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## Grants and Contracts Annual Report 2005/2006

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# GRANTS & CONTRACTS

## ANNUAL REPORT

2005/2006



*January, 2007 (Revised February, 2008)*

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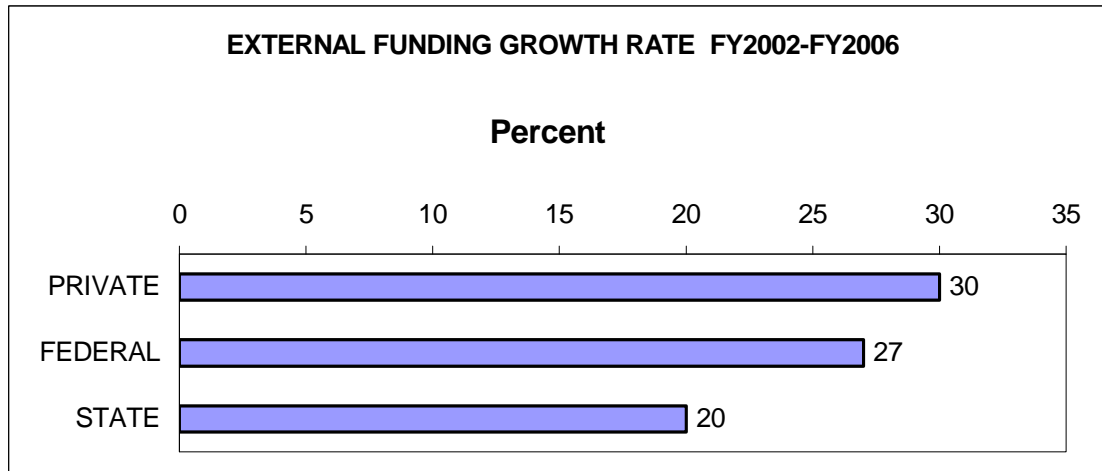
# GRANTS AND CONTRACTS 2005/2006

## 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 DECREASED BY \$5.9 MILLION TO \$132.2 MILLION IN FY2006.** 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)			
<u>SOURCE</u>	<u>FY2005</u>	<u>FY2006</u>	<u>CHANGE</u>	<u>ACTIVITY</u>	<u>FY2005</u>	<u>FY2006</u>	<u>FY2006 % OF TOTAL</u>
FEDERAL	\$50.3	\$52.0	\$1.7	INSTRUCTION	\$23.5	\$22.6	17
STATE	34.3	32.2	(2.1)	RESEARCH	73.5	68.6	52
PRIVATE	20.7	20.8	.1	PUBLIC SERVICE	<u>41.1</u>	<u>41.0</u>	<u>31</u>
UNIVERSITY	<u>32.8</u>	<u>27.2</u>	<u>(5.6)</u>				
<b>TOTAL</b>	<b><u>\$138.1</u></b>	<b><u>\$132.2</u></b>	<b><u>\$(5.9)</u></b>	<b>TOTAL</b>	<b><u>\$138.1</u></b>	<b><u>\$132.2</u></b>	<b><u>100</u></b>



**Private ( ↑ 30% )** Private support is comprised of funding from non-profit organizations, other governmental entities, educational institutions and business and industry. Private support increased by \$4.8 million from FY2002 to FY2006.

## EXECUTIVE SUMMARY

**Federal ( ↑ 27% )** The National Science Foundation and The Department of Agriculture accounted for \$4.2 million of the \$11.1 million net increase in federal revenues from FY2002 to FY2006. The Departments of Education, Defense, and Health & Human Services continue to be major sponsors as well.

**State ( ↑ 20% )** The primary sources of state funding were the Maine Departments of Human Services, Education, and Economics & Community Development Services. Over the past five years, these departments have increased their funding by 28%, or \$5.5 million.

- II. STATE RESEARCH AND DEVELOPMENT APPROPRIATIONS (MEIF) MADE AN IMPORTANT IMPACT IN FY2006.** \$42.7 million in research grants and contracts were generated by employing most of the \$14.7 million of available State appropriation in FY2006. 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, 2006, \$28.2 million in State funds attracted \$84.6 million in external grants and contracts funding.

\$1.6 million of the State appropriation dollars available in FY2006 were used for direct cost sharing and \$12.9 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 FY2007.

- III. THE FY2006 NET FACILITIES AND ADMINISTRATIVE COST RECOVERY INCREASED BY 4% FROM \$12.6 MILLION IN FY2005 TO \$13.1 MILLION IN FY2006.** Facilities and Administrative 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 \$2.8 MILLION SINCE FY2002.** Cost sharing as a percentage of external funding was 26% in FY2006, after having remained relatively constant at an average of 29% during the period from FY2002 through FY2005.

- V. IN 2006, 967 GRANT PROPOSALS WERE SUBMITTED AND 719 WERE APPROVED TOTALING \$106.5 MILLION.** This compares with 1,004 submissions and 728 approvals amounting to \$102.5 million during FY2005. The average award for FY2006 was \$148,100, compared to \$140,800 in FY2005. 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 FY2006 was \$132.2 million, a decrease of \$5.9 million from FY2005 and an increase of \$24.1 million (22%) over FY2002. Federal grants and contracts revenue was 27% higher than four years ago, while State grants and contracts revenue (including Federal pass-through funds) was 20% higher. University cost sharing contributions are discussed on Page 6 of this report.

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

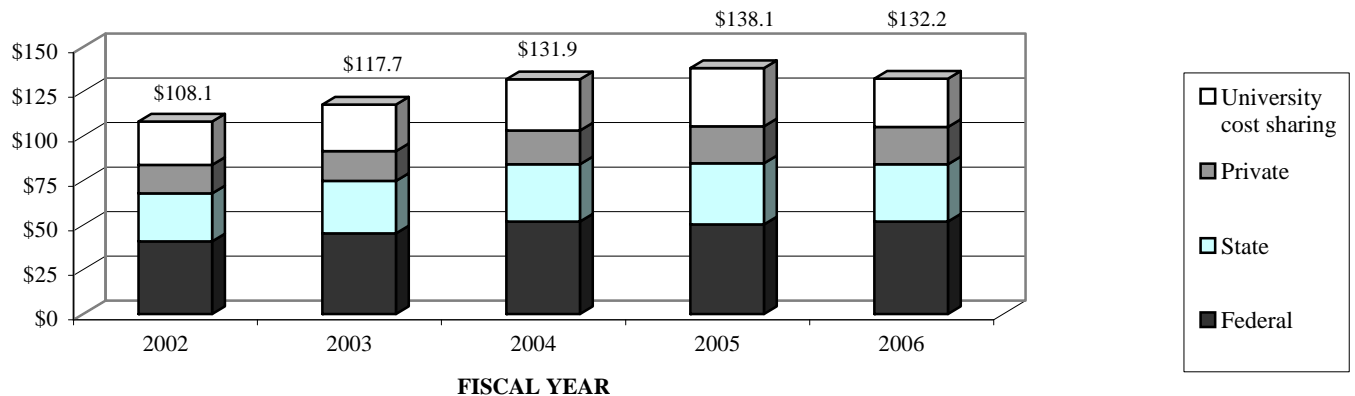
	FY2002		FY2003		FY2004		FY2005		FY2006	
	\$	%	\$	%	\$	%	\$	%	\$	%
Federal	\$ 40,836	37	\$ 45,384	39	\$ 51,931	40	\$ 50,348	36	\$ 51,964	39
State	26,921	25	29,525	25	32,311	24	34,298	25	32,256	** 24
Private	15,958	15	16,563	14	18,763	14	20,693	15	20,805	** 16
University cost sharing	24,381	23	26,236	22	28,917	22	32,756	24	27,177	21
<b>Total</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>	<b>\$ 132,202</b>	<b>* 100</b>

\* Includes \$13.3 million for the Maine Agricultural and Forest Experiment Station (MAFES); \$13.9 million for UM Cooperative Extension (UMCE); and \$37.0 million for the USM Muskie School of Public Service (Muskie) :

	<u>MAFES</u>	<u>UMCE</u>	<u>Muskie</u>
Federal	\$ 5.1	\$ 3.4	\$ 7.0
State	.4	2.5	17.4
Private	.6	.7	6.8
University cost sharing	7.2	7.3	5.8
<b>Total</b>	<b>\$ 13.3</b>	<b>\$ 13.9</b>	<b>\$ 37.0</b>

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

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



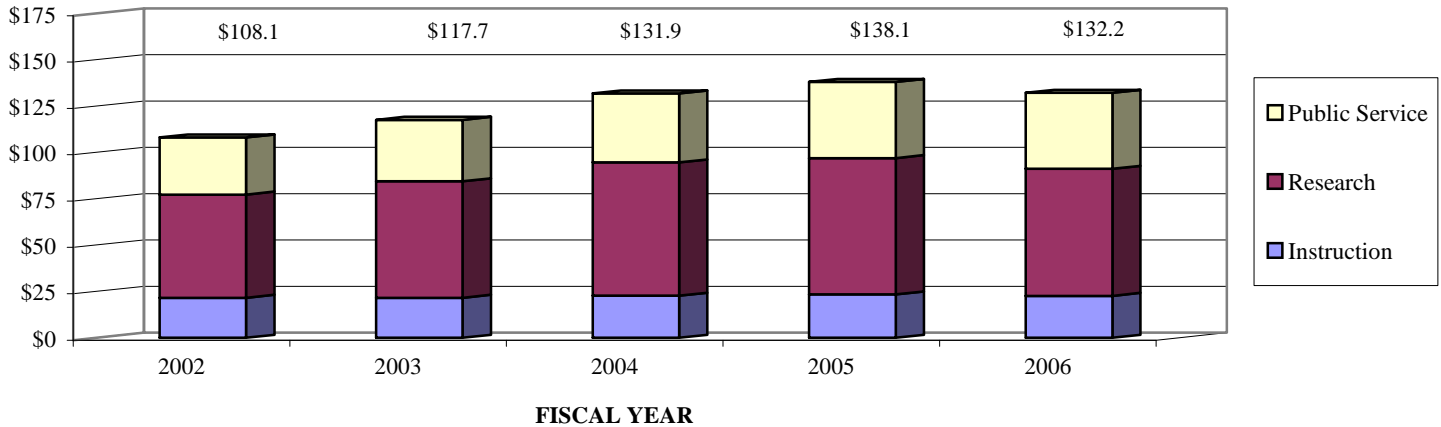
## GRANTS AND CONTRACTS EXPENDITURES

During FY2006, 52% of total grants and contracts expenditures were incurred for Research, 31% for Public Service, and 17% for Instruction.

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

	FY2002		FY2003		FY2004		FY2005		FY2006	
	\$	%	\$	%	\$	%	\$	%	\$	%
Instruction	\$ 21,700	20	\$ 21,721	18	\$ 22,821	17	\$ 23,542	17	\$ 22,673	17
Research	55,636	52	62,755	54	71,924	55	73,506	53	68,575	52
Public Service	30,760	28	33,232	28	37,177	28	41,047	30	40,954	31
<b>Total</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>	<b>\$ 132,202</b>	<b>100</b>

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



### UNIVERSITY EXPENDITURES BY ACTIVITY FY2006 (\$ in thousands)

	INSTRUCTION		RESEARCH		PUBLIC SERVICE		TOTAL	
	\$	%	\$	%	\$	%	\$	%
University of Maine	\$ 4,689	21	\$ 48,140	70	\$ 18,328	45	\$ 71,157	54
University of Maine Augusta	15	-	-	-	2,412	6	2,427	2
University of Maine Farmington	1,468	6	1,305	2	540	1	3,313	2
University of Maine Fort Kent	1	-	3	-	319	1	323	-
University of Maine Machias	191	1	177	-	6	-	374	-
University of Southern Maine	13,731	61	18,950	28	17,320	42	50,001 *	38
University of Maine Presque Isle	210	1	-	-	902	2	1,112	1
System-Wide Services	2,368	10	-	-	1,127	3	3,495	3
	<u>\$ 22,673</u>	<u>100</u>	<u>\$ 68,575</u>	<u>100</u>	<u>\$ 40,954</u>	<u>100</u>	<u>\$ 132,202</u>	<u>100</u>

\* Includes \$37.0 million for the Muskie School of Public Service.

# FEDERAL REVENUES

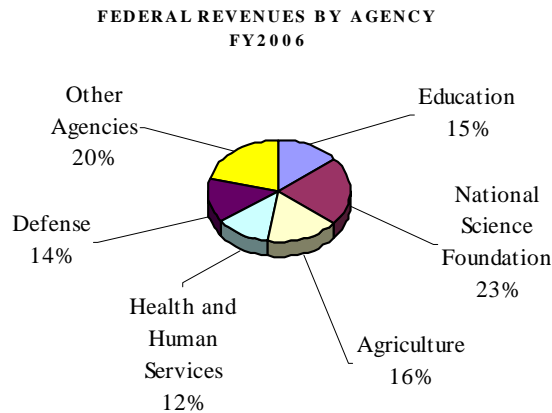
The table and graph below indicate the level of funding received from Federal agencies. The National Science Foundation was the top source of Federal revenues again in FY2006, followed by the Departments of Agriculture and Education. These three agencies combined have provided over 50% of the total Federal revenues for each of the past five years.

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

Agency	FY2002		FY2003		FY2004		FY2005		FY2006	
	\$	%	\$	%	\$	%	\$	%	\$	%
National Science Foundation	\$ 8,187	20	\$ 10,626	24	\$ 12,176	25	\$ 12,045	25	\$ 11,418	23
Agriculture	7,385	18	7,502	17	7,476	12	6,008	12	8,385 *	16
Education	8,290	21	8,332	17	8,730	17	8,960	17	7,513	15
Defense	4,760	12	4,355	10	5,485	15	7,441	15	7,154	14
Health & Human Services	4,812	12	5,449	12	5,450	10	4,942	10	6,062	12
Justice	1,272	2	1,897	4	2,566	5	2,418	5	2,864	5
Commerce	1,460	4	2,148	5	2,861	4	2,186	4	2,622	5
Environmental Protection	679	2	948	2	1,090	3	1,442	3	1,519	3
Energy	98	0	378	1	1,441	1	490	1	1,271	2
Corp for Nat'l & Community Svc	456	1	385	1	536	2	804	2	844	2
Interior	804	2	817	2	960	1	644	1	566	1
Small Business Administration	814	2	438	1	634	1	535	1	500	1
NASA	772	2	667	1	384	1	495	1	448	1
Transportation	73	0	392	1	575	1	295	1	222	0
Institute of Museum & Library Svcs	0	0	-	0	277	1	433	1	221	0
Veteran's Administration	179	0	198	0	192	0	194	0	199	0
National Found Arts/ Humanities	13	0	28	0	216	0	143	0	70	0
Labor	769	2	813	2	795	0	88	0	70	0
Other	13	0	11	0	87	0	38	0	11	0
Homeland Security	0	0	0	0	0	0	11	0	5	0
Information Agency	0	0	0	0	0	1	736	1	0	0
	<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>	<u>\$ 51,964**</u>	<u>100</u>

\* FY2006 revenue includes \$3.9 million for MAFES and \$2.9 million for UMCE.

\*\* Includes \$7.0 million from Health & Human Services, Dept of Commerce, Dept of Justice, and the Dept of Education 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.

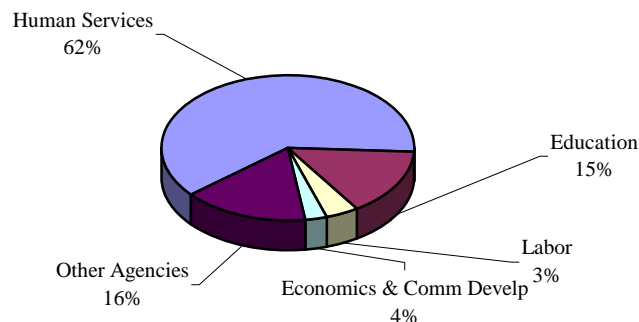
### STATE REVENUES BY AGENCY (\$ in thousands)

Agency	FY 2002		FY 2003		FY 2004		FY 2005		FY 2006	
	\$	%	\$	%	\$	%	\$	%	\$	%
Human Services	\$ 16,829	62	\$ 18,053	60	\$ 19,390	60	\$ 18,437	53	\$ 19,759	62
Education	2,238	8	3,076	10	3,269	10	4,074	12	4,428	15
Economics & Community Development	844	3	245	1	327	1	982	3	1,231	4
Labor	804	3	904	3	857	3	914	3	1,049	3
Behavioral & Developmental Svcs	2,090	8	2,809	9	3,376	10	3,971	12	1,003	3
Planning	156	1	210	1	409	1	608	2	781	2
County UMCE Funds	578	2	574	2	780	3	780	2	729	2
Corrections	200	1	306	1	338	1	351	1	503	2
Agriculture	592	2	543	2	728	3	762	2	452	2
Executive Department	78	0	48	0	115	0	696	2	387	1
Transportation	1,018	4	456	2	502	2	489	1	374	1
Inland Fish & Wildlife	163	1	177	1	270	1	323	1	369	1
Environmental Protection	665	2	786	3	533	2	289	1	238	1
Public Utilities Commission	0	0	152	1	156	0	157	0	159	0
Judicial	21	0	58	0	181	1	174	1	125	0
Legislative	184	1	90	0	96	0	65	0	116	0
Conservation	0	0	164	1	100	0	176	1	88	0
Marine Resources	185	1	191	1	161	0	88	0	54	0
Finance/Administration	19	0	38	0	73	0	343	1	27	0
Small Business Commission	0	0	511	2	563	2	281	1	2	0
Other	257	1	134	0	87	0	338	1	382	1
Total *	<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>	<u>\$ 32,256**</u>	<u>100</u>

\* Includes Federal Pass-through funds of: \$ 19,558 73 \$ 20,087 68 \$ 21,068 65 \$ 23,768 69 \$ 21,876 68

\*\* Includes \$17.4 million for the Muskie School of Public Service (\$14.8 from Maine Human Services, \$2.6 from all other State agencies).

### STATE REVENUES BY AGENCY FY2006



## 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.

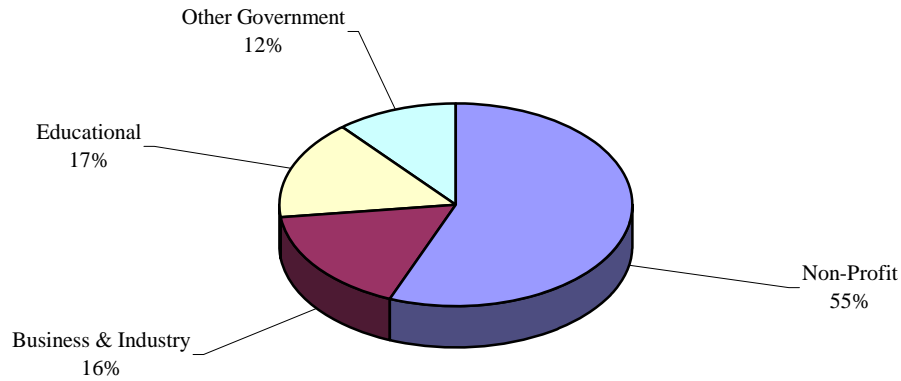
### PRIVATE REVENUES BY SOURCE OF FUNDS (\$ in thousands)

	FY 2002		FY 2003		FY 2004		FY 2005		FY 2006	
	\$	%	\$	%	\$	%	\$	%	\$	%
Non-profit Organizations	\$ 9,229	58	\$ 9,679	58	\$ 11,534	61	\$ 13,123	63	\$ 11,411	55
Educational Institutions	2,130	13	2,155	13	2,161	12	2,871	14	3,619	17
Business and Industry	2,089	13	3,138	19	3,327	18	2,273	11	3,400	16
Other Governmental Entities*	<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>2,375</u>	<u>12</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>	<u>\$ 20,805</u>	<u>** 100</u>

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

\*\* Includes Federal Pass-Through funds of \$9.0 million.

### PRIVATE REVENUES BY SOURCE OF FUNDS FY2006



## COST SHARING

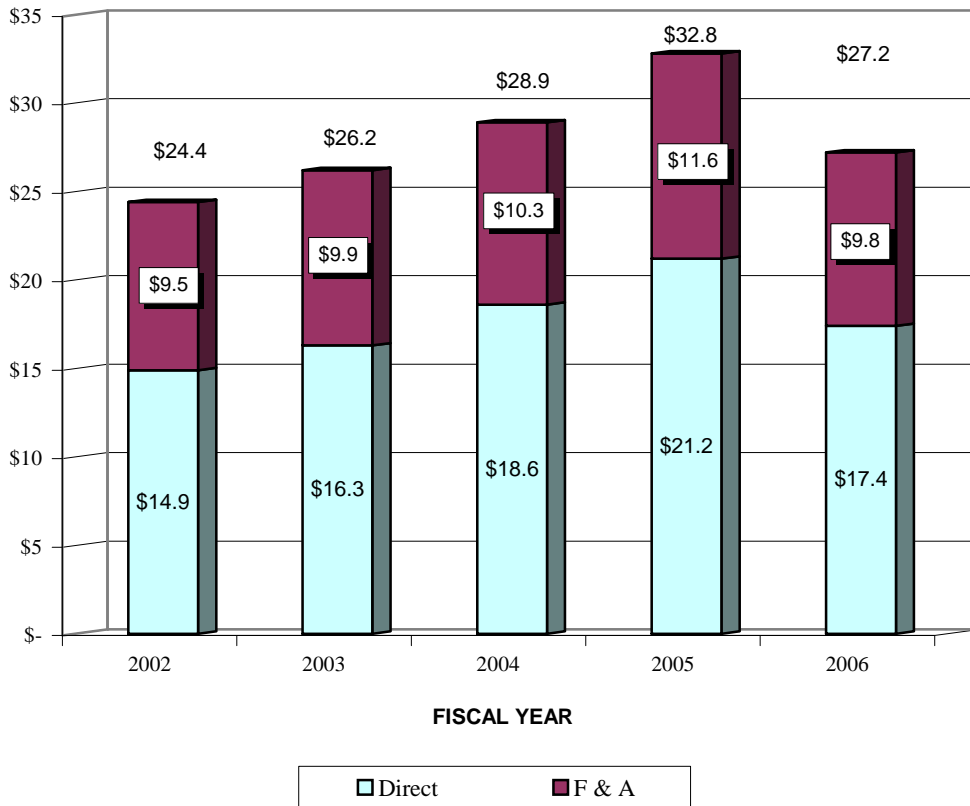
Cost sharing (matching) is University resources contributed to the support of a grant or contract. Many sponsoring agencies, both governmental and private, require recipients to share in the costs of a grant or contract.

**Direct** cost sharing occurs when University funds are used to fulfill a matching requirement. In FY2006, \$17.4 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 \$12.7 million or 73% of the direct cost sharing in FY2006.

**Facilities and Administrative (F & A)** cost sharing, which totaled \$9.8 million in FY2006, occurs when the allowable facilities and administrative costs are not recovered in full. These facilities and administrative costs are used by the University to meet the sponsor's matching requirements for grants and contracts.

Since FY2002, total cost sharing as a percentage of total grants and contracts expenditures has changed very little, ranging from 21% to 24%. In FY2006, it was 21%.

**UNIVERSITY COST SHARING**  
(In millions)



## DIRECT COST SHARING BY SOURCE/ACTIVITY

(\$ in thousands)

SOURCE	ACTIVITY	FY2002		FY2003		FY2004		FY2005		FY2006	
		\$	%	\$	%	\$	%	\$	%	\$	%
Federal:	Instruction	\$ 361	3	\$ 267	2	\$ 188	1	\$ 362	2	\$ 302	2
	Research	8,326	63	8,696	60	9,326	55	11,211	58	8,497	55
	Public Service	4,565	34	5,426	38	7,361	44	7,687	40	6,751	43
		<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>	<u>\$ 15,550</u>	<u>100</u>
State:	Instruction	\$ 64	7	\$ 77	8	\$ 145	13	\$ 242	20	\$ 221	20
	Research	137	15	239	23	174	15	181	15	94	8
	Public Service	706	78	705	69	831	72	815	65	797	72
		<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>	<u>\$ 1,112</u>	<u>100</u>
Private:	Instruction	\$ 51	7	\$ 73	9	\$ 37	7	\$ 80	12	\$ 66	9
	Research	592	79	506	60	443	79	460	71	494	69
	Public Service	104	14	262	31	80	14	112	17	155	22
		<u>\$ 747</u>	<u>100</u>	<u>\$ 841</u>	<u>100</u>	<u>\$ 560</u>	<u>100</u>	<u>\$ 652</u>	<u>100</u>	<u>\$ 715</u>	<u>100</u>
Totals:	Instruction	\$ 476	3	\$ 417	3	\$ 370	2	\$ 684	2	\$ 589	3
	Research	9,055	61	9,441	58	9,943	53	11,852	53	9,085	52
	Public Service	5,375	36	6,393	39	8,272	45	8,614	45	7,703	45
		<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>	<u>\$ 17,377</u>	<u>100</u>

## F & A COST SHARING BY SOURCE/ACTIVITY

(\$ in thousands)

SOURCE	ACTIVITY	FY2002		FY2003		FY2004		FY2005		FY2006	
		\$	%	\$	%	\$	%	\$	%	\$	%
Federal:	Instruction	\$ 661	29	\$ 303	12	\$ 646	21	\$ 638	18	\$ 242	9
	Research	1,385	60	1,877	72	2,113	68	2,514	73	2,145	81
	Public Service	284	11	418	16	326	11	313	9	258	10
		<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>	<u>\$ 2,645</u>	<u>100</u>
State:	Instruction	\$ 3,315	57	\$ 3,169	51	\$ 2,975	49	\$ 2,780	43	\$ 2,769	47
	Research	1,722	29	2,088	34	2,101	34	2,189	34	1,729	30
	Public Service	894	14	970	15	1,038	17	1,526	23	1,323	23
		<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>	<u>\$ 5,821</u>	<u>100</u>
Private:	Instruction	\$ 457	39	\$ 377	34	\$ 122	12	\$ 72	5	\$ 357	28
	Research	497	41	549	47	601	53	621	38	537	40
	Public Service	260	20	234	19	410	35	953	57	440	32
		<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>	<u>\$ 1,334</u>	<u>100</u>
Totals:	Instruction	\$ 4,433	47	\$ 3,849	39	\$ 3,743	36	\$ 3,490	30	\$ 3,368	34
	Research	3,604	38	4,514	45	4,815	47	5,324	46	4,411	45
	Public Service	1,438	15	1,622	16	1,774	17	2,792	24	2,021	21
		<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>	<u>\$ 9,800</u>	<u>100</u>
Total Cost Sharing		\$ 24,381		\$ 26,236		\$ 28,917		\$ 32,756		\$ 27,177	
% of Total Grants/Contracts		23%		22%		22%		24%		22%	

## **FACILITIES AND ADMINISTRATIVE 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 FACILITIES AND ADMINISTRATIVE COST RATES**

<u>RATE TYPE</u>	<u>FY2006</u>	<u>FY2007</u>	<u>FY2008 *</u>
Research			
On-Campus	48.5%	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%

\* These rates are provisional, pending the negotiation of new rates for FY2008 and beyond.

### **FEDERAL EMPLOYEE BENEFIT RATES**

Applied to All Non-Student Salaries and Wages

	<u>FY2003</u>	<u>FY2004</u>	<u>FY2005</u>	<u>FY2006</u>	<u>FY2007</u>
Nonfaculty temporary employees	8.5%	8.1%	8.7%	8.4%	8.5%
All other employees	34.6%	36.7%	40.9%	40.8%	40.0%

## **FACILITIES AND ADMINISTRATIVE COST RECOVERIES**

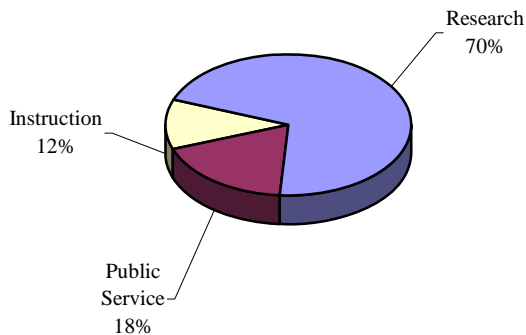
The amount of allowable facilities and administrative costs is calculated on each grant or contract using the appropriate negotiated rate as described above. The rate is applied to the total direct costs of an individual grant or contract to arrive at the total allowable facilities and administrative costs. The total calculated facilities and administrative costs for FY2006 amounted to \$22.9 million.

F & A cost sharing, as described on page 6, occurs when recovery of facilities and administrative costs is foregone to satisfy cost sharing requirements. This type of cost sharing amounted to \$9.8 million in FY2006, resulting in \$13.1 million of facilities and administrative cost recoveries actually being received from grants and contracts activity.

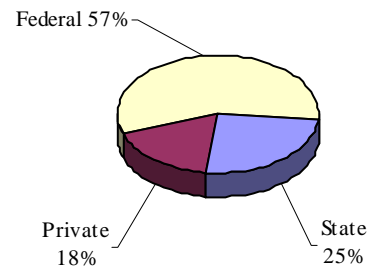
The Federal government is the University's major source of facilities and administrative cost recovery revenue, providing more than 50% of such revenues since FY2002. Research activities have provided over 65% of total recoveries since FY2002.

		FY2002		FY2003		FY2004		FY2005		FY2006	
		\$	%	\$	%	\$	%	\$	%	\$	%
Federal:	Instruction	\$ 223	4	\$ 268	4	\$ 407	6	\$ 333	5	\$ 284	4
	Research	4,158	79	4,965	83	5,855	83	5,687	83	6,195	83
	Public Service	910	17	787	13	777	11	851	12	995	13
		<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>	<u>\$ 7,474</u>	<u>100</u>
State:	Instruction	\$ 1,097	41	\$ 1,026	35	\$ 1,013	34	\$ 1,038	30	\$ 1,052	32
	Research	946	35	1,137	39	1,221	41	1,457	42	1,207	36
	Public Service	631	24	760	26	757	25	994	28	1,068	32
		<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>	<u>\$ 3,327</u>	<u>100</u>
Private:	Instruction	\$ 171	9	\$ 214	12	\$ 70	4	\$ 84	4	\$ 164	7
	Research	1,468	80	1,308	74	1,395	74	1,678	75	1,780	77
	Public Service	177	11	225	14	398	22	452	21	357	16
		<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>	<u>\$ 2,301</u>	<u>100</u>
Totals:	Instruction	\$ 1,491	15	\$ 1,508	14	\$ 1,490	13	\$ 1,455	12	\$ 1,500	12
	Research	6,572	67	7,410	69	8,471	71	8,822	70	9,182	70
	Public Service	1,718	18	1,772	17	1,932	16	2,297	18	2,420	18
		<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>	<u>\$ 13,102</u>	<u>100</u>

**NET FACILITIES AND ADMINISTRATIVE  
COST RECOVERY  
BY ACTIVITY  
FY2006**



**NET FACILITIES AND ADMINISTRATIVE  
COST RECOVERY  
BY SOURCE  
FY2006**



## 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 FY2006 was \$86.8 million, a growth of \$21.4 million since FY2002.

The following table shows total research expenditures funded by grants and contracts and E&G monies from FY2002 to FY2006. 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

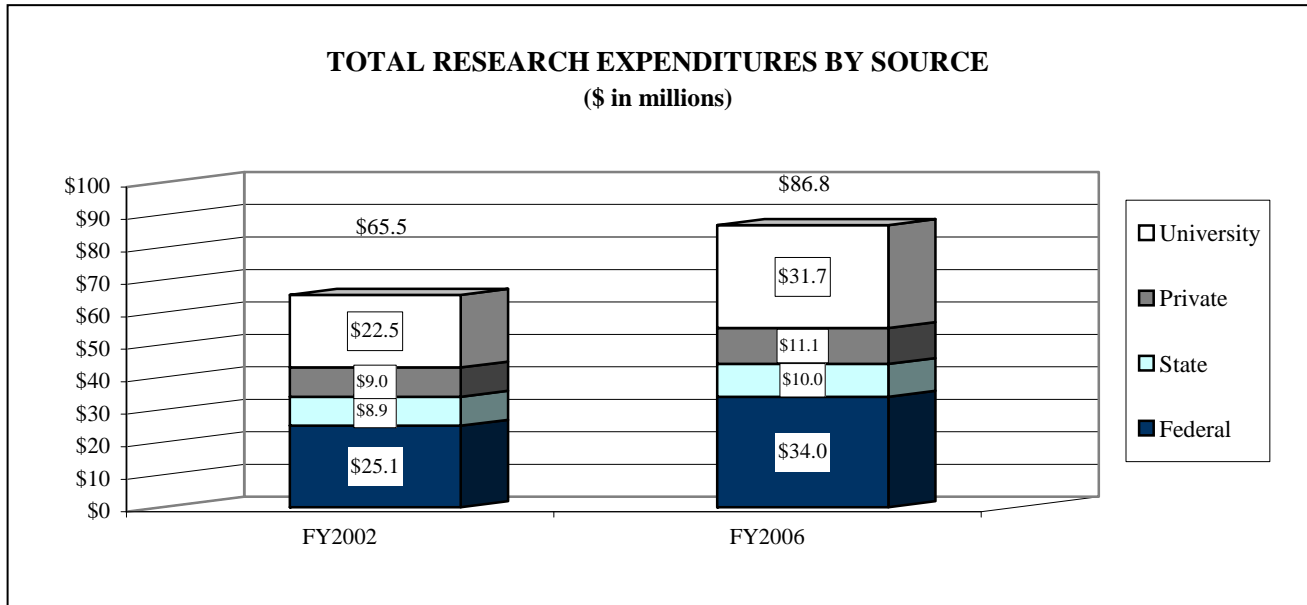
(\$ in Thousands)

	<u>FY2002</u>	<u>FY2003</u>	<u>FY2004</u>	<u>FY2005</u>	<u>FY2006</u>
Federal	\$ 25,092	\$ 29,720	\$ 34,871	\$ 33,711	\$ 33,955
State	8,897	10,373	12,293	11,922	10,013
Private	8,987	8,707	10,002	10,699	11,111
University*					
MAFES Cost Sharing	6,677	6,307	7,527	7,819	7,170
Other Direct Cost Sharing	2,711	3,414	3,003	4,655	2,259
Other Indirect Cost Sharing	3,272	4,234	4,228	4,700	4,067
	<u>12,660</u>	<u>13,955</u>	<u>14,758</u>	<u>17,174</u>	<u>13,496</u>
<b>Total Grants and Contracts</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>	<b><u>\$ 68,575</u></b>
<hr/>					
<b>Total E&amp;G and State Appropriation*</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><u>\$ 18,232</u></b>
<b>Total Research Expenditures</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>	<b><u>\$ 86,807</u></b> **

\* Includes expenditures funded by the annual State of Maine research and development appropriation, which totaled \$12.8 million in FY2006. 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 FY2002 and FY2006.



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 FY2006.

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

	<u>Total Research Expenditures FY2006</u>	<u>Research \$ Per Total Faculty Headcount</u>
University of New Hampshire	\$ 98,402	\$ 86
University of Rhode Island	\$ 57,308	\$ 79
University of Massachusetts - Amherst	\$ 100,352	\$ 66
University of Maine	\$ 51,802	\$ 56
University of Vermont	\$ 71,782	\$ 52
University of Connecticut	\$ 55,933	\$ 43

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

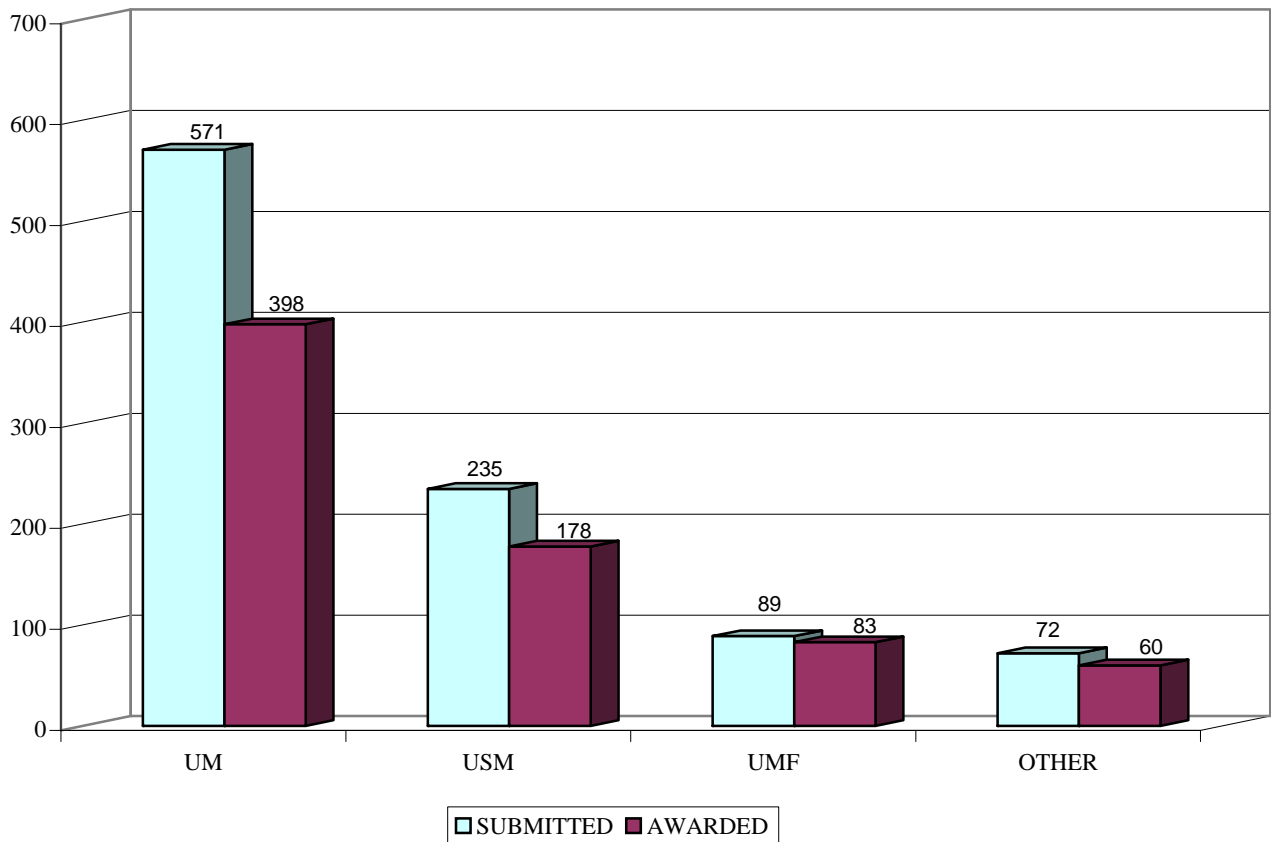


## PROPOSALS SUBMITTED AND AWARDED

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

During FY2006, Sponsored Program Departments throughout the University of Maine System submitted 967 proposals to agencies for funding of a wide range of grants and contracts. Proposals awarded during FY2006 amounted to \$106.5 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  
FY2006**



## PROPOSAL STATUS REPORT FY2006

(\$ in thousands)

Proposals approved during FY2006 may include prior year submissions, and some FY2006 submissions may be included in future year approvals.

	SUBMITTED DURING FY2006	APPROVED DURING FY2006	
	#	#	\$
<b>UNIVERSITY OF MAINE</b>			
College of Business, Public Policy, and Health	24	20	\$ 1,573
College of Education and Human Development	36	28	4,328
College of Engineering	91	49	11,160
College of Liberal Arts and Sciences	57	34	3,718
College of Natural Sciences, Forestry, & Agriculture	232	160	16,659
Cooperative Extension	52	30	5,123
Libraries	4	2	148
Division of Lifelong Learning	0	1	146
Research	65	65	6,898
Other University Programs	10	9	590
Total	<u>571</u>	<u>398</u>	<u>\$ 50,343</u>
<b>UNIVERSITY OF SOUTHERN MAINE</b>			
College of Arts & Sciences	27	11	\$ 381
College of Education & Human Development	16	19	3,046
Muskie Institute for Public Affairs	107	90	36,295
School of Applied Science, Engineering & Technology	36	19	2,940
School of Business	16	12	1,969
School of Law	5	6	271
College of Nursing & Health Professions	5	4	990
Lewiston-Auburn College	7	6	100
Bioscience Research Institute	1	1	164
Women's Studies	2	1	5
Other University Programs	13	9	849
Total	<u>235</u>	<u>178</u>	<u>\$ 47,010</u>
<b>UNIVERSITY OF MAINE AT AUGUSTA</b>	28	26	\$ 2,458
<b>UNIVERSITY OF MAINE AT FARMINGTON</b>	89	83	\$ 3,463
<b>UNIVERSITY OF MAINE AT FORT KENT</b>	6	5	\$ 331
<b>UNIVERSITY OF MAINE AT MACHIAS</b>	14	8	\$ 333
<b>UNIVERSITY OF MAINE AT PRESQUE ISLE</b>	21	19	\$ 1,945
<b>SYSTEM WIDE SERVICES</b>	<u>3</u>	<u>2</u>	<u>\$ 610</u>
<b>SYSTEM TOTALS FOR FY2006</b>	<u>967</u>	<u>719</u>	<u>\$ 106,493</u>
<b>SYSTEM TOTALS FOR FY2005</b>	<u>1,004</u>	<u>728</u>	<u>\$ 102,469</u>