</b>
<b>Total FY 2000—Federal</b>	<b>439</b>	<b>\$38,826,417</b>	<b>\$12,359,571</b>	<b>\$51,185,988</b>
Total FY 1999—Federal	436	38,724,658	12,289,847	51,014,505
% Change, FY 1999 to FY 2000	1%	0%	1%	0%

Figure 13

Distribution of Award Dollars from Federal Agencies • Fiscal Year 2000



Indirect Costs • \$12,359,571



Total Costs • \$51,185,988

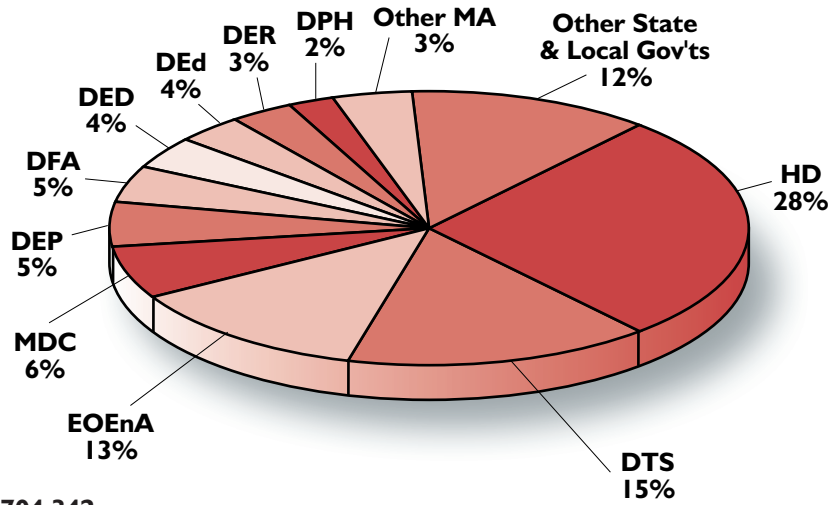
## Table 9

### Awards Accepted from the Commonwealth of Massachusetts Fiscal Year 2000

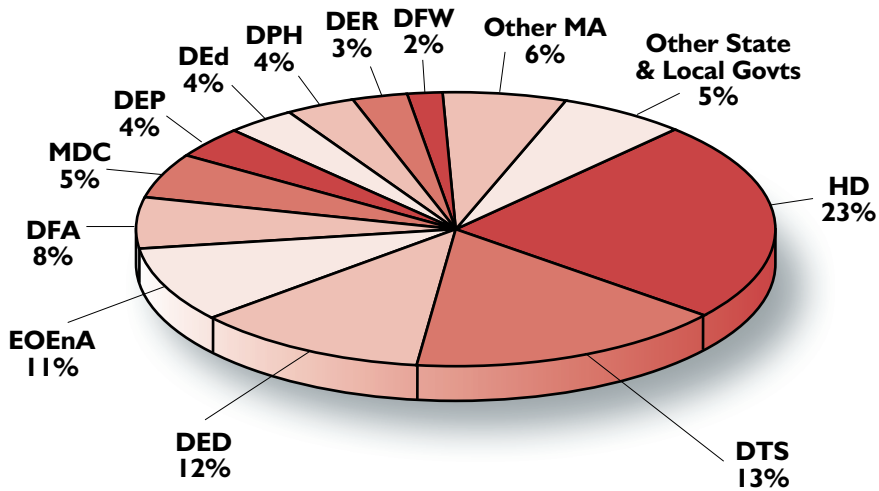
Sponsor	Awards	Direct	Indirect	Total
Governor's Highway Safety Bureau	1	9,000	900	9,900
MA Administrative Office of The Trial Court	1	11,905	1,190	13,095
MA Board of Higher Education	2	37,037	2,963	40,000
MA Board of Library Commissioners	3	31,000	0	31,000
MA Coastal Zone Management	1	15,152	848	16,000
MA Community Colleges Executive Office	2	53,200	0	53,200
MA Cultural Council	2	35,720	0	35,720
MA Department of Economic Development	3	1,140,970	27,273	1,168,243
MA Department of Education	12	393,176	24,822	417,998
MA Department of Environmental Management	3	80,212	6,818	87,030
MA Department of Environmental Protection	6	380,074	38,007	418,081
MA Department of Fisheries, Wildlife, Envr Law	1	5,455	545	6,000
MA Department of Food and Agriculture	6	730,042	34,318	764,360
MA Department of Public Health	11	397,678	14,554	412,232
MA Department of State Police	1	45,455	4,545	50,000
MA Department of Transitional Services	2	1,077,548	107,755	1,185,303
MA Division of Health Care Finance & Policy	1	25,919	2,592	28,511
MA Division of Energy Resources	5	225,454	22,546	248,000
MA Division of Fisheries & Wildlife	8	139,119	3,362	142,481
MA Division of Marine Fisheries	4	87,800	0	87,800
MA Executive Office of Environmental Affairs	12	921,875	92,321	1,014,196
MA Executive Office of Public Safety	1	27,000	0	27,000
MA Highway Department	13	1,945,468	194,547	2,140,015
MA Office for Victim Assistance	1	38,373	0	38,373
MA Port Authority—Massport	1	10,000	0	10,000
MA Service Alliance	1	30,000	0	30,000
Metropolitan District Commission	8	400,264	40,026	440,290
<b>Total FY 2000—Commonwealth</b>	<b>112</b>	<b>\$8,294,896</b>	<b>\$619,932</b>	<b>\$8,914,828</b>
Total FY 1999—Commonwealth	114	6,132,956	389,733	6,522,689
% Change, FY 1999 to FY 2000	-2%	35%	59%	37%

**Figure 14**

Distribution of Award Dollars from Commonwealth of Massachusetts and Other States and Local Governments • Fiscal Year 2000



Indirect Costs • \$704,342



Total Costs • \$9,378,140

DED	Dept of Economic Development	DER	Division of Energy Resources	DTS	Dept of Transitional Services
DEd	Dept of Education	DFA	Dept of Food & Agriculture	EOEnA	Exec Office of Environmental Affairs
DEM	Dept of Environmental Management	DFW	Division of Fisheries & Wildlife	HD	Highway Department
DEP	Dept of Environmental Protection	DPH	Dept of Public Health	MDC	Metropolitan District Comm.



## Table 10

### Awards Accepted from Other States and Local Governments

#### Fiscal Year 2000

<b>Sponsor</b>	<b>Awards</b>	<b>Direct</b>	<b>Indirect</b>	<b>Total</b>
Athol-Royalston Regional School District	1	14,013	1,401	15,414
Barnstable County	1	8,790	879	9,669
Belchertown Public Schools	4	14,154	0	14,154
Boston Public Schools	1	8,439	844	9,283
Chester, Town of	1	35,091	3,509	38,600
East Bridgewater, Town of	1	5,904	590	6,494
Franklin/Hampshire Employment & Training Consort	1	52,611	2,971	55,582
Frontier Regional School District	1	15,500	0	15,500
Holyoke, City of	1	4,700	0	4,700
Holyoke Public Schools	1	10,909	1,091	12,000
Monson, Town of	2	5,436	544	5,980
New England Transportation Consortium	1	51,612	28,387	79,999
North Adams Public Schools	1	18,005	1,800	19,805
Pioneer Valley Planning Commission	1	35,100	3,500	38,600
Pittsfield Public Schools	1	7,002	700	7,702
Quabbin Regional School District	1	19,850	1,985	21,835
Regional Employment Board of Hampden County	1	7,273	727	8,000
South Central CT Regional Water Authority	1	64,513	35,482	99,995
<b>Total FY 2000-Other States &amp; Local Gov'ts</b>	<b>22</b>	<b>\$378,902</b>	<b>\$84,410</b>	<b>\$463,312</b>
Total FY 1999-Other States & Local Gov'ts	21	517,618	108,505	626,123
% Change, FY 1999 to FY 2000	5%	-27%	-22%	-26%

## Table 11

### Awards Accepted from the Private Sector

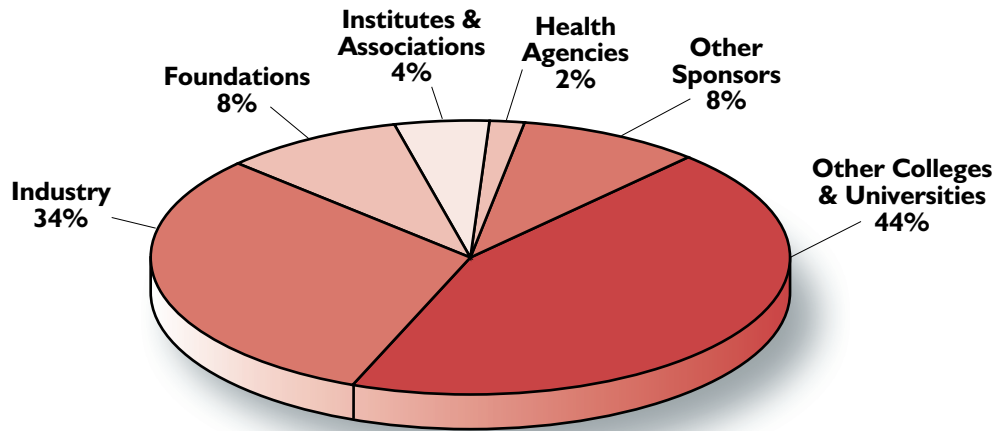
### Fiscal Year 2000

<b>Sponsor</b>	<b>Awards</b>	<b>Direct</b>	<b>Indirect</b>	<b>Total</b>
<b>Non-Profit</b>				
Foundations	61	3,429,703	266,108	3,695,811
Health Agencies	11	205,493	54,404	259,897
Institutes & Associations	77	1,634,243	155,589	1,789,832
Other Colleges & Universities*	91	4,071,036	1,501,712	5,572,748
Other Sponsors	38	1,363,412	302,638	1,666,050
<b>Total FY 2000—Non-Profit</b>	<b>278</b>	<b>\$10,703,887</b>	<b>\$2,280,451</b>	<b>\$12,984,338</b>
Total FY 1999—Non-Profit	230	8,179,435	1,602,399	9,781,834
% Change, FY 1999 to FY 2000	21%	31%	42%	33%
<b>Total FY 2000—Industry</b>				
<b>Total FY 2000—Industry</b>	<b>283</b>	<b>\$4,768,851</b>	<b>\$1,162,342</b>	<b>\$5,931,193</b>
Total FY 1999—Industry	233	5,524,760	1,535,046	7,059,806
% Change, FY 1999 to FY 2000	21%	-14%	-24%	-16%
<b>Total FY 2000—Private Sector</b>				
<b>Total FY 2000—Private Sector</b>	<b>561</b>	<b>\$15,472,738</b>	<b>\$3,442,793</b>	<b>\$18,915,531</b>
Total FY 1999—Private Sector	463	13,704,195	3,137,445	16,841,640
% Change, FY 1999 to FY 2000	21%	13%	10%	12%

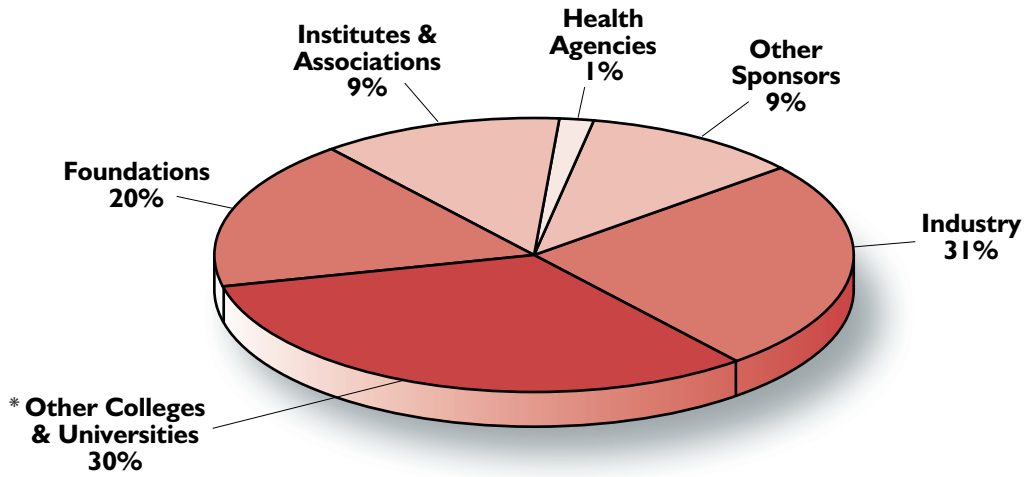
\*A significant portion of these awards are prime Federal funds.

**Figure 15**

Distribution of Award Dollars from the Private Sector • Fiscal Year 2000



**Indirect Costs • \$3,442,793**



**Total Costs • \$18,915,531**

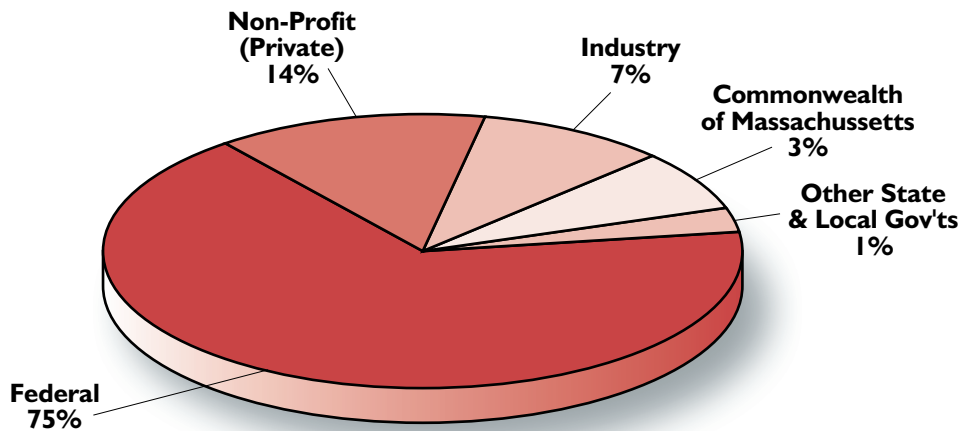
\* Please see note on Table 11

**Table 12**  
**Summary of Awards Accepted by Sponsor Category**  
**Fiscal Year 2000**

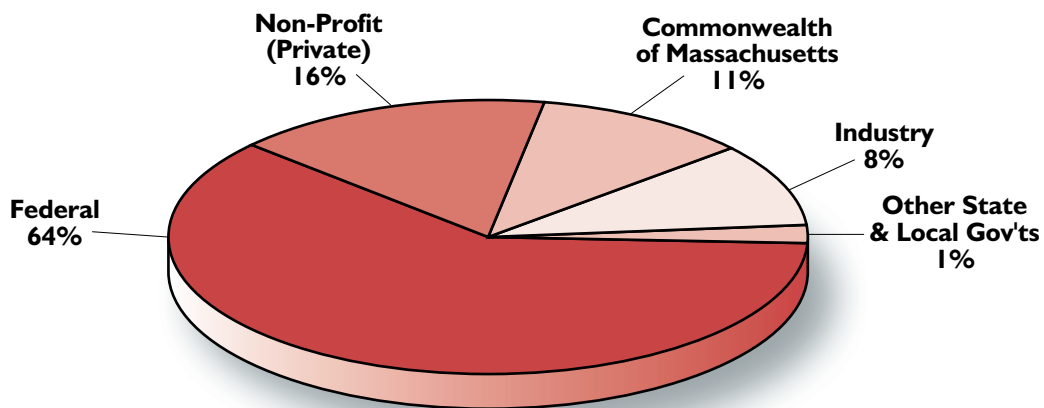
Sponsor Category	Awards	Direct	Indirect	Total
Federal	439	\$38,826,417	\$12,359,571	\$51,185,988
Commonwealth of Massachusetts	112	\$8,294,896	\$619,932	\$8,914,828
Other States & Local Governments	22	\$378,902	\$84,410	\$463,312
Private Sector—Industry	283	\$4,768,851	\$1,162,342	\$5,931,193
Private Sector—Non-Profit	278	\$10,703,887	\$2,280,451	\$12,984,338
<b>Total Fiscal Year 2000</b>	<b>1,134</b>	<b>\$62,972,953</b>	<b>\$16,506,706</b>	<b>\$79,479,659</b>

**Figure 16**

Distribution of Award Dollars by Sponsor Category • Fiscal Year 2000



Indirect Costs • \$16,506,706



Total Costs • \$79,479,659

**Table 13**  
**Summary of Project Characteristics &**  
**Award Types by Sponsor Category**  
**Fiscal Year 2000**

	<b>Project Type</b>	<b>Award Type</b>	<b>Number Awards</b>	<b>\$ Amount Awards</b>
<b>Federal</b>	Research	Grant	310	38,815,119
	Instruction	Grant	6	616,013
	Other	Grant	13	727,965
	Research	Contract	95	8,569,752
	Instruction	Contract	4	328,282
	Other	Contract	11	2,128,857
<b>Commonwealth of Massachusetts</b>	Research	Grant	1	10,000
	Instruction	Grant	0	0
	Other	Grant	0	0
	Research	Contract	66	4,465,094
	Instruction	Contract	9	261,940
	Other	Contract	36	4,177,794
<b>Other States &amp; Local Governments</b>	Research	Grant	1	980
	Instruction	Grant	0	0
	Other	Grant	4	14,154
	Research	Contract	8	250,775
	Instruction	Contract	3	132,782
	Other	Contract	6	64,621
<b>Non-Profit Private</b>	Research	Grant	97	3,410,957
	Instruction	Grant	5	135,082
	Other	Grant	31	806,073
	Research	Contract	122	7,689,839
	Instruction	Contract	3	127,000
	Other	Contract	20	815,387
<b>Industry</b>	Research	Grant	116	1,394,779
	Instruction	Grant	1	12,500
	Other	Grant	9	108,735
	Research	Contract	134	4,143,317
	Instruction	Contract	1	50,000
	Other	Contract	22	221,862
<b>Total</b>			<b>1,134</b>	<b>79,479,659</b>

# Notes

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## 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 recovery.

### To clarify:

**A.** The OGCA Report of Sponsored Activities lists the amount of firm commitments awarded by external 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 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/reports.htm>

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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