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## Grants and Contracts Annual Report 2004/2005

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# GRANTS & CONTRACTS

## ANNUAL REPORT

2004/2005



*March, 2006*

## TABLE OF CONTENTS

	<b>PAGE</b>
<b>Executive Summary .....</b>	<b>i-ii</b>
<b>Grants and Contracts Revenue .....</b>	<b>1</b>
<b>Grants and Contracts Expenditures .....</b>	<b>2</b>
<b>Federal Revenues .....</b>	<b>3</b>
<b>State Revenues .....</b>	<b>4</b>
<b>Private Revenues .....</b>	<b>5</b>
<b>Cost Sharing .....</b>	<b>6-7</b>
<b>Indirect Cost Recovery .....</b>	<b>8-9</b>
<b>Research Expenditures .....</b>	<b>10-11</b>
<b>Proposals Submitted and Awarded.....</b>	<b>12-13</b>

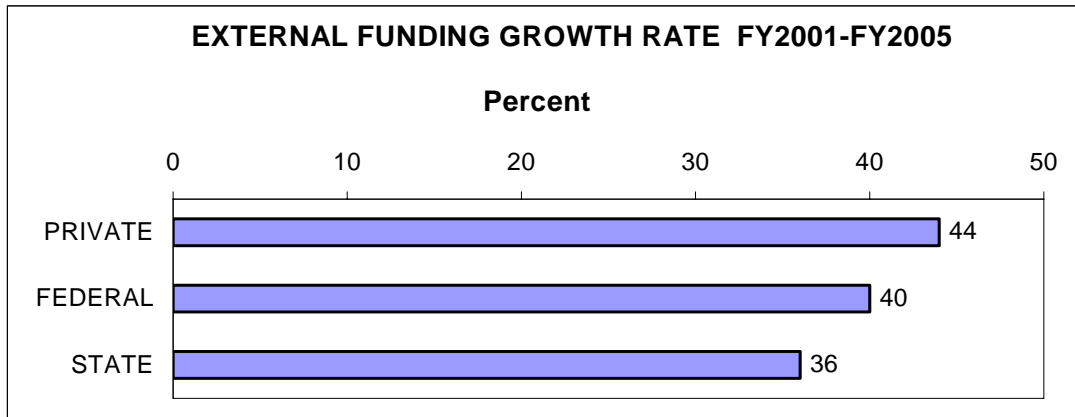
# GRANTS AND CONTRACTS 2004/2005

## 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 \$6.2 MILLION TO \$138.1 MILLION IN FY2005.** 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	FY2004	FY2005	CHANGE	ACTIVITY	FY2004	FY2005	FY2005 % OF TOTAL
FEDERAL	\$51.9	\$50.3	\$(1.6)	INSTRUCTION	\$22.8	\$23.5	17
STATE	32.3	34.3	2.0	RESEARCH	71.9	73.5	53
PRIVATE	18.8	20.7	1.9	PUBLIC SERVICE	<u>37.2</u>	<u>41.1</u>	<u>30</u>
UNIVERSITY	<u>28.9</u>	<u>32.8</u>	<u>3.9</u>				
TOTAL	<u>\$131.9</u>	<u>\$138.1</u>	<u>\$6.2</u>	TOTAL	<u>\$131.9</u>	<u>\$138.1</u>	<u>100</u>



**Private ( ↑ 44% )** Private support is comprised of funding from non-profit organizations, other governmental entities, educational institutions and business and industry. Private support increased by \$6.3 million from FY2001 to FY2005. The largest net increase was in the non-profit category.

## EXECUTIVE SUMMARY

**Federal ( ↑ 40% )** The National Science Foundation and The Department of Education accounted for \$8.1 million of the \$14.5 million net increase in federal revenues from FY2001 to FY2005. The Departments of Defense, Agriculture, and Health & Human Services continue to be major sponsors as well.

**State ( ↑ 36% )** The primary sources of state funding were the Maine Department of Human Services, Education, and Behavioral and Developmental Services. Over the past five years, these departments have increased their funding by 39%, or \$7.5 million.

- II. STATE RESEARCH AND DEVELOPMENT APPROPRIATIONS (MEIF) MADE AN IMPORTANT IMPACT IN FY2005.** \$41.9 million in research grants and contracts were generated by employing most of the \$13.5 million of available State appropriation in FY2005. 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, 2005, \$24.1 million in State funds attracted \$84.7 million in external grants and contracts funding.

\$1.8 million of the State appropriation dollars available in FY2005 were used for direct cost sharing and \$10.8 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 FY2006.

- III. THE FY2005 NET INDIRECT COST RECOVERY INCREASED BY 6% FROM \$11.9 MILLION IN FY2004 TO \$12.6 MILLION IN FY2005.** 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 \$10.3 MILLION SINCE FY2001.** Cost sharing as a percentage of external funding showed a slight increase to 31% in FY2005, after having remained relatively constant at an average of 29% during the period from FY2001 through FY2004. The University's share of total grants and contracts expenditures has, however, remained constant at 22% during the 5 year period.

- V. IN 2005, 1,004 GRANT PROPOSALS WERE SUBMITTED AND 728 WERE APPROVED TOTALING \$102.5 MILLION.** This compares with 999 submissions and 721 approvals amounting to \$113.5 million during FY2004. The average award for FY2005 was \$140,800, compared to \$157,400 in FY2004. 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 FY2005 was \$138.1 million, an increase of \$6.2 million over FY2004 and an increase of \$40.1 million (41%) over FY2001. Federal grants and contracts revenue was 40% higher than four years ago, while State grants and contracts revenue (including Federal pass-through funds) was 35% higher. University cost sharing contributions are discussed on Page 6 of this report.

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

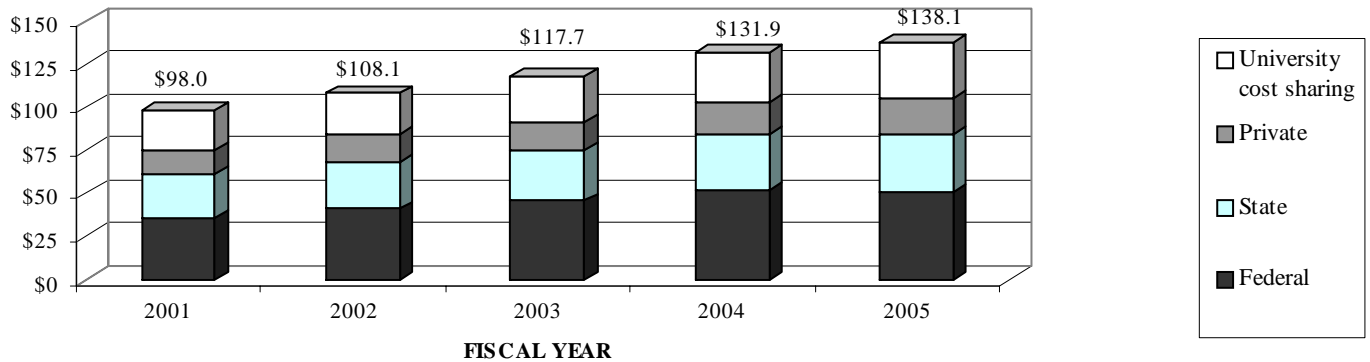
	FY2001		FY2002		FY2003		FY2004		FY2005	
	\$	%	\$	%	\$	%	\$	%	\$	%
Federal	\$ 35,893	36	\$ 40,836	37	\$ 45,384	39	\$ 51,931	40	\$ 50,348	36
State	25,310	26	26,921	25	29,525	25	32,311	24	34,298	** 25
Private	14,345	15	15,958	15	16,563	14	18,763	14	20,693	** 15
University cost sharing	22,418	23	24,381	23	26,236	22	28,917	22	32,756	24
<b>Total</b>	<b>\$ 97,966</b>	<b>100</b>	<b>\$ 108,096</b>	<b>100</b>	<b>\$ 117,708</b>	<b>100</b>	<b>\$ 131,922</b>	<b>100</b>	<b>\$ 138,095</b>	<b>* 100</b>

\* Includes \$14.7 million for the Maine Agricultural and Forest Experiment Station (MAFES); \$12.9 million for UM Cooperative Extension (UMCE); and \$37.8 million for the USM Muskie School of Public Service (Muskie) :

	MAFES	UMCE	Muskie
Federal	\$ 5.3	\$ 1.2	\$ 5.5
State	.7	2.7	18.8
Private	.9	.6	7.1
University cost sharing	7.8	8.4	6.4
<b>Total</b>	<b>\$ 14.7</b>	<b>\$ 12.9</b>	<b>\$ 37.8</b>

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

### GRANTS AND CONTRACTS REVENUE BY SOURCE (In millions)



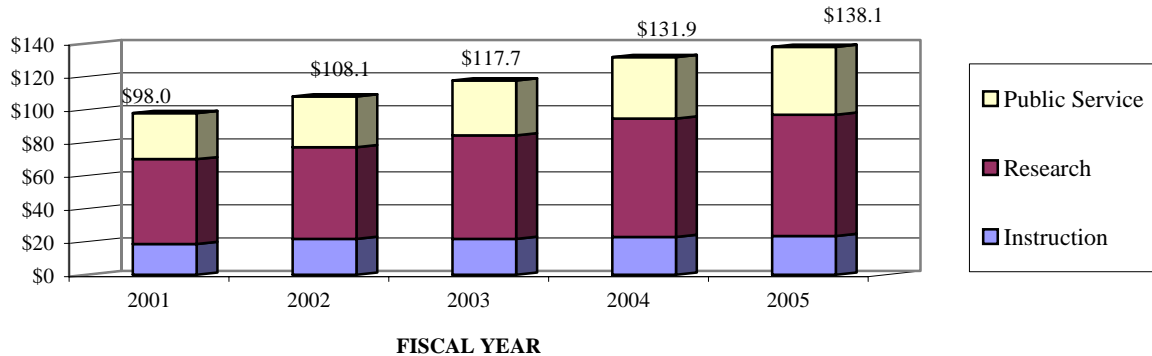
# GRANTS AND CONTRACTS EXPENDITURES

During FY2005, 53% of total grants and contracts expenditures were incurred for Research, 30% for Public Service, and 17% for Instruction.

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

	FY2001		FY2002		FY2003		FY2004		FY2005	
	\$	%	\$	%	\$	%	\$	%	\$	%
Instruction	\$ 18,573	19	\$ 21,700	20	\$ 21,721	18	\$ 22,821	17	\$ 23,542	17
Research	51,413	52	55,636	52	62,755	54	71,924	55	73,506	53
Public Service	27,980	29	30,760	28	33,232	28	37,177	28	41,047	30
<b>Total</b>	<b>\$ 97,966</b>	<b>100</b>	<b>\$ 108,096</b>	<b>100</b>	<b>\$ 117,708</b>	<b>100</b>	<b>\$ 131,922</b>	<b>100</b>	<b>\$ 138,095</b>	<b>100</b>

## GRANTS AND CONTRACTS EXPENDITURES BY ACTIVITY (\$ in millions)



	INSTRUCTION		RESEARCH		PUBLIC SERVICE		TOTAL	
	\$	%	\$	%	\$	%	\$	%
University of Maine	\$ 3,909	17	\$ 52,015	71	\$ 18,134	44	\$ 74,058 *	53
University of Maine Augusta	33	-	-	-	2,313	6	2,346	2
University of Maine Farmington	1,691	7	1,116	2	484	1	3,291	2
University of Maine Fort Kent	-	-	404	1	336	1	740	1
University of Maine Machias	70	-	218	-	16	-	304	-
University of Southern Maine	15,230	65	19,529	26	17,936	44	52,695 **	38
University of Maine Presque Isle	138	1	224	-	831	2	1,193	1
System-Wide Services	2,471	10	-	-	997	2	3,468	3
	<b>\$ 23,542</b>	<b>100</b>	<b>\$ 73,506</b>	<b>100</b>	<b>\$ 41,047</b>	<b>100</b>	<b>\$ 138,095</b>	<b>100</b>

\* Includes \$27.6 million for the Maine Agricultural and Forest Experiment Station and Cooperative Extension.

\*\* Includes \$37.8 million for the Muskie School of Public Service.

# FEDERAL REVENUES

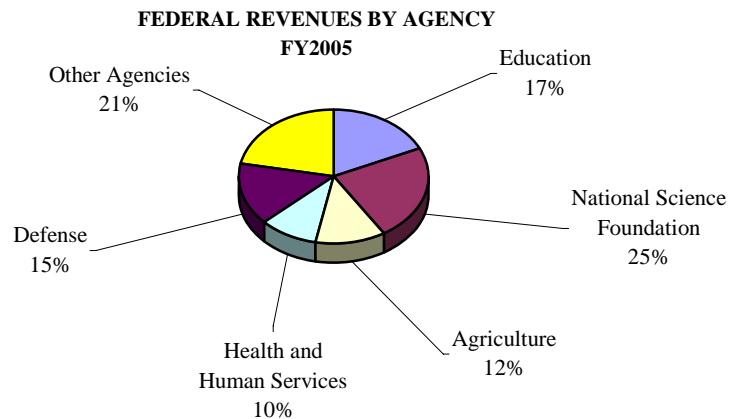
The table and graph below indicate the level of funding received from Federal agencies. The National Science Foundation was the top source of Federal revenues again in FY2005, followed by the Departments of Education and Defense. These three agencies combined have provided over 50% of the total Federal revenues for each of the past five years.

## FEDERAL REVENUES BY AGENCY (\$ in thousands)

Agency	FY2001		FY2002		FY2003		FY2004		FY2005	
	\$	%	\$	%	\$	%	\$	%	\$	%
National Science Foundation	\$ 5,784	15	\$ 8,187	19	\$ 10,626	24	\$ 12,176	24	\$ 12,045	25
Education	7,107	20	8,290	21	8,332	17	8,730	16	8,960	17
Defense	6,021	17	4,760	12	4,355	10	5,485	11	7,441	15
Agriculture	7,061	20	7,385	18	7,502	17	7,476	14	6,008 *	12
Health & Human Services	4,400	12	4,812	12	5,449	12	5,450	10	4,942	10
Justice	900	3	1,272	3	1,897	4	2,566	5	2,418	5
Commerce	733	2	1,460	4	2,148	5	2,861	6	2,186	4
Environmental Protection	792	2	679	2	948	2	1,090	2	1,442	3
Corp for Nat'l & Community Svc	438	1	456	1	385	1	536	1	804	2
Information Agency	0	0	0	0	0	0	0	0	736	1
Interior	945	3	804	2	817	2	960	2	644	1
Small Business Administration	295	1	814	2	438	1	634	1	535	1
NASA	422	1	772	2	667	1	384	1	495	1
Energy	59	0	98	0	378	1	1,441	3	490	1
Institute of Museum & Library Svcs	0	0	0	0	-	0	277	1	433	1
Transportation	230	1	73	0	392	1	575	1	295	1
Veteran's Administration	192	1	179	0	198	0	192	0	194	0
National Found Arts/ Humanities	37	0	13	0	28	0	216	0	143	0
Labor	443	1	769	2	813	2	795	2	88	0
Other	34	0	13	0	11	0	87	0	38	0
Homeland Security	0	0	0	0	0	0	0	0	11	0
	<u>\$ 35,893</u>	<u>100</u>	<u>\$ 40,836</u>	<u>100</u>	<u>\$ 45,384</u>	<u>100</u>	<u>\$ 51,931</u>	<u>100</u>	<u>\$ 50,348**</u>	<u>100</u>

\* FY2005 revenue includes \$4.3 million for MAFES and \$1.1 million for UMCE. Various other agencies listed above also provided funding for MAFES and UMCE, bringing total Federal revenues for these projects to \$5.3 million and \$1.2 million, respectively.

\*\* Includes \$5.5 million from Health & Human Services and the Dept of Justice for the Muskie School of Public Service.





# STATE REVENUES

The table and graph below indicate the level of revenue from State agencies, which includes Federal funding passed through to the University. The Department of Human Services continues to be the major source of State revenues.

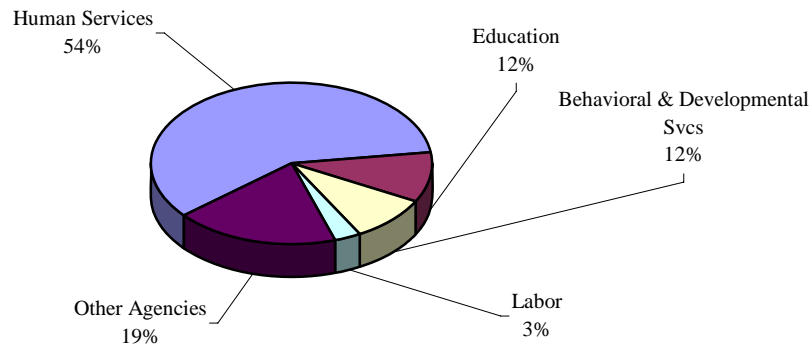
## STATE REVENUES BY AGENCY (\$ in thousands)

Agency	FY 2001		FY 2002		FY 2003		FY 2004		FY 2005	
	\$	%	\$	%	\$	%	\$	%	\$	%
Human Services	\$ 15,222	60	\$ 16,829	62	\$ 18,053	60	\$ 19,390	60	\$ 18,437	53
Education	2,320	9	2,238	8	3,076	10	3,269	10	4,074	12
Behavioral & Developmental Svcs	1,481	6	2,090	8	2,809	9	3,376	10	3,971	12
Economics & Community Development	437	2	844	3	245	1	327	1	982	3
Labor	752	3	804	3	904	3	857	3	914	3
County UMCE Funds	570	2	578	2	574	2	780	3	780	2
Agriculture	645	3	592	2	543	2	728	3	762	2
Executive Department	35	0	78	0	48	0	115	0	696	2
Planning	223	1	156	1	210	1	409	1	608	2
Transportation	864	3	1,018	4	456	2	502	2	489	1
Corrections	246	1	200	1	306	1	338	1	351	1
Finance/Administration	32	0	19	0	38	0	73	0	343	1
Inland Fish & Wildlife	154	1	163	1	177	1	270	1	323	1
Environmental Protection	566	2	665	2	786	3	533	2	289	1
Small Business Commission	830	3	0	0	511	2	563	2	281	1
Conservation	0	0	0	0	164	1	100	0	176	1
Judicial	274	1	21	0	58	0	181	1	174	1
Legislative	166	1	184	1	90	0	96	0	65	0
Public Utilities Commission	0	0	0	0	152	1	156	0	157	0
Marine Resources	301	1	185	1	191	1	161	0	88	0
Other	192	1	257	1	134	0	87	0	338	1
Total *	<u>\$ 25,310</u>	<u>100</u>	<u>\$ 26,921</u>	<u>100</u>	<u>\$ 29,525</u>	<u>100</u>	<u>\$ 32,311</u>	<u>100</u>	<u>\$ 34,298**</u>	<u>100</u>

\* Includes Federal Pass-through funds of: \$ 18,167 72 \$ 19,558 73 \$ 20,087 68 \$ 21,068 65 \$ 23,768 69

\*\* Includes \$18.8 million for the Muskie School of Public Service (\$13.6 from Maine Human Services, \$5.2 from all other State agencies).

## STATE REVENUES BY AGENCY FY2005



## PRIVATE REVENUES

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

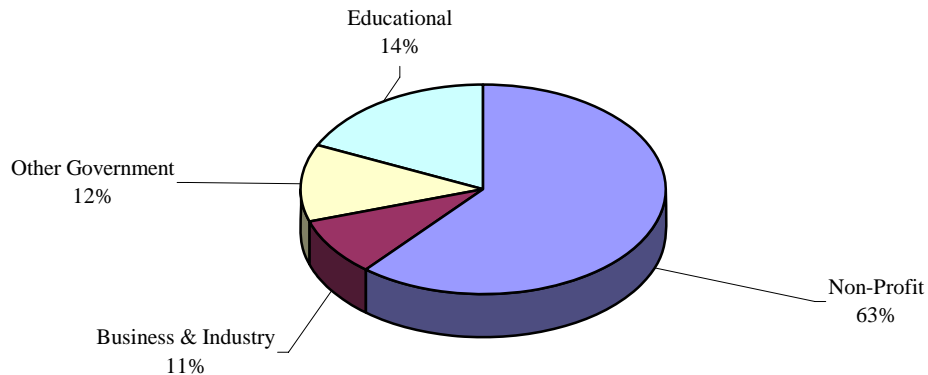
### PRIVATE REVENUES BY SOURCE OF FUNDS (\$ in thousands)

	FY 2001		FY 2002		FY 2003		FY 2004		FY 2005	
	\$	%	\$	%	\$	%	\$	%	\$	%
Non-profit Organizations	\$ 8,401	59	\$ 9,229	58	\$ 9,679	58	\$ 11,534	61	\$ 13,123	63
Business and Industry	1,895	13	2,089	13	3,138	19	3,327	18	2,273	11
Educational Institutions	1,940	13	2,130	13	2,155	13	2,161	12	2,871	14
Other Governmental Entities*	<u>2,109</u>	<u>15</u>	<u>2,510</u>	<u>16</u>	<u>1,591</u>	<u>10</u>	<u>1,741</u>	<u>9</u>	<u>2,426</u>	<u>12</u>
	<u>\$ 14,345</u>	<u>100</u>	<u>\$ 15,958</u>	<u>100</u>	<u>\$ 16,563</u>	<u>100</u>	<u>\$ 18,763</u>	<u>100</u>	<u>\$ 20,693</u>	<u>** 100</u>

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

\*\* Includes Federal Pass-Through funds of \$9.9 million.

### PRIVATE REVENUES BY SOURCE OF FUNDS FY2005



# COST SHARING

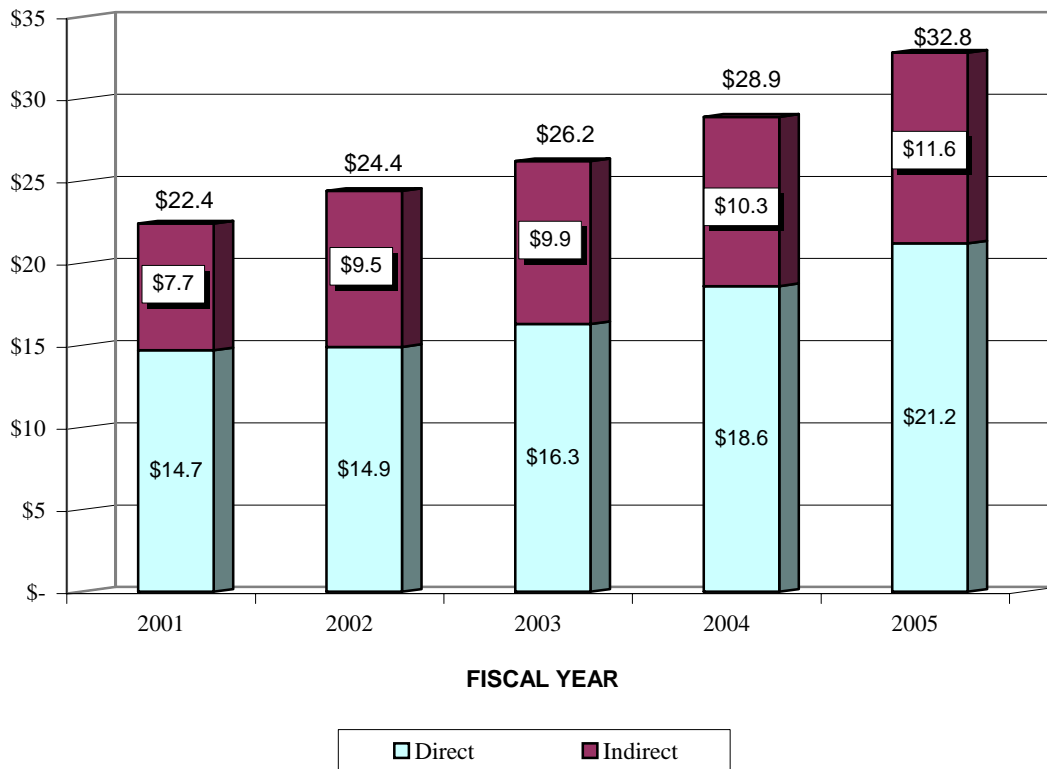
Cost sharing (matching) is University resources contributed to the support of a grant or contract. Many sponsoring agencies, both governmental and private, require recipients to share in the costs of a grant or contract.

**Direct** cost sharing occurs when University funds are used to fulfill a matching requirement. In FY2005, \$21.2 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 \$15.1 million or 71% of the direct cost sharing in FY2005.

**Indirect** cost sharing, which totaled \$11.6 million in FY2005, 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 FY2001, total cost sharing as a percentage of total grants and contracts expenditures has changed very little, ranging from 22% to 24%. In FY2005, it was 24%.

**UNIVERSITY COST SHARING**  
(In millions)



## DIRECT COST SHARING BY SOURCE/ACTIVITY

(\$ in thousands)

SOURCE	ACTIVITY	FY2001		FY2002		FY2003		FY2004		FY2005	
		\$	%	\$	%	\$	%	\$	%	\$	%
Federal:	Instruction	\$ 372	3	\$ 361	3	\$ 267	2	\$ 188	1	\$ 362	2
	Research	7,580	62	8,326	63	8,696	60	9,326	55	11,211	58
	Public Service	4,328	35	4,565	34	5,426	38	7,361	44	7,687	40
		<u>\$ 12,280</u>	<u>100</u>	<u>\$ 13,252</u>	<u>100</u>	<u>\$ 14,389</u>	<u>100</u>	<u>\$ 16,875</u>	<u>100</u>	<u>\$ 19,260</u>	<u>100</u>
State:	Instruction	\$ 57	6	\$ 64	7	\$ 77	8	\$ 145	13	\$ 242	20
	Research	135	14	137	15	239	23	174	15	181	15
	Public Service	786	80	706	78	705	69	831	72	815	65
		<u>\$ 978</u>	<u>100</u>	<u>\$ 907</u>	<u>100</u>	<u>\$ 1,021</u>	<u>100</u>	<u>\$ 1,150</u>	<u>100</u>	<u>\$ 1,238</u>	<u>100</u>
Private:	Instruction	\$ 21	2	\$ 51	7	\$ 73	9	\$ 37	7	\$ 80	12
	Research	1,324	93	592	79	506	60	443	79	460	71
	Public Service	74	5	104	14	262	31	80	14	112	17
		<u>\$ 1,419</u>	<u>100</u>	<u>\$ 747</u>	<u>100</u>	<u>\$ 841</u>	<u>100</u>	<u>\$ 560</u>	<u>100</u>	<u>\$ 652</u>	<u>100</u>
Totals:	Instruction	\$ 450	3	\$ 476	3	\$ 417	3	\$ 370	2	\$ 684	2
	Research	9,039	62	9,055	61	9,441	58	9,943	53	11,852	53
	Public Service	5,188	35	5,375	36	6,393	39	8,272	45	8,614	45
		<u>\$ 14,677</u>	<u>100</u>	<u>\$ 14,906</u>	<u>100</u>	<u>\$ 16,251</u>	<u>100</u>	<u>\$ 18,585</u>	<u>100</u>	<u>\$ 21,150</u>	<u>100</u>

## INDIRECT COST SHARING BY SOURCE/ACTIVITY

(\$ in thousands)

SOURCE	ACTIVITY	FY2001		FY2002		FY2003		FY2004		FY2005	
		\$	%	\$	%	\$	%	\$	%	\$	%
Federal:	Instruction	\$ 363	24	\$ 661	29	\$ 303	12	\$ 646	21	\$ 638	18
	Research	1,021	67	1,385	60	1,877	72	2,113	68	2,514	73
	Public Service	146	9	284	11	418	16	326	11	313	9
		<u>\$ 1,530</u>	<u>100</u>	<u>\$ 2,330</u>	<u>100</u>	<u>\$ 2,598</u>	<u>100</u>	<u>\$ 3,085</u>	<u>100</u>	<u>\$ 3,465</u>	<u>100</u>
State:	Instruction	\$ 2,778	56	\$ 3,315	57	\$ 3,169	51	\$ 2,975	49	\$ 2,780	43
	Research	1,373	28	1,722	29	2,088	34	2,101	34	2,189	34
	Public Service	837	16	894	14	970	15	1,038	17	1,526	23
		<u>\$ 4,988</u>	<u>100</u>	<u>\$ 5,931</u>	<u>100</u>	<u>\$ 6,227</u>	<u>100</u>	<u>\$ 6,114</u>	<u>100</u>	<u>\$ 6,495</u>	<u>100</u>
Private:	Instruction	\$ 408	34	\$ 457	39	\$ 377	34	\$ 122	12	\$ 72	5
	Research	645	53	497	41	549	47	601	53	621	38
	Public Service	170	13	260	20	234	19	410	35	953	57
		<u>\$ 1,223</u>	<u>100</u>	<u>\$ 1,214</u>	<u>100</u>	<u>\$ 1,160</u>	<u>100</u>	<u>\$ 1,133</u>	<u>100</u>	<u>\$ 1,646</u>	<u>100</u>
Totals:	Instruction	\$ 3,549	46	\$ 4,433	47	\$ 3,849	39	\$ 3,743	36	\$ 3,490	30
	Research	3,039	39	3,604	38	4,514	45	4,815	47	5,324	46
	Public Service	1,153	15	1,438	15	1,622	16	1,774	17	2,792	24
		<u>\$ 7,741</u>	<u>100</u>	<u>\$ 9,475</u>	<u>100</u>	<u>\$ 9,985</u>	<u>100</u>	<u>\$ 10,332</u>	<u>100</u>	<u>\$ 11,606</u>	<u>100</u>
Total Cost Sharing		\$ 22,418		\$ 24,381		\$ 26,236		\$ 28,917		\$ 32,756	
% of Total Grants/Contracts		23%		23%		22%		22%		24%	

## **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>FY2005</u>	<u>FY2006</u>	<u>FY2007</u>
Research			
On-Campus	48.0%	48.5%	48.5%
Off-Campus	26.0%	26.0%	26.0%
Instruction			
On-Campus	53.0%	53.0%	53.0%
Off-Campus	26.0%	26.0%	26.0%
Public Service			
On-Campus	32.0%	32.0%	32.0%
Off-Campus	26.0%	26.0%	26.0%

### **FEDERAL EMPLOYEE BENEFIT RATES**

Applied to All Non-Student Salaries and Wages

	<u>FY2002</u>	<u>FY2003</u>	<u>FY2004</u>	<u>FY2005</u>	<u>FY2006</u>
Nonfaculty temporary employees	8.1%	8.5%	8.1%	8.7%	8.4%
All other employees	33.0%	34.6%	36.7%	40.9%	40.8%

## **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 FY2005 amounted to \$24.2 million.

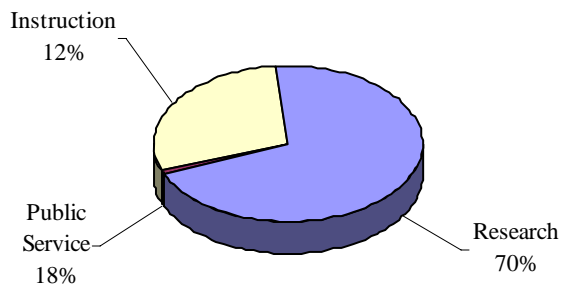
Indirect cost sharing, as described on page 6, occurs when recovery of indirect costs is foregone to satisfy cost sharing requirements. This type of cost sharing amounted to \$11.6 million in FY2005, resulting in \$12.6 million of indirect cost recoveries actually being received from grants and contracts activity.

The Federal government is the University's major source of indirect cost recovery revenue, providing more than 50% of such revenues since FY2001. Research activities have provided over 65% of total indirect cost recoveries since FY2001.

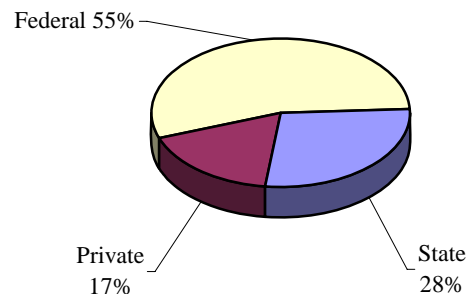
**NET INDIRECT COST RECOVERY RECEIVED BY SOURCE/ACTIVITY**  
(\$ in thousands)

		FY2001		FY2002		FY2003		FY2004		FY2005	
		\$	%	\$	%	\$	%	\$	%	\$	%
Federal:	Instruction	\$ 225	5	\$ 223	4	\$ 268	4	\$ 407	6	\$ 333	5
	Research	3,449	80	4,158	79	4,965	83	5,855	83	5,687	83
	Public Service	643	15	910	17	787	13	777	11	851	12
		<u>\$ 4,317</u>	<u>100</u>	<u>\$ 5,291</u>	<u>100</u>	<u>\$ 6,020</u>	<u>100</u>	<u>\$ 7,039</u>	<u>100</u>	<u>\$ 6,871</u>	<u>100</u>
State:	Instruction	\$ 994	42	\$ 1,097	41	\$ 1,026	35	\$ 1,013	34	\$ 1,038	30
	Research	772	32	946	35	1,137	39	1,221	41	1,457	42
	Public Service	626	26	631	24	760	26	757	25	994	28
		<u>\$ 2,392</u>	<u>100</u>	<u>\$ 2,674</u>	<u>100</u>	<u>\$ 2,923</u>	<u>100</u>	<u>\$ 2,991</u>	<u>100</u>	<u>\$ 3,489</u>	<u>100</u>
Private:	Instruction	\$ 105	7	\$ 171	9	\$ 214	12	\$ 70	4	\$ 84	4
	Research	1,274	83	1,468	80	1,308	74	1,395	74	1,678	75
	Public Service	132	10	177	11	225	14	398	22	452	21
		<u>\$ 1,511</u>	<u>100</u>	<u>\$ 1,816</u>	<u>100</u>	<u>\$ 1,747</u>	<u>100</u>	<u>\$ 1,863</u>	<u>100</u>	<u>\$ 2,214</u>	<u>100</u>
Totals:	Instruction	\$ 1,324	16	\$ 1,491	15	\$ 1,508	14	\$ 1,490	13	\$ 1,455	12
	Research	5,495	67	6,572	67	7,410	69	8,471	71	8,822	70
	Public Service	1,401	17	1,718	18	1,772	17	1,932	16	2,297	18
		<u>\$ 8,220</u>	<u>100</u>	<u>\$ 9,781</u>	<u>100</u>	<u>\$ 10,690</u>	<u>100</u>	<u>\$ 11,893</u>	<u>100</u>	<u>\$ 12,574</u>	<u>100</u>

**NET INDIRECT COST RECOVERY  
BY ACTIVITY  
FY2005**



**NET INDIRECT COST RECOVERY  
BY SOURCE  
FY2005**



## RESEARCH EXPENDITURES

The University's research activities include not only grants and contracts research, but also institutes, research centers, project research funded by E&G monies, and projects funded with the State of Maine Research and Development Appropriation (MEIF). The total cost of all research activity for FY2005 was \$89.9 million, a growth of \$27.1 million since FY2001.

The following table shows total research expenditures funded by grants and contracts and E&G monies from FY2001 to FY2005. Research expenditures related to grants and contracts are broken down by source of funds: Federal, State, Private, and University cost sharing, which includes direct and indirect cost sharing and E&G funding for MAFES.

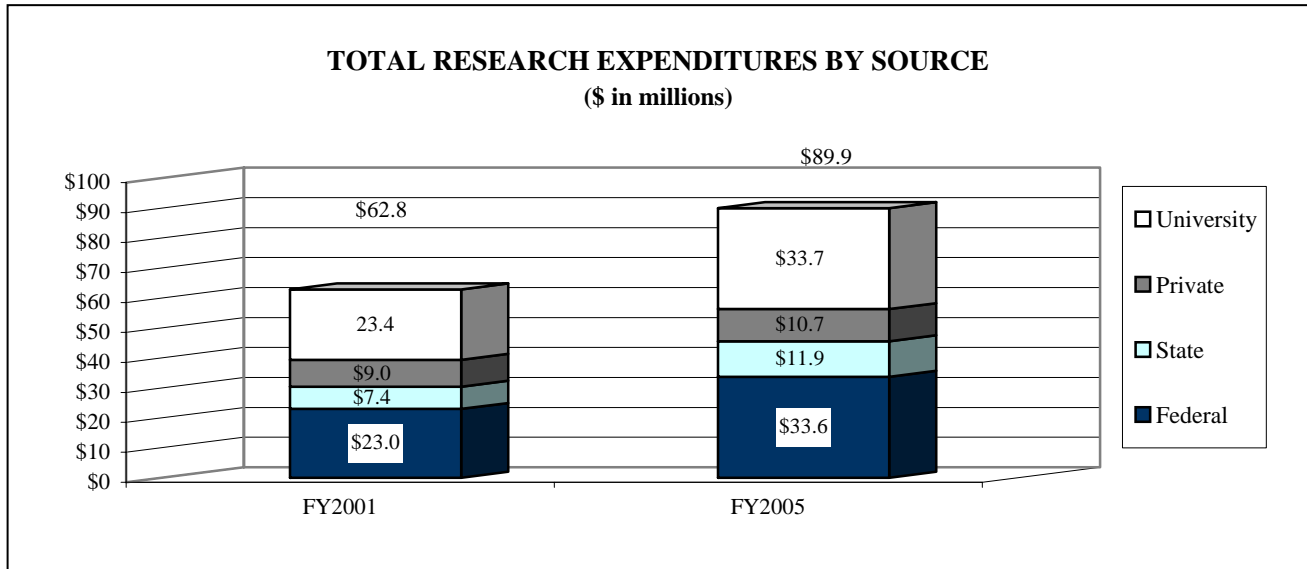
### TOTAL RESEARCH EXPENDITURES BY SOURCE (\$ in Thousands)

	<u>FY2001</u>	<u>FY2002</u>	<u>FY2003</u>	<u>FY2004</u>	<u>FY2005</u>
Federal	\$ 22,970	\$ 25,092	\$ 29,720	\$ 34,871	\$ 33,711
State	7,367	8,897	10,373	12,293	11,922
Private	8,996	8,987	8,707	10,002	10,699
University*					
MAFES Cost Sharing	6,863	6,677	6,307	7,527	7,819
Other Direct Cost Sharing	2,607	2,711	3,414	3,003	4,655
Other Indirect Cost Sharing	<u>2,610</u>	<u>3,272</u>	<u>4,234</u>	<u>4,228</u>	<u>4,700</u>
	12,080	12,660	13,955	14,758	17,174
<b>Total Grants and Contracts</b>	<b><u>\$ 51,413</u></b>	<b><u>\$ 55,636</u></b>	<b><u>\$ 62,755</u></b>	<b><u>\$ 71,924</u></b>	<b><u>\$ 73,506</u></b>
<hr/>					
<b>Total E&amp;G and State Appropriation*</b>	<b><u>\$ 11,453</u></b>	<b><u>\$ 9,819</u></b>	<b><u>\$ 12,392</u></b>	<b><u>\$ 16,545</u></b>	<b><u>\$ 16,479</u></b>
<b>Total Research Expenditures</b>	<b><u>\$ 62,866</u></b>	<b><u>\$ 65,455</u></b>	<b><u>\$ 75,147</u></b>	<b><u>\$ 88,469</u></b>	<b><u>\$ 89,985</u></b> **

\* Includes expenditures funded by the annual State of Maine research and development appropriation, which totaled \$10.4 million in FY2005. This appropriation has remained relatively constant over the past 5 years.

\*\* 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 FY2001 and FY2005.



Below is a comparison with other New England Land Grant institutions. This chart compares both total research expenditures and research dollars expended per faculty headcount for FY2005.

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

	<u>Total Research Expenditures FY2005</u>	<u>Research \$ Per Total Faculty Headcount</u>
University of New Hampshire	\$ 89,517	\$ 78
University of Rhode Island	\$ 53,300	\$ 74
University of Maine	\$ 55,085	\$ 67
University of Massachusetts - Amherst	\$ 95,328	\$ 66
University of Vermont	\$ 78,931	\$ 58
University of Connecticut	\$ 64,365	\$ 51

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

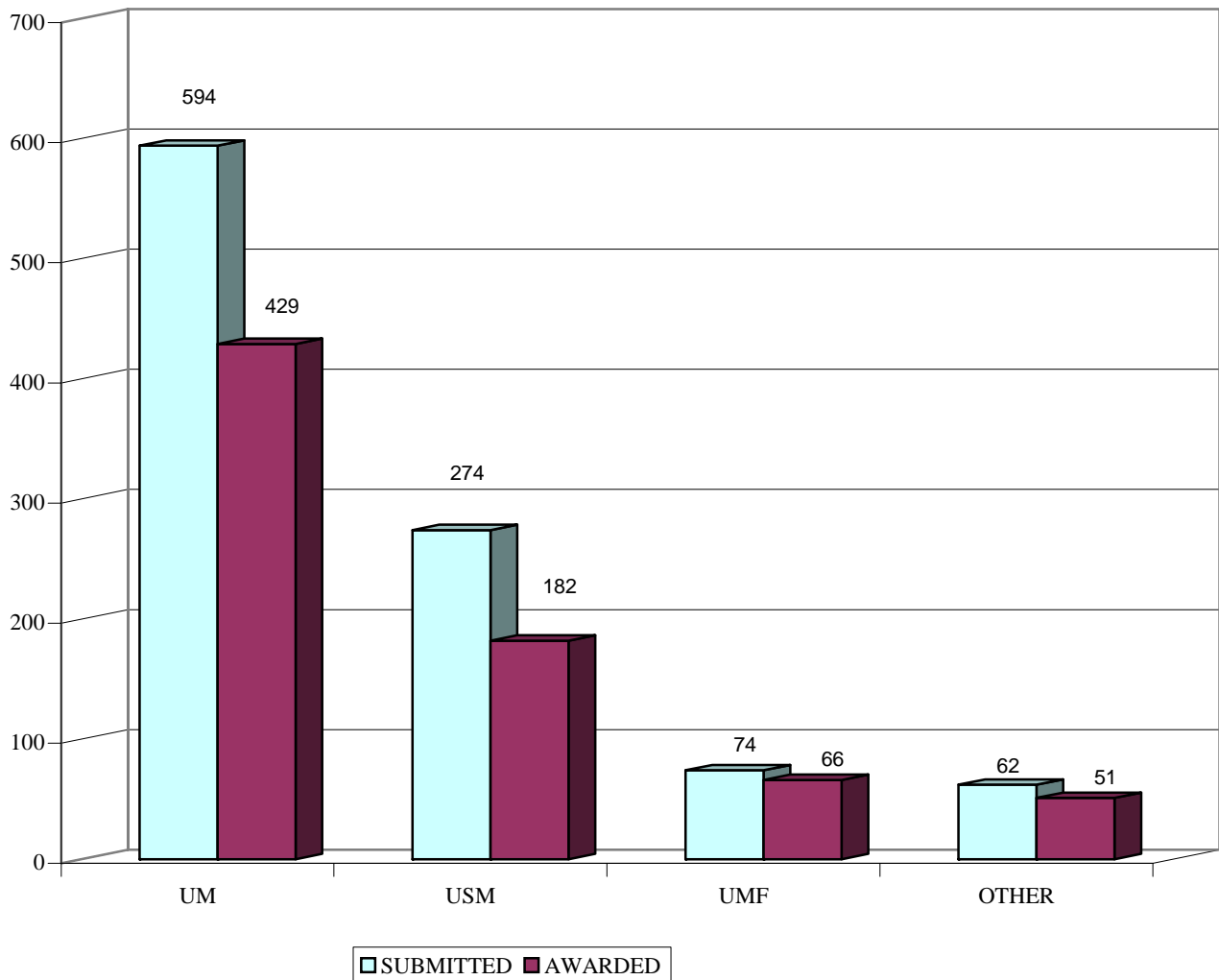


## PROPOSALS SUBMITTED AND AWARDED

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

During FY2005, Sponsored Program Departments throughout the University of Maine System submitted 1,004 proposals to agencies for funding of a wide range of grants and contracts. Proposals awarded during FY2005 amounted to \$102.5 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  
FY2005**



## PROPOSAL STATUS REPORT FY2005

(\$ in thousands)

Proposals approved during FY2005 may include prior year submissions, and some FY2005 submissions may be included in future year approvals.

	SUBMITTED DURING FY2005	APPROVED DURING FY2005	
	#	#	\$
<b>UNIVERSITY OF MAINE</b>			
College of Business, Public Policy, and Health	32	19	\$ 2,368
College of Education and Human Development	40	46	8,754
College of Engineering	71	52	10,015
College of Liberal Arts and Sciences	68	39	2,814
College of Natural Sciences, Forestry, & Agriculture	238	172	18,457
Cooperative Extension	50	41	4,354
Libraries	3	2	33
Division of Lifelong Learning	2	2	697
Research	86	53	6,378
Other University Programs	4	3	178
Total	594	429	\$ 54,048
<b>UNIVERSITY OF SOUTHERN MAINE</b>			
College of Arts & Sciences	38	22	\$ 1,777
College of Education & Human Development	21	24	3,875
Muskie Institute for Public Affairs	136	95	29,766
School of Applied Science, Engineering & Technology	18	8	1,221
School of Business	19	10	1,705
School of Law	8	5	322
College of Nursing & Health Professions	10	6	1,134
Lewiston-Auburn College	9	5	214
Bioscience Research Institute	2	1	127
Women's Studies	1	0	0
Other University Programs	12	6	1,220
Total	274	182	\$ 41,361
<b>UNIVERSITY OF MAINE AT AUGUSTA</b>	30	24	\$ 2,395
<b>UNIVERSITY OF MAINE AT FARMINGTON</b>	74	66	\$ 2,748
<b>UNIVERSITY OF MAINE AT FORT KENT</b>	4	3	\$ 329
<b>UNIVERSITY OF MAINE AT MACHIAS</b>	9	5	\$ 70
<b>UNIVERSITY OF MAINE AT PRESQUE ISLE</b>	15	15	\$ 1,101
<b>SYSTEM WIDE SERVICES</b>	4	4	\$ 417
<b>SYSTEM TOTALS FOR FY2005</b>	1,004	728	\$ 102,469
<b>SYSTEM TOTALS FOR FY2004</b>	999	721	\$ 113,513