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GRANTS & CONTRACTS

ANNUAL REPORT

2000/2001



UNIVERSITY OF MAINE SYSTEM
OFFICE OF FINANCE AND TREASURER

January, 2002

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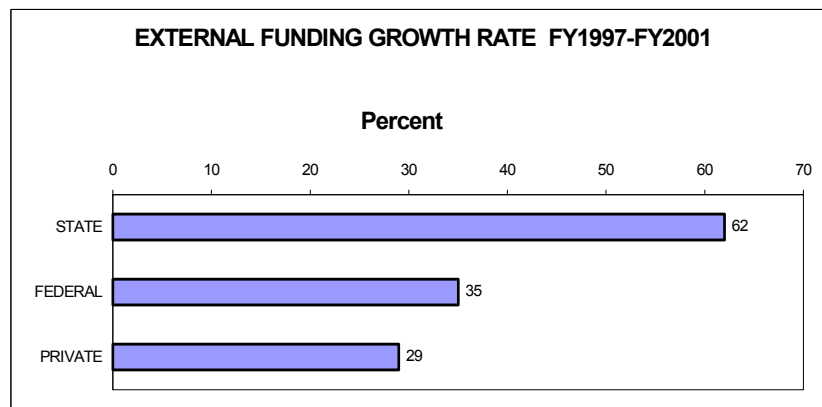
GRANTS AND CONTRACTS 2000/2001

EXECUTIVE SUMMARY

Grants and contracts are formal agreements between the University of Maine System and outside sponsors. They provide assistance and represent a mutual joining of interests on the part of the grantor and the University in the pursuit of a common objective, or they may be used to provide services for the direct benefit of the sponsor.

I. GRANTS AND CONTRACTS REVENUE INCREASED BY \$10.8 MILLION TO \$98.0 MILLION IN FY2001. Details concerning the sources of these increases by funding source and the expenditures by activity are shown in the table below. Grants and contracts support instruction, research, and public service projects that span from archaeological studies to research facility construction as well as extensive programs of the Cooperative Extension and research in agriculture, forestry, rural economic development, and marine studies through the Maine Agricultural & Forest Experiment Station.

REVENUE BY SOURCE (IN MILLIONS)				EXPENDITURES BY ACTIVITY (IN MILLIONS)			
SOURCE	FY2000	FY2001	CHANGE	ACTIVITY	FY2000	FY2001	FY2001 % OF TOTAL
FEDERAL	\$34.1	\$35.9	\$1.8	INSTRUCTION	\$14.7	\$18.6	19
STATE	20.9	25.3	4.4	RESEARCH	46.6	51.4	52
PRIVATE	11.6	14.4	2.8	PUBLIC SERVICE	<u>25.9</u>	<u>28.0</u>	<u>29</u>
UNIVERSITY	<u>20.6</u>	<u>22.4</u>	<u>1.8</u>				
TOTAL	<u>\$87.2</u>	<u>\$98.0</u>	<u>\$10.8</u>	TOTAL	<u>\$87.2</u>	<u>\$98.0</u>	<u>100</u>



State (↑ 62%) Agencies such as the Maine Departments of Human Services, Education, Mental Health and Mental Retardation, and Transportation have increased their funding substantially over the past five years. The Department of Human Services alone has increased its funding to the University by 79%, or \$6.7 million over the past five years, primarily due to the funding of various projects at the Muskie School of Public Service for a series of training and professional and organizational development programs.

EXECUTIVE SUMMARY

Federal (↑ 35%) The Department of Defense and the National Science Foundation accounted for \$7.8 million of the \$9.4 million net increase in federal revenues from FY1997 to FY2001. The Departments of Education and Agriculture continue to be major sponsors as well.

Private (↑ 29%) Private support is comprised of funding from non-profit organizations, other governmental entities, educational institutions and business and industry. The net increase of \$3.2 million from FY1997 to FY2001 is primarily attributed to increased funding from non-profit organizations. Some major non-profit contributors in FY2001 were the Maine Science & Technology Foundation, the Maine Mathematics and Science Alliance, and the Robert Wood Johnson Foundation (funding at the Muskie School of Public Service).

- II. STATE RESEARCH AND DEVELOPMENT APPROPRIATIONS MADE AN IMPORTANT IMPACT IN FY2001.** \$41.2 million in research grants and contracts were generated by employing most of the \$10.8 million of available state appropriation in FY2001. A portion of the generated grants and contracts represent multi-year awards whose expenditures will appear in future grants and contracts reports.

For the 2-year period ended June 30, 2001, \$20.2 million in state funds attracted \$77.9 million in external grants and contracts funding.

\$3.7 million of the state appropriation dollars available in FY2001 were used for direct cost sharing and \$6.9 million was used for support of faculty and staff, direct equipment purchases, research space, and research in such areas as computer software & engineering, advanced materials engineering, advanced technologies for forestry and Agriculture, aquaculture and marine sciences, biotechnology, technology transfer, information technology, and biosciences. The remaining balance was carried over for use in FY2002.

- III. THE FY2001 NET INDIRECT COST RECOVERY INCREASED BY 14% FROM \$7.2 MILLION IN FY2000 TO \$8.2 MILLION IN FY2001.** Indirect cost recovery is a negotiated rate applied to grant and contract expenditures to reimburse the University for the use of its physical plant and administrative cost associated with grants and contracts.

- IV. COST SHARING (THE FUNDS CONTRIBUTED BY THE UNIVERSITY TOWARD PROJECTS) HAS GROWN \$ 6.1 MILLION SINCE FY1997.** However, the cost to generate each dollar of external funding has remained relatively constant over the past five years with the average cost per dollar being 31 cents. While grants and contracts expenditures have grown by 41 % since 1997, the University share of expenditures remain fairly constant at around 23 %.

- V. IN 2001, 887 GRANT PROPOSALS WERE SUBMITTED AND 664 WERE APPROVED TOTALING \$97.0 MILLION.** This compares with 792 submissions and 570 approvals amounting to \$70.1 million during FY2000. The average award for FY2001 was \$146,000 compared to \$123,000 during FY2000. Awards cannot be compared to current year expenditures since awards may be spent over a multi-year period.

GRANTS AND CONTRACTS REVENUE

Grants and Contracts revenue is used only to meet expenses and is not a profit-generating item. Total revenue used to meet expenditures for FY2001 was \$98 million, an increase of \$10.8 million over FY2000 and an increase of \$28.5 million (41%) over FY1997. Federal grants and contracts revenue was 36% higher than four years ago, and State grants and contracts revenue (including Federal pass-through funds) was 62% higher. University cost sharing contributions are discussed on Page 6 of this report.

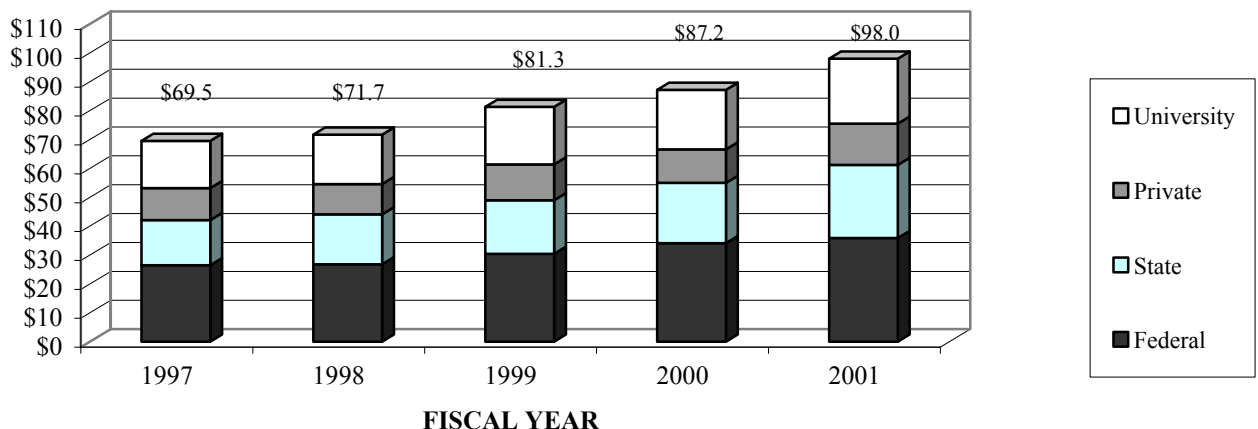
GRANTS AND CONTRACTS REVENUE BY SOURCE OF FUNDS (\$ in thousands)

	FY1997		FY1998		FY1999		FY2000		FY2001	
	\$	%	\$	%	\$	%	\$	%	\$	%
Federal	\$ 26,462	38	\$ 26,791	37	\$ 30,354	37	\$ 34,096	39	\$ 35,893	36
State	15,622	22	17,295	24	18,622	23	20,936	24	25,310	** 26
Private	11,104	16	10,549	15	12,424	15	11,574	13	14,345	** 15
University - cost sharing	16,280	24	17,106	24	19,895	25	20,639	24	22,418	23
Total	<u>\$ 69,468</u>	<u>100</u>	<u>\$ 71,741</u>	<u>100</u>	<u>\$ 81,295</u>	<u>100</u>	<u>\$ 87,245</u>	<u>100</u>	<u>\$ 97,966</u>	<u>* 100</u>

* Includes \$24 million for MAFES/UMCE: \$13 million for the University of Maine Agricultural and Forest Experiment Station and \$11 million for the University of Maine Cooperative Extension. **Agricultural and Forest Experiment Station** revenues for FY2001 were: Federal \$5.0 million, State \$.5 million, Private \$.7 million and University \$6.8 million. **Cooperative Extension** revenues for FY2001 were: Federal \$3.1 million, State \$2.0 million, Private \$.6 million and University \$5.3 million.

** Includes federal pass-through funds (see pages 4 - 5).

GRANTS AND CONTRACTS REVENUE BY SOURCE (In millions)



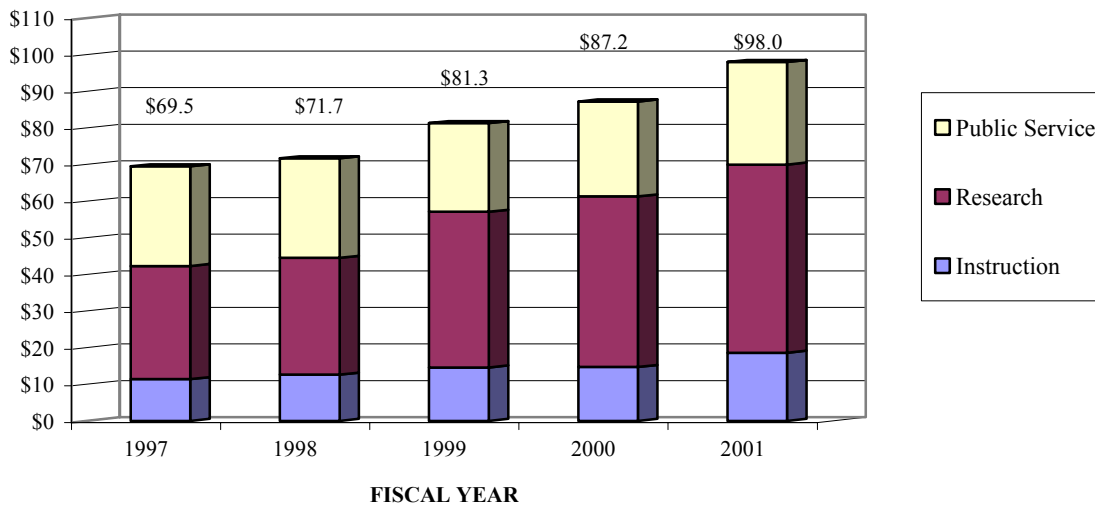
GRANTS AND CONTRACTS EXPENDITURES

During FY2001, 52% of total grants and contracts expenditures were incurred for Research, 29% for Public Service, and 19% for Instruction.

GRANTS AND CONTRACTS EXPENDITURES BY ACTIVITY (\$ in thousands)

	FY1997		FY1998		FY1999		FY2000		FY2001	
	\$	%	\$	%	\$	%	\$	%	\$	%
Instruction	\$ 11,362	16	\$ 12,566	17	\$ 14,571	18	\$ 14,731	17	\$ 18,573	19
Research	30,943	45	31,938	45	42,522	52	46,563	53	51,413	52
Public Service	27,163	39	27,237	38	24,202	30	25,951	30	27,980	29
Total	\$ 69,468	100	\$ 71,741	100	\$ 81,295	100	\$ 87,245	100	\$ 97,966	100

GRANTS AND CONTRACTS EXPENDITURES BY ACTIVITY (In millions)



UNIVERSITY EXPENDITURES BY ACTIVITY FY 2001 (\$ in thousands)

	INSTRUCTION		RESEARCH		PUBLIC SERVICE		TOTAL	
	\$	%	\$	%	\$	%	\$	%
University of Maine	\$ 2,787	15	\$ 39,106	77	\$ 15,416	55	\$ 57,309 *	58
University of Maine Augusta	144	1	27	-	2,212	8	2,383	2
University of Maine Farmington	973	5	1,960	4	336	1	3,269	3
University of Maine Fort Kent	-	-	9	-	216	1	225	-
University of Maine Machias	-	-	-	-	5	-	5	-
University of Southern Maine	13,551	72	10,288	19	8,634	31	32,473	33
University of Maine Presque Isle	82	-	-	-	664	2	746	1
System-Wide Services	1,036	7	23	-	497	2	1,556	3
Total	\$ 18,573	100	\$ 51,413	100	\$ 27,980	100	\$ 97,966	100

* Includes \$24 million for the Maine Agricultural and Forest Experiment Station and Cooperative Extension.

FEDERAL REVENUES

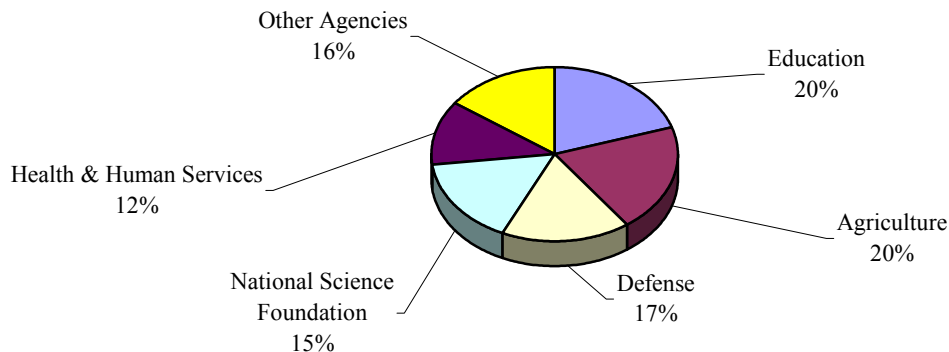
The table and graph below indicate the level of funding received from **Federal** agencies. The Department of Education was the top source of federal monies in FY2001 (an increase of \$1.2 million from FY2000), followed by The Department of Agriculture and the Department of Defense.

Agency	FY1997		FY1998		FY1999		FY2000		FY2001	
	\$	%	\$	%	\$	%	\$	%	\$	%
Education	\$ 5,675	21	\$ 4,685	17	\$ 4,933	16	\$ 5,923	17	\$ 7,107	20
Agriculture *	7,373	28	6,354	24	5,925	20	6,844	20	7,061	20
Defense	1,265	5	1,527	6	4,367	14	7,353	22	6,021	17
National Science Foundation	2,718	10	2,658	10	3,272	11	3,992	12	5,784	15
Health & Human Services	2,918	11	3,362	12	3,757	12	4,288	13	4,400	12
Interior	652	3	478	2	605	2	813	3	945	3
Justice	66	0	693	3	369	1	439	1	900	3
Environmental Protection	797	3	759	3	784	3	968	3	792	2
Commerce	2,987	11	4,009	15	4,260	14	1,472	4	733	2
Labor	0	0	25	0	56	0	328	1	443	1
Corp for Nat'l & Community Svc	339	1	244	1	301	1	325	1	438	1
NASA	149	1	380	1	417	2	378	1	422	1
Small Business Administration	491	2	468	2	561	2	500	1	295	1
U S Dept of Transportation	0	0	0	0	0	0	0	0	230	1
Veteran's Administration	171	1	173	1	180	1	185	1	192	1
Energy	207	1	304	1	223	1	137	0	59	0
National Found Arts/ Humanities	113	0	141	0	91	0	50	0	37	0
U S Information Agency	303	1	370	1	113	0	55	0	0	0
Executive	0	0	161	1	99	0	1	0	0	0
Other	238	1	0	0	41	0	45	0	34	0
	<u>\$ 26,462</u>	<u>100</u>	<u>\$ 26,791</u>	<u>100</u>	<u>\$ 30,354</u>	<u>100</u>	<u>\$ 34,096</u>	<u>100</u>	<u>\$ 35,893</u>	<u>100</u>

* FY2001 revenue includes \$4.2 million for MAFES and \$2.6 million for UMCE. Various other agencies listed above also provided funding for MAFES and UMCE, bringing total federal revenues for these projects to \$5.0 million and \$3.1 million, respectively.

FEDERAL REVENUES BY AGENCY

FY2001



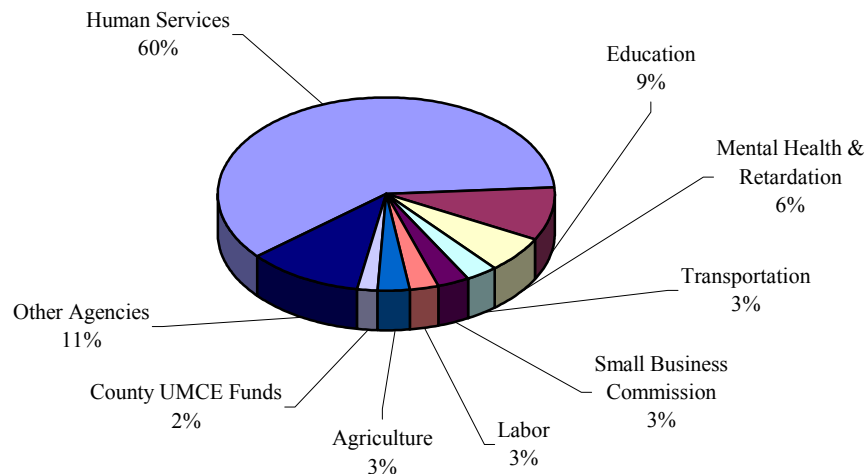
STATE REVENUES

The table and graph below indicate the level of funding received from State agencies. The significant increase in funding from the Department of Human Services (\$2.6 million) can be attributed to a growing number of programs being funded through the Muskie School of Public Service at the University of Southern Maine.

STATE REVENUES BY AGENCY (\$ in thousands)

Agency	FY 1997		FY 1998		FY 1999		FY 2000		FY 2001	
	\$	%	\$	%	\$	%	\$	%	\$	%
Human Services	\$ 8,482	54	\$ 8,352	48	\$10,411	56	\$12,569	60	\$15,222	60
Education	2,012	13	1,974	11	1,909	10	2,219	11	2,320	9
Mental Health & Retardation	901	6	1,117	7	1,353	8	1,640	8	1,481	6
Transportation	343	2	242	1	250	1	282	1	864	3
Small Business Commission	0	0	0	0	0	0	0	0	830	3
Labor	589	4	733	4	784	4	760	4	752	3
Agriculture	565	4	624	4	692	4	538	3	645	3
County UMCE Funds	645	4	527	3	527	3	572	3	570	2
Environmental Protection	266	2	476	3	185	1	128	1	566	2
Economics & Community Development	818	5	899	5	864	5	808	4	437	2
Marine Resources	333	2	374	2	658	4	364	2	301	1
Judicial	78	0	1,308	8	144	1	120	0	274	1
Corrections	146	1	49	0	101	0	220	1	246	1
Planning	76	1	165	1	204	1	236	1	223	1
Legislative	46	0	88	1	140	1	98	0	166	1
Inland Fish & Wildlife	157	1	246	1	237	1	228	1	154	1
Public Safety	18	0	51	0	101	0	44	0	45	0
Executive Department	86	1	12	0	13	0	17	0	35	0
Other	61	0	58	1	49	0	93	0	179	1
	<u>\$15,622</u>	<u>100</u>	<u>\$17,295</u>	<u>100</u>	<u>\$18,622</u>	<u>100</u>	<u>\$20,936</u>	<u>100</u>	<u>\$25,310</u>	<u>100</u>
Federal Pass-through funds	<u>\$ 6,823</u>	<u>44</u>	<u>\$ 7,197</u>	<u>42</u>	<u>\$ 9,069</u>	<u>49</u>	<u>\$13,433</u>	<u>64</u>	<u>\$18,167</u>	<u>72</u>

STATE REVENUES BY AGENCY FY2001



PRIVATE REVENUES

The table and graph below indicate the level of funding received in FY2001 from private sources broken down into four categories. Non-profit organizations and foundations continue to provide the majority of private revenues.

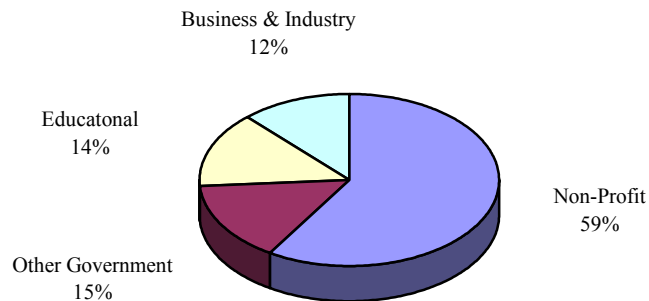
PRIVATE REVENUES BY SOURCE OF FUNDS (\$ in thousands)

	FY 1997		FY 1998		FY 1999		FY 2000		FY 2001	
	\$	%	\$	%	\$	%	\$	%	\$	%
Non-profit Organizations	\$ 3,796	34	\$ 5,792	55	\$ 7,332	59	\$ 6,277	54	\$ 8,401	59
Other Governmental Entities*	3,146	28	2,153	20	2,289	19	1,871	16	2,109	15
Educational Institutions	2,168	20	1,711	16	1,633	13	2,337	20	1,940	14
Business and Industry	1,994	18	893	9	1,170	9	1,089	10	1,895	12
	<u>\$ 11,104</u>	<u>100</u>	<u>\$ 10,549</u>	<u>100</u>	<u>\$ 12,424</u>	<u>100</u>	<u>\$ 11,574</u>	<u>100</u>	<u>\$ 14,345</u>	<u>** 100</u>

* Entities other than the Federal Government and State of Maine Agencies.

** Includes Federal Pass-Through funds of \$7.1 million.

PRIVATE REVENUES BY SOURCE OF FUNDS FY2001



COST SHARING

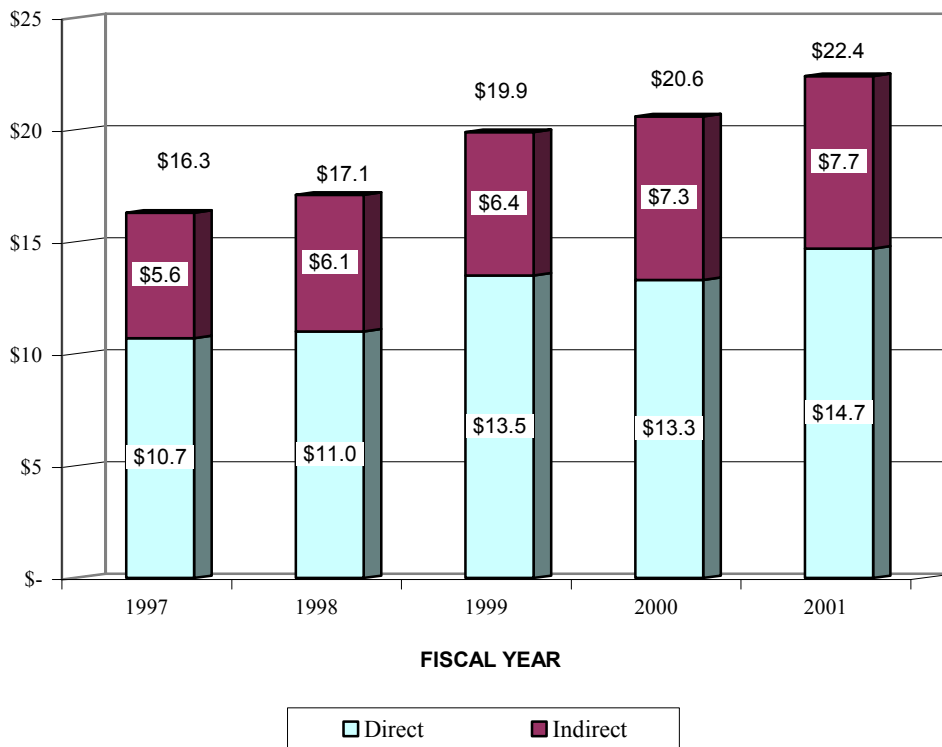
Cost sharing (matching) is University resources contributed to the support of a grant or contract. Many sponsoring agencies, both governmental and private, require recipients to share in the costs of a grant or contract.

Direct cost sharing occurs when University funds are used to fulfill a matching requirement. In FY2001, \$14.7 million was used to support grants and contracts. Educational & General matching funds for the Maine Agricultural and Forest Experiment Station and the Cooperative Extension Service accounted for \$9.9 million or 67% of the direct cost sharing in FY2001.

Indirect cost sharing, which totaled \$7.7 million in FY2001, occurs when the allowable indirect costs are not recovered in full. These indirect costs are used by the University to meet the sponsor's matching requirements for grants and contracts.

Since FY1997, total cost sharing as a percentage of total grants and contracts expenditures has changed very little, ranging from 23% to 25%. In FY2001 it was 23%.

UNIVERSITY COST SHARING
(In millions)



DIRECT COST SHARING BY SOURCE/ACTIVITY
(\$ in thousands)

SOURCE	ACTIVITY	FY1997		FY1998		FY1999		FY2000		FY2001	
		\$	%	\$	%	\$	%	\$	%	\$	%
Federal:	Instruction	\$ 515	6	\$ 328	3	\$ 129	-	\$ 367	3	\$ 372	3
	Research	4,800	51	4,559	49	6,774	63	6,904	61	7,580	62
	Public Service	3,942	43	4,464	48	3,943	37	4,048	36	4,328	35
		<u>\$ 9,257</u>	<u>100</u>	<u>\$ 9,351</u>	<u>100</u>	<u>\$10,846</u>	<u>100</u>	<u>\$11,319</u>	<u>100</u>	<u>\$ 12,280</u>	<u>100</u>
State:	Instruction	\$ 23	4	\$ 133	17	\$ 101	12	\$ 88	15	\$ 57	6
	Research	127	22	146	18	136	16	134	22	135	14
	Public Service	417	74	520	65	616	72	372	63	786	80
		<u>\$ 567</u>	<u>100</u>	<u>\$ 799</u>	<u>100</u>	<u>\$ 853</u>	<u>100</u>	<u>\$ 594</u>	<u>100</u>	<u>\$ 978</u>	<u>100</u>
Private:	Instruction	\$ 121	15	\$ 131	15	\$ 161	9	\$ 83	6	\$ 21	1
	Research	641	76	701	80	1,404	80	1,267	90	1,324	93
	Public Service	79	9	41	5	192	11	52	4	74	5
		<u>\$ 841</u>	<u>100</u>	<u>\$ 873</u>	<u>100</u>	<u>\$ 1,757</u>	<u>100</u>	<u>\$ 1,402</u>	<u>100</u>	<u>\$ 1,419</u>	<u>100</u>
Totals:	Instruction	\$ 659	6	\$ 592	5	\$ 391	3	\$ 538	4	\$ 450	3
	Research	5,568	52	5,406	49	8,314	62	8,305	62	9,039	62
	Public Service	4,438	42	5,025	46	4,751	35	4,472	34	5,188	35
		<u>\$10,665</u>	<u>100</u>	<u>\$11,023</u>	<u>100</u>	<u>\$13,456</u>	<u>100</u>	<u>\$13,315</u>	<u>100</u>	<u>\$ 14,677</u>	<u>100</u>

INDIRECT COST SHARING BY SOURCE/ACTIVITY
(\$ in thousands)

SOURCE	ACTIVITY	FY1997		FY1998		FY1999		FY2000		FY2001	
		\$	%	\$	%	\$	%	\$	%	\$	%
Federal:	Instruction	\$ 291	20	\$ 252	17	\$ 162	13	\$ 245	19	\$ 363	24
	Research	841	57	798	55	823	68	912	72	1,021	67
	Public Service	350	23	407	28	227	19	116	9	146	9
		<u>\$ 1,482</u>	<u>100</u>	<u>\$ 1,457</u>	<u>100</u>	<u>\$ 1,212</u>	<u>100</u>	<u>\$ 1,273</u>	<u>100</u>	<u>\$ 1,530</u>	<u>100</u>
State:	Instruction	\$ 503	17	\$ 1,374	39	\$ 2,200	58	\$ 2,341	57	\$ 2,778	56
	Research	879	30	890	26	1,099	29	1,190	29	1,373	28
	Public Service	1,552	53	1,233	35	493	13	567	14	837	16
		<u>\$ 2,934</u>	<u>100</u>	<u>\$ 3,497</u>	<u>100</u>	<u>\$ 3,792</u>	<u>100</u>	<u>\$ 4,098</u>	<u>100</u>	<u>\$ 4,988</u>	<u>100</u>
Private:	Instruction	\$ (107)	(9)	\$ 220	19	\$ 229	16	\$ 341	18	\$ 408	34
	Research	997	83	832	74	1,032	72	1,356	69	645	53
	Public Service	309	26	77	7	174	12	256	13	170	13
		<u>\$ 1,199</u>	<u>100</u>	<u>\$ 1,129</u>	<u>100</u>	<u>\$ 1,435</u>	<u>100</u>	<u>\$ 1,953</u>	<u>100</u>	<u>\$ 1,223</u>	<u>100</u>
Totals:	Instruction	\$ 687	12	\$ 1,846	30	\$ 2,591	40	\$ 2,927	40	\$ 3,549	46
	Research	2,717	49	2,520	42	2,954	46	3,458	47	3,039	39
	Public Service	2,211	39	1,717	28	894	14	939	13	1,153	15
		<u>\$ 5,615</u>	<u>100</u>	<u>\$ 6,083</u>	<u>100</u>	<u>\$ 6,439</u>	<u>100</u>	<u>\$ 7,324</u>	<u>100</u>	<u>\$ 7,741</u>	<u>100</u>
Total Cost Sharing		\$16,280		\$17,106		\$19,895		\$20,639		\$ 22,418	
% of Total Grants/Contracts		24%		24%		25%		24%		23%	

INDIRECT COST RECOVERY RATES

The University is required to negotiate several rates with the Federal government to assure that the institution is reimbursed for the use of its physical plant and administrative cost associated with grants and contracts. These rates are negotiated on a system-wide basis using past and estimated future costs.

FEDERAL INDIRECT COST RATES

<u>INDIRECT COST RATE</u>	<u>FY2000</u>	<u>FY2001*</u>
Research		
On-Campus	45.0%	47.0%
Off-Campus	26.0%	26.0%
Instruction		
On-Campus	56.7%	56.7%
Off-Campus	26.0%	26.0%
Public Service		
On-Campus	27.9%	27.9%
Off-Campus	21.8%	21.8%

* All indirect cost rates are effective through FY2003.

FEDERAL EMPLOYEE BENEFIT RATES

Applied to All Non-Student Salaries and Wages

<u>FY1992 – FY1993</u>	<u>FY1994</u>	<u>FY1995-FY1998</u>	<u>FY1999</u>	<u>FY2000</u>	<u>FY2001</u>
26.0%	29.0%	30.5%	31.5%	33.0%*	33.4%*

* Effective 7/1/99 a second fringe benefit rate of 8.4% was established for temporary non-faculty employees.

INDIRECT COST RECOVERIES

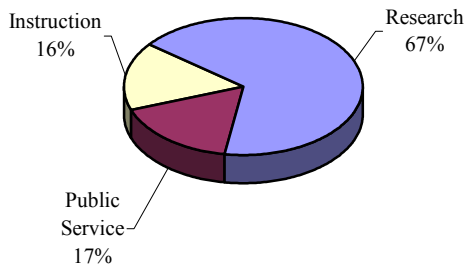
The amount of allowable indirect facilities and administration costs is calculated on each grant or contract using the appropriate negotiated rate as described above. The rate is applied to the total direct costs of an individual grant or contract to arrive at the total allowable indirect costs. The total calculated indirect costs for FY2001 amounted to \$15.9 million.

Indirect cost sharing, as described on page 6, occurs when recovery of indirect costs is forgone to satisfy cost sharing requirements. This type of cost sharing amounted to \$7.7 million in FY2001, resulting in \$8.2 million of indirect cost recoveries actually being received from grants and contracts activity.

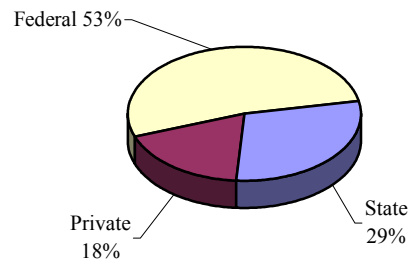
The Federal government is the University's major source of indirect cost recovery revenue, providing more than 50% of such revenues since FY1997. Research activities have provided over 60% of total indirect cost recoveries since FY1997.

		FY1997		FY1998		FY1999		FY2000		FY2001	
		\$	%	\$	%	\$	%	\$	%	\$	%
Federal:	Instruction	\$ 132	6	\$ 84	3	\$ 111	4	\$ 210	5	\$ 225	5
	Research	1,731	72	2,033	74	2,420	78	3,409	81	3,449	80
	Public Service	535	22	632	23	550	18	597	14	643	15
		<u>\$ 2,398</u>	<u>100</u>	<u>\$ 2,749</u>	<u>100</u>	<u>\$ 3,081</u>	<u>100</u>	<u>\$ 4,216</u>	<u>100</u>	<u>\$ 4,317</u>	<u>100</u>
State:	Instruction	\$ 172	16	\$ 418	32	\$ 685	46	\$ 747	44	\$ 994	42
	Research	368	33	369	28	469	32	418	25	772	32
	Public Service	566	51	520	40	321	22	541	31	626	26
		<u>\$ 1,106</u>	<u>100</u>	<u>\$ 1,307</u>	<u>100</u>	<u>\$ 1,475</u>	<u>100</u>	<u>\$ 1,706</u>	<u>100</u>	<u>\$ 2,392</u>	<u>100</u>
Private:	Instruction	\$ 65	6	\$ 88	8	\$ 327	23	\$ (115)	(9)	\$ 105	7
	Research	829	75	889	76	970	68	1,219	96	1,274	83
	Public Service	212	19	192	16	129	9	167	13	132	10
		<u>\$ 1,106</u>	<u>100</u>	<u>\$ 1,169</u>	<u>100</u>	<u>\$ 1,426</u>	<u>100</u>	<u>\$ 1,271</u>	<u>100</u>	<u>\$ 1,511</u>	<u>100</u>
Totals:	Instruction	\$ 369	8	\$ 590	11	\$ 1,123	19	\$ 842	12	\$ 1,324	16
	Research	2,928	64	3,291	63	3,859	64	5,046	70	5,495	67
	Public Service	1,313	28	1,344	26	1,000	17	1,305	18	1,401	17
		<u>\$ 4,610</u>	<u>100</u>	<u>\$ 5,225</u>	<u>100</u>	<u>\$ 5,982</u>	<u>100</u>	<u>\$ 7,193</u>	<u>100</u>	<u>\$ 8,220</u>	<u>100</u>

**NET INDIRECT COST RECOVERY
BY ACTIVITY
FY2001**



**NET INDIRECT COST RECOVERY
BY SOURCE
FY2001**



RESEARCH EXPENDITURES

The University's research activities include not only grants and contracts research, but also institutes and research centers and project research funded by E&G monies. The total cost of all research activity for FY2001 was \$62.9 million, a growth of \$29.9 million since FY1997.

The following table shows total Research expenditures funded by grants and contracts and E&G monies from FY1997 to FY2001. Research expenditures related to grants and contracts are broken down by source of funds: Federal, State, Private, and University, which includes direct and indirect cost sharing and E&G funding for MAFES.

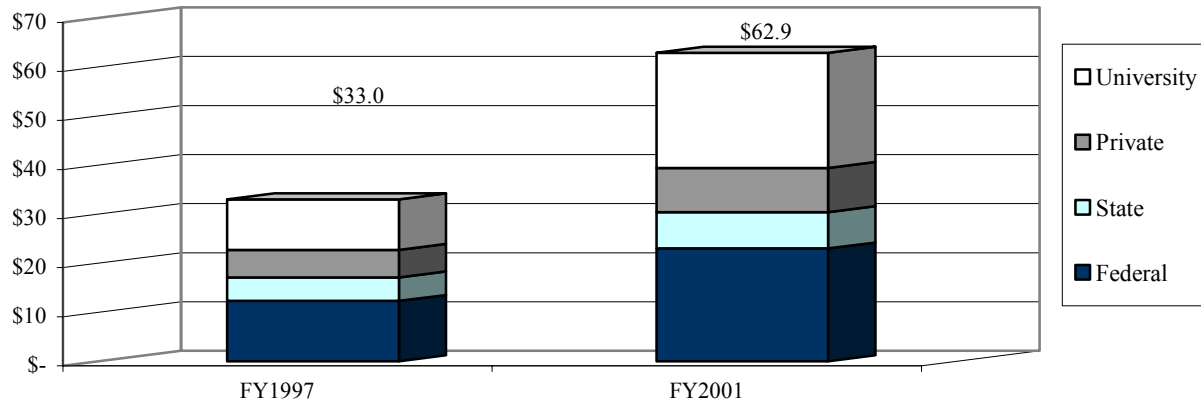
TOTAL RESEARCH EXPENDITURES BY SOURCE (\$ in Thousands)

	<u>FY1997</u>	<u>FY1998</u>	<u>FY1999</u>	<u>FY2000</u>	<u>FY2001</u>
Federal	\$ 12,273	\$ 14,031	\$ 18,276	\$ 22,311	\$ 22,970
State	4,760	4,642	6,347	5,474	7,367
Private	5,626	5,340	6,633	7,015	8,996
University					
Direct Cost Sharing	1,377	1,448	3,190	2,753	3,122
Indirect Cost Sharing	2,717	2,520	2,953	3,458	3,039
MAFES Match	4,190	3,957	5,123	5,552	5,919
	<u>8,284</u>	<u>7,925</u>	<u>11,266</u>	<u>11,763</u>	<u>12,080</u>
Total Grants and Contracts	<u>\$ 30,943</u>	<u>\$ 31,938</u>	<u>\$ 42,522</u>	<u>\$ 46,563</u>	<u>\$ 51,413</u>
<hr/>					
Total E&G	<u>\$ 2,019</u>	<u>\$ 2,204</u>	<u>\$ 4,013</u>	<u>\$ 5,953</u>	<u>\$ 11,453</u>
Total Research Expenditures	<u>\$ 32,962</u>	<u>\$ 34,142</u>	<u>\$ 46,535</u>	<u>\$ 52,516</u>	<u>\$ 62,866</u> *

* As noted at the top of this page, the University's research activities include not only grants and contracts research (see page 2 of this report), but also research funded by E&G monies. This total represents the costs of all research activities.

The graph below shows a comparison of total research expenditures for FY1997 and FY2001.

TOTAL RESEARCH EXPENDITURES BY SOURCE
(\$ in millions)



When compared with the other New England Land Grant institutions, Maine ranks lowest in total research expenditures. FY2000 and FY2001 are summarized below.

**TOTAL RESEARCH EXPENDITURES AT
NEW ENGLAND LAND GRANT UNIVERSITIES***
(\$ in Thousands)

	FY2000	FY2001
University of Massachusetts - Amherst	\$ 68,783	\$ 73,843
University of Connecticut	\$ 64,797	**
University of New Hampshire	\$ 64,438	\$ 72,765
University of Rhode Island	\$ 47,129	**
University of Vermont	\$ 45,629	\$ 54,790
University of Maine	\$ 41,731	\$ 45,555

* Excludes indirect cost recovery and plant fund expenditures for consistency at all institutions.

** Information not available at this time.

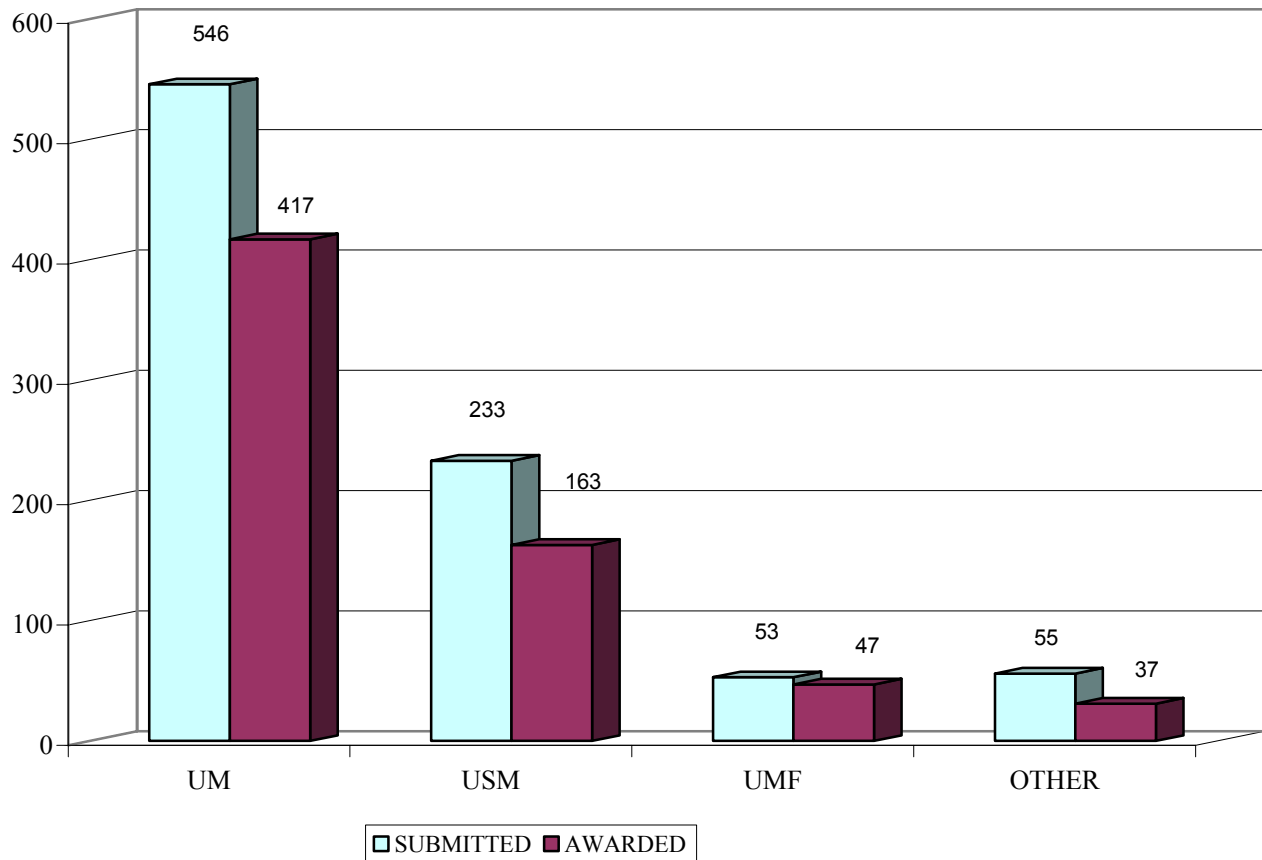
PROPOSALS SUBMITTED AND AWARDED

Grant proposals are submitted to outside agencies for specific programs. Proposals for contracts are negotiated with agencies and companies to provide specific services.

During FY2001, Sponsored Program Departments throughout the University of Maine System submitted 887 proposals to agencies for funding of a wide range of grants and contracts. Proposals awarded during FY2001 amounted to \$97.0 million. All proposals submitted are not awarded and those which are awarded, are not funded until the year the services are provided. Thus, the dollar amount of proposals awarded during the current year cannot be compared to current year expenditures since expenditures may occur over a multi-year period.

Significant proposal activity is indicated on the following graph and table.

**NUMBER OF PROPOSALS SUBMITTED & AWARDS RECEIVED
FY2001**



PROPOSAL STATUS REPORT FY2001
(\$ in thousands)

Proposals approved during FY2001 may include prior year submissions, and some FY2001 submissions may be included in future year approvals.

	SUBMITTED DURING FY2001	APPROVED DURING FY2001	
	#	#	\$
UNIVERSITY OF MAINE			
College of Business, Public Policy, and Health	15	13	\$ 1,156
College of Education and Human Development	30	31	5,422
College of Engineering	73	51	9,816
College of Liberal Arts and Sciences	71	40	5,409
College of Natural Resources, Forestry, & Agriculture	257	202	20,487
Cooperative Extension	28	21	3,316
Cultural Affairs and Libraries	7	1	14
Division of Lifelong Learning	2	3	933
Research	59	53	11,614
Cutler Health Center	1	1	63
Chief Financial Officer	1	0	0
President's Office	1	0	0
Student Services	1	1	10
Total	546	417	\$ 58,240
UNIVERSITY OF SOUTHERN MAINE			
College of Arts & Sciences	56	23	\$ 1,459
College of Education & HD	30	21	2,236
Muskie Institute for Public Affairs	94	81	25,510
School of Applied Sciences	14	9	1,137
School of Business	8	9	1,643
School of Law	7	5	251
College of Nursing	8	6	217
Lewiston-Auburn College	9	5	103
Other University Programs	7	4	133
Total	233	163	\$ 32,689
UNIVERSITY OF MAINE AT AUGUSTA	14	12	\$ 1,867
UNIVERSITY OF MAINE AT FARMINGTON	53	47	\$ 3,082
UNIVERSITY OF MAINE AT FORT KENT	3	3	\$ 224
UNIVERSITY OF MAINE AT MACHIAS	2	1	\$ 91
UNIVERSITY OF MAINE AT PRESQUE ISLE	33	20	\$ 705
SYSTEM WIDE SERVICES	3	1	\$ 79
SYSTEM TOTALS FOR FY2001	887	664	\$ 96,977
SYSTEM TOTALS FOR FY2000	792	570	\$ 70,097

UNIVERSITY HIGHLIGHTS

UNIVERSITY OF MAINE

The following is an illustrative sampling of research, teaching, and public service sponsored at the University of Maine in FY2001.

- ***Composite Ship Hulls*** – In a \$2.2 million project for the U.S. Navy, UMaine's Department of Mechanical Engineering is developing composite material components for the hulls of advanced Naval and civilian ships. The Modular Advanced Composites Hullform project (also called MACH) is part of the Navy's development of the next generation of high-speed naval ships. Applied Thermal Sciences, Inc. in Sanford and Orono will collaborate with UMaine scientists on the fluid dynamics modeling portion of the research.
- ***Real-time Marine Environment Data Collection*** – Researchers from UMaine's School of Marine Sciences and the Department of Spatial Information Engineering are principle partners in The Gulf of Maine Ocean Observing System (also called GoMOOS). A consortium of research institutions, state agencies, commercial partners, and nonprofit institutions has organized GoMOOS to produce real-time data and information about the ocean in the Gulf of Maine. UMaine scientists designed the information collection system that includes twelve fully instrumented oceanographic buoys deployed throughout the Gulf of Maine. Information from GoMOOS will increase the safety of marine operations, improve the efficient and effective use of marine resources, facilitate effective fisheries management, preserve and protect the Gulf ecosystem, mitigate natural hazards, protect the public health, and stimulate regional marine research.
- ***Enhanced Mathematics and Science Education*** –The U.S. Department of Education awarded UMaine's Center for Science and Mathematics Education Research \$1.2 million to develop a model program to enhance mathematics and science education. UMaine faculty and students, and public school teachers affiliated with the center, will investigate the teaching and learning of science and mathematics, and develop new courses for teacher training. The center benefits from an interdisciplinary faculty including participants from UMaine's Physics Education Research Laboratory, the departments of Chemistry, Computer Science, Mathematics and Statistics, Geological Sciences, and Biological Sciences, and the College of Education and Human Development.
- ***LINK Database Helps Connect Children With Services*** – More than 10,000 children are born each year in Maine. The LINK Maine Children project (LINK stands for Linking Information Networks) will help to match healthcare services with those children who may benefit from them. The LINK Maine Children project at first focused on children with hearing impairments. The project is quickly expanding to include hospital screenings for metabolic conditions such as PKU (phenylketonuria), a rare, inherited disease that results in mental retardation and other neurological problems if not treated within the first few weeks of life. The state's birth defects registry is also being incorporated into the database. The Federal Office of Rural Health Policy funds the project, and the database is modeled on the recommendations of the Centers for Disease Control and Prevention (CDC).

UNIVERSITY HIGHLIGHTS

(Continued)

UNIVERSITY OF MAINE - Continued

- ***Composite Wood Materials Used to Replace Pier*** – UMaine's Advanced Engineered Wood Composites Center (AEWC) replaced a deteriorated concrete-covered wooden pier in Milbridge, Maine with state-of-the-art reinforced glulam panels. The new panels weigh a third as much as reinforced concrete, yet they have the same strength and stiffness. The cost of building the new pier with composite materials was comparable to using prestressed-concrete construction; however, with the composite wood panels developed by AEWC, the composite pier is expected to last much longer.
- ***Incubating New Aquaculture and Marine Science Businesses in Maine*** – The Maine Aquaculture Innovation Center, Washington County Technical College, and The University of Maine have partnered to create an aquaculture and marine science business incubator. Support from the Maine Department of Economic and Community Development will help the partnership provide infrastructure and services to support new businesses in three locations; the Darling Marine Center in Walpole, the Center for Cooperative Aquaculture Research in Franklin, and the WCTC Marine Trade Center in Eastport.
- ***Sensor Research Leading to New Technologies*** – With support from the Department of Defense, the Environmental Protection Agency, the Department of Agriculture and the National Science Foundation, UMaine's Laboratory for Surface Science Technology (LASST) is researching new technologies for detecting chemicals and microorganisms in the environment. One of those sensors will someday monitor the amount of nitric oxide (NO) in a person's breath, an important health indicator. Current technology for measuring NO is not portable, and results can take days. A device that provides portable, instant results will be a powerful asset to medical personnel, especially in military and emergency situations.
- ***Maine Businesses Introduced to Agents*** – UMaine's Agent Institute ran a series of seminars around the state to acquaint Maine business people with the potential uses of agents both as new products and as tools to increase productivity and improve competitiveness. In simple terms, agents are hardware or software tools that can perform a task or set of tasks without human intervention. From the factory floor to the desktop, agents have the potential to significantly improve business performance in Maine. The Agent Institute is committed to ensuring that Maine businesses have the information they need to capitalize on agent technology.
- ***Wild Atlantic Salmon Reacclimated to River Habitat*** – The population of wild Atlantic salmon has been decreasing in Maine's downeast rivers. As part of an effort to restore the salmon to their traditional habitat, wild Atlantic salmon were captured by federal personnel and brought to The University of Maine's Center for Cooperative Aquaculture Research where they could reacclimate to fresh water. In the fall of 2000, over 1,200 Atlantic salmon passed through CCAR on their way to Maine's downeast salmon rivers.

UNIVERSITY HIGHLIGHTS

(Continued)

UNIVERSITY OF MAINE - Continued

- Total grants and contracts awarded in FY2001 were \$58.2 million.
- Total grants and contracts expenditures for FY2001 were \$57.3 million.

UNIVERSITY OF MAINE AT AUGUSTA

- The Rural Microenterprise Asst Project comes from a new state-funded initiative called the Maine Microenterprise Initiative Fund. It is being administered by the Maine Department of Economic and Community Development. Our work on this project is in partnership with the Maine State Small Business Development Centers (SBDC's) and the Women's Agricultural Network (WagN). Our purpose is to provide a seamless web of services to women who are trying to start or expand farm-based businesses. Our role would be to provide training and one-on-one assistance to 140 microbusiness focused predominantly on the creation of a business plan. We will work closely with WagN to recruit participants. As participants graduate from our services, we will link them up too SBDC counselors who will provide monthly one-on-one assistance.
- The MS Foundation initiative entitled "Steps to Economic Security" will enable us to do major follow up activities with our entrepreneurship training graduates. The grant adds up to \$150,000 over a three year period and our goal is to serve approximately 120 participants.
- Total grants and contracts awarded in FY2001 were \$1.9 million.
- Total grants and contracts expenditures for FY2001 were \$2.4 million.

UNIVERSITY OF MAINE AT FARMINGTON

- The amount of funding in FY01 exceeded the previous year by \$848,565 or 38%.
- UMF received a \$614,392 from the Maine State Bureau of Medical Services to conduct medical related research.
- The UMF Archaeology Research Center continues to do research work for public agencies and private firms and developers. New archaeology research contracts for FY01 totaled \$1,208,279.
- Total grants and contracts awarded in FY2001 amounted to \$3.1 million.
- Total grants and contracts expenditures for FY2001 were \$3.3 million.

UNIVERSITY HIGHLIGHTS

(Continued)

UNIVERSITY OF MAINE AT FORT KENT

- U.S. Department of Education Grant for Student Support Services was renewed.
- Professor of Biology & Environmental Studies, Steven B. Selva, obtained a grant from Parks Canada to inventory the epiphytic lichens in mature boreal forest stands in northern Cape Breton island and analyze their implications for the biological continuity, or successional age, in Cape Breton Highlands National Park and other protected areas in northern Cape Breton.
- Professor of Psychology and Education, James A. Killarney and Assistant Professor of Anthropology and Sociology, Mariella Squire were successful in obtaining a grant from Maine Campus Compact to assist Behavioral Sciences in the development and institutionalization of Service-Learning as a pedagogy at UMFK, and as a way to assist the local communities in problem solving.
- Total grants and contracts awarded in FY2001 amounted to \$224 thousand.
- Total grants and contracts expenditures for FY2001 were \$225 thousand.

UNIVERSITY OF MAINE AT MACHIAS

- The Maine Campus Compact provided funding for the Northern Maine Collaboration for Service-Learning Leadership program.
- Total grants and contracts awarded in FY2001 were \$90.6 thousand.
- Total grants and contracts expenditures for FY2001 were \$4.8 thousand.

UNIVERSITY OF SOUTHERN MAINE

- The College of Education and Human Development, with funding from the United States Department of Labor, is implementing a model demonstration project to upgrade skills and prepare workers for economic and technical changes affecting the traditional manufacturing industries in the Lewiston-Auburn area.
- Supported by a grant from the Helene Fuld Heath Trust, the College of Nursing and Health Professions is revising curriculum to encompass health promotion, health risk reduction and community based care, and is expanding the support and training of nursing faculty to focus on community partnering.

UNIVERSITY HIGHLIGHTS

(Continued)

UNIVERSITY OF SOUTHERN MAINE - Continued

- With funding from the federal Administration for Children and Families, the Muskie School of Public Service is working with state, local and tribal agencies nationwide to examine state welfare practices and agency infrastructure in order to enhance the delivery of services that protect the safety and well-being of children.
- The Center for Business & Economic Research in the School of Business has received a grant to examine the value of geographic expansion in the financial services industry, a project that combines applied research and consulting services, and strengthens the ties between USM and the business community.
- With a grant from the Maine Campus Compact, Lewiston-Auburn College is increasing the internal support and coursework necessary to expand a comprehensive service-learning program that builds strong relations with community organizations, especially local schools.
- The Marine Law Institute of the School of Law received funding from the Maine Science and Technology Foundation to construct an audio-visual system capable of linking into collaborative marine research and education projects statewide, which will allow data pertaining to coastal issues to be shared more easily.
- The College of Arts & Sciences received funding from Professional and Educational Services International to study the connection between rapid social transformation and the emerging market economy in China, and to examine the role of a Chinese Protestant ethic in Western capitalism.
- As part of a national and international collaboration coordinated by the Mount Sinai School of Medicine, the School of Applied Science, Engineering & Technology is studying the interaction between genetic predisposition and environmental exposures in relation to radiation-induced human breast cancer.
- With a New Century Preservation Grant, the Special Collections/Archives Department of the Glickman Library is preserving and providing better access to photographs in the African American Archives of Maine, by duplicating the original images and creating an archival storage system to prevent their deterioration.
- Total grants and contracts awarded in FY2001 amounted to \$32.7 million.
- Total grants and contracts expenditures for FY2001 were \$32.5 million

UNIVERSITY HIGHLIGHTS

(Continued)

UNIVERSITY OF MAINE AT PRESQUE ISLE

- Continuing twenty years of TRIO program grants from the U.S. Department of Education, UM-Presque Isle received a combined total of \$558,956 for its Student Support Services and Upward Bound Programs this year to support higher education opportunities for students of low-income and first-time college-goers.
- The UM-Presque Isle Education Department is a partner in a regional educational consortium, the Central Aroostook Council on Education that also includes seven schools which received a second round of funding in the amount of \$31,545 from Exxon-Mobil Foundation for improving teacher skills in the teaching of mathematics. CACE also received a \$2,532 grant from the Maine Arts Commission for professional development in arts education for area teachers. CACE also received \$15,000 from the Maine State Department of Education for professional development of pre-service and in-service teachers in character education.
- Also in math education, UM-Presque Isle Zhijun Wu, Associate Professor of Education, received a \$7,987 an Edward G. Begle grant from the National Council of Teachers of Mathematics Trust for classroom-based research on developing deeper understanding of multiplicative reasoning in 3rd grade students. The research project is in collaboration with Pine Street School (Presque Isle) 3rd grade teacher, Judy Atcheson.
- The Northern Maine Museum of Science received a second \$15,000 grant from the Jane B. Cook Charitable Trust to continue the salary of an Education Coordinator who will implement Museum outreach activities in Aroostook County Schools, including development and circulation of a Library of Traveling Trunks on a wide variety of science and math topics.
- The Bachelor of Social Work program received \$19,435 from the Department of Health and Human Services/Administration on Children, Youth and Families as a member of a BSW education consortium.
- Total grants and contracts awarded in FY2001 amounted to \$705 thousand.
- Total grants and contracts expenditures for FY2001 were \$746 thousand.

UNIVERSITY HIGHLIGHTS

(Continued)

SYSTEM-WIDE SERVICES

- The University of Maine System, University College received a grant from the Maine Department of Education for continued implementation of Maine's statewide assistive project, MaineCITE (Consumer Information and Technology Training Exchange). This federally funded effort, authorized under the Assistive Technology Act of 1998 and funded by the National Institute on Disability and Rehabilitation Research is an on going collaborative initiative between the University and the Department to make assistive and universally designed technologies more available to children and adults who have disabilities.
- MainePOINT is funded by the Maine Department of Education to deliver American Sign Language (ASL) over the University Network to Maine high school students. In FY2001, MainePOINT participated in the first ever educational application offered over Internet 2. ASL students in Maine and Rhode Island used that network to discuss the impact of the events of September 11. In addition, MainePOINT now has eight schools participating in the project—seven using the ATM system. They have also conducted technology training for people at the school sites and have provided workshops to coordinators to improve services to people with disabilities.
- Total grants and contracts awarded in FY2001 amounted to 79 thousand.
- Total grants and contracts expenditures for FY2001 were 1.5 million.