

5th Annual F&A Town Hall



Erin Rothwell
Vice President for Research
Oct. 13, 2023

AGENDA

- **Updates and Brief National Funding Overview**

- University of Utah Research Report

- FY23 Distribution Model

- Open Session Q&A



PRESIDENT TAYLOR R. RANDALL'S
VISION MATRIX
Become a top 10 public university with unsurpassed societal impact

The University of Utah pursues excellence in education, research, service and patient care. We become a top 10 public with unsurpassed societal impact by **INSPIRING** student success, **INNOVATING** to create new discoveries, and **SERVING** every Utahn. This matrix summarizes the foundational pillars, strategic objectives, targets, initiatives and metrics that maximize our impact.



President Randall's Vision Matrix

Strategic Objectives	Major Target	High Impact Initiatives 2022-2023	Summary Metrics
INSPIRE Student Success Inspire student success.	40K Students	<ul style="list-style-type: none"> Optimize admissions by innovating to expand access and excellence Complete plan to build college town magic Implement college plan to increase completion rates Expand Honors College to achieve 10% of graduates from every college Rollout full career services plan to all colleges Explore satellite campuses 	<ul style="list-style-type: none"> Growth (40K students) Completion rates (80%) Starting salary (\$65K minimum) Teaching excellence net promoter score (100%) Percent of freshmen in cohort experience (80%) Belonging net promoter score (100%) Opportunity score (55%)
INNOVATE New Discovery Improve lives, change the world.	\$1B Research	<ul style="list-style-type: none"> Implement a new commercialization strategy to accelerate impact Launch 6-8 new interdisciplinary research initiatives Create a regional semiconductor hub for research and workforce development Deploy 2-3 outcomes-based finance research interventions across the state 	<ul style="list-style-type: none"> Sponsored Research (\$1B annually) Major faculty awards (140 annually) Peer-reviewed publications (15K annually) Licensing revenue (\$30M annually) New startups (8-10 annually) Economic contribution (\$10B annually)
SERVE Statewide Service Impact the lives of every Utahn.	3.4M Utahns	<ul style="list-style-type: none"> Deliver on six commitments to Utah Build a new model of health care in West Valley Expand access to high quality, affordable health care in rural, tribal, and medically under-resourced communities 	<ul style="list-style-type: none"> Utah student, staff and patient reach (110% of counties, cities, and zip codes) Lifelong patient relationship (20% of Utahns) Economic contribution (\$10B annually) Opportunity score (55%)

FOUNDATIONAL PILLARS				
EQUITY, DIVERSITY, AND INCLUSION Recognize our shared humanity and dignity of all	SAFETY Set a national standard for enterprise safety practices	HEALTH AND WELL-BEING Work collaboratively to care for one another and create an	SUSTAINABILITY Support equity-focused sustainability leadership in	ACADEMIC FREEDOM AND OPPORTUNITY Affirm the US bedrock principle of open and

INNOVATE	New Discovery Improve lives, change the world.	\$1B Research	<ul style="list-style-type: none"> Implement a new commercialization strategy to accelerate impact Launch 6-8 new interdisciplinary research initiatives Create a regional semiconductor hub for research and workforce development Deploy 2-3 outcomes-based finance research interventions across the state 	<ul style="list-style-type: none"> Create a national strategy to strategically diversify our research portfolio Advance research computing infrastructure to lead scientific and research discoveries 	<ul style="list-style-type: none"> Sponsored Research (\$1B annually) Major faculty awards (140 annually) Peer-reviewed publications (15K annually) Licensing revenue (\$30M annually) New startups (8-10 annually) Economic contribution (\$10B annually)
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Why is Research Important?

- **Societal Impact**

- It is not about the numbers, the numbers will follow if we address importance of research!

- **NSF Advance Grant**

- University of Utah Institutional Change Studios—Systemic Institutional Change Through Problem Driven Iterative Adaptation
 - PI: Taylor Randall, Co-PIs: Claudia Geist, Brenda Bowen, Myra Washington, and Ramon Barthelemy.

- **ELEVATE Grant**

- Maternal Health Center of Excellence to Reduce Pregnancy Related Deaths
 - PI: Torri Metz, Co-Is: Erin Johnson, Michelle Debbink, Adam Gordon, Marcela Smid, Susanna Cohen, Melissa Watt, Dave Turok, Jasmin Charles, J.D. Smith, and Tom Greene



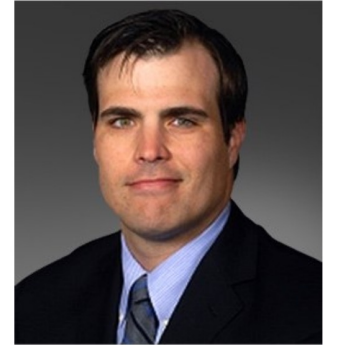
Quick Updates

- Research Leadership Luncheons (RLLs) have been transitioned into VPR Quarterly Townhalls
 - 4 townhalls/year
 - Next Townhall December 5th, 10:30 am-12 pm (Hybrid Format)
 - Technology Transfer
- DOD Grand Challenge Seed Grant Program
 - Townhall in November (TBD)
- Large Infrastructure Funding Teams (LIFT)
- College Year End Research Reports
 - Data Analytics and Dashboards
- F&A Taskforce (November 2023)



Technology Commercialization Changes

- Associate Vice President of Research for Innovation and Translation*
- Technology Transfer and Commercialization Separation
- Technology Commercialization Advisory Committee*
- Values:
 - TRANSPARENCY, ACCOUNTABILITY,
EASY AND ALIGNMENT



Jim Hotaling, MD
Associate Vice
President of
Research for
Innovation and
Translation

Next Townhall: December 5th, 10:30 am-12 pm | Hybrid Format



Office of Undergraduate Research Highlights

<https://our.utah.edu/about-us/our-success/>

- 611 students funded 2023 – 2024
- 1,260 student presenters supported
- 423 faculty mentors
- 4,367 attendees of the education series
- 180K reached in-person and social media.

AGENDA

- **Updates and Brief National Funding Overview**

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So where are we at?

Institution	Total R&D expenditures														
	2021			2020			2019			2018			2017		
	Rank	Percentile	R&D expenditures	Rank	Percentile	R&D expenditures	Rank	Percentile	R&D expenditures	Rank	Percentile	R&D expenditures	Rank	Percentile	R&D expenditures
Total R&D expenditures	89,872,007			86,444,902			83,642,841			79,173,538			75,290,993		
Johns Hopkins U. ^[1]	1	1	3,181,385	1	1	3,110,494	1	1	2,917,436	1	1	2,661,033	1	1	2,562,307
U. California, San Francisco	2	1.1	1,710,036	3	1.2	1,651,073	3	1.2	1,595,098	3	1.2	1,595,732	3	1.2	1,409,398
U. Michigan, Ann Arbor	3	1.2	1,639,645	2	1.1	1,673,862	2	1.1	1,675,805	2	1.1	1,600,869	2	1.1	1,530,139
U. Pennsylvania	4	1.3	1,631,950	4	1.3	1,579,364	4	1.3	1,506,285	4	1.3	1,441,931	4	1.3	1,374,293
U. Washington, Seattle	5	1.4	1,488,645	5	1.4	1,456,902	5	1.4	1,425,601	5	1.4	1,413,902	5	1.4	1,348,220
U. California, Los Angeles	6	1.6	1,454,880	7	1.6	1,392,941	7	1.6	1,306,376	6	1.5	1,318,110	12	2.2	1,076,917
U. California, San Diego	7	1.6	1,425,499	6	1.5	1,403,735	6	1.5	1,353,763	7	1.6	1,265,196	7	1.7	1,133,454
U. Wisconsin-Madison	8	1.8	1,380,075	8	1.8	1,363,931	8	1.8	1,297,331	8	1.8	1,205,518	6	1.6	1,193,413



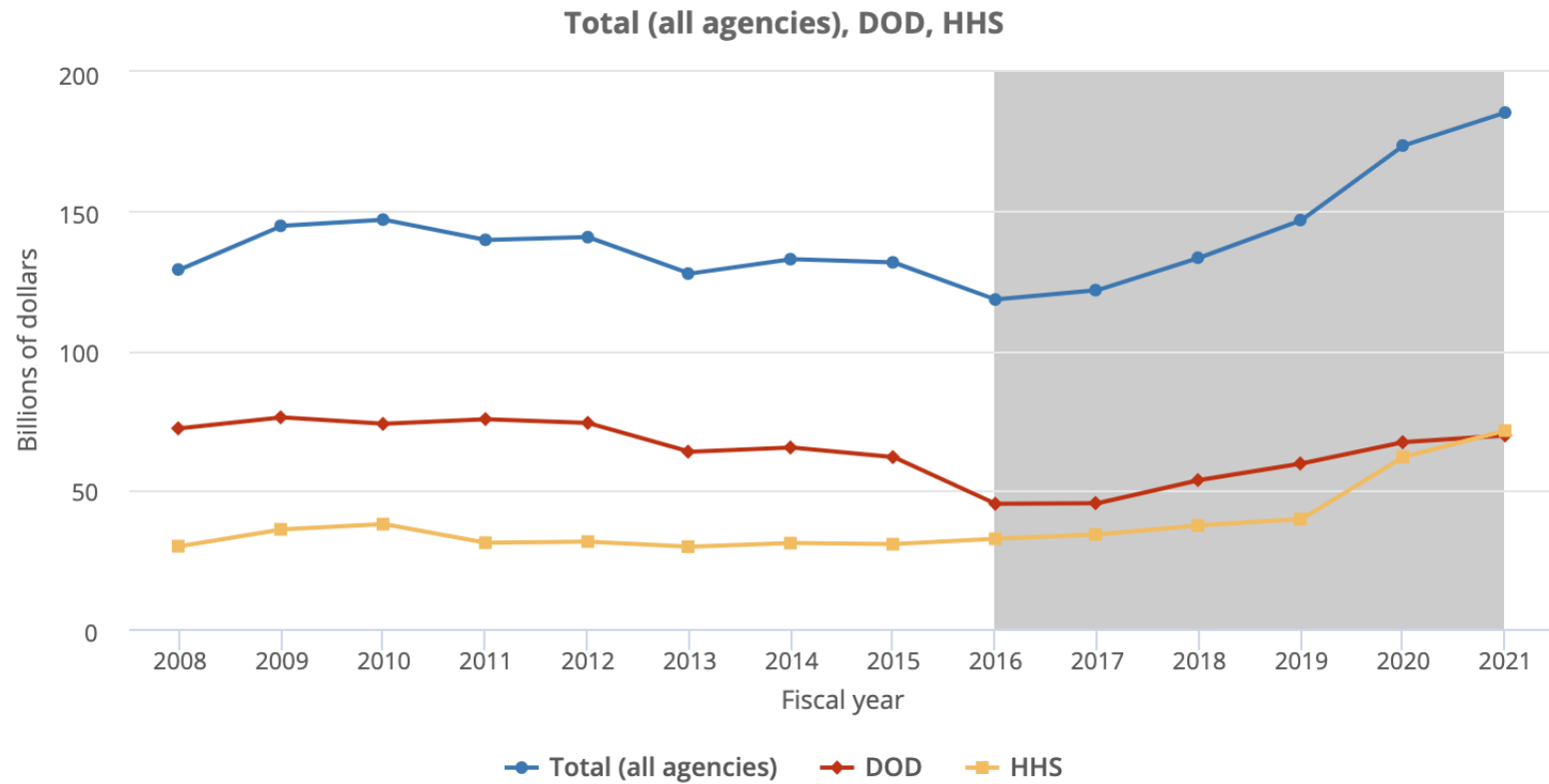
UU is 47th, ASU 42nd , U. Az, 36th

Arizona State U.	42	5.5	677,303	43	5.6	673,357	43	5.6	639,637	41	5.4	617,717	44	5.8	545,016
Boston U.	43	5.6	652,096	48	6.1	583,267	50	6.3	534,205	52	6.6	484,205	57	7.2	421,360
U. Alabama, The, Birmingham	44	5.7	644,330	45	5.8	618,226	45	5.8	607,863	42	5.5	588,207	41	5.4	561,851
Rutgers, The State U. New Jersey, New Brunswick	45	5.8	643,955	40	5.2	688,077	41	5.3	657,249	34	4.6	706,282	33	4.5	681,719
U. Texas Southwestern Medical Center, The	46	5.9	632,134	47	6	595,939	54	6.8	496,697	55	6.9	474,260	52	6.6	461,797
U. Utah, The	47	6	624,737	46	5.9	607,061	46	5.9	601,133	44	5.7	552,306	61	7.6	380,295
U. Virginia, Charlottesville	48	6.1	611,313	44	5.7	652,002	44	5.7	613,938	45	5.8	551,761	51	6.5	469,682
U. Colorado Anschutz Medical Campus	49	6.2	562,855	50	6.3	554,643	47	6	542,732	48	6.1	525,531	50	6.4	480,598
U. Iowa	50	6.3	553,876	52	6.5	538,583	53	6.6	508,353	50	6.3	511,973	49	6.3	494,280

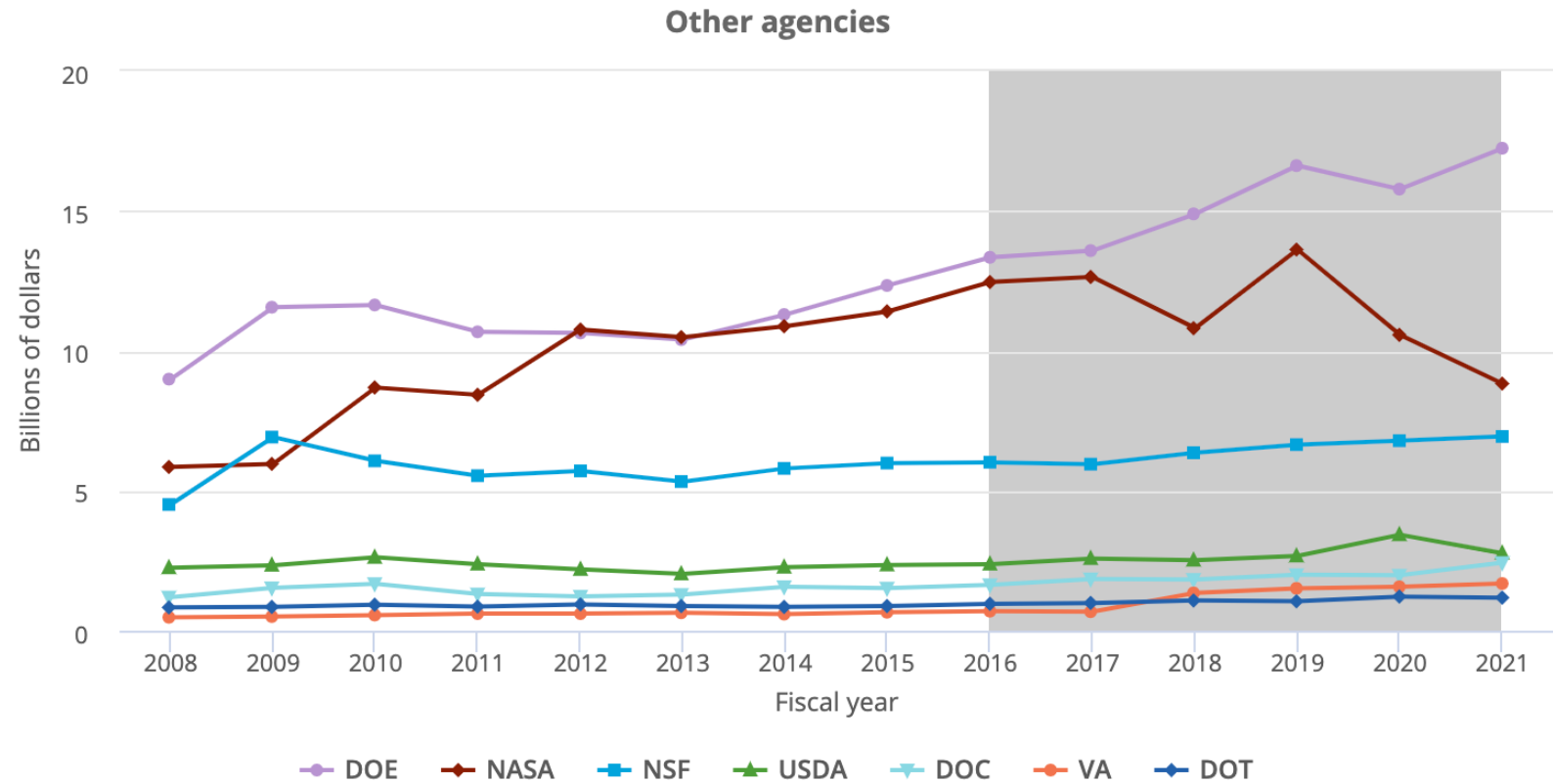


Federal Landscape

Federal obligations for R&D and R&D plant, total and for selected agencies: FYs 2008–21



Federal Landscape



AGENDA

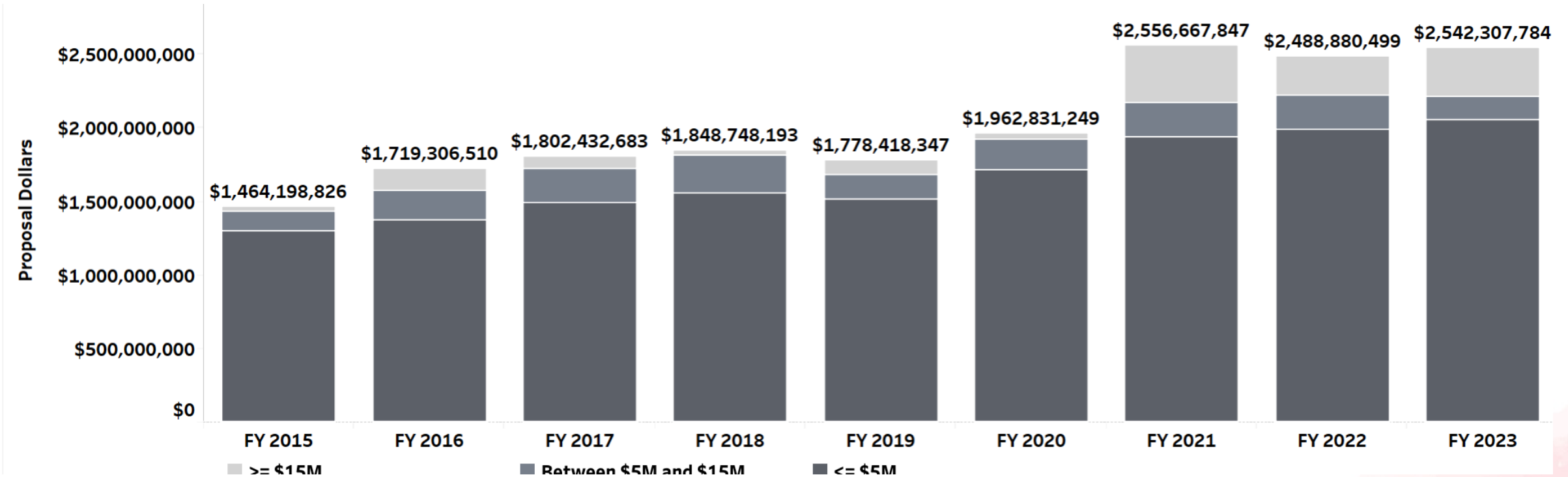
Updates and Brief National Funding Overview

University of Utah Research Report

FY22 Distribution Model

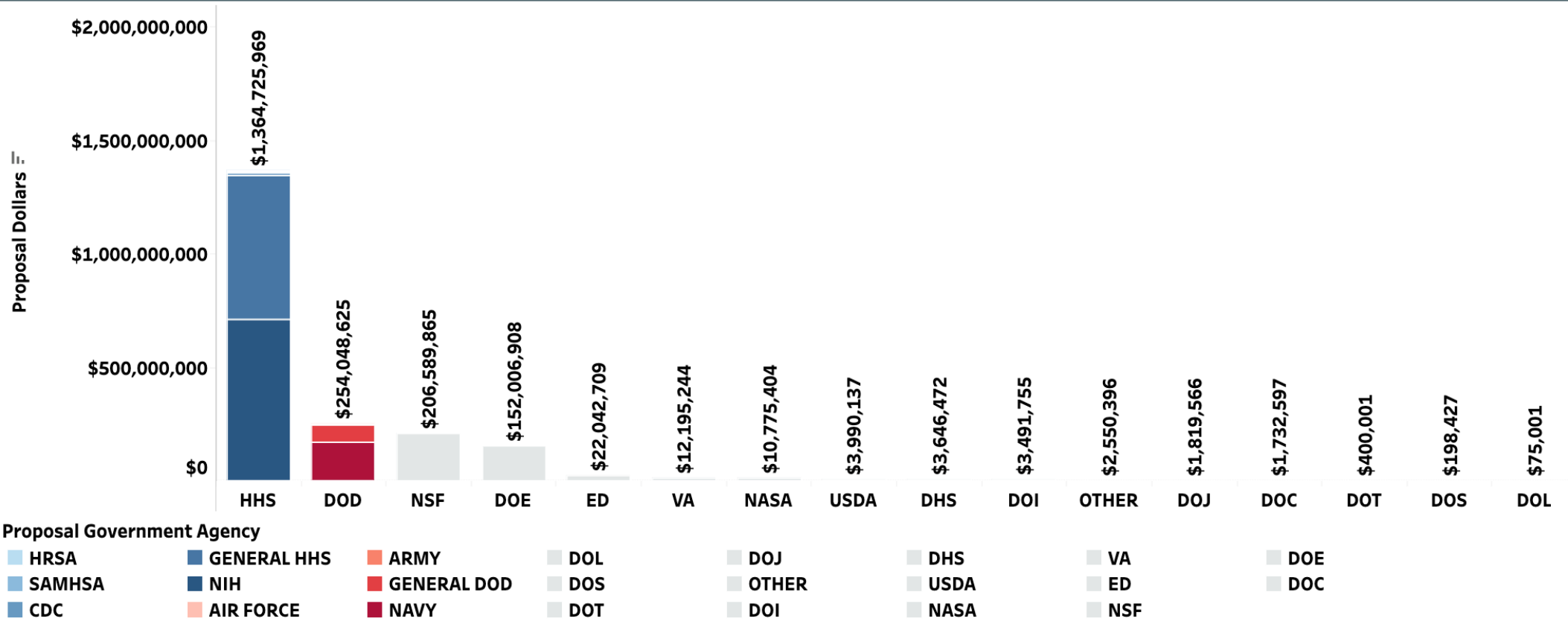
Open Session Q&A

Research Proposals



Research Proposals by Agency

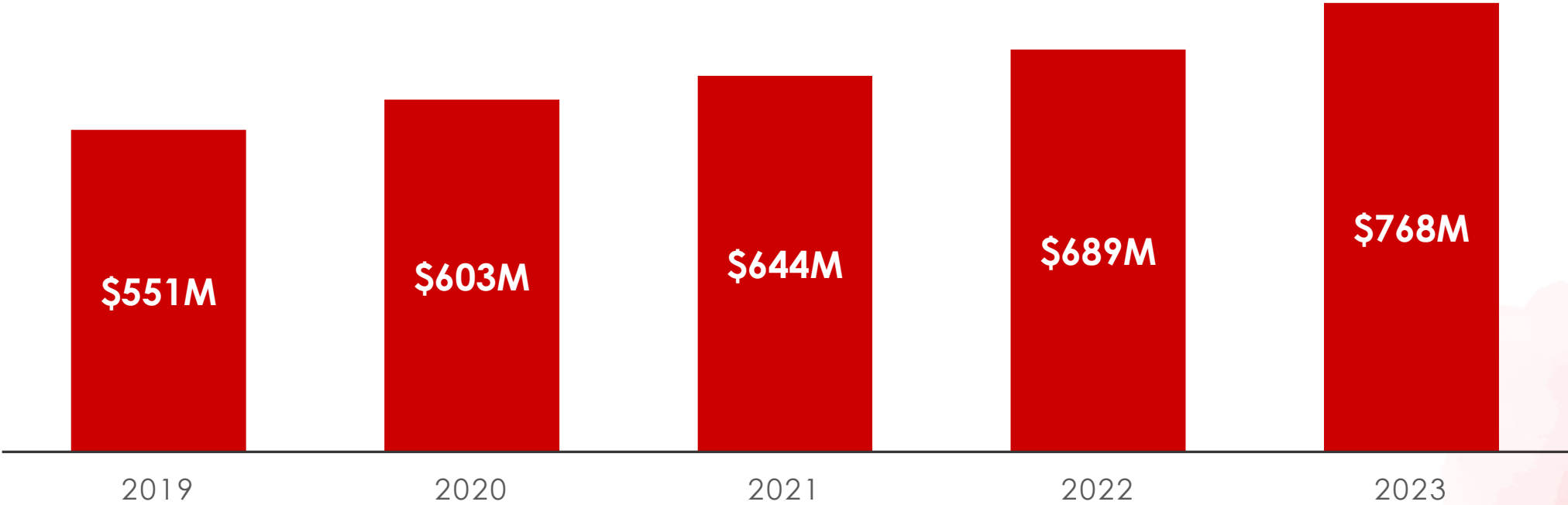
FY 2023 Proposals by Federal Agency



Sponsored Project Awards

SPONSORED PROJECT AWARDS (FY19-23)

■ Total Direct & Indirect Costs Awarded \$M

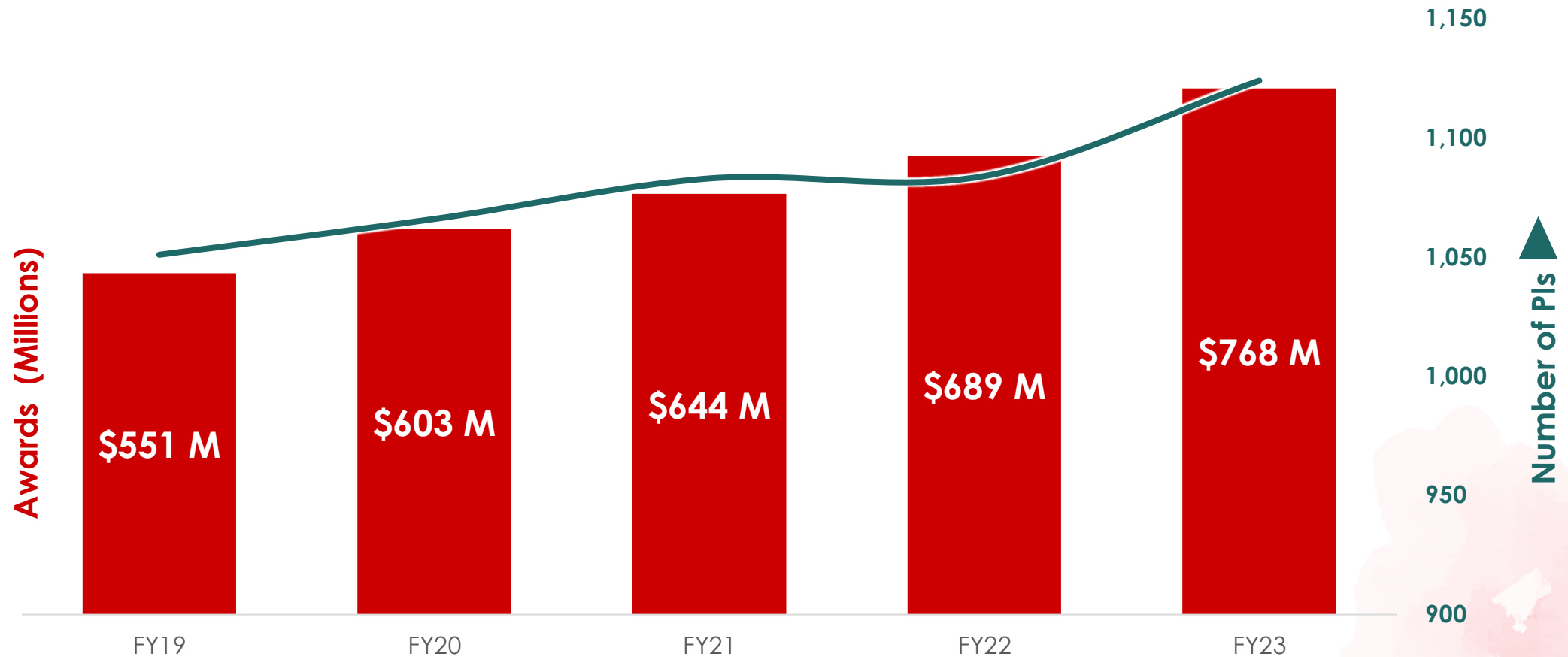


Source: Office of Sponsored Projects



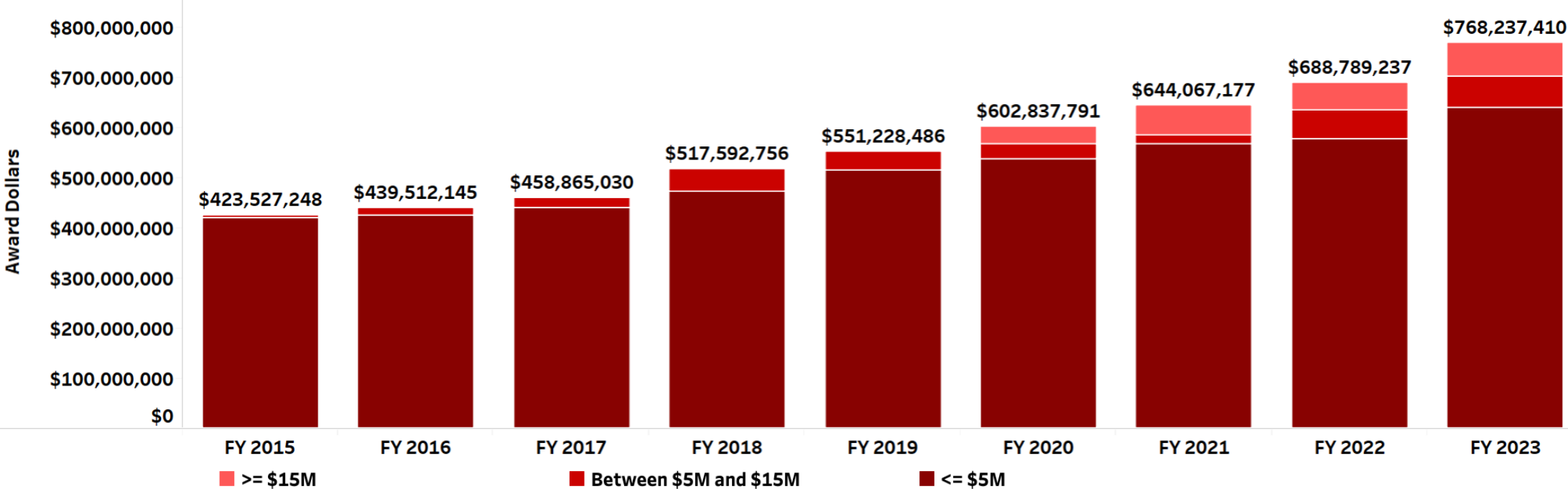
Grant Funding & Faculty Growth

Catalyze research and accommodate faculty growth



Awards

Award Dollars by Fiscal Year



Proposals and awards

PROPOSALS

FY 2021 FY 2022 FY 2023

NUMBER OF PROPOSALS

3,271

3,236

3,211

NUMBER OF PI'S SUBMITTING

1,223

1,163

1,190

AVERAGE \$ PER PROPOSAL

\$782K

\$769K

\$795K

AWARDS

FY 2021 FY 2022 FY 2023

NUMBER OF AWARDS

2,943

2,998

3,152

NUMBER OF AWARDED PI'S

1,083

1,085

1,125

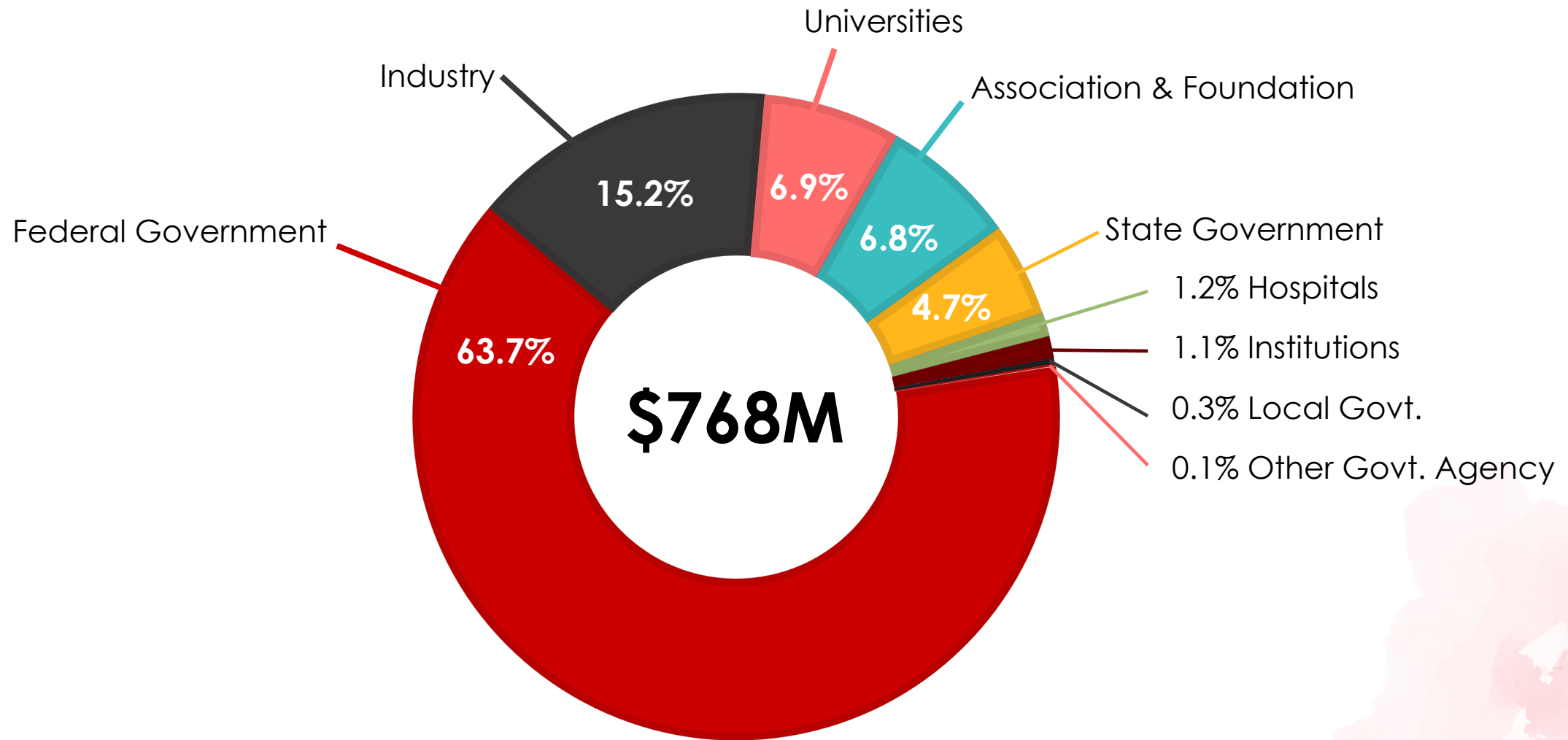
AVERAGE \$ PER AWARD

\$219K

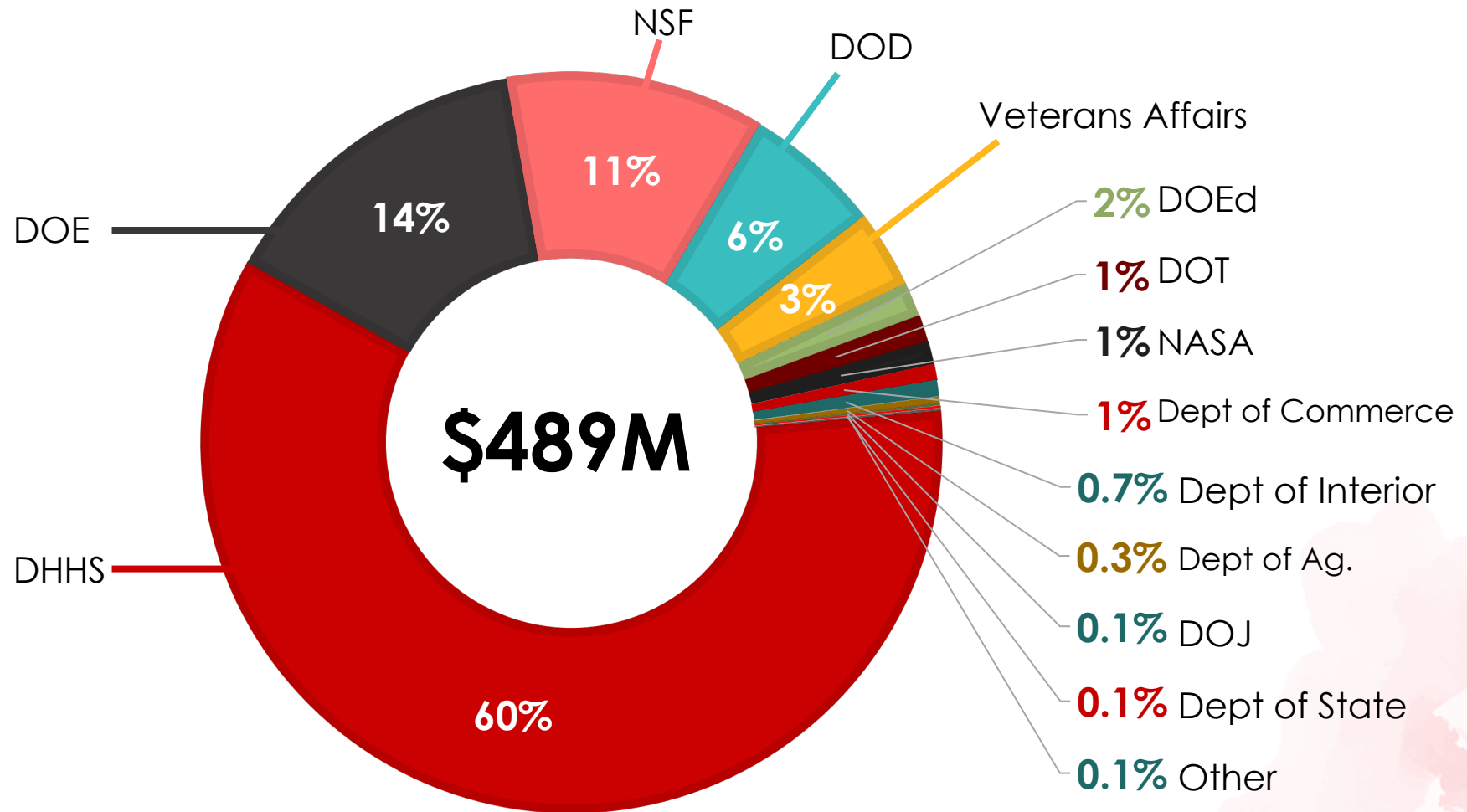
\$230K

\$244K

Sources of Funding (FY23)

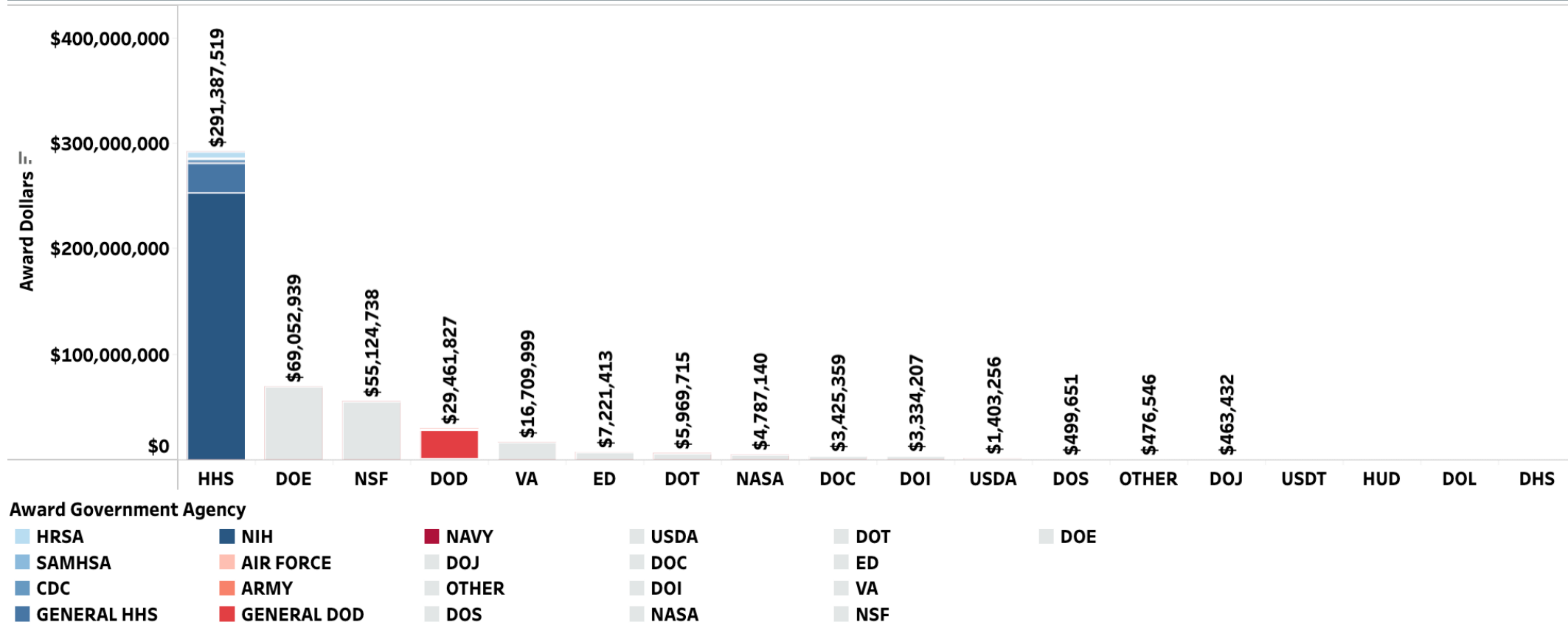


Sources of Federal Funding (FY23)



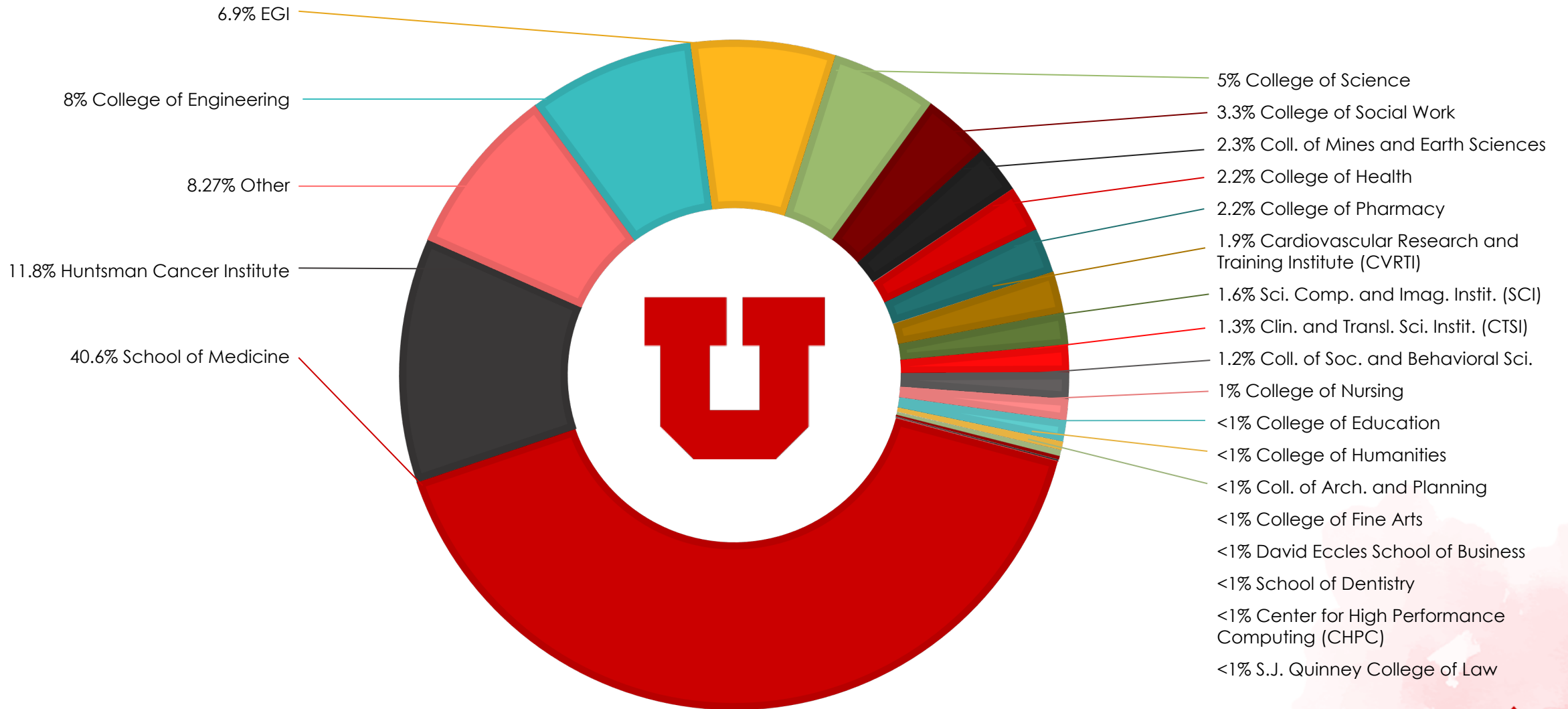
Awards by Federal Agency

FY 2023 Awards by Federal Agency



GROWING RESEARCH AS ONE U

FY23





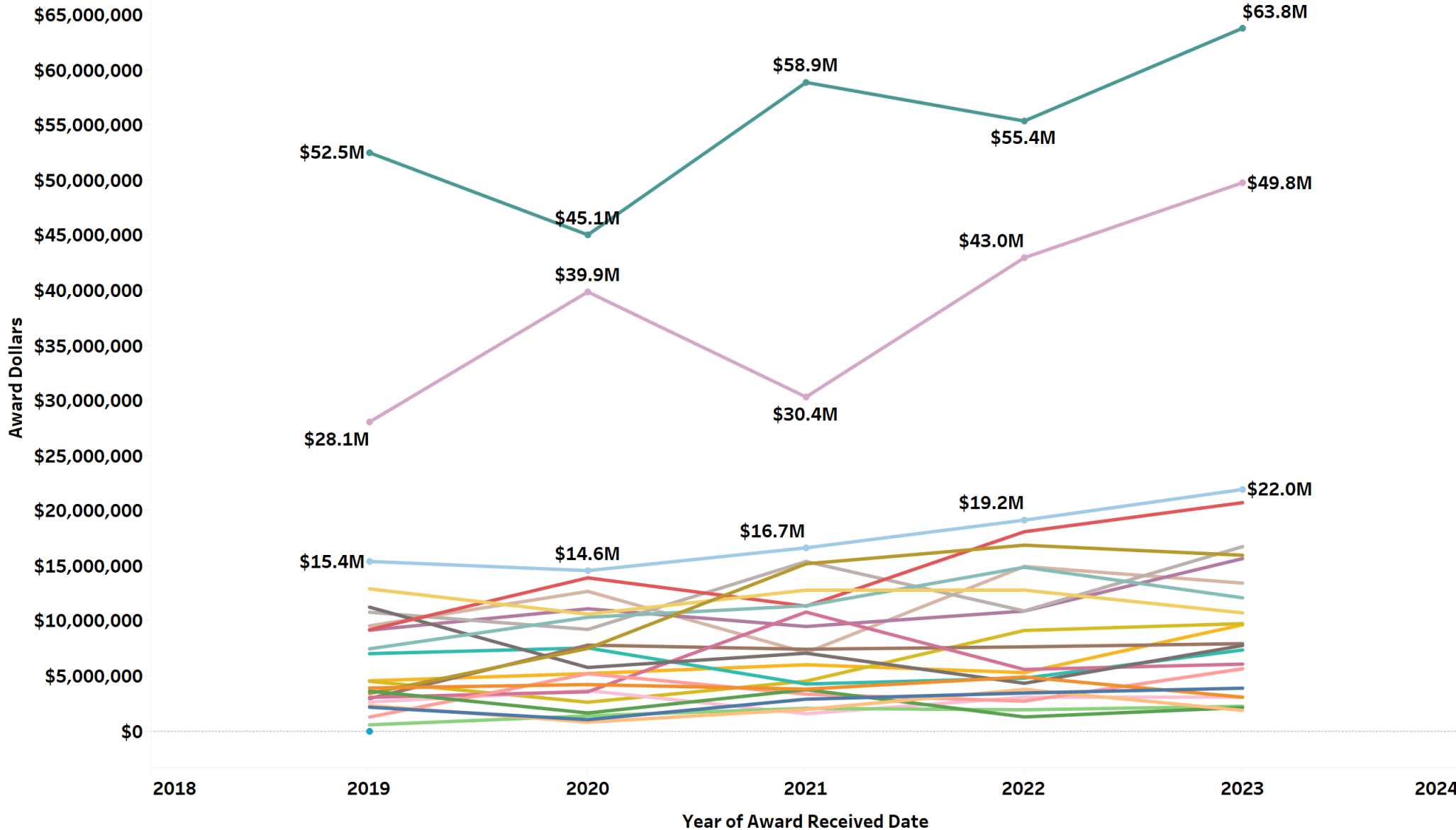
AWARDS by DEPARTMENT ACROSS TIME

Source data provided by the Office of Sponsored Projects (OSP)

Select a department to highlight it's path in the line chart:

- Award Department
- Anesthesiology
 - Biochemistry
 - Biomedical Informatics
 - Dept of Physical Med/Rehab
 - Dermatology
 - Emergency Medicine
 - Family And Preventive Medicine
 - Human Genetics
 - Internal Medicine
 - Neurobiology
 - Neurology
 - Neurosurgery
 - Obstetrics And Gynecology
 - Ophthalmology & Visual Science
 - Orthopaedics
 - Otolaryngology
 - Pathology
 - Pediatrics
 - Population Health Sciences
 - Psychiatry
 - Radiation Oncology SOM
 - Radiology & Imaging Sciences
 - School Of Medicine-Dean
 - Surgery

Award Dollars by Department

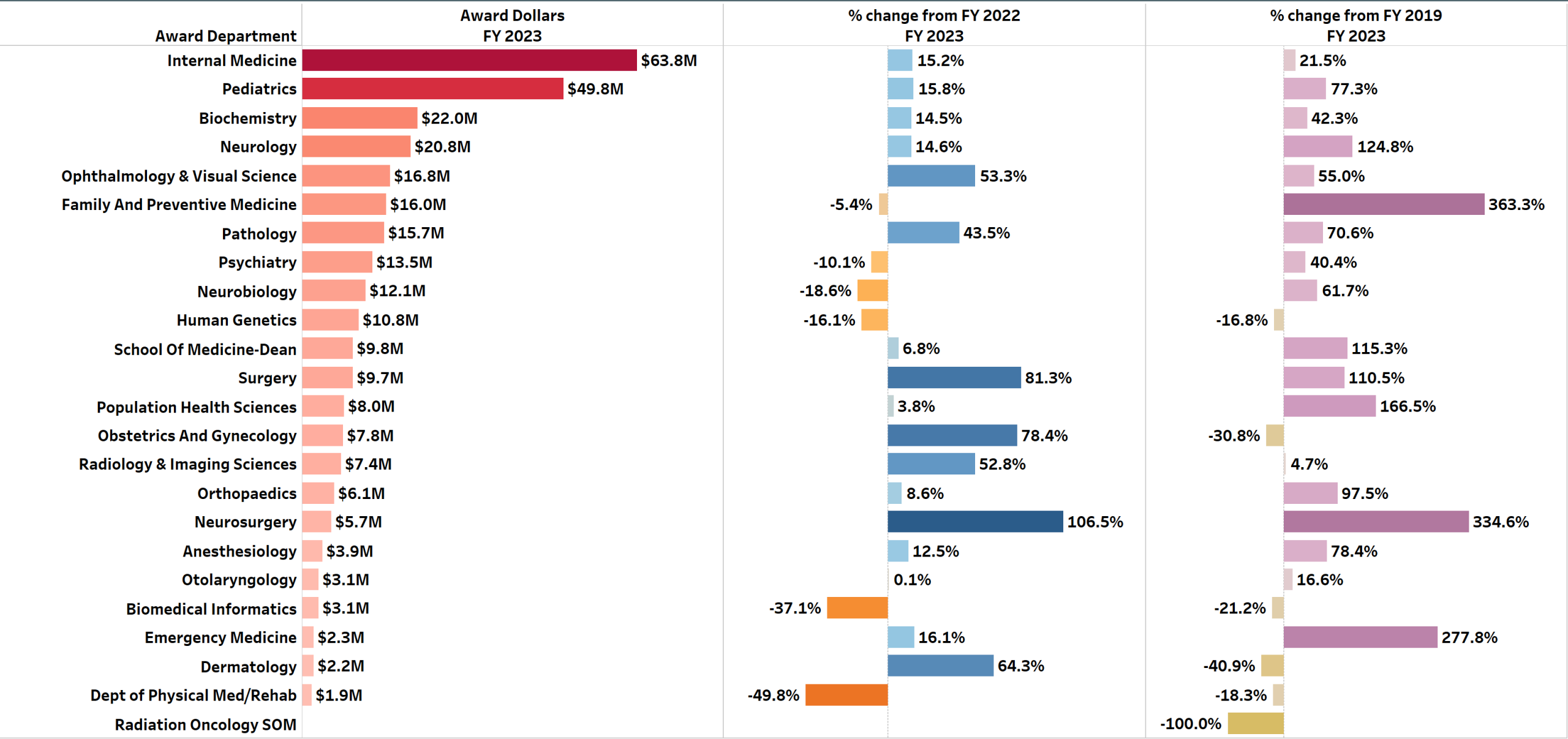




AWARDS by DEPARTMENT

Source data provided by the Office of Sponsored Projects (OSP)

FY23 Award Dollars by Department



Top 15 Funded PIs

Award Pi Emplid	Award Pi Name	# of Awards	Award \$	% of Total Award \$	Running Total % of Total Award \$	Running Total # of PIs	Running Total % of Total PIs
Grand Total		3,152	\$768,237,410	100.00%	100.00%	1,125	100.00%
00028363	MOORE,JOSEPH N	2	\$49,514,000	6.45%	6.45%	1	0.09%
00663783	MCDONALD,CHAD HUGHES	2	\$17,991,264	2.34%	8.79%	2	0.18%
00563252	WELM,ALANA LEE	11	\$11,905,635	1.55%	10.34%	3	0.27%
00030372	SUNDQUIST,WESLEY I	4	\$11,662,962	1.52%	11.85%	4	0.36%
00991242	ULRICH,CORNELIA	9	\$10,809,286	1.41%	13.26%	5	0.44%
00662073	METZ,TORRI DERBACK	11	\$9,965,871	1.30%	14.56%	6	0.53%
00917436	VARLEY,KATHERINE ELENA	2	\$8,591,118	1.12%	15.68%	7	0.62%
00946054	HESS,RACHEL	8	\$8,433,484	1.10%	16.78%	8	0.71%
00073578	CASPER,THERON CHARLES	10	\$8,375,471	1.09%	17.87%	9	0.80%
00102331	SAMORE,MATTHEW H	36	\$8,182,044	1.07%	18.93%	10	0.89%
06027964	SHAW,ROBIN MARK	10	\$7,598,755	0.99%	19.92%	11	0.98%
01074771	YOON,SARANG KIM	7	\$7,454,017	0.97%	20.89%	12	1.07%
00551082	DICKERSON,TY	2	\$7,200,869	0.94%	21.83%	13	1.16%
00909730	CLARDY,STACEY LYNN	3	\$7,192,824	0.94%	22.76%	14	1.24%
06011391	GORDON,ADAM JOSEPH	8	\$6,490,956	0.84%	23.61%	15	1.33%



AGENDA

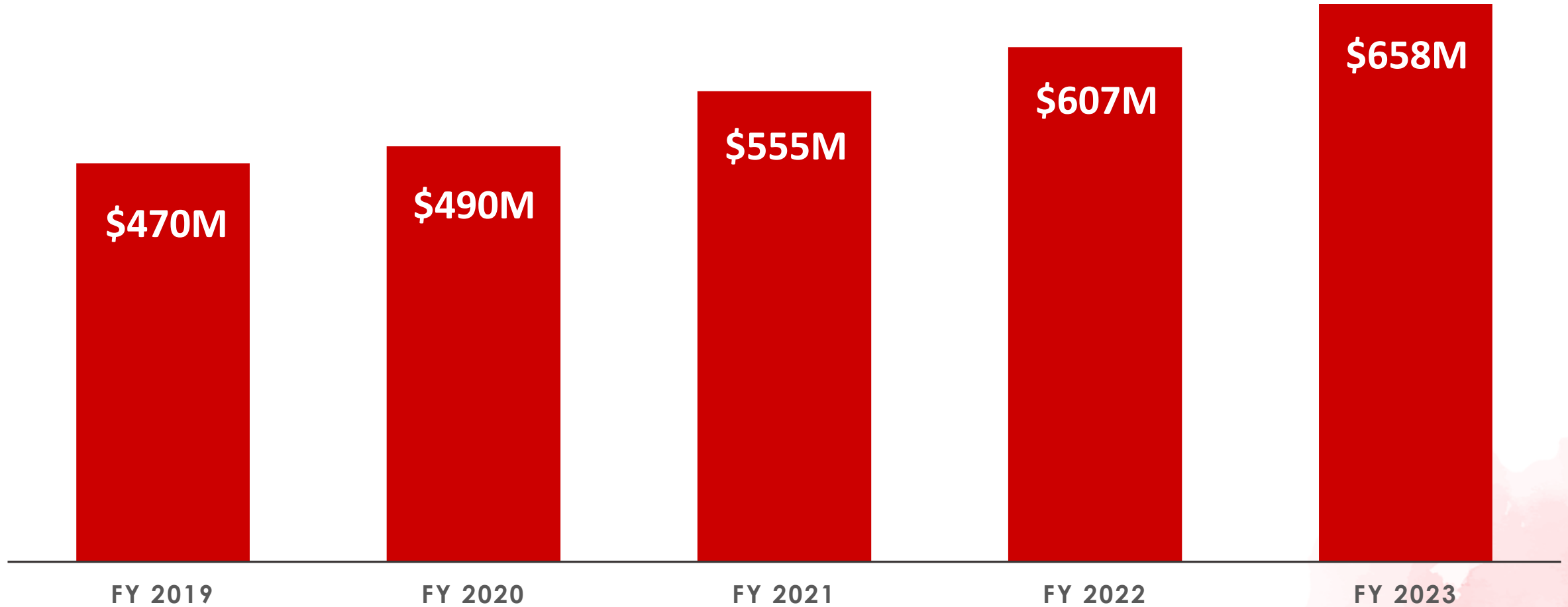
■ Updates and Brief National Funding Overview

■ University of Utah Research Report

■ **FY23 Distribution Model**

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Research Expenditures



Federal Dollar for Research Support



UU's F&A Rate

Year	FY2019	FY2020	FY2021	FY2022	FY2023
Total	\$470M	\$490	\$555M	\$607M	\$658M
Total MTDC	\$299M	\$311M	\$358M	\$367M	\$408M
Total F&A	\$107M	\$113M	\$117M	\$131M	\$146M *
F&A	35.9%	36.5%	32.7%	35.7%	35.8%

* Does not include F&A generated by CARES funding (\$5.6M)



Current UofU F&A Rates

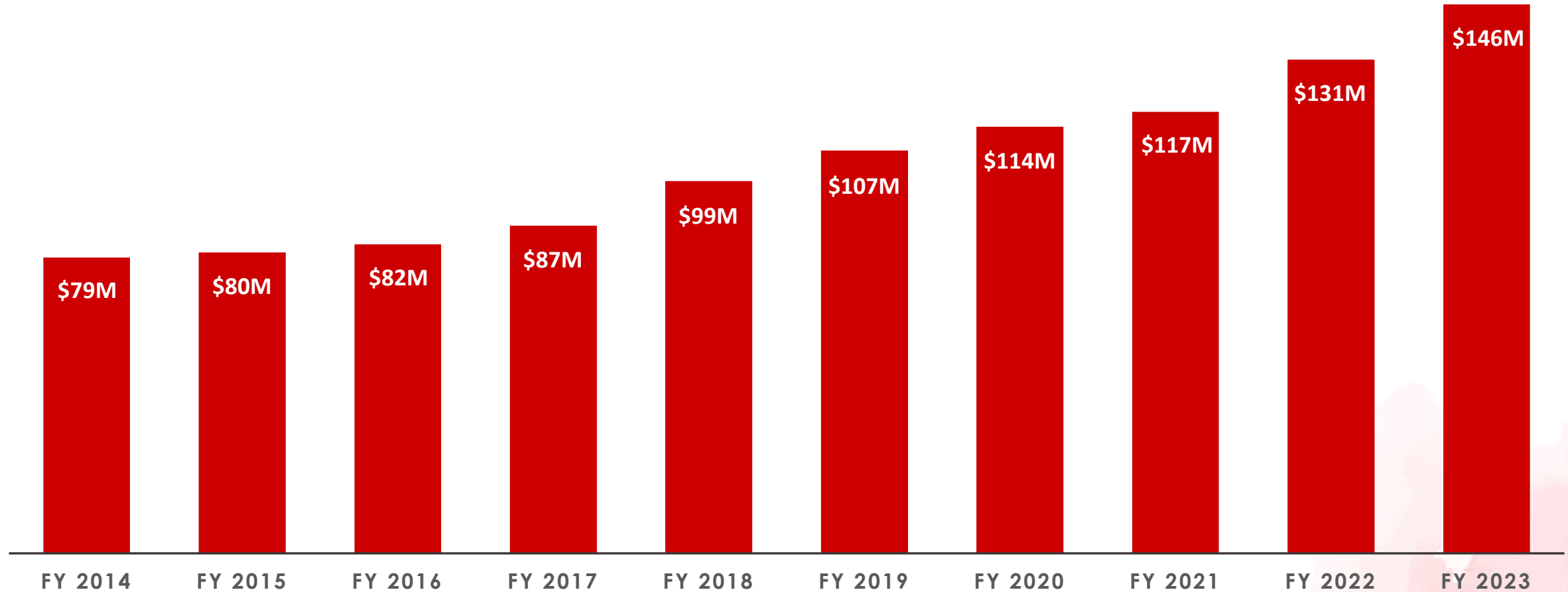
- Research: **54.0%**
- Instructional Training: **41.5%**
- Other Sponsored Activities: **35.0%**
- Training Grants, Foundations, etc: **Lower F&A Rates**
- Subcontracts: **Charged on first \$25k**

We are in continuing F&A resolution status

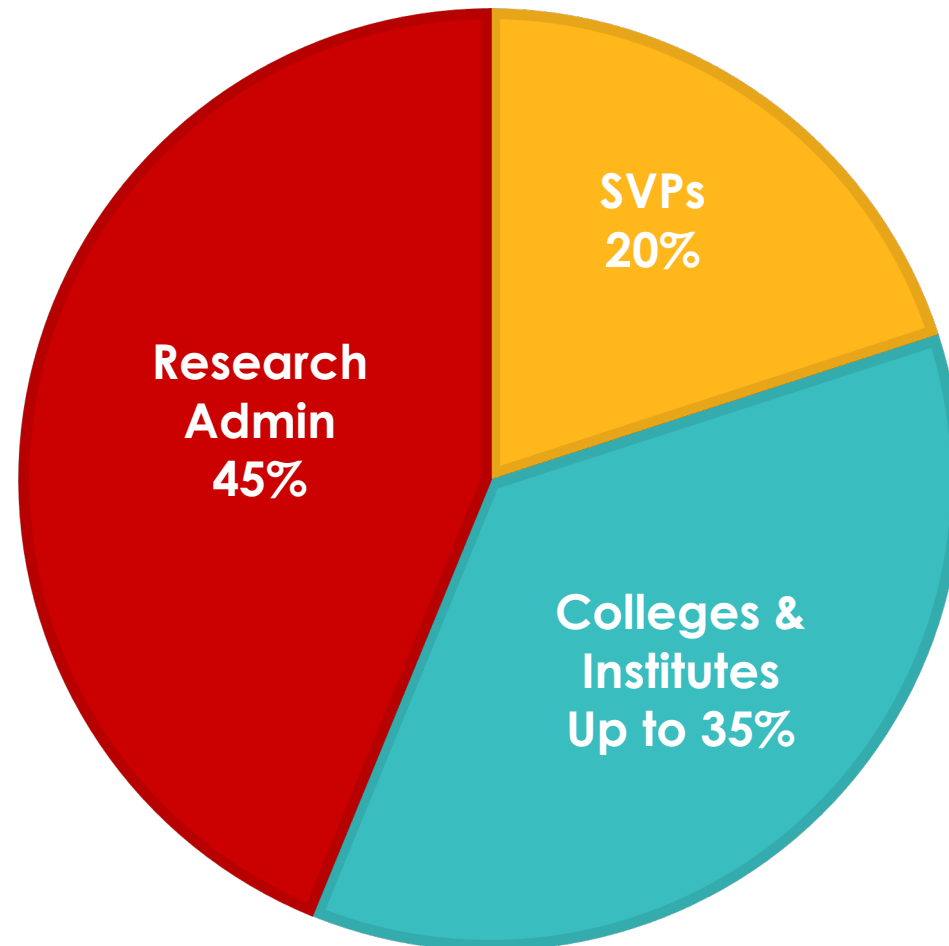
<https://osp.utah.edu/resources/quick-reference/fa-rates.php>



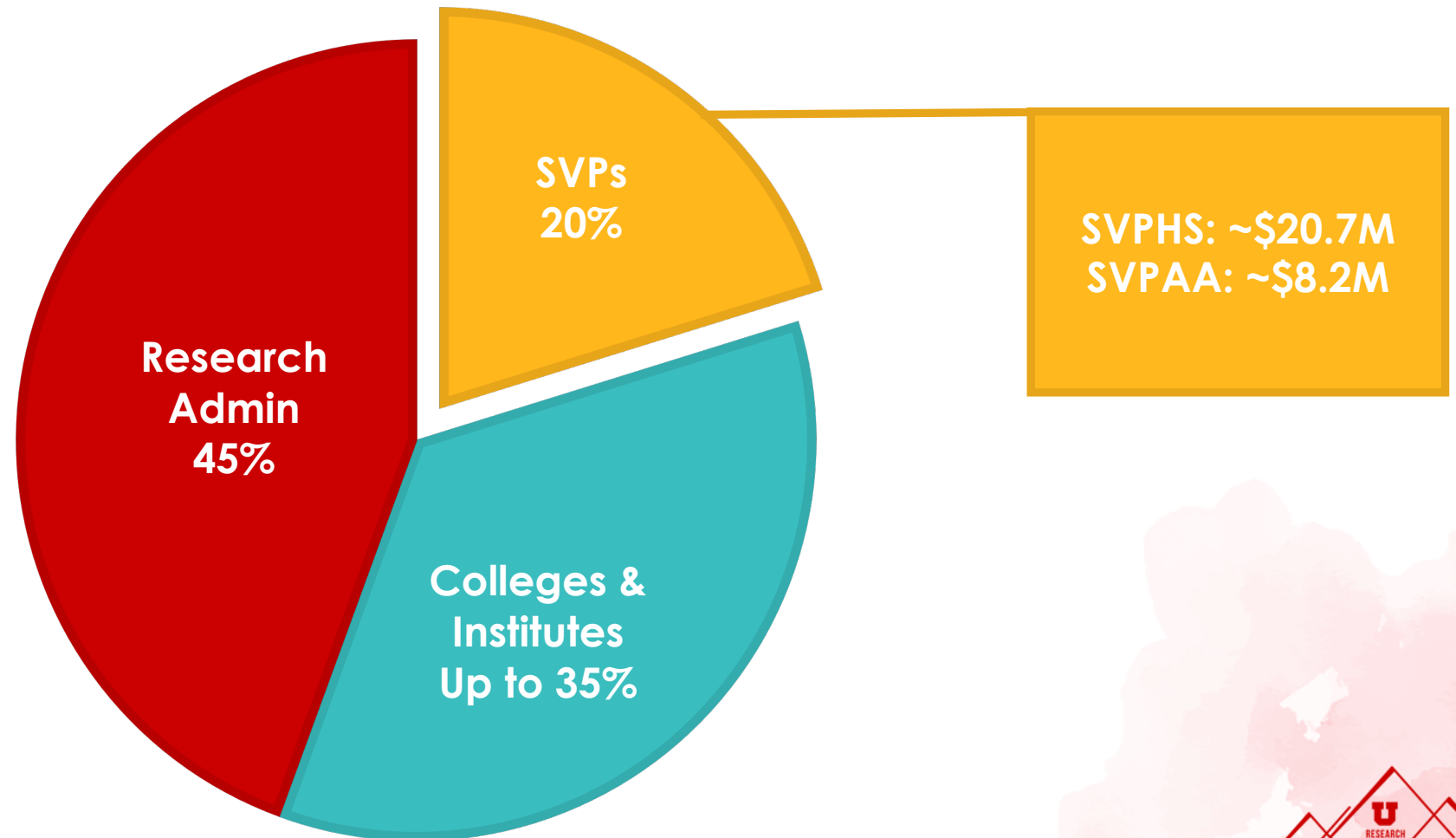
F&A Expenditure Data (FY14-23)



FY 23 F&A Distribution



FY 23 F&A Distribution to SVPs



How are SVPs investing their F&A distribution?

SVP INVESTMENTS

SVPAA

Majority goes to *Engineering and Science* with smaller amounts distributed to other colleges/institutes.

College Lab and startup support:

- Faculty salary (3 years)
- Lab personnel
- Equipment

SVPHS

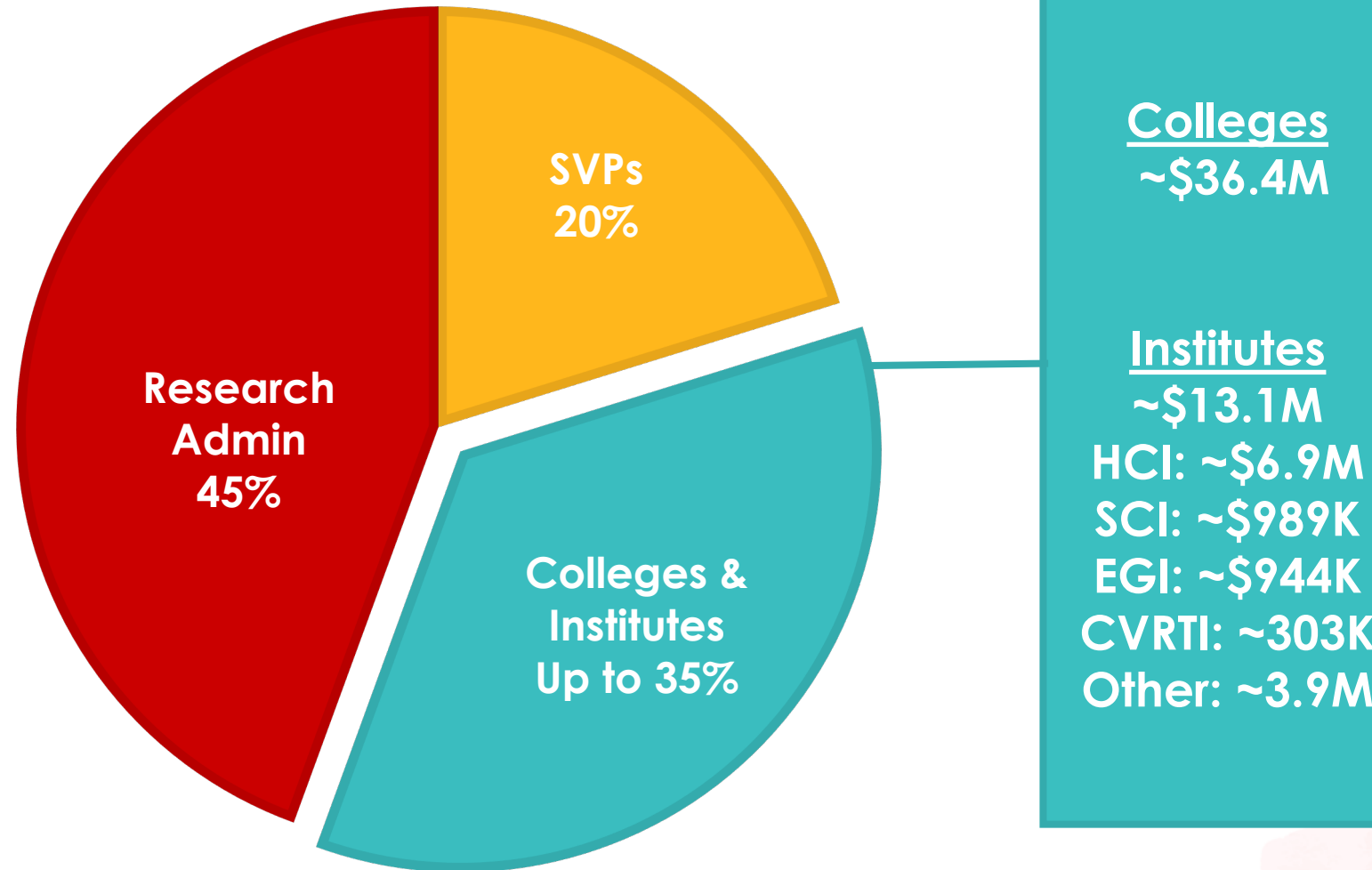
Infrastructure: 49.8%

Lease: 24.6%

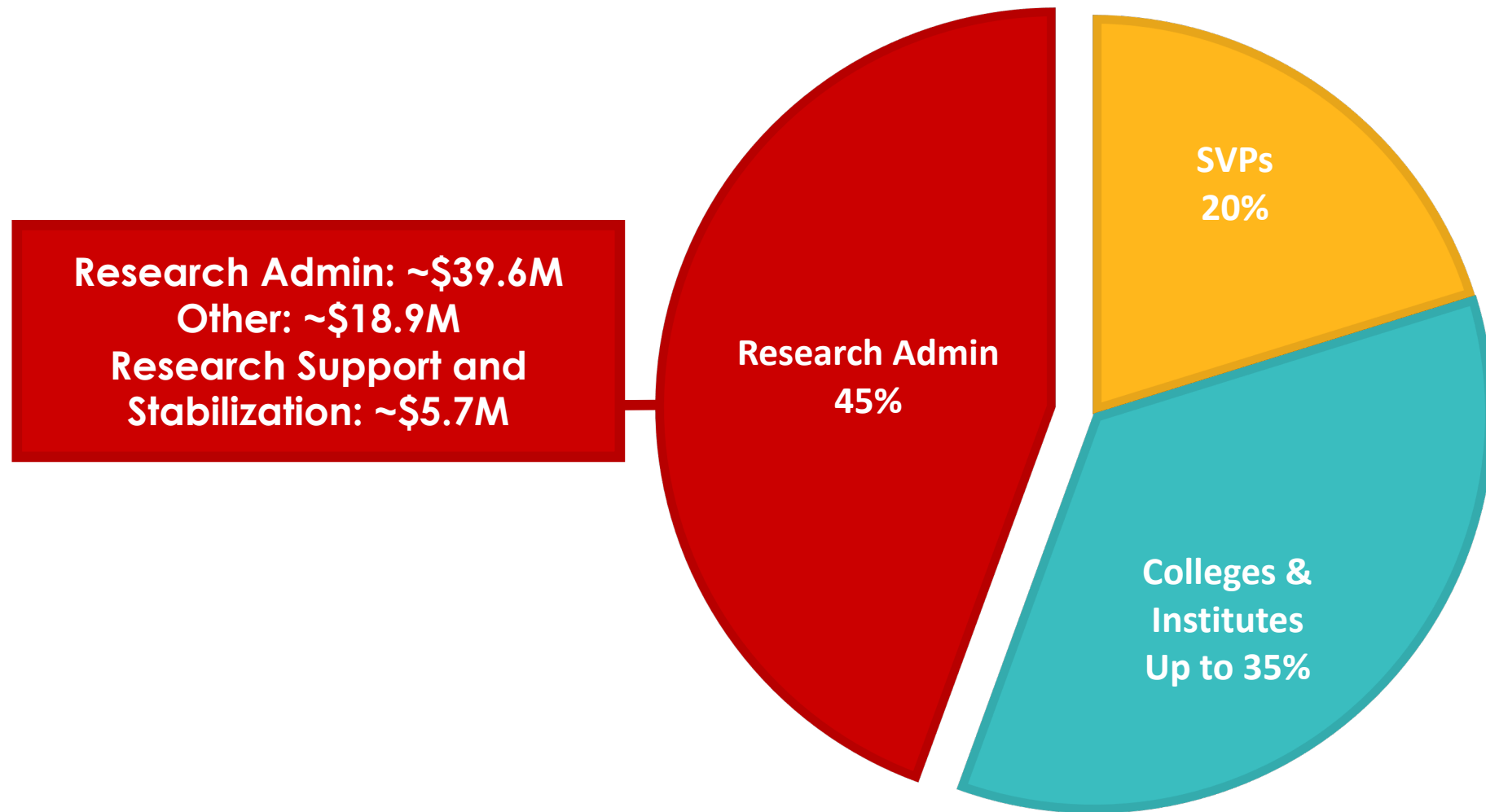
Recruitment/Retention: 25.6%

Infrastructure includes building renovations/remodels, systems and institutional support for CCTS, SVPHS Research unit, etc.

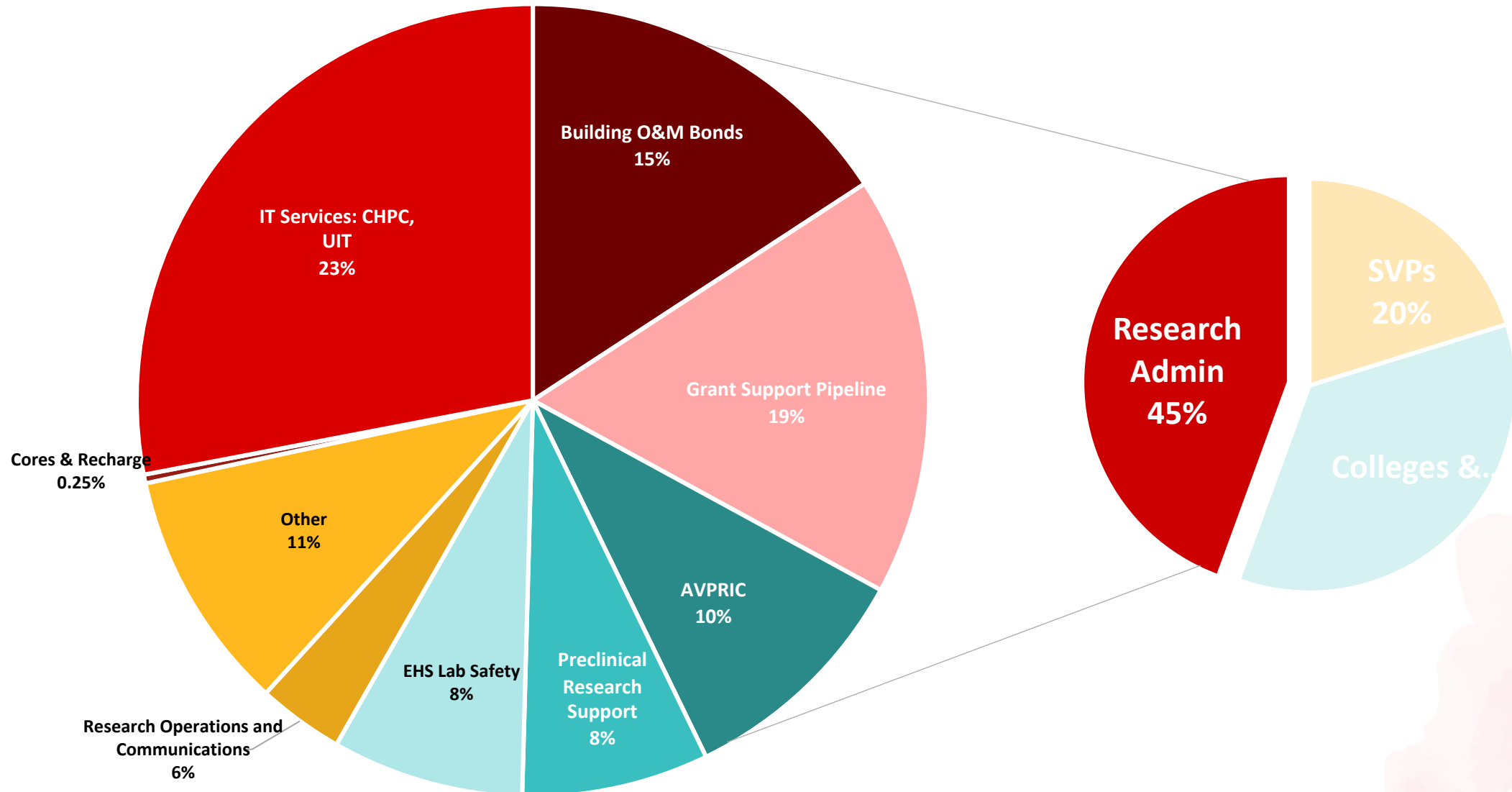
FY23 F&A Distributions to Colleges/Institutes



FY23 F&A Distributions Research Admin. & Strategic Initiatives



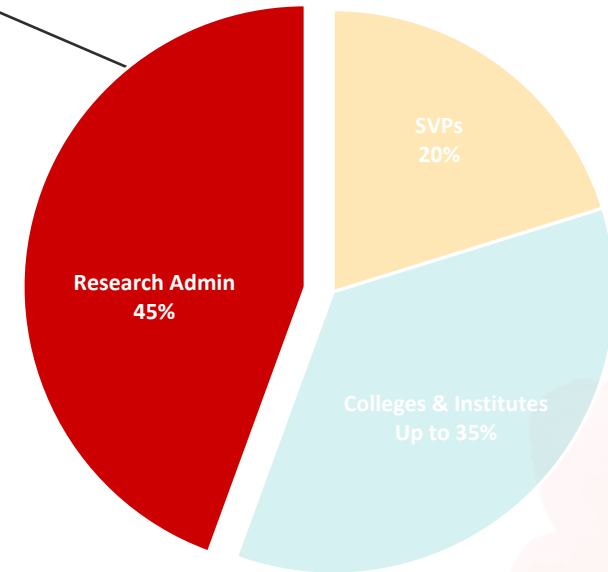
FY23 F&A Distributions to Research Admin



FY23 F&A Allocation for Strategic Investments

Other

Seed Funds/Awards: ~\$2.3M
Cost-Share: ~\$1.6M
Rainy Day: \$1M
Additional SVP Allocations: \$5.5M
Vivarium Updates: \$2M
One U Strategic Funds: \$4.9M



What are the goals and expectations going forward?

Goals:

- Intended to reward and incentivize research excellence
- Provide more resources to colleges and institutes for research

Evaluation:

- Analyze over the next five years (Entering year 04)
- F&A Taskforce (November 2023)



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Open Session

- Questions for the F&A Taskforce to consider?
- What type of resources would you like strengthened?
- What other emerging research questions or issues would you like to raise?
- Other questions or comments?



TO THE U RESEARCH COMMUNITY

CONGRAT LATIONS

On reaching
\$768M in U Research Funding





VICE PRESIDENT FOR RESEARCH

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THANK YOU