

SPONSORED ACTIVITIES

ANNUAL REPORT FISCAL YEAR 2011



VICE CHANCELLOR FOR RESEARCH & ENGAGEMENT

OFFICE OF GRANT AND CONTRACT ADMINISTRATION

OFFICE OF GRANT AND CONTRACT ADMINISTRATION

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Proposal Trends

Figure 1: New Proposal Dollars FY 2007-2011

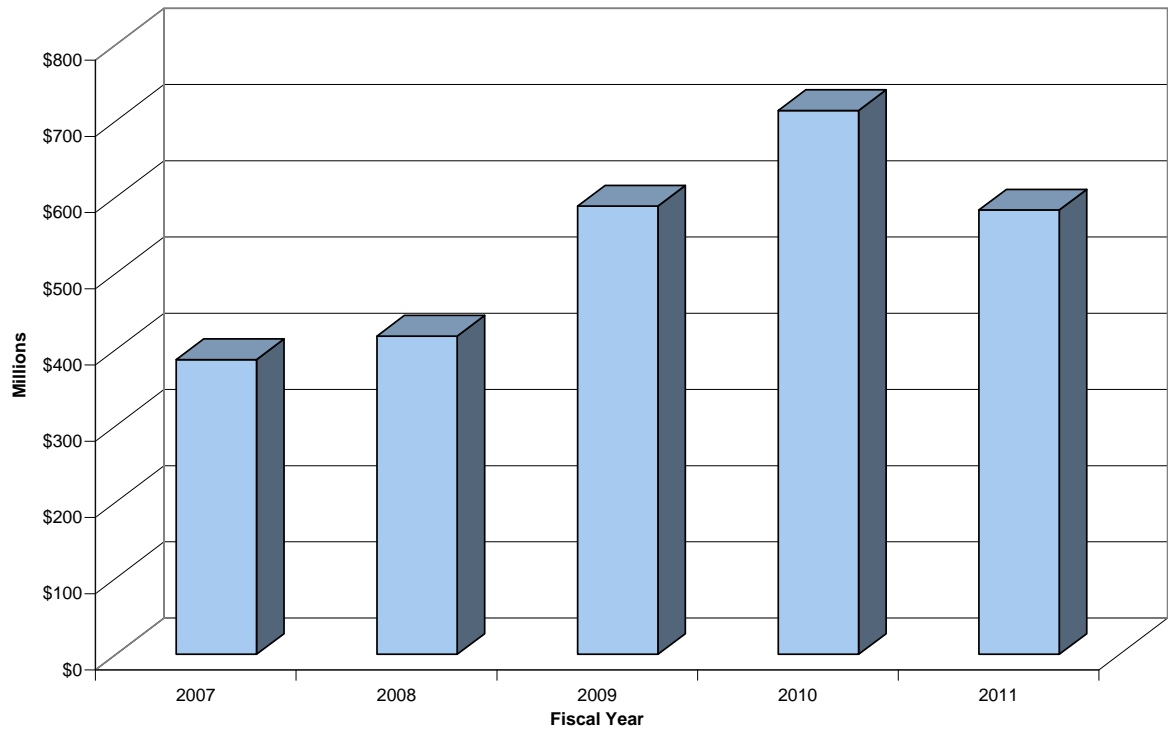
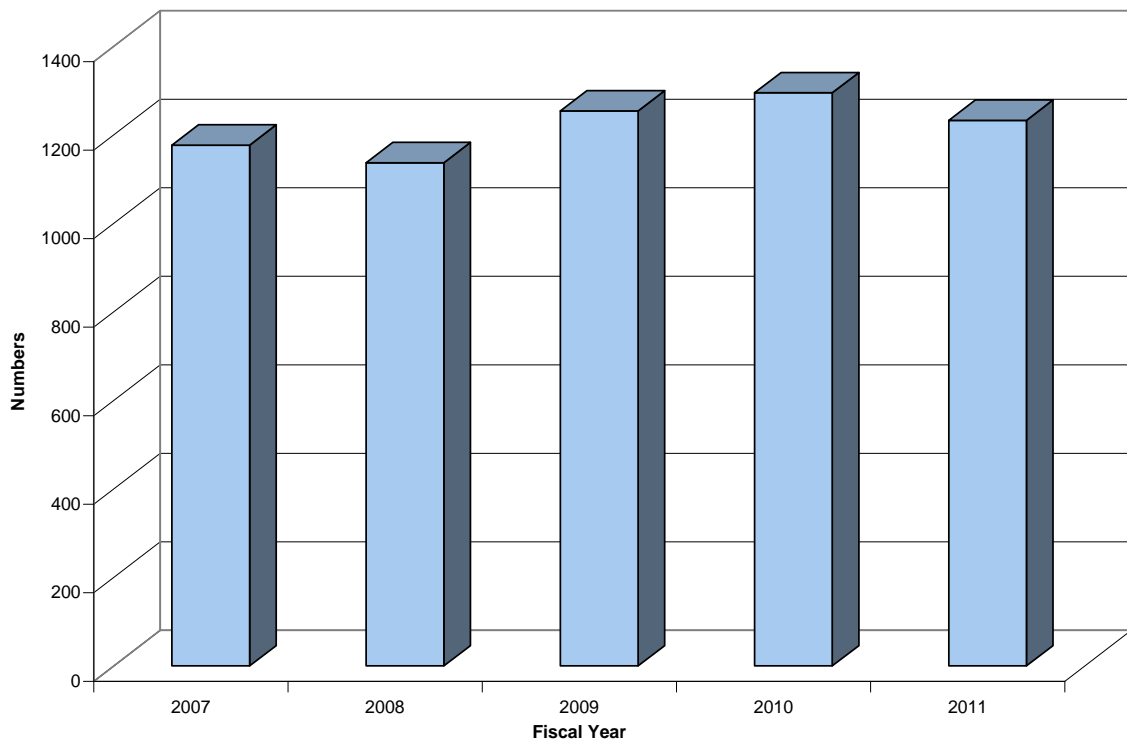


Figure 2: Number of New Proposals FY 2007-2011



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Table 1

5 Year New Proposal Success Rate Trend FY 2006-2010

Fiscal Year	2006		2007		2008		2009		2010	
	#	Project Dollars	#	Project Dollars	#	Project Dollars	#	Project Dollars	#	Project Dollars
New Awarded	508	\$104,005,301	538	\$95,802,175	491	\$127,778,402	481	\$150,379,112	509	\$151,919,771
New Not Awarded	652	\$254,558,745	658	\$296,386,701	678	\$296,352,581	773	\$437,734,291	786	\$561,568,124
Total New	1,160	\$358,564,046	1196	\$392,188,876	1169	\$424,130,983	1254	\$588,113,403	1295	\$713,487,895
% of New Prop Awarded	44%		45%		42%		38%		39%	

See Notes page # for further explanation

PROPOSALS

Table 2

**5 Year New Proposal Trend by Major Budgetary Unit (MBU)
w/Full Project Dollars**

MBU	FY 2007		FY 2008		FY 2009		FY 2010		FY 2011	
	#	Dollars	#	Dollars	#	Dollars	#	Dollars	#	Dollars
Academic Administration	3	\$786,585	5	\$2,632,929	1	\$120,000	3	\$2,702,754	2	\$649,252
Academic Support	35	\$2,013,836	38	\$701,978	32	\$888,400	33	\$737,442	14	\$179,390
Academic Support Services	0	\$0	0	\$0	1	\$35,000	1	\$24,100	0	\$0
Campus Services	0	\$0	0	\$0	0	\$0	0	\$0	1	\$127,284
Center for Student Development	2	\$18,929	1	\$10,000	1	\$97,835	1	\$10,700	0	\$0
College of Engineering	224	\$71,418,840	182	\$64,153,089	211	\$139,929,634	231	\$131,111,201	236	\$139,778,349
College of Humanities & Fine Arts	22	\$4,314,759	19	\$2,802,027	25	\$448,509	34	\$6,705,464	26	\$4,508,918
College of Nat. Resources & The Envi.*	221	\$51,989,458	220	\$48,753,115	214	\$73,468,084	0	\$0*	0	\$0*
College of Natural Sciences	0	\$0	0	\$0	0	\$0	669	\$442,414,093	622	\$297,944,219
College of Natural Sciences and Math*	368	\$169,709,947	363	\$204,696,490	411	\$249,378,713	0	\$0*	0	\$0*
College of Social & Behavioral Sciences	85	\$19,626,012	107	\$28,418,934	109	\$23,793,029	72	\$11,859,512	80	\$19,154,353
Commonwealth College	2	\$14,000	0	\$0	2	\$596,880	2	\$654,687	2	\$234,759
Dean of Students	6	\$682,167	8	\$763,119	4	\$94,301	5	\$386,353	7	\$709,354
Economic Development	1	\$1,500	0	\$0	0	\$0	0	\$0	0	\$0
Environmental Health & Safety	0	\$0	0	\$0	2	\$38,000	2	\$87,601	1	\$143,399
Facilities Planning	0	\$0	0	\$0	0	\$0	1	\$1,849,715	0	\$0
Graduate School	0	\$0	5	\$3,524,855	3	\$5,710,746	8	\$9,535,051	5	\$7,000,817
Health Services	1	\$296,778	0	\$0	1	\$299,022	1	\$1,293,868	3	\$491,799
Housing Services	0	\$0	0	\$0	0	\$0	0	\$0	0	\$0
Human Resources	8	\$200,243	3	\$162,065	7	\$2,057,781	9	\$2,967,950	1	\$109,474
Office of Information Technologies	0	\$0	1	\$600,000	0	\$0	0	\$0	3	\$831,436
Physical Plant	1	\$5,850	0	\$0	0	\$0	0	\$0	0	\$0
Polymer Science	0	\$0	0	\$0	0	\$0	0	\$0	17	\$1,177,515
Public Safety	1	\$118,665	0	\$0	0	\$0	0	\$0	0	\$0
Research Services	0	\$0	0	\$0	0	\$0	1	\$1,000	0	\$0
School of Education	30	\$14,175,124	33	\$11,496,350	31	\$12,574,952	32	\$18,138,522	37	\$27,665,966
School of Management	7	\$2,850,313	11	\$3,320,611	16	\$5,605,524	18	\$6,731,139	18	\$6,165,963
School of Nursing	17	\$3,248,737	15	\$4,328,978	11	\$1,747,502	4	\$1,518,759	16	\$2,324,192
Sch of Public Health & Health Sciences	78	\$25,177,136	78	\$27,357,767	96	\$44,057,985	85	\$45,408,516	88	\$53,488,002
Undergraduate Affairs	0	\$0	0	\$0	0	\$0	0	\$0	1	\$3,043,876
University Library	5	\$325,000	1	\$499,455	1	\$3,000	2	\$352,637	1	\$61,133
University Outreach	18	\$4,981,299	11	\$726,337	29	\$7,392,164	25	\$9,200,963	0	\$0
University Relations	0	\$0	0	\$0	0	\$0	0	\$0	3	\$351,762
VC Student Affairs	0	\$0	0	\$0	0	\$0	3	\$403,916	3	\$689,950
VCRE/Vice Chancellor for Research	42	\$14,808,634	36	\$12,580,480	46	\$19,776,342	53	\$19,391,952	46	\$16,060,077
Total	1,177	\$386,763,812	1,137	\$417,528,579	1,254	\$588,113,403	1,295	\$713,487,895	1,233	\$582,891,239

PROPOSALS

Table 3
New Proposals Submitted by Organizational Unit FY 2011

<u>Organizational Unit</u>	<u>Props</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>	<u>Proj Est</u>
Academic Administration					
Provost's Office	2	585,747	63,505	649,252	649,252
MBU Total FY 2011	2	\$585,747	\$63,505	\$649,252	\$649,252
MBU Total FY 2010	3	\$386,638	\$148,842	\$535,480	\$2,702,754
Academic Support					
Fine Arts Center	14	151,880	17,510	169,390	179,390
MBU Total FY 2011	14	\$151,880	\$17,510	\$169,390	\$179,390
MBU Total FY 2010	33	\$454,704	\$16,071	\$470,775	\$737,442
Campus Services					
Transit Services	1	45,463	26,596	72,059	127,284
MBU Total FY 2011	1	\$45,463	\$26,596	\$72,059	\$127,284
College of Engineering					
Chemical Engineering	58	13,707,634	2,804,790	16,414,077	59,895,119
Civil and Environmental Engineering	41	4,024,759	1,489,723	5,514,482	19,520,874
Dean - Engineering	2	16,750	0	16,750	16,750
Electrical and Computer Engineering	64	7,199,912	2,797,944	9,997,856	33,973,546
Engineering Research Center	3	780,640	88,335	868,975	3,468,227
Mechanical and Industrial Engineering	57	4,373,374	1,491,390	5,840,657	17,711,758
UMASS Transportation Center	11	1,614,816	326,416	1,941,232	5,192,075
MBU Total FY 2011	236	\$31,717,885	\$8,998,598	\$40,594,029	\$139,778,349
MBU Total FY 2010	231	\$52,146,286	\$9,783,649	\$61,929,935	\$131,111,201
College of Humanities & Fine Arts					
Classics	1	5,925	0	5,925	5,925
Dean - Humanities and Fine Arts	1	5,634	1,916	7,550	7,550
English	7	142,149	33,824	175,973	243,621
History	1	99,491	58,445	157,936	157,936
Judaic and Near Eastern Studies	1	5,480	0	5,480	5,480
Language, Literature and Culture	5	76,580	2,410	78,990	296,013
Linguistics	6	439,828	215,442	655,270	1,587,382
Music and Dance	2	2,135,011	0	2,135,011	2,135,011
Philosophy	1	5,000	0	5,000	5,000
Women's Studies	1	65,000	0	65,000	65,000
MBU Total FY 2011	26	\$2,980,098	\$312,037	\$3,292,135	\$4,508,918
MBU Total FY 2010	34	\$1,822,790	\$497,254	\$2,320,044	\$6,705,464

PROPOSALS

Table 3 (cont'd)

New Proposals Submitted by Organizational Unit FY 2011

<u>Organizational Unit</u>	<u>Props</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>	<u>Proj Est</u>
College of Natural Sciences					
Agricultural Experiment Station	4	2,789,434	0	2,789,434	2,789,434
Astronomy	29	3,862,004	1,404,971	5,266,975	14,002,325
Biochemistry and Molecular Biology	22	3,810,388	1,246,388	5,044,017	18,753,898
Biology	37	3,651,843	1,665,680	5,317,523	20,499,912
Center for Agriculture	2	108,691	26,430	135,121	257,907
Chemistry	32	3,641,722	1,554,998	5,196,720	19,115,751
Computer Science	90	12,889,521	5,241,245	18,130,766	50,980,665
Cranberry Station - Extension	13	220,158	22,573	220,068	599,176
Environmental Conservation	57	5,201,316	1,414,464	6,605,306	11,785,335
Food Science	33	3,867,550	1,271,175	5,138,725	15,982,488
Geosciences	32	2,557,994	996,349	3,554,343	10,557,040
Mathematics and Statistics	17	522,981	263,305	786,286	2,406,335
Microbiology	19	4,432,165	1,696,642	6,127,567	15,941,405
Physics	22	3,272,795	911,733	4,184,528	13,244,185
Plant, Soil and Insect Sciences	70	5,138,244	1,244,757	6,383,001	19,673,568
Polymer Science and Engineering	42	5,145,080	1,592,855	6,737,935	19,953,228
Psychology	49	4,797,840	2,097,884	6,895,724	23,136,351
UMASS Extension	19	4,234,257	62,918	4,297,175	4,577,067
Veterinary and Animal Sciences	33	6,476,652	2,064,980	8,541,632	33,688,150
MBU Total FY 2011	622	\$76,620,634	\$24,779,347	\$101,352,845	\$297,944,219
MBU Total FY 2010	669	\$115,423,945	\$30,505,706	\$145,929,651	\$442,414,093
College of Social & Behavioral Sciences					
Anthropology	23	1,760,201	573,482	2,333,683	8,009,380
Anthropology - Archaeological Services	14	461,909	202,372	664,281	1,191,643
Communication	3	357,854	91,448	431,718	449,302
Economics	5	341,324	45,087	386,411	710,914
Landscape Arch and Regional Planning	5	538,599	191,361	729,960	2,370,075
Legal Studies	2	127,192	60,503	187,695	1,214,536
PERI	1	57,181	28,876	86,057	174,983
Political Science	11	729,039	237,866	966,905	1,864,468
Public Policy	2	124,478	0	124,478	220,878
Sociology	14	1,030,688	217,215	1,247,903	2,948,174
MBU Total FY 2011	80	\$5,528,465	\$1,648,210	\$7,159,091	\$19,154,353
MBU Total FY 2010	72	\$3,877,239	\$908,777	\$4,786,016	\$11,859,512
Commonwealth College					
Honors	2	75,039	19,512	94,551	234,759
MBU Total FY 2011	2	\$75,039	\$19,512	\$94,551	\$234,759
MBU Total FY 2010	2	\$210,932	\$14,918	\$225,850	\$654,687
Dean of Students					
Everywoman's Center	7	468,182	1,660	469,842	709,354
MBU Total FY 2011	7	\$468,182	\$1,660	\$469,842	\$709,354
MBU Total FY 2010	5	\$291,419	\$0	\$291,419	\$386,353

PROPOSALS

Table 3 (cont'd)

New Proposals Submitted by Organizational Unit FY 2011

<u>Organizational Unit</u>	<u>Props</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>	<u>Proj Est</u>
Environmental Health & Safety					
Environmental Health and Safety	1	136,233	7,166	143,399	143,399
MBU Total FY 2011	1	\$136,233	\$7,166	\$143,399	\$143,399
MBU Total FY 2010	2	\$87,601	\$0	\$87,601	\$87,601
Graduate School					
NEAGEP/STEM	5	3,338,770	775,872	4,114,642	7,000,817
MBU Total FY 2011	5	\$3,338,770	\$775,872	\$4,114,642	\$7,000,817
MBU Total FY 2010	8	3,967,573	1,405,427	5,373,000	\$9,535,051
Health Services					
UHS Health Services	3	99,669	35,532	135,201	491,799
MBU Total FY 2011	3	\$99,669	\$35,532	\$135,201	\$491,799
MBU Total FY 2010	1	\$247,301	\$81,548	\$328,849	\$1,293,868
Human Resources					
Human Resources	1	49,761	4,976	54,737	109,474
MBU Total FY 2011	1	\$49,761	\$4,976	\$54,737	\$109,474
MBU Total FY 2010	9	\$1,269,906	\$274,916	\$1,544,822	\$2,967,950
Office of Information Technologies					
C I O	3	440,724	206,721	647,445	831,436
MBU Total FY 2011	3	\$440,724	\$206,721	\$647,445	\$831,436
Polymer Science					
CUMIRP/PSE	17	781,752	360,812	1,142,564	1,177,515
MBU Total FY 2011	17	\$781,752	\$360,812	\$1,142,564	\$1,177,515
School of Education					
Educational Policy Research and Admin	22	10,112,375	2,993,206	13,105,581	17,871,963
Student Dev and Pupil Personnel Services	5	387,717	91,679	479,396	1,766,814
Teacher Ed and Curriculum Studies	10	1,279,234	290,807	1,570,041	8,027,189
MBU Total FY 2011	37	\$11,779,326	\$3,375,692	\$15,155,018	\$27,665,966
MBU Total FY 2010	32	\$3,880,668	\$906,862	\$4,787,530	\$18,138,522
School of Management					
Finance and Operations Management	2	31,435	6,287	37,722	160,846
Hospitality and Tourism Managmnt	2	225,839	55,302	281,141	427,495
MA Small Business Dev Ctr	7	4,680,608	210,039	4,890,647	4,890,647
Marketing	1	5,307	796	6,103	6,103
Resource Economics	6	397,208	87,944	479,489	680,872
MBU Total FY 2011	18	\$5,340,397	\$360,368	\$5,695,102	\$6,165,963
MBU Total FY 2010	18	\$4,487,400	\$376,351	\$4,863,751	\$6,731,139

PROPOSALS

Table 3 (cont'd)
New Proposals Submitted by Organizational Unit FY 2011

<u>Organizational Unit</u>	<u>Props</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>	<u>Proj Est</u>
School of Nursing					
Nursing	16	879,923	195,840	1,075,763	2,324,192
MBU Total FY 2011	16	\$879,923	\$195,840	\$1,075,763	\$2,324,192
MBU Total FY 2010	4	\$439,894	\$185,872	\$625,766	\$1,518,759
School of Public Health & Health Science					
Communications Disorders	17	2,229,757	702,664	2,932,421	11,751,020
Dean Health Sciences	1	141,181	83,120	224,301	679,175
Kinesiology	19	2,042,492	551,138	2,593,630	6,630,516
Nutrition	11	2,737,007	612,172	3,349,179	4,536,521
Public Health	40	6,405,402	2,328,018	8,733,420	29,890,770
MBU Total FY 2011	88	\$13,555,839	\$4,277,112	\$17,832,951	\$53,488,002
MBU Total FY 2010	85	\$16,681,366	\$3,623,182	\$20,304,548	\$45,408,516
Undergraduate Affairs					
University Without Walls	1	764,097	353,017	1,117,114	3,043,876
MBU Total FY 2011	1	\$764,097	\$353,017	\$1,117,114	\$3,043,876
University Library					
Library-Admin Services	1	41,417	19,716	61,133	61,133
MBU Total FY 2011	1	\$41,417	\$19,716	\$61,133	\$61,133
MBU Total FY 2010	2	\$94,100	\$31,025	\$125,125	\$352,637
University Relations					
University Relations	2	61,000	0	61,000	61,000
WFCR	1	290,762	0	290,762	290,762
MBU Total FY 2011	3	\$351,762	\$0	\$351,762	\$351,762
VC for Student Affairs					
VC Student Affairs Office	3	382,009	36,536	418,545	689,950
MBU Total FY 2011	3	\$382,009	\$36,536	\$418,545	\$689,950
MBU Total FY 2010	3	\$152,875	\$26,408	\$179,283	\$403,916
Vice Chancellor for Research & Engagement					
VCRE/VC for Research & Engagement					
C&I/Baystate/UM PVLSI	19	2,840,524	603,064	3,443,588	13,623,472
C&I/EEI	1	249,574	131,852	381,426	1,200,000
VC for Research & Engagement	1	182,743	105,991	288,734	288,734
MBU Total FY 2011	21	\$3,272,841	\$840,907	\$4,113,748	\$15,112,206
MBU Total FY 2010	6	\$104,818	\$60,012	\$164,830	\$164,830

PROPOSALS

Table 3 (cont'd)
New Proposals Submitted by Organizational Unit FY 2011

<u>Organizational Unit</u>	<u>Props</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>	<u>Proj Est</u>
VCRE/Environmental Institute					
The Environmental Institute	1	3,731	1,269	5,000	5,000
Water Resources and Research Ctr	7	294,139	43,019	337,158	382,158
MBU Total FY 2011	8	\$297,870	\$44,288	\$342,158	\$387,158
MBU Total FY 2010	6	\$211,818	\$94,717	\$306,535	\$609,343
VCRE/Research Support					
Mass Nanotech	7	245,064	66,649	311,713	524,213
MBU Total FY 2011	7	\$245,064	\$66,649	\$311,713	\$524,213
MBU Total FY 2010	37	\$5,030,057	\$1,454,471	\$6,484,528	\$18,600,429
VCRE/University Press					
University Press	10	36,500	0	36,500	36,500
MBU Total FY 2011	10	\$36,500	\$0	\$36,500	\$36,500
MBU Total FY 2010	4	\$17,350	\$0	\$17,350	\$17,350
VC for Research & Engagement Total FY 2011	46	3,852,275	951,844	4,804,119	16,060,077
VC for Research & Engagement Total FY 2010	53	\$5,364,043	\$1,609,200	\$6,973,243	\$19,391,952
Fiscal Year 2011	1,233	\$159,967,347	\$46,828,179	\$206,602,689	\$582,891,239
Fiscal Year 2010	1,295	\$221,580,566	\$50,432,605	\$272,013,171	\$713,487,895
% Change FY 2010 to FY 2011	-5%	-28%	-7%	-24%	-18%
Cumulative Total FY 2009	1,256	\$192,451,362	\$49,650,014	\$242,101,376	\$590,670,573
% Change FY 2009 to FY 2011	-2%	-17%	-6%	-15%	-1%

PROPOSALS

Table 4
5 Year New Proposal Trend by Sponsor Category
W/Total Project Dollars

Sponsor Category	FY 2007		FY 2008		FY 2009		FY 2010		FY 2011	
	#	Dollars	#	Dollars	#	Dollars	#	Dollars	#	Dollars
Federal	508	\$266,269,381	515	\$332,078,520	625	\$477,302,028	704	\$584,818,477	624	\$460,617,716
Commonwealth of MA	87	\$15,535,461	77	\$11,126,722	73	\$15,187,166	71	\$10,936,615	63	\$11,079,750
Other States & Local Gov'ts	20	\$1,210,757	23	\$1,967,026	19	\$2,040,711	13	\$1,392,893	14	\$4,779,770
Non-Profit	409	\$87,352,018	376	\$52,602,021	434	\$79,106,164	384	\$99,347,082	413	\$79,414,950
Industry	153	\$16,396,195	146	\$19,754,290	103	\$14,477,334	123	\$16,992,828	119	\$26,999,053
Total	1,177	\$386,763,812	1,137	\$417,528,579	1,254	\$588,113,403	1,295	\$713,487,895	1,233	\$582,891,239

PROPOSALS

Table 5
New Proposals Submitted by Federal Sponsor FY 2011

<u>Sponsor</u>	<u>Props</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>	<u>Project Est</u>
US Dept of Agriculture					
Animal and Plant Health Inspec Serv	2	178,219	0	178,219	237,019
Forest Service	6	362,319	16,891	379,210	882,776
Nat'l Institute of Food and Agriculture	17	8,443,982	508,433	8,952,415	12,588,775
Natural Resources Conserv Services	2	50,020	5,002	55,022	55,022
Northeast SARE	1	6,756	676	7,432	14,864
US Dept of Agriculture	23	3,452,364	765,977	4,218,341	15,113,978
Total	51	\$12,493,660	\$1,296,979	\$13,790,639	\$28,892,434
US Dept of Commerce					
Nat'l Oceanic and Atmospheric Admin	9	803,521	308,848	1,112,369	2,221,280
National Institute of Standards and Tech	9	3,357,040	46,049	3,403,089	23,490,999
National Marine Fisheries Service	1	97,925	22,981	120,906	353,811
US Dept of Commerce	1	139,111	23,912	163,023	852,056
Total	20	\$4,397,597	\$401,790	\$4,799,387	\$26,918,146
US Dept of Defense					
Air Force Office of Scientific Research	2	79,740	37,285	117,025	306,596
Air Force Research Laboratory	1	62,871	32,205	95,076	289,445
Army Corps of Engineers	2	440,305	137,295	577,600	1,352,139
Army Medical Research	1	100,000	26,118	126,118	345,050
Army Research Lab	1	71,359	38,642	110,001	110,001
Army Research Office	3	318,364	165,694	484,058	1,404,016
Defense Advanced Research Proj Agency	3	296,297	152,422	448,719	894,442
Defense Logistics Agency	2	555,596	26,662	582,258	582,258
Defense Threat Reduction Agency	1	0	0	0	0
Intelligence Advanced Research Projects Activity (i	1	275,721	142,794	418,515	418,515
National Security Agency	2	56,955	15,881	72,835	116,978
Naval Health Research Center	1	259,672	143,016	402,688	975,798
Office of Naval Research (ONR)	3	172,696	86,344	259,040	890,405
US Dept of Defense (DOD)	3	245,108	120,185	365,293	731,090
Total	26	\$2,934,684	\$1,124,543	\$4,059,226	\$8,416,733
US Dept of Education					
Fund Improvement of Post Secondary Ed	1	30,118	2,410	32,528	249,551
Institute of Education Sciences	1	302,812	165,711	468,523	1,466,954
US Dept of Education (DOED)	9	1,785,818	228,685	2,014,503	7,307,278
Total	11	\$2,118,748	\$396,806	\$2,515,554	\$9,023,783
US Dept of Energy					
US Dept of Energy (DOE)	28	10,416,268	3,061,447	13,379,368	34,284,173
Total	28	\$10,416,268	\$3,061,447	\$13,379,368	\$34,284,173

PROPOSALS

Table 5 (cont'd)
New Proposals Submitted by Federal Sponsor FY 2011

<u>Sponsor</u>	<u>Props</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>	<u>Project Est</u>
US Dept of Health and Human Services					
Health Resources and Services Admin (HRSA)	4	936,908	66,437	1,003,345	3,510,143
National Inst of Envir Health Sciences	1	3,731	1,269	5,000	5,000
National Institutes of Health (NIH)	122	28,659,949	11,309,152	39,969,101	162,433,171
Total	127	\$29,600,588	\$11,376,858	\$40,977,446	\$165,948,314
US Dept of Housing and Urban Development					
US Dept of Housing and Urban Development (HUD)	3	529,057	273,595	802,652	1,772,724
Total	3	\$529,057	\$273,595	\$802,652	\$1,772,724
US Dept of Interior					
Geological Survey (USGS)	12	1,859,016	424,106	2,283,122	8,478,305
US Fish and Wildlife Service (FWS)	3	417,069	67,501	484,570	484,570
Total	15	\$2,276,085	\$491,607	\$2,767,692	\$8,962,875
US Dept of Justice					
National Inst of Justice (NIJ)	1	131,248	65,728	196,976	568,122
US Dept of Justice (DOJ)	4	800,310	253,659	1,053,969	2,793,648
Total	5	\$931,558	\$319,387	\$1,250,945	\$3,361,770
US Dept of Transportation					
Federal Transit Administration	1	45,463	26,596	72,059	127,284
US Dept of Transportation (DOT)	3	168,000	38,843	206,843	447,384
Total	4	\$213,463	\$65,439	\$278,902	\$574,668
Independent Establishments & Govt Corps					
Agency for International Development (AID)	3	7,757,737	2,357,468	10,115,205	10,115,205
Environmental Protection Agency (EPA)	7	369,275	174,239	533,040	905,146
Nat'l Historical Publications & Records	1	41,417	19,716	61,133	61,133
National Aero and Space Administration (NASA)	15	1,584,045	471,225	2,055,270	5,580,682
National Endowment for the Arts (NEA)	3	87,772	18,738	106,510	106,510
National Endowment for the Humanities (NEH)	3	172,679	90,554	263,233	544,931
National Mediation Board	1	13,636	1,364	15,000	15,000
Small Business Administration (SBA)	2	2,921,343	172,760	3,094,103	3,094,103
US Nuclear Regulatory Commission (NRC)	1	70,000	32,900	102,900	148,761
Total	36	\$13,017,904	\$3,338,964	\$16,346,394	\$20,571,471
National Science Foundation					
National Science Foundation (NSF)	295	36,077,187	13,601,450	49,654,530	151,676,465
Total	295	\$36,077,187	\$13,601,450	\$49,654,530	\$151,676,465

PROPOSALS

Table 5 (cont'd)
New Proposals Submitted by Federal Sponsor FY 2011

<u>Sponsor</u>	<u>Props</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>	<u>Project Est</u>
Other/Quasi Government Agencies					
Smithsonian Astrophysical Observatory	2	106,631	57,530	164,161	164,161
Smithsonian Institution	1	31,645	18,354	49,999	49,999
Total	3	\$138,276	\$75,884	\$214,160	\$214,160
Total FY 2011 - Federal	624	\$115,145,074	\$35,824,749	\$150,836,895	\$460,617,716
Total FY 2010 - Federal	703	\$184,328,608	\$40,702,466	\$225,031,074	\$584,368,503
% Change FY 2010 to FY 2011	-11%	-38%	-12%	-33%	-21%

PROPOSALS

Table 5 (cont'd)
New Proposals Submitted by Sponsor FY 2011

<u>Sponsor</u>	<u>Props</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>	<u>Project Est</u>
Commonwealth of Massachusetts					
MA Clean Energy Center	9	527,430	125,322	652,752	766,171
MA Dept of Agricultural Resources	5	244,489	18,769	263,258	263,258
MA Dept of Business and Technology	2	1,195,452	8,834	1,204,286	1,204,286
MA Dept of Conservation and Recreation	7	390,626	63,783	454,409	454,409
MA Dept of Early Education and Care	1	9,621	2,004	11,625	11,625
MA Dept of Education	2	118,317	27,465	145,782	292,136
MA Dept of Elementary & Secondary Ed	4	148,032	34,328	182,360	182,360
MA Dept of Environmental Protection (DEP)	6	386,762	51,164	415,263	854,605
MA Dept of Public Health (DPH)	4	298,078	19,512	317,590	457,798
MA Dept of State Police	4	375,144	73,962	449,106	655,957
MA Dept of Transitional Assistance	1	2,125,073	474,927	2,600,000	2,600,000
MA Dept of Transportation	2	394,577	100,757	495,334	1,286,000
MA Development Finance Agency	1	8,217	1,783	10,000	10,000
MA Division of Capital Asset Mgt	1	19,449	4,718	24,167	31,113
MA Division of Fisheries and Wildlife (DFW)	2	103,000	0	103,000	103,000
MA Division of Marine Fisheries	1	119,409	28,768	148,177	148,177
MA Emergency Management Agency	1	97,709	36,764	134,473	250,753
MA Environmental Trust	1	36,000	9,000	45,000	90,000
MA Exec Off of Labor and Workforce Dev	1	171,955	28,045	200,000	200,000
MA Exec Off of Public Safety & Security	1	59,487	15,467	74,954	74,954
MA Exec Off of Trans & Public Works	1	182,759	17,241	200,000	300,000
MA Highway Department	1	22,560	5,865	28,425	28,425
MA Life Sciences Center	1	204,762	28,614	233,376	444,230
MA Office for Victim Assistance	1	49,840	0	49,840	49,840
MA Office of the Attorney General	1	111,969	10,262	122,231	249,953
MA Registry of Motor Vehicles	1	24,365	6,335	30,700	30,700
MA Technology Transfer Center	1	40,000	0	40,000	40,000
Total FY 2011 - Commonwealth of MA	63	\$7,465,082	\$1,193,689	\$8,636,108	\$11,079,750
Total FY 2010 - Commonwealth of MA	71	\$7,524,569	\$892,805	\$8,417,374	10,936,615
% Change FY 2010 to FY 2011	-11%	-1%	34%	3%	1%
Other States and Local Governments					
Amherst Public Schools	1	88,346	8,098	96,444	96,444
Amherst Town of	1	53,597	0	53,597	107,195
CT Agricultural Experiment Station	1	58,855	14,498	73,353	372,097
Fairbanks North Star Borough	1	41,967	18,609	60,576	60,576
New Hampshire Fish and Game	1	71,582	10,737	82,319	246,627
Reg. Employment Board of Hampden County	2	89,135	45,484	134,619	154,329
Rhode Island Dept of Administration	1	160,568	89,357	249,925	249,925
Springfield Water and Sewer Commission	3	69,383	15,241	84,624	84,624
Texas Engineering Experiment Station	1	53,426	23,611	77,037	314,155
Upper Blackstone WPAD	1	74,443	19,355	93,798	93,798
VT Agency of Transportation	1	671,028	76,591	747,619	3,000,000
Total FY 2011 - Other States & Local Gov't	14	\$1,432,330	\$321,581	\$1,753,911	\$4,779,770
Total FY 2010 - Other States & Local Gov't	13	\$488,592	\$187,491	\$676,083	\$1,392,893
% Change FY 2010 to FY 2011	8%	193%	72%	159%	243%

PROPOSALS

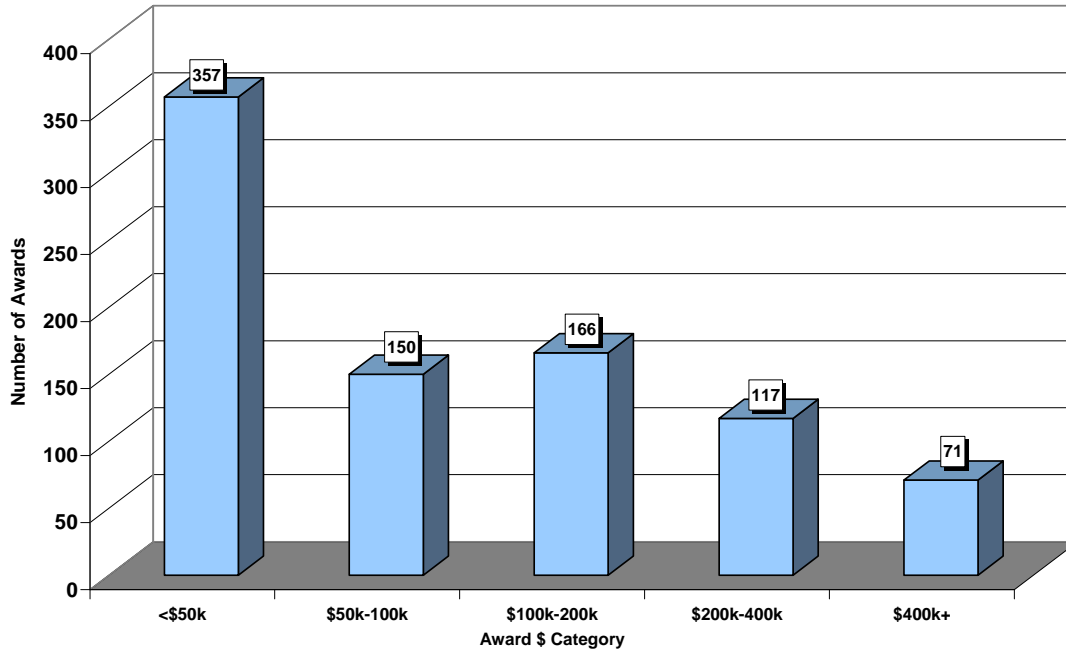
Table 5 (cont'd)
New Proposals Submitted by Sponsor FY 2011

<u>Sponsor</u>	<u>Props</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>	<u>Project Est</u>
Private Sector					
Non - Profit					
Foundations	130	9,745,139	724,580	10,452,135	20,510,627
Health Agencies	4	63,146	20,658	83,804	328,057
Institutes and Associations	97	5,007,085	1,139,999	6,147,084	14,470,829
Other Colleges and Universities	153	8,981,879	3,332,758	12,307,734	35,009,380
Other Sponsors	29	3,137,760	739,951	3,864,952	9,096,057
Total FY 2011 -- Non-Profit	413	26,935,009	5,957,946	32,855,709	79,414,950
Total FY 2010 -- Non-Profit	384	23,543,790	6,163,821	29,707,611	99,347,082
% Change FY 2010 to FY 2011	8%	14%	-3%	11%	-20%
Total FY 2011 -- Industry	119	8,989,852	3,530,214	12,520,066	26,999,053
Total FY 2010 -- Industry	123	5,599,969	2,434,308	8,034,277	16,992,828
% Change FY 2010 to FY 2011	-3%	61%	45%	56%	59%
Total FY 2011 -- Private Sector	532	35,924,861	9,488,160	45,375,775	106,414,003
Total FY 2010 -- Private Sector	507	\$29,143,759	\$8,598,129	\$37,741,888	116,339,910
% Change FY 2010 to FY 2011	5%	23%	10%	20%	-9%
Fiscal Year 2011	1,233	\$159,967,347	\$46,828,179	\$206,602,689	\$582,891,239
Fiscal Year 2010	1,295	\$221,580,566	\$50,432,605	\$272,013,171	\$713,487,895
% Change FY 2010 to FY 2011	-5%	-28%	-7%	-24%	-18%
Cumulative Total FY 2009	1,256	\$192,451,362	\$49,650,014	\$242,101,376	\$590,670,573
% Change FY 2009 to FY 2011	-2%	-17%	-6%	-15%	-1%

AWARDS

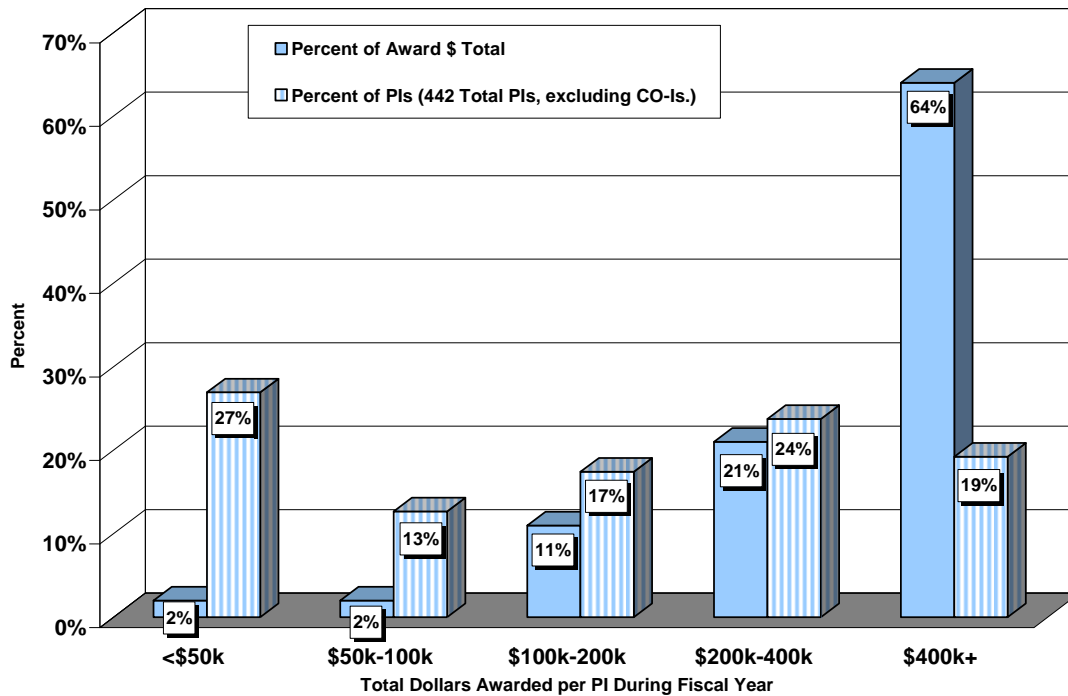
AWARD DISTRIBUTION ANALYSIS

Figure 3: Distribution of Awards by Dollar Category FY 2011*



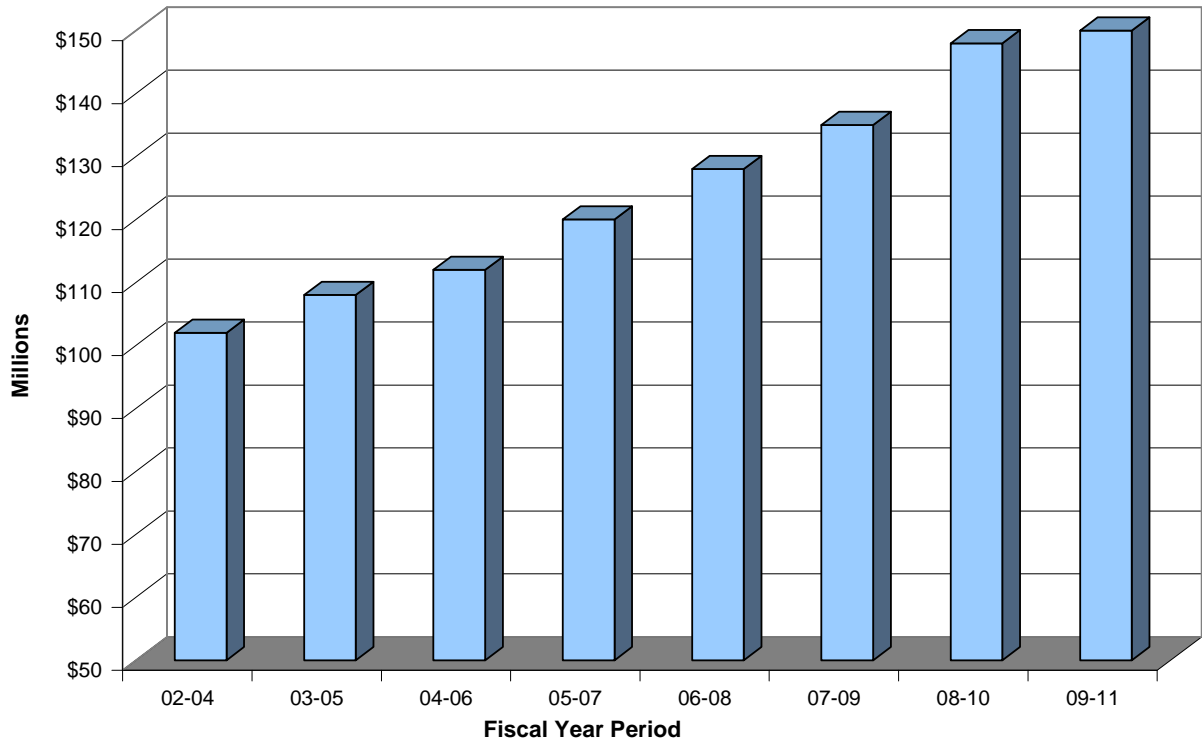
* 2 or more FY 2011 awards in the same project were grouped together, therefore the total number shown here is less than the total number of awards received in FY '11

Figure 4: Distribution of Award Dollars to PIs FY 2011



AWARDS

Figure 5: Award Dollars - Three-Year Rolling Averages FY 2002-2011



AWARDS

Figure 6: Distribution of Award Numbers by Award Type FY 2011
Total Awards - 1083

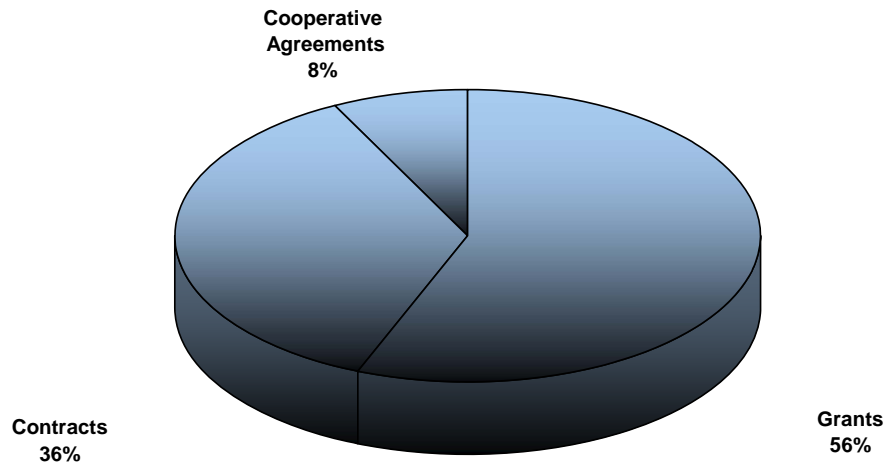
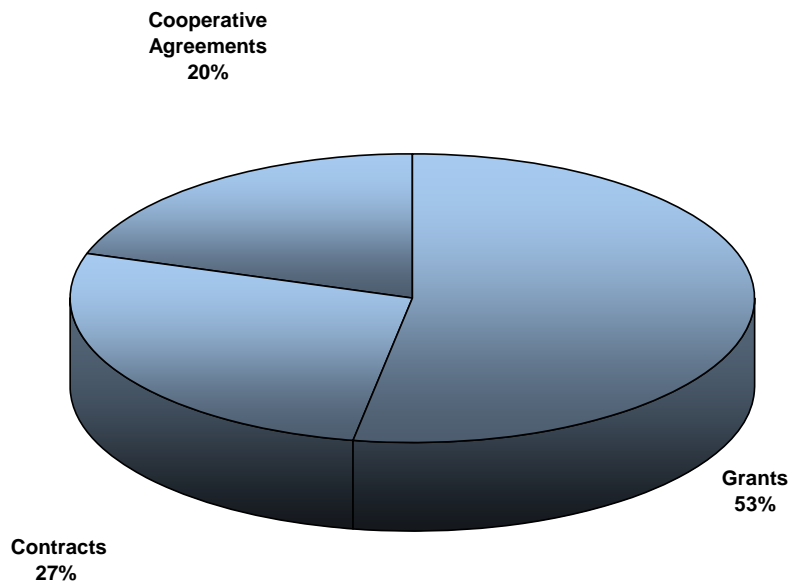


Figure 7: Distribution of Award Dollars by Award Type Total Costs, FY 2011
\$143,528,048



AWARDS

TEN YEAR SUMMARY

Figure 8: Indirect, Direct & Total Dollar Value of Awards FY 2002 - 2011

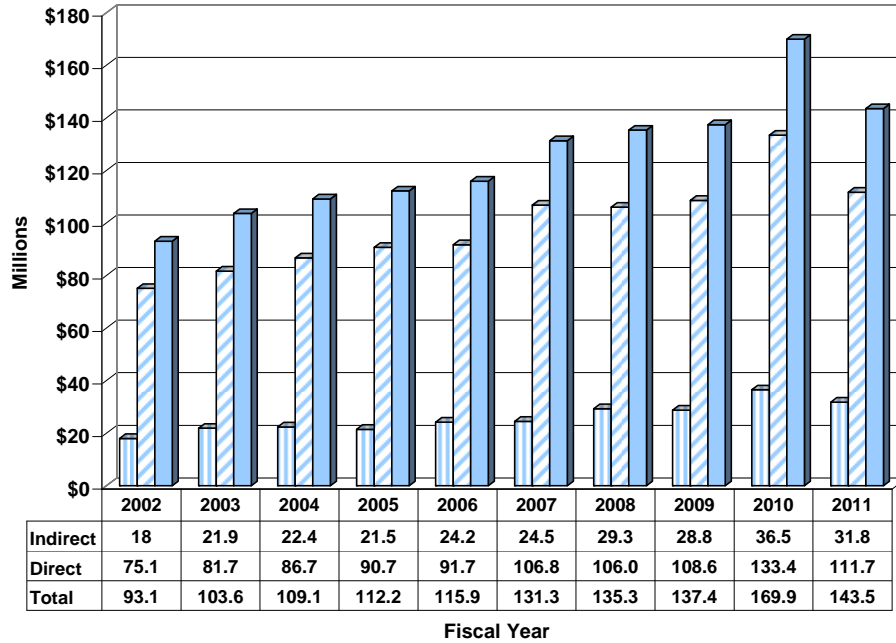
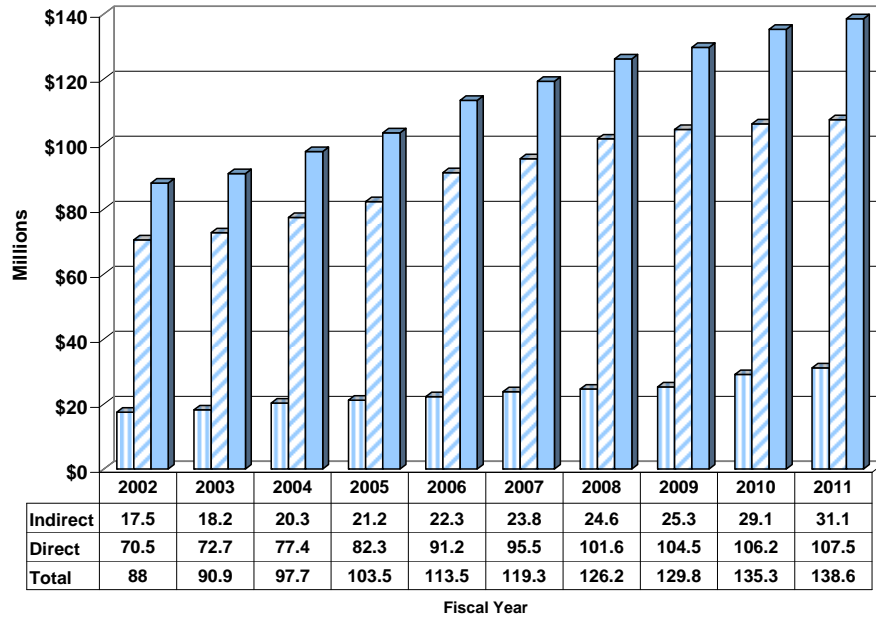


Figure 9: Indirect, Direct & Total \$ Expenditures FY 2002 - 2011

Data obtained from the Budget Office



AWARDS

Table 6

5 Year Award Trend by Major Budgetary Unit (MBU)

MBU	FY 2007		FY 2008		FY 2009		FY 2010		FY 2011	
	#	Dollars	#	Dollars	#	Dollars	#	Dollars	#	Dollars
Academic Administration	7	\$2,370,732	7	\$2,034,027	2	\$1,554,935	4	\$2,075,583	4	\$2,989,370
Academic Support	19	\$690,528	32	\$495,461	22	\$394,450	18	\$162,170	11	\$447,630
Academic Support Services	0	\$0	0	\$0	1	\$35,000	1	\$24,100	0	\$0
Center for Student Development	0	\$0	0	\$0	3	\$26,485	1	\$12,500	1	\$13,000
College of Engineering	202	\$22,960,918	198	\$23,313,291	185	\$30,547,906	191	\$29,333,046	170	\$22,469,630
College of Humanities & Fine Arts	19	\$657,552	14	\$491,066	22	\$627,887	20	\$555,773	17	\$340,433
College Nat. Resources & The Environment*	235	\$17,994,373	246	\$22,263,808	247	\$21,336,203	0	\$0	0	\$0
College of Natural Sciences	0	\$0	0	\$0	0	\$0	668	\$103,313,726	615	\$75,121,260
College of Natural Sciences and Math*	384	\$47,291,082	429	\$53,583,230	353	\$54,513,667	0	\$0	0	\$0
College of Social & Behavioral Sciences	82	\$7,888,993	84	\$4,015,284	86	\$6,837,637	45	\$1,993,401	49	\$3,270,082
Commonwealth College	0	\$0	0	\$0	0	\$0	1	\$89,393	2	\$183,517
Dean of Students	6	\$306,158	9	\$638,244	5	\$80,708	9	\$294,775	7	\$408,903
Environmental Health & safety	1	\$1,500	0	\$0	4	\$40,350	2	\$87,601	1	\$143,400
Facilities Planning	0	\$0	0	\$0	0	\$0	1	\$1,849,715	0	\$0
Graduate School	0	\$0	3	\$716,701	6	\$1,044,898	4	\$537,159	5	\$1,771,040
Health Services	4	\$976,251	2	\$79,972	2	\$273,588	1	\$100,000	2	\$200,000
Human Resources	6	\$178,966	3	\$403,604	6	\$195,052	6	\$381,961	3	\$634,153
Office of Information Technologies	2	\$25,260	4	\$645,217	1	\$32,607	1	\$31,466	3	\$451,231
Physical Plant	1	\$5,850	0	\$0	0	\$0	0	\$0	0	\$0
Polymer Science	0	\$0	0	\$0	0	\$0	0	\$0	35	\$2,076,072
Public Safety	0	\$0	0	\$0	0	\$0	0	\$0	0	\$0
Rsrch Liason & Tech Transfer	0	\$0	0	\$0	0	\$0	1	\$1,000	0	\$0
School of Education	34	\$4,839,223	20	\$3,205,930	31	\$3,153,953	35	\$7,964,580	22	\$10,668,828
School of Management	15	\$3,620,217	18	\$4,621,142	10	\$3,695,479	12	\$4,358,935	19	\$5,517,616
School of Nursing	10	\$1,284,807	10	\$849,660	8	\$716,379	1	\$25,000	4	\$57,094
School of Public Health & Health Sciences	66	\$7,419,530	66	\$8,237,866	72	\$8,147,307	55	\$9,260,552	72	\$10,103,823
Student Affairs	2	\$20,292	1	\$704	0	\$0	0	\$0	0	\$0
Undergrate Affairs	0	\$0	0	\$0	0	\$0	0	\$0	1	\$1,500
University Relations	0	\$0	0	\$0	0	\$0	0	\$0	5	\$358,182
University Library	0	\$0	0	\$0	2	\$203,000	1	\$314,787	0	\$0
University Outreach	13	\$2,134,857	18	\$744,071	29	\$1,058,716	23	\$850,710	0	\$0
VCRE/VC for Research & Engagement	29	\$10,684,098	30	\$8,979,054	43	\$2,887,938	33	\$6,375,575	35	\$6,301,284
Total	1,137	\$131,351,187	1,194	\$135,318,332	1,140	\$137,404,145	1,134	\$169,993,508	1,083	\$143,528,048

*Due to organizational changes in FY '10 the colleges of CFNR and CNSM 0 awards in FY '10 and CNS has no awards prior to FY '10

AWARDS

Table 7

Awards Accepted by Organizational Unit FY 2011

<u>Organizational Unit</u>	<u>Awards</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>
Academic Administration				
Provost's Office	4	2,896,363	93,007	2,989,370
MBU Total FY 2011	4	\$2,896,363	\$93,007	\$2,989,370
MBU Total FY 2010	4	\$2,028,629	\$46,954	\$2,075,583
Academic Support				
Fine Arts Center	10	47,630	0	47,630
Office of Faculty Development	1	400,000	0	400,000
MBU Total FY 2011	11	\$447,630	\$0	\$447,630
MBU Total FY 2010	18	\$154,670	\$7,500	\$162,170
Center for Student Development				
Family Resources	1	13,000	0	13,000
MBU Total FY 2011	1	\$13,000	\$0	\$13,000
MBU Total FY 2010	1	\$12,500	\$0	\$12,500
College of Engineering				
Chemical Engineering	26	2,218,299	694,368	2,912,667
Civil & Environmental Engineering	30	1,525,194	679,659	2,204,853
Electrical and Computer Engineering	61	4,404,857	1,631,335	6,036,192
Engineering Research Center	6	3,578,058	721,942	4,300,000
Mechanical and Industrial Engineering	40	3,530,050	1,239,049	4,769,099
UMASS Transportation Center	7	1,783,646	463,173	2,246,819
MBU Total FY 2011	170	\$17,040,104	\$5,429,526	\$22,469,630
MBU Total FY 2010	191	\$22,530,555	\$6,802,491	\$29,333,046
College of Humanities & Fine Arts				
Dean-College of Humanities and Fine Arts	1	5,634	1,916	7,550
English	7	122,842	9,169	132,011
Judaic and Near Eastern Studies	1	5,480	0	5,480
Language, Literature & Culture	3	61,536	3,638	65,174
Linguistics	3	79,668	40,530	120,198
Music & Dance	1	5,020	0	5,020
Philosophy	1	5,000	0	5,000
MBU Total FY 2011	17	\$285,180	\$55,253	\$340,433
MBU Total FY 2010	20	\$471,012	\$84,761	\$555,773

AWARDS

Table 7 (cont'd)

Awards Accepted by Organizational Unit FY 2011

<u>Organizational Unit</u>	<u>Awards</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>
College of Natural Sciences				
Agricultural Experiment Station	3	952,244	0	952,244
Astronomy	35	3,330,660	1,233,383	4,564,043
Biochemistry and Molecular Biology	18	2,304,467	1,017,579	3,322,046
Biology	28	3,642,397	1,491,947	5,134,344
Center for Agriculture	3	106,000	19,000	125,000
Chemistry	36	3,560,844	1,468,047	5,028,891
Computer Science	110	10,712,246	3,872,932	14,585,178
Cranberry Station - Extension	21	234,644	8,430	243,074
Environmental Conservation	45	4,385,688	809,602	5,195,290
Food Science	18	2,741,094	460,777	3,201,871
Geosciences	24	2,918,258	968,119	3,886,377
Mathematics and Statistics	16	816,276	418,578	1,234,854
Microbiology	18	4,103,297	1,414,432	5,517,729
Physics	27	3,047,182	1,166,651	4,213,833
Plant, Soil and Insect Sciences	104	2,245,203	197,967	2,443,170
Polymer Science and Engineering	35	3,687,638	1,251,518	4,939,156
Psychology	24	2,250,483	1,078,530	3,329,013
UMASS Extension	26	2,491,212	94,532	2,585,744
Veterinary and Animal Sciences	24	3,622,936	996,467	4,619,403
MBU Total FY 2011	615	\$57,152,769	\$17,968,491	\$75,121,260
MBU Total FY 2010	668	\$79,067,805	\$24,245,921	\$103,313,726
College of Social & Behavioral Sciences				
Anthropology	6	50,001	0	50,001
Anthropology - Archaeological Services	27	1,431,523	387,760	1,819,283
Communication	2	114,335	64,256	178,591
Economics	3	398,622	51,338	449,960
Landscape Arch & Regional Planning	2	163,754	13,796	177,550
PERI	1	59,890	30,479	90,369
Political Science	2	71,120	18,355	89,475
Sociology	6	387,255	27,598	414,853
MBU Total FY 2011	49	\$2,676,500	\$593,582	\$3,270,082
MBU Total FY 2010	45	\$1,648,310	\$345,091	\$1,993,401
Commonwealth College				
Honors	2	160,698	22,819	183,517
MBU Total FY 2011	2	\$160,698	\$22,819	\$183,517
MBU Total FY 2010	1	\$85,136	\$4,257	\$89,393

AWARDS

Table 7 (cont'd)

Awards Accepted by Organizational Unit FY 2011

<u>Organizational Unit</u>	<u>Awards</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>
Dean of Students				
Everywoman's Center	7	407,243	1,660	408,903
MBU Total FY 2011	7	\$407,243	\$1,660	\$408,903
MBU Total FY 2010	9	\$294,775	\$0	\$294,775
Environmental Health & Safety				
Environmental Health & Safety	1	136,571	6,829	143,400
MBU Total FY 2011	1	\$136,571	\$6,829	\$143,400
MBU Total FY 2010	2	\$87,601	\$0	\$87,601
Graduate School				
Graduate Dean's Office	2	758,021	0	758,021
NEAGEP/STEM	3	757,756	255,263	1,013,019
MBU Total FY 2011	5	\$1,515,777	\$255,263	\$1,771,040
MBU Total FY 2010	4	\$549,965	-\$12,806	\$537,159
Health Services				
UHS Health Services	2	186,692	13,308	200,000
MBU Total FY 2011	2	\$186,692	\$13,308	\$200,000
MBU Total FY 2010	1	\$91,909	\$8,091	\$100,000
Human Resources				
Human Resources	3	541,306	92,847	634,153
MBU Total FY 2011	3	\$541,306	\$92,847	\$634,153
MBU Total FY 2010	6	\$332,514	\$49,447	\$381,961
Office of Information Technologies				
CIO	2	303,011	128,446	431,457
Networking	1	17,977	1,797	19,774
MBU Total FY 2011	3	\$320,988	\$130,243	\$451,231
MBU Total FY 2010	1	\$28,606	\$2,860	\$31,466
Polymer Science				
CUMIRP	35	1,445,384	630,688	2,076,072
MBU Total FY 2011	35	\$1,445,384	\$630,688	\$2,076,072

AWARDS

Table 7 (cont'd)

Awards Accepted by Organizational Unit FY 2011

<u>Organizational Unit</u>	<u>Awards</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>
School of Education				
Educational Policy Research & Administration	17	8,148,383	2,399,011	10,547,394
Student Development & Pupil Personnel Services	3	40,687	0	40,687
Teacher Ed & Curriculum Studies	2	54,445	26,302	80,747
MBU Total FY 2011	22	\$8,243,515	\$2,425,313	\$10,668,828
MBU Total FY 2010	35	\$6,937,661	\$1,026,919	\$7,964,580
School of Management				
Finance & Operations Management	2	153,716	58,270	211,986
Hospitality & Tourism Mgmt	2	224,839	55,169	280,008
MA Small Business Dev Ctr	10	4,348,940	196,366	4,545,306
Marketing	1	5,307	796	6,103
Resource Economics	4	384,778	89,435	474,213
MBU Total FY 2011	19	\$5,117,580	\$400,036	\$5,117,616
MBU Total FY 2010	12	\$4,130,067	\$228,868	\$4,358,935
School of Nursing				
Nursing	4	48,518	8,576	57,094
MBU Total FY 2011	4	\$48,518	\$8,576	\$57,094
MBU Total FY 2010	1	\$20,833	\$4,167	\$25,000
Sch of Public Health & Health Sciences				
Dean Health Sciences	2	60,516	34,494	95,010
Communications Disorders	3	604,247	125,600	729,847
Kinesiology	26	2,291,797	710,603	3,002,400
Nutrition	4	2,777,323	275,732	3,053,055
Public Health	37	2,397,730	825,781	3,223,511
MBU Total FY 2011	72	\$8,131,613	\$1,972,210	\$10,103,823
MBU Total FY 2010	55	\$7,252,961	\$2,007,591	\$9,260,552
Undergraduate Affairs				
University Without Walls	1	1,500	0	1,500
MBU Total FY 2011	1	\$1,500	\$0	\$1,500
MBU Total FY 2010	1	\$5,000	\$0	\$5,000

AWARDS

Table 7 (cont'd)

Awards Accepted by Organizational Unit FY 2011

<u>Organizational Unit</u>	<u>Awards</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>
University Relations				
University Relations	4	67,420	0	67,420
WFCR	1	290,762	0	290,762
MBU Total FY 2011	5	\$358,182	\$0	\$358,182
Vice Chancellor for Research & Engagement				
VCRE/VC for Research & Engagement				
C&I/Baystate/UM PVLSI	8	854,550	283,330	1,137,880
VC for Research & Engagement	2	232,906	135,106	368,012
MBU Total FY 2011	10	\$1,087,456	\$418,436	\$1,505,892
MBU Total FY 2010	5	\$111,388	\$47,841	\$159,229
VCRE/The Environmental Institute				
The Environmental Institute	1	3,731	1,269	5,000
Water Res & Research Ctr	5	126,066	6,683	132,749
MBU Total FY 2011	6	\$129,797	\$7,952	\$137,749
MBU Total FY 2010	7	\$313,128	\$63,833	\$376,961
VCRE/Research Support				
Global Health Institute	2	298,163	101,376	399,539
Mass Nanotech	7	3,044,866	1,176,738	4,221,604
MBU Total FY 2011	9	\$3,343,029	\$1,278,114	\$4,621,143
MBU Total FY 2010	16	\$4,351,000	\$1,470,035	\$5,821,035
VCRE/University Press				
University Press	10	36,500	0	36,500
MBU Total FY 2011	10	\$36,500	\$0	\$36,500
MBU Total FY 2010	5	\$18,350	\$0	\$18,350
VC for Research & Engagement Total FY 2011	35	\$4,596,782	\$1,704,502	\$6,301,284
VC for Research & Engagement Total FY 2010	33	\$4,793,866	\$1,581,709	\$6,375,575

AWARDS

Table 7 (cont'd)

Awards Accepted by Organizational Unit FY 2011

<u>Organizational Unit</u>	<u>Awards</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>
Cumulative Total FY 11	1,083	\$111,723,895	\$31,804,153	\$143,528,048
Cumulative Total FY 10	1135	\$133,466,649	\$36,526,859	\$169,993,508
% Change FY 2010 to FY 2011	-5%	-16%	-13%	-16%
Cumulative Total FY 09	1,140	\$108,569,487	\$28,834,658	\$137,404,145
% Change FY 2009 to FY 2011	-5%	3%	10%	4%

AWARDS

Table 8

5 Year Award Trend by Sponsor Category

Sponsor Category	FY2007		FY2008		FY2009		FY2010		FY2011	
	#	Dollars	#	Dollars	#	Dollars	#	Dollars	#	Dollars
Federal	456	\$80,838,218	479	\$93,226,867	467	\$93,635,259	498	\$129,262,137	457	\$100,731,941
Commonwealth of MA	104	\$15,812,616	81	\$9,609,293	74	\$16,316,146	74	\$9,165,862	58	\$9,430,532
Other States & Local Gov'ts	18	\$686,634	20	\$893,689	17	\$740,944	12	\$456,655	16	\$974,288
Non-Profit	296	\$21,479,302	342	18,309,853	360	\$16,672,462	325	\$20,674,374	315	\$18,845,923
Industry	263	12,534,417	272	13,278,630	222	\$10,039,334	225	\$10,434,480	237	\$13,545,364
Total	1,137	\$131,351,187	1,194	\$135,318,332	1,140	\$137,404,145	1,134	\$169,993,508	1,083	\$143,528,048

AWARDS

Table 9

Awards Accepted from Federal Agencies FY 2011

<u>Sponsor</u>	<u>Awards</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>
US Dept of Agriculture				
Agricultural Research Service	1	11,000	0	11,000
Animal and Plant Health Inspec Serv	4	213,708	0	213,708
Forest Service	17	936,467	4,875	941,342
Nat'l Institute of Food and Agriculture	17	6,100,695	641,249	6,741,944
Natural Resources Conserv Services(NRCS)	4	265,475	26,547	292,022
US Dept of Agriculture	2	75,910	8,029	83,939
Total	45	\$7,603,255	\$680,700	\$8,283,955
US Dept of Commerce				
Economic Development Administration	1	149,387	10,163	159,550
National Institute of Standards and Tech	5	263,311	12,658	275,969
Nat'l Oceanic and Atmospheric Admin	3	533,145	111,052	644,197
Total	9	\$945,843	\$133,873	\$1,079,716
US Dept of Defense				
Air Force	2	126,536	62,681	189,217
Air Force Office of Scientific Research	8	430,894	168,153	599,047
Air Force Research Laboratory	4	523,357	284,907	808,264
Army Corps of Engineers	1	169,446	28,668	198,114
Army Medical Research	4	609,832	281,626	891,458
Army Natick Soldier R D and E Center	2	207,832	81,931	289,763
Army Research Office	14	780,119	360,363	1,140,482
Defense Logistics Agency	2	223,928	12,989	236,917
Defense Threat Reduction Agency	2	136,815	63,185	200,000
National Security Agency	3	55,586	32,339	87,925
Naval Research Laboratory	2	49,644	22,356	72,000
Office of Naval Research	8	414,823	230,278	645,101
Total	52	\$3,728,812	\$1,629,476	\$5,358,288
US Dept of Education				
US Dept of Education	4	529,599	43,522	573,121
Total	4	\$529,599	\$43,522	\$573,121

AWARDS

Table 9 (cont'd)

Awards Accepted from Federal Agencies FY 2011

<u>Sponsor</u>	<u>Awards</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>
US Dept of Energy				
US Dept of Energy	26	6,448,197	2,353,366	8,801,563
Total	26	\$6,448,197	\$2,353,366	\$8,801,563
US Dept of Health and Human Services				
National Inst of Envir Health Sciences	1	3,731	1,269	5,000
National Institutes of Health	94	14,333,825	5,830,849	20,164,674
Substance Abuse and Mental Health Serv	2	186,692	13,308	200,000
Total	97	\$14,524,248	\$5,845,426	\$20,369,674
US Dept of Interior				
Geological Survey	7	504,193	91,085	595,278
National Park Service	1	6,467	1,131	7,598
US Dept of Interior	2	131,856	68,144	200,000
US Fish and Wildlife Service	7	984,956	165,044	1,150,000
Total	17	\$1,627,472	\$325,404	\$1,952,876
US Dept of Justice				
US Dept of Justice	1	145,045	82,457	227,502
Total	1	\$145,045	\$82,457	\$227,502
US Dept of Transportation				
Federal Aviation Administration	1	156,422	84,910	241,332
US Dept of Transportation	1	337,915	124,985	462,900
Total	2	\$494,337	\$209,895	\$704,232
Independent Establishments & Govt Corps				
Agency for International Development	5	7,330,940	2,237,242	9,568,182
Environmental Protection Agency	3	89,912	37,467	127,379
National Aero and Space Administration	18	1,171,042	546,605	1,717,647
National Endowment for the Arts	1	9,500	500	10,000
National Mediation Board	1	13,636	1,364	15,000
Small Business Administration	5	2,921,343	172,760	3,094,103
Total	33	\$11,536,373	\$2,995,938	\$14,532,311

AWARDS

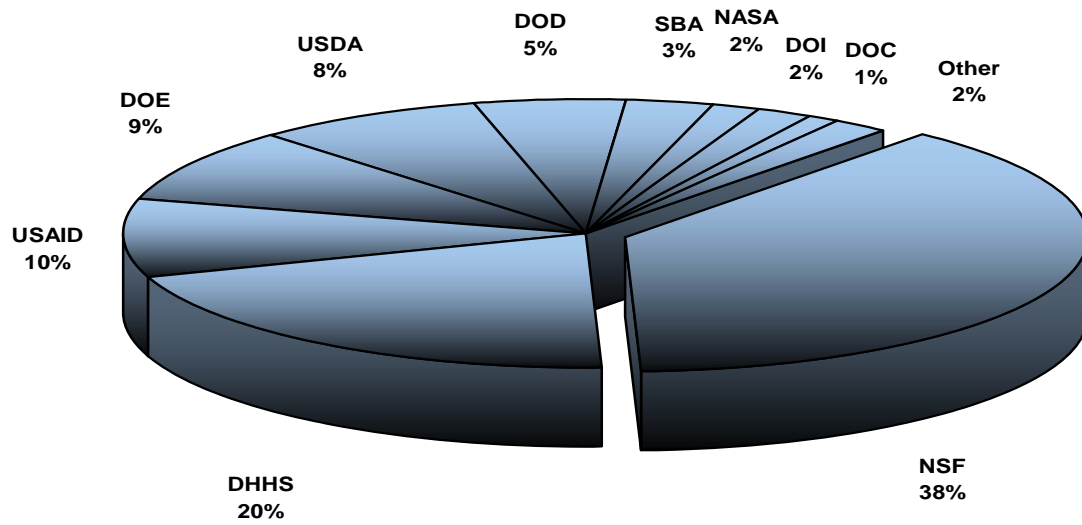
Table 9 (cont'd)

Awards Accepted from Federal Agencies FY 2011

<u>Sponsor</u>	<u>Awards</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>
National Science Foundation				
National Science Foundation	167	29,297,402	9,332,145	38,629,547
Total	167	\$29,297,402	\$9,332,145	\$38,629,547
Other/Quasi Government Agencies				
Open World Leadership Center	1	5,000	0	5,000
Smithsonian Astrophysical Observatory	2	106,633	57,523	164,156
Smithsonian Institution	1	31,645	18,355	50,000
Total	4	\$143,278	\$75,878	\$219,156
Total FY 2011 - Federal	457	\$77,023,861	\$23,708,080	\$100,731,941
Total FY 2010 - Federal	498	\$100,090,190	\$29,171,947	\$129,262,137
% Change FY 2010 to FY 2011	-8%	-23%	-19%	-22%
Total FY 2009 - Federal	467	\$72,179,982	\$21,455,277	\$93,635,259
% Change FY 2009 to FY 2011	-2%	7%	10%	8%

AWARDS

**Figure 10: Distribution of Award Dollars Accepted from Federal Agencies
FY 2011
Total Costs - \$100,707,009**



AWARDS

Table 10

Awards Accepted from Commonwealth of MA FY 2011

<u>Sponsor</u>	<u>Awards</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>
Commonwealth of Massachusetts				
MA Clean Energy Center	5	214,529	48,760	263,289
MA Cultural Council	3	7,500	0	7,500
MA Dept of Agricultural Resources	6	256,818	24,182	281,000
MA Dept of Business and Technology	2	1,195,452	8,834	1,204,286
MA Dept of Conservation and Recreation	9	449,751	77,660	527,411
MA Dept of Education	2	117,317	27,332	144,649
MA Dept of Elementary & Secondary Ed	5	425,777	100,966	526,743
MA Dept of Environmental Protection	1	20,084	4,916	25,000
MA Dept of Higher Education	1	36,364	3,636	40,000
MA Dept of Public Health	6	337,354	23,847	361,201
MA Dept of State Police	3	331,047	47,072	378,119
MA Dept of Transitional Assistance	1	2,742,812	270,592	3,013,404
MA Dept of Transportation	1	861,906	224,094	1,086,000
MA Development Finance Agency	1	8,217	1,783	10,000
MA Division of Capital Asset Mgt	1	25,034	6,079	31,113
MA Division of Energy Resources	1	401,329	98,671	500,000
MA Division of Fisheries and Wildlife	3	108,000	0	108,000
MA Division of Marine Fisheries	1	119,409	28,768	148,177
MA Exec Off of Public Safety & Security	1	59,524	15,476	75,000
MA Exec Off of Trans & Public Works	1	233,413	60,687	294,100
MA Highway Department	1	237,500	47,500	285,000
MA Office for Victim Assistance	1	49,840	0	49,840
MA Registry of Motor Vehicles	1	24,365	6,335	30,700
MA Technology Transfer Center	1	40,000	0	40,000
Total FY 2011 - Commonwealth of MA	58	\$8,303,342	\$1,127,190	\$9,430,532
Total FY 2010 - Commonwealth of MA	74	\$8,152,016	\$1,013,846	\$9,165,862
% Change FY 2010 to FY 2011	-22%	2%	11%	3%
Total FY 2009 - Commonwealth of MA	74	\$14,122,462	\$2,193,684	\$16,316,146
% Change FY 2009 to FY 2010	-22%	-41%	-49%	-42%

AWARDS

Table 11

Awards Accepted from Other States & Local Govts FY 2011

<u>Sponsor</u>	<u>Awards</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>
Other States and Local Governments				
Amherst Town of	1	107,195	0	107,195
Amherst-Pelham Regional Schools	1	88,436	8,098	96,534
Arizona Geological Survey	2	196,712	105,827	302,539
Chester Town of	1	62,834	6,136	68,970
City of Newton	2	30,117	7,403	37,520
CT Agricultural Experiment Station	1	58,855	14,498	73,353
Fairbanks North Star Borough	2	111,759	53,816	165,575
Harwood Union Middle/High School	1	7,001	0	7,001
Oklahoma State Regents for Higher Ed	1	9,091	909	10,000
Snohomish County Public Utility District	1	38,542	7,708	46,250
Springfield Water and Sewer Commission	2	44,283	10,341	54,624
Winchendon Town of	1	3,752	975	4,727
Total FY 2011 - Other States & Local Govts	16	\$758,577	\$215,711	\$974,288
Total FY 2010 - Other States & Local Govts	12	\$352,780	\$103,875	\$456,655
% Change FY 2010 to FY 2011	33%	115%	108%	113%
Total FY 2009 - Other States & Local Govts	17	\$591,443	\$149,501	\$740,944
% Change FY 2009 to FY 2010	-6%	28%	44%	31%

AWARDS

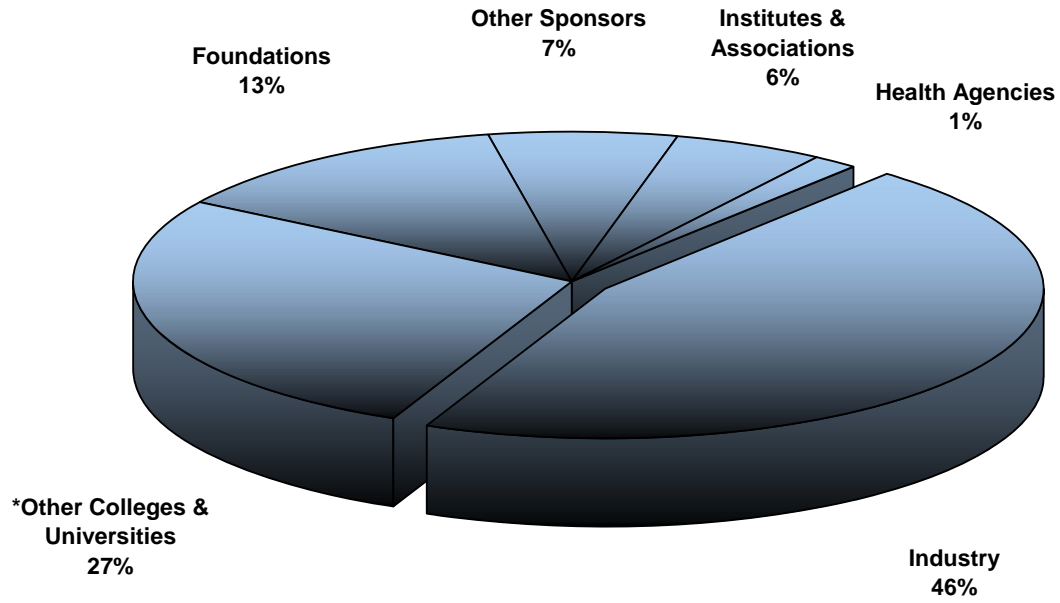
Table 12

Awards Accepted from the Private Sector FY 2011

<u>Sponsor</u>	<u>Awards</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>
Private Sector				
Non - Profit				
Foundations	67	3,508,797	353,360	3,862,157
Health Agencies	13	356,287	166,769	523,056
Institutes and Associations	92	3,639,399	675,195	4,314,594
Other Colleges and Universities	115	6,232,901	1,867,551	8,100,452
Other Sponsors	28	1,682,123	363,541	2,045,664
Total FY 2011 -- Non-Profit	315	15,419,507	3,426,416	18,845,923
Total FY 2010 -- Non-Profit	325	16,995,768	3,678,606	20,674,374
% Change FY 2010 to FY 2011	-3%	-9%	-7%	-9%
Total FY 2009 -- Non-Profit	342	15,305,565	3,004,288	18,309,853
% Change FY 2009 to FY 2010	-8%	1%	14%	3%
Total FY 2011 -- Industry	237	10,218,608	3,326,756	13,545,364
Total FY 2010 -- Industry	225	7,875,895	2,558,585	10,434,480
% Change FY 2010 to FY 2011	5%	30%	30%	30%
Total FY 2009 -- Industry	222	7,833,304	2,206,030	10,039,334
% Change FY 2009 to FY 2010	7%	30%	51%	35%
Cumulative Total FY 11	1,083	\$111,723,895	\$31,804,153	\$143,528,048
Cumulative Total FY 10	1135	\$133,466,649	\$36,526,859	\$169,993,508
% Change FY 2010 to FY 2011	-5%	-16%	-13%	-16%
Cumulative Total FY 09	1,140	\$108,569,487	\$28,834,658	\$137,404,145
% Change FY 2009 to FY 2011	-5%	3%	10%	4%

AWARDS

Figure 11: Distribution of Award Dollars Accepted from the Private Sector FY 2011
Total Costs - \$29,632,514



* A Significant portion of these awards are prime Federal Funds

AWARDS

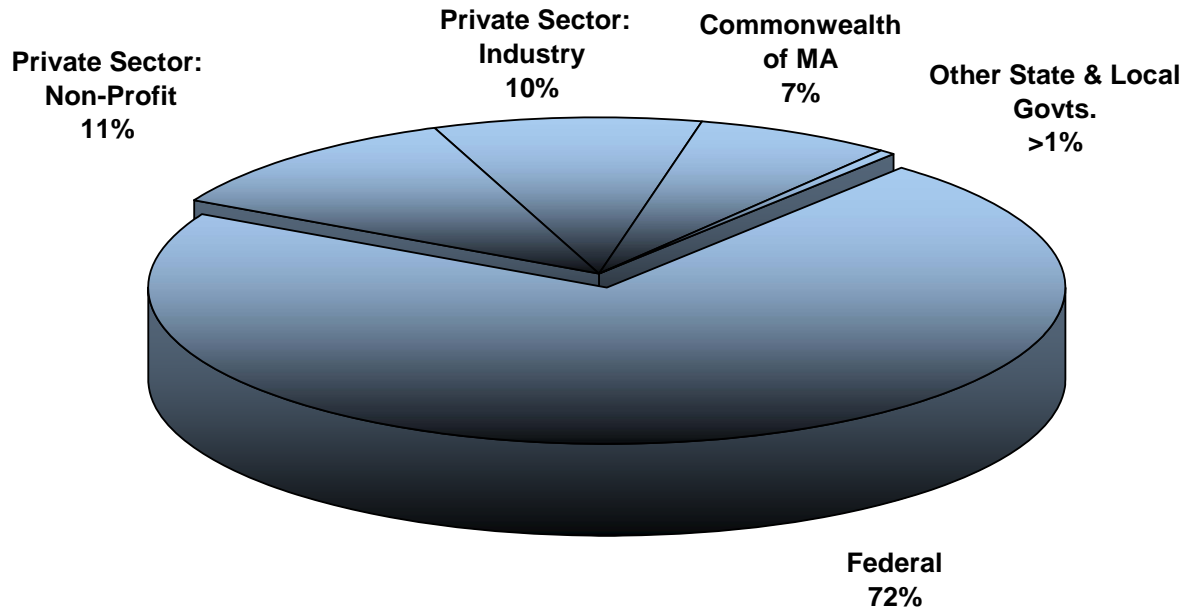
Table 13

Summary of Awards Accepted by Sponsor Category FY 2011

Sponsor	Awards	Direct	Indirect	Total
Federal	457	77,023,861	23,708,080	100,731,941
Commonwealth of Massachusetts	58	8,303,342	1,127,190	9,430,532
Other States & Local Governments	16	758,577	215,711	974,288
Private Sector -- Industry	237	10,218,608	3,326,756	13,545,364
Private Sector -- Non-Profit	315	15,419,507	3,426,416	18,845,923
Total Fiscal Year 2011	1,083	\$111,723,895	\$31,804,153	\$143,528,048

AWARDS

Figure 12: Distribution of Awarded Dollars by Sponsor Category FY 2011
\$140,734,797



AWARDS

Table 14

Summary of Project Characteristics & Award Types by Sponsor Category FY 2011

	Proj. Type	Award Type	# of Awards	\$ Amt Awards
Federal	Research	Grant	333	\$60,909,476
	Instruction	Grant	5	\$1,522,302
	Other	Grant	31	\$4,227,361
	Research	Co-Op	51	\$13,373,389
	Instruction	Co-Op	0	\$0
	Other	Co-Op	13	\$14,433,725
	Research	Contract	19	\$5,356,509
	Instruction	Contract	0	\$0
	Other	Contract	5	\$909,179
Commonwealth of MA	Research	Grant	3	\$17,500
	Instruction	Grant	0	\$0
	Other	Grant	0	\$0
	Research	Co-Op	0	\$0
	Instruction	Co-Op	0	\$0
	Other	Co-Op	0	\$0
	Research	Contract	33	\$3,909,718
	Instruction	Contract	5	\$667,683
	Other	Contract	17	\$4,835,631
Other States & Local Gov't	Research	Grant	1	\$7,001
	Instruction	Grant	0	\$0
	Other	Grant	0	\$0
	Research	Co-Op	0	\$0
	Instruction	Co-Op	0	\$0
	Other	Co-Op	0	\$0
	Research	Contract	10	\$780,362
	Instruction	Contract	3	\$69,730
	Other	Contract	2	\$117,195

AWARDS

Table 14 (cont'd)

Summary of Project Characteristics & Award Types by Sponsor Category FY 2011

	Proj. Type	Award Type	# of Awards	\$ Amt Awards
Non-Profit Private	Research	Grant	107	\$5,150,442
	Instruction	Grant	1	\$5,000
	Other	Grant	29	\$800,763
	Research	Co-Op	5	\$299,243
	Instruction	Co-Op	1	\$6,770
	Other	Co-Op	2	\$152,736
	Research	Contract	131	\$12,954,374
	Instruction	Contract	9	\$508,084
	Other	Contract	30	-\$1,031,489
Industry	Research	Grant	92	\$2,771,172
	Instruction	Grant	2	\$57,000
	Other	Grant	6	\$158,000
	Research	Co-Op	7	\$356,675
	Instruction	Co-Op	0	\$0
	Other	Co-Op	0	\$0
	Research	Contract	119	\$9,815,741
	Instruction	Contract	0	\$0
	Other	Contract	11	\$386,776
Total			1,083	\$143,528,048

NOTES

1. 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 accounting system, 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 11 and 12 illustrate the differences between \$ awarded and \$ 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. Award Type Definitions:

GRANT: An award instrument issued to the University in support of a particular activity, but usually not requiring a "product" other than technical progress reports. A grant contains terms and conditions associated with the awarding of funds and is therefore termed "restricted". (A few sponsors award "unrestricted" grants).

CONTRACT: A bilateral award agreement which specifies work to be performed, deliverables, and specific requirements. Also, any bilateral document specifying terms and conditions agreed to by both parties.

COOPERATIVE AGREEMENT: A type of contract which outlines involvement of both parties to the agreement.

4. Proposal Reports only Contain New proposal data.

Please note we are now only reporting New proposals in our reports, and thus include Project totals, not just the first year. This means that any proposal that is part of an ongoing project will not be added into the number of applications nor the dollar totals.