

# GRANTS & CONTRACTS

## ANNUAL REPORT

2003/2004



*January, 2005*

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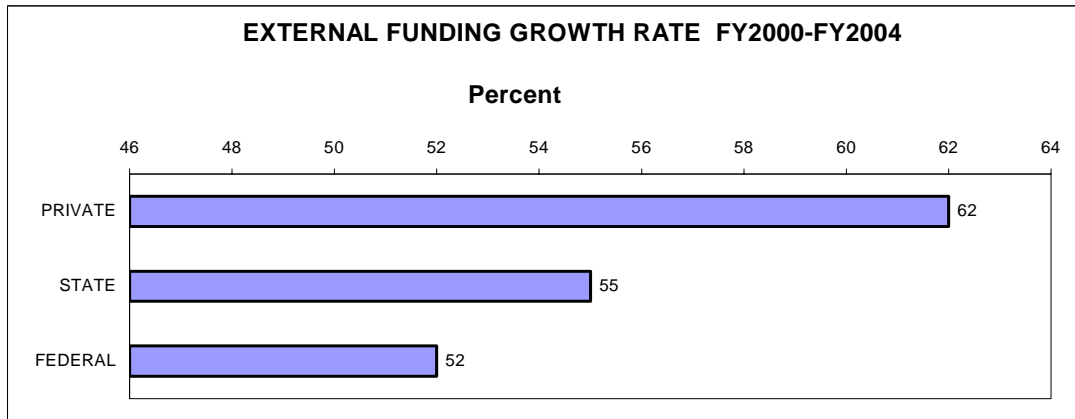
# GRANTS AND CONTRACTS 2003/2004

## 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 \$14.2 MILLION TO \$131.9 MILLION IN FY2004.** 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	FY2003	FY2004	CHANGE	ACTIVITY	FY2003	FY2004	FY2004 % OF TOTAL
FEDERAL	\$45.4	\$51.9	\$6.5	INSTRUCTION	\$21.7	\$22.8	17
STATE	29.5	32.3	2.8	RESEARCH	62.8	71.9	55
PRIVATE	16.6	18.8	2.2	PUBLIC SERVICE	<u>33.2</u>	<u>37.2</u>	<u>28</u>
UNIVERSITY	<u>26.2</u>	<u>28.9</u>	<u>2.7</u>				
TOTAL	<u>\$117.7</u>	<u>\$131.9</u>	<u>\$14.2</u>	TOTAL	<u>\$117.7</u>	<u>\$131.9</u>	<u>100</u>



**Private ( ↑ 62% )** Private support is comprised of funding from non-profit organizations, other governmental entities, educational institutions and business and industry. Private support increased by \$7.2 million from FY2000 to FY2004. The largest net increase was in the non-profit category.

## EXECUTIVE SUMMARY

**State ( ↑ 55% )** 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 60%, or \$9.6 million.

**Federal ( ↑ 52% )** The National Science Foundation and The Department of Education accounted for \$11.0 million of the \$17.8 million net increase in federal revenues from FY2000 to FY2004. The Departments of Health & Human Services, Defense, and Agriculture continue to be major sponsors as well.

- II. STATE RESEARCH AND DEVELOPMENT APPROPRIATIONS (MEIF) MADE AN IMPORTANT IMPACT IN FY2004.** \$42.8 million in research grants and contracts were generated by employing most of the \$10.6 million of available state appropriation in FY2004. 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, 2004, \$20.3 million in state funds attracted \$83.5 million in external grants and contracts funding.

\$1.7 million of the state appropriation dollars available in FY2004 were used for direct cost sharing and \$8.8 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 FY2005.

- III. THE FY2004 NET INDIRECT COST RECOVERY INCREASED BY 11% FROM \$10.7 MILLION IN FY2003 TO \$11.9 MILLION IN FY2004.** 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 \$8.3 MILLION SINCE FY2000.** However, cost sharing as a percentage of external funding has remained relatively constant at an average of 29%. Also, the University share of total grants and contracts expenditures has remained constant at 22%.

- V. IN 2004, 999 GRANT PROPOSALS WERE SUBMITTED AND 721 WERE APPROVED TOTALING \$113.5 MILLION.** This compares with 946 submissions and 669 approvals amounting to \$101.2 million during FY2003. The average award for FY2004 was \$157,400, compared to \$151,000 in FY2003. 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 FY2004 was \$131.9 million, an increase of \$14.2 million over FY2003 and an increase of \$44.7 million (51%) over FY2000. Federal grants and contracts revenue was 52% higher than four years ago, and State grants and contracts revenue (including Federal pass-through funds) was 55% higher. University cost sharing contributions are discussed on Page 6 of this report.

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

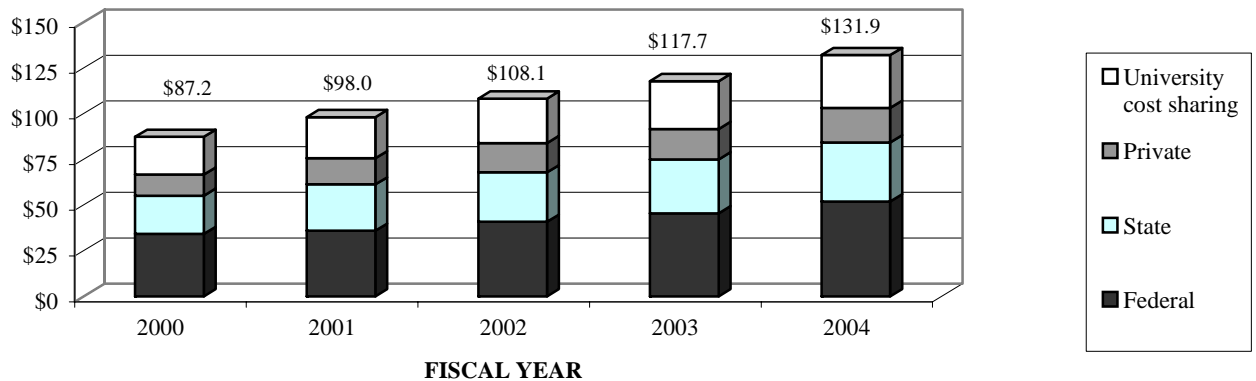
	FY2000		FY2001		FY2002		FY2003		FY2004	
	\$	%	\$	%	\$	%	\$	%	\$	%
Federal	\$ 34,096	39	\$ 35,893	36	\$ 40,836	37	\$ 45,384	39	\$ 51,931	40
State	20,936	24	25,310	26	26,921	25	29,525	25	32,311	** 24
Private	11,574	13	14,345	15	15,958	15	16,563	14	18,763	** 14
University cost sharing	20,639	24	22,418	23	24,381	23	26,236	22	28,917	22
<b>Total</b>	<b>\$ 87,245</b>	<b>100</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>

\* Includes \$15.6 million for the Maine Agricultural and Forest Experiment Station (MAFES) ; \$13.1 million for UM Cooperative Extension (UMCE); and \$34.8 million for the USM Muskie School of Public Service (Muskie):

	<u>MAFES</u>	<u>UMCE</u>	<u>Muskie</u>
Federal	\$ 6.7	\$ 2.0	\$ 5.3
State	.7	2.5	18.4
Private	.7	.5	5.3
University cost sharing	<u>7.5</u>	<u>8.1</u>	<u>5.8</u>
<b>Total</b>	<b>\$ 15.6</b>	<b>\$ 13.1</b>	<b>\$ 34.8</b>

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

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



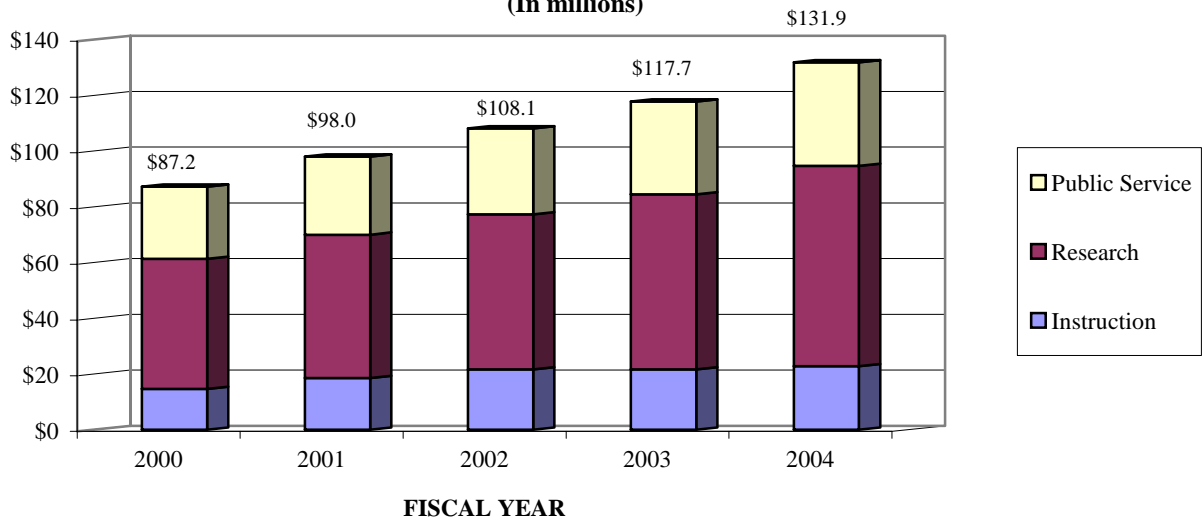
# GRANTS AND CONTRACTS EXPENDITURES

During FY2004, 55% of total grants and contracts expenditures were incurred for Research, 28% for Public Service, and 17% for Instruction.

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

	FY2000		FY2001		FY2002		FY2003		FY2004	
	\$	%	\$	%	\$	%	\$	%	\$	%
Instruction	\$ 14,731	17	\$ 18,573	19	\$ 21,700	20	\$ 21,721	18	\$ 22,821	17
Research	46,563	53	51,413	52	55,636	52	62,755	54	71,924	55
Public Service	25,951	30	27,980	29	30,760	28	33,232	28	37,177	28
<b>Total</b>	<b>\$ 87,245</b>	<b>100</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>

## GRANTS AND CONTRACTS EXPENDITURES BY ACTIVITY (In millions)



## UNIVERSITY EXPENDITURES BY ACTIVITY FY2004 (\$ in thousands)

	INSTRUCTION		RESEARCH		PUBLIC SERVICE		TOTAL	
	\$	%	\$	%	\$	%	\$	%
University of Maine	\$ 3,879	17	\$ 51,376	72	\$ 17,363	47	\$ 72,618 *	55
University of Maine Augusta	70	-	-	-	2,588	7	2,658	2
University of Maine Farmington	1,478	6	1,378	2	464	1	3,320	3
University of Maine Fort Kent	-	-	107	-	258	1	365	-
University of Maine Machias	64	-	255	-	1	-	320	-
University of Southern Maine	15,244	68	18,806	26	14,949	40	48,999 **	37
University of Maine Presque Isle	71	-	2	-	732	2	805	1
System-Wide Services	2,015	9	-	-	822	2	2,837	2
<b>Total</b>	<b>\$ 22,821</b>	<b>100</b>	<b>\$ 71,924</b>	<b>100</b>	<b>\$ 37,177</b>	<b>100</b>	<b>\$ 131,922</b>	<b>100</b>

\* Includes \$28.7 million for the Maine Agricultural and Forest Experiment Station and Cooperative Extension.

\*\* Includes \$34.8 million for the Muskie School of Public Service.

## FEDERAL REVENUES

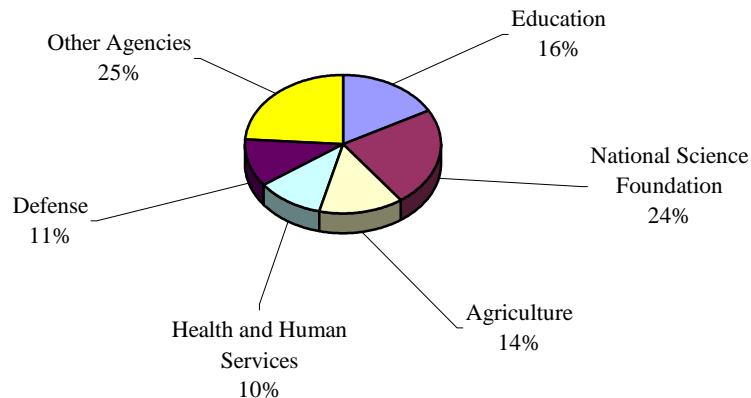
The table and graph below indicate the level of funding received from Federal agencies. The National Science Foundation was the top source of federal revenues in FY2004 (an increase of \$1.6 million from FY2003), followed by the Departments of Education and Agriculture.

Agency	FY2000		FY2001		FY2002		FY2003		FY2004	
	\$	%	\$	%	\$	%	\$	%	\$	%
National Science Foundation	\$ 3,992	12	\$ 5,784	15	\$ 8,187	19	\$ 10,626	24	\$ 12,176	24
Education	5,923	17	7,107	20	8,290	21	8,332	17	8,730	16
Agriculture *	6,844	20	7,061	20	7,385	18	7,502	17	7,476	14
Defense	7,353	22	6,021	17	4,760	12	4,355	10	5,485	11
Health & Human Services	4,288	13	4,400	12	4,812	12	5,449	12	5,450	10
Commerce	1,472	4	733	2	1,460	4	2,148	5	2,861	6
Justice	439	1	900	3	1,272	3	1,897	4	2,566	5
Energy	137	0	59	0	98	0	378	1	1,441	3
Environmental Protection	968	3	792	2	679	2	948	2	1,090	2
Interior	813	2	945	3	804	2	817	2	960	2
Labor	328	1	443	1	769	2	813	2	795	2
Small Business Administration	500	1	295	1	814	2	438	1	634	1
Transportation	0	0	230	1	73	0	392	1	575	1
Corp for Nat'l & Community Svc	325	1	438	1	456	1	385	1	536	1
NASA	378	2	422	1	772	2	667	1	384	1
Institute of Museum & Library Svcs	0	0	0	0	0	0	-	0	277	1
National Found Arts/ Humanities	50	0	37	0	13	0	28	0	216	0
Veteran's Administration	185	1	192	1	179	0	198	0	192	0
Other	46	0	34	0	13	0	11	0	87	0
Information Agency	55	0	0	0	0	0	0	0	0	0
	<u>\$ 34,096</u>	<u>100</u>	<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>

\* FY2004 revenue includes \$5.4 million for MAFES and \$1.6 million for UMCE. Various other agencies listed above also provided funding for MAFES and UMCE, bringing total federal revenues for these projects to \$6.7 million and \$2.0 million, respectively.

\*\* Includes \$5.3 million from Health & Human Services and the Dept of Justice for the Muskie School of Public Service.

### FEDERAL REVENUES BY AGENCY FY2004



## 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.

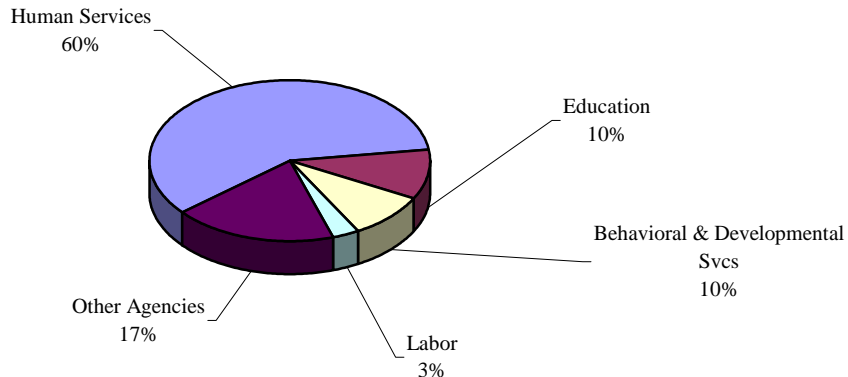
### STATE REVENUES BY AGENCY (\$ in thousands)

<u>Agency</u>	<u>\$</u>	<u>%</u>	<u>\$</u>	<u>%</u>	<u>\$</u>	<u>%</u>	<u>\$</u>	<u>%</u>	<u>\$</u>	<u>%</u>
Human Services	\$ 12,569	60	\$ 15,222	60	\$ 16,829	62	\$ 18,053	60	\$ 19,390	60
Behavioral & Developmental Svcs	1,640	8	1,481	6	2,090	8	2,809	9	3,376	10
Education	2,219	11	2,320	9	2,238	8	3,076	10	3,269	10
Labor	760	4	752	3	804	3	904	3	857	3
County UMCE Funds	572	3	570	2	578	2	574	2	780	3
Agriculture	538	3	645	3	592	2	543	2	728	3
Small Business Commission	0	0	830	3	0	0	511	2	563	2
Environmental Protection	128	1	566	2	665	2	786	3	533	2
Transportation	282	1	864	3	1,018	4	456	2	502	2
Planning	236	1	223	1	156	1	210	1	409	1
Corrections	220	1	246	1	200	1	306	1	338	1
Economics & Community Development	808	4	437	2	844	3	245	1	327	1
Inland Fish & Wildlife	228	1	154	1	163	1	177	1	270	1
Judicial	120	0	274	1	21	0	58	0	181	1
Marine Resources	364	2	301	1	185	1	191	1	161	0
Public Utilities Commission	0	0	0	0	0	0	152	1	156	0
Executive Department	17	0	35	0	78	0	48	0	115	0
Conservation	0	0	0	0	0	0	164	1	100	0
Legislative	98	0	166	1	184	1	90	0	96	0
Public Safety	44	0	45	0	99	0	67	0	39	0
Other	93	0	179	1	177	1	105	0	121	0
<b>Total *</b>	<b>\$ 20,936</b>	<b>100</b>	<b>\$ 25,310</b>	<b>100</b>	<b>\$ 26,921</b>	<b>100</b>	<b>\$ 29,525</b>	<b>100</b>	<b>\$ 32,311</b>	<b>** 100</b>

\* Includes Federal Pass-through funds of:    \$ 13,433    64    \$ 18,167    72    \$ 19,558    73    \$ 20,087    68    \$ 21,068    65

\*\* Includes \$18.4 million for the Muskie School of Public Service (\$14.4 from Maine Human Services, \$4.0 from all other state agencies).

### STATE REVENUES BY AGENCY FY2004



## 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.

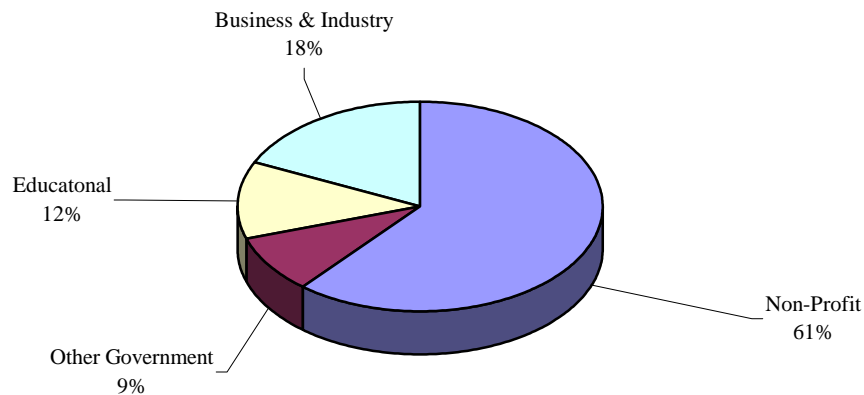
### PRIVATE REVENUES BY SOURCE OF FUNDS (\$ in thousands)

	FY 2000		FY 2001		FY 2002		FY 2003		FY 2004	
	\$	%	\$	%	\$	%	\$	%	\$	%
Non-profit Organizations	\$ 6,277	54	\$ 8,401	59	\$ 9,229	58	\$ 9,679	58	\$ 11,534	61
Business and Industry	1,089	9	1,895	13	2,089	13	3,138	19	3,327	18
Educational Institutions	2,337	20	1,940	13	2,130	13	2,155	13	2,161	12
Other Governmental Entities*	<u>1,871</u>	<u>17</u>	<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>\$ 11,574</u>	<u>100</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>

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

\*\* Includes Federal Pass-Through funds of \$8.3 million.

### PRIVATE REVENUES BY SOURCE OF FUNDS FY2004



## COST SHARING

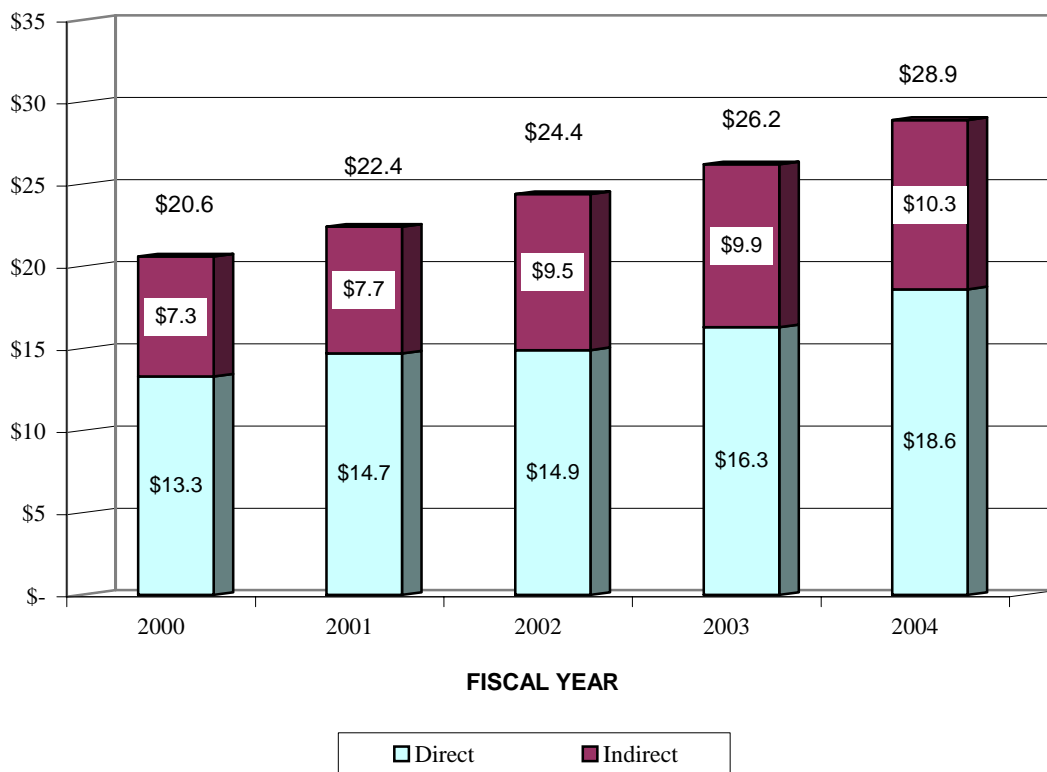
Cost sharing (matching) is University resources contributed to the support of a grant or contract. Many sponsoring agencies, both governmental and private, require recipients to share in the costs of a grant or contract.

**Direct** cost sharing occurs when University funds are used to fulfill a matching requirement. In FY2004, \$18.6 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 \$14.6 million or 78% of the direct cost sharing in FY2004.

**Indirect** cost sharing, which totaled \$10.3 million in FY2004, 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 FY2000, total cost sharing as a percentage of total grants and contracts expenditures has changed very little, ranging from 22% to 24%. In FY2004 it was 22%.

**UNIVERSITY COST SHARING**  
(In millions)



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

SOURCE	ACTIVITY	FY2000		FY2001		FY2002		FY2003		FY2004	
		\$	%	\$	%	\$	%	\$	%	\$	%
Federal:	Instruction	\$ 367	3	\$ 372	3	\$ 361	3	\$ 267	2	\$ 188	1
	Research	6,904	61	7,580	62	8,326	63	8,696	60	9,326	55
	Public Service	4,048	36	4,328	35	4,565	34	5,426	38	7,361	44
		<u>\$11,319</u>	<u>100</u>	<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>
State:	Instruction	\$ 88	15	\$ 57	6	\$ 64	7	\$ 77	8	\$ 145	13
	Research	134	22	135	14	137	15	239	23	174	15
	Public Service	372	63	786	80	706	78	705	69	831	72
		<u>\$ 594</u>	<u>100</u>	<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>
Private:	Instruction	\$ 83	6	\$ 21	2	\$ 51	7	\$ 73	9	\$ 37	7
	Research	1,267	90	1,324	93	592	79	506	60	443	79
	Public Service	52	4	74	5	104	14	262	31	80	14
		<u>\$ 1,402</u>	<u>100</u>	<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>
Totals:	Instruction	\$ 538	4	\$ 450	3	\$ 476	3	\$ 417	3	\$ 370	2
	Research	8,305	62	9,039	62	9,055	61	9,441	58	9,943	53
	Public Service	4,472	34	5,188	35	5,375	36	6,393	39	8,272	45
		<u>\$13,315</u>	<u>100</u>	<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>

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

SOURCE	ACTIVITY	FY2000		FY2001		FY2002		FY2003		FY2004	
		\$	%	\$	%	\$	%	\$	%	\$	%
Federal:	Instruction	\$ 245	19	\$ 363	24	\$ 661	29	\$ 303	12	\$ 646	21
	Research	912	72	1,021	67	1,385	60	1,877	72	2,113	68
	Public Service	116	9	146	9	284	11	418	16	326	11
		<u>\$ 1,273</u>	<u>100</u>	<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>
State:	Instruction	\$ 2,341	57	\$ 2,778	56	\$ 3,315	57	\$ 3,169	51	\$ 2,975	49
	Research	1,190	29	1,373	28	1,722	29	2,088	34	2,101	34
	Public Service	567	14	837	16	894	14	970	15	1,038	17
		<u>\$ 4,098</u>	<u>100</u>	<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>
Private:	Instruction	\$ 341	18	\$ 408	34	\$ 457	39	\$ 377	34	\$ 122	12
	Research	1,356	69	645	53	497	41	549	47	601	53
	Public Service	256	13	170	13	260	20	234	19	410	35
		<u>\$ 1,953</u>	<u>100</u>	<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>
Totals:	Instruction	\$ 2,927	40	\$ 3,549	46	\$ 4,433	47	\$ 3,849	39	\$ 3,743	36
	Research	3,458	47	3,039	39	3,604	38	4,514	45	4,815	47
	Public Service	939	13	1,153	15	1,438	15	1,622	16	1,774	17
		<u>\$ 7,324</u>	<u>100</u>	<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>
Total Cost Sharing		\$20,639		\$22,418		\$24,381		\$26,236		\$ 28,917	
% of Total Grants/Contracts		24%		23%		23%		22%		22%	

## **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>FY2004</u>	<u>FY2005</u>	<u>FY2006-07</u>
Research			
On-Campus	47.0%	48.0%	48.5%
Off-Campus	26.0%	26.0%	26.0%
Instruction			
On-Campus	56.7%	53.0%	53.0%
Off-Campus	26.0%	26.0%	26.0%
Public Service			
On-Campus	27.9%	32.0%	32.0%
Off-Campus	21.8%	26.0%	26.0%

### **FEDERAL EMPLOYEE BENEFIT RATES**

Applied to All Non-Student Salaries and Wages

	<u>FY2001</u>	<u>FY2002</u>	<u>FY2003</u>	<u>FY2004</u>	<u>FY2005</u>
Nonfaculty temporary employees	8.1%	8.1%	8.5%	8.1%	8.7%
All other employees	33.4%	33.0%	34.6%	36.7%	40.9%

## **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 FY2004 amounted to \$22.2 million.

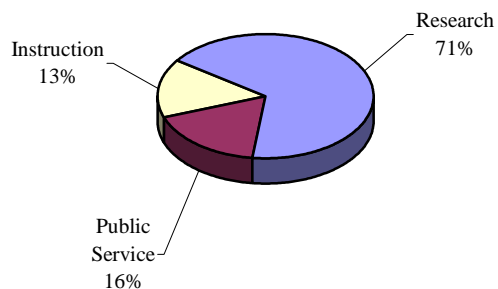
Indirect cost sharing, as described on page 6, occurs when recovery of indirect costs is forgone to satisfy cost sharing requirements. This type of cost sharing amounted to \$10.3 million in FY2004, resulting in \$11.9 million of indirect cost recoveries actually being received from grants and contracts activity.

The Federal government is the University's major source of indirect cost recovery revenue, providing more than 50% of such revenues since FY2000. Research activities have provided over 65% of total indirect cost recoveries since FY2000.

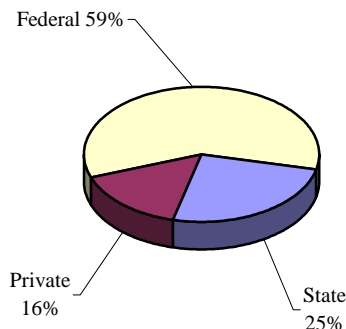
**NET INDIRECT COST RECOVERY RECEIVED BY SOURCE/ACTIVITY**  
(\$ in thousands)

		FY2000		FY2001		FY2002		FY2003		FY2004	
		\$	%	\$	%	\$	%	\$	%	\$	%
Federal:	Instruction	\$ 210	5	\$ 225	5	\$ 223	4	\$ 268	4	\$ 407	6
	Research	3,409	81	3,449	80	4,158	79	4,965	83	5,855	83
	Public Service	597	14	643	15	910	17	787	13	777	11
		<u>\$ 4,216</u>	<u>100</u>	<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>
State:	Instruction	\$ 747	44	\$ 994	42	\$ 1,097	41	\$ 1,026	35	\$ 1,013	34
	Research	418	25	772	32	946	35	1,137	39	1,221	41
	Public Service	541	31	626	26	631	24	760	26	757	25
		<u>\$ 1,706</u>	<u>100</u>	<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>
Private:	Instruction	\$ (115)	(9)	\$ 105	7	\$ 171	9	\$ 214	12	\$ 70	4
	Research	1,219	96	1,274	83	1,468	80	1,308	74	1,395	74
	Public Service	167	13	132	10	177	11	225	14	398	22
		<u>\$ 1,271</u>	<u>100</u>	<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>
Totals:	Instruction	\$ 842	12	\$ 1,324	16	\$ 1,491	15	\$ 1,508	14	\$ 1,490	13
	Research	5,046	70	5,495	67	6,572	67	7,410	69	8,471	71
	Public Service	1,305	18	1,401	17	1,718	18	1,772	17	1,932	16
		<u>\$ 7,193</u>	<u>100</u>	<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>

**NET INDIRECT COST RECOVERY  
BY ACTIVITY  
FY2004**



**NET INDIRECT COST RECOVERY  
BY SOURCE  
FY2004**



## 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 and also projects funded with the State of Maine Research and Development Appropriation (MEIF). The total cost of all research activity for FY2004 was \$88.4 million, a growth of \$35.9 million since FY2000.

The following table shows total research expenditures funded by grants and contracts and E&G and State Appropriation monies from FY2000 to FY2004. 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.

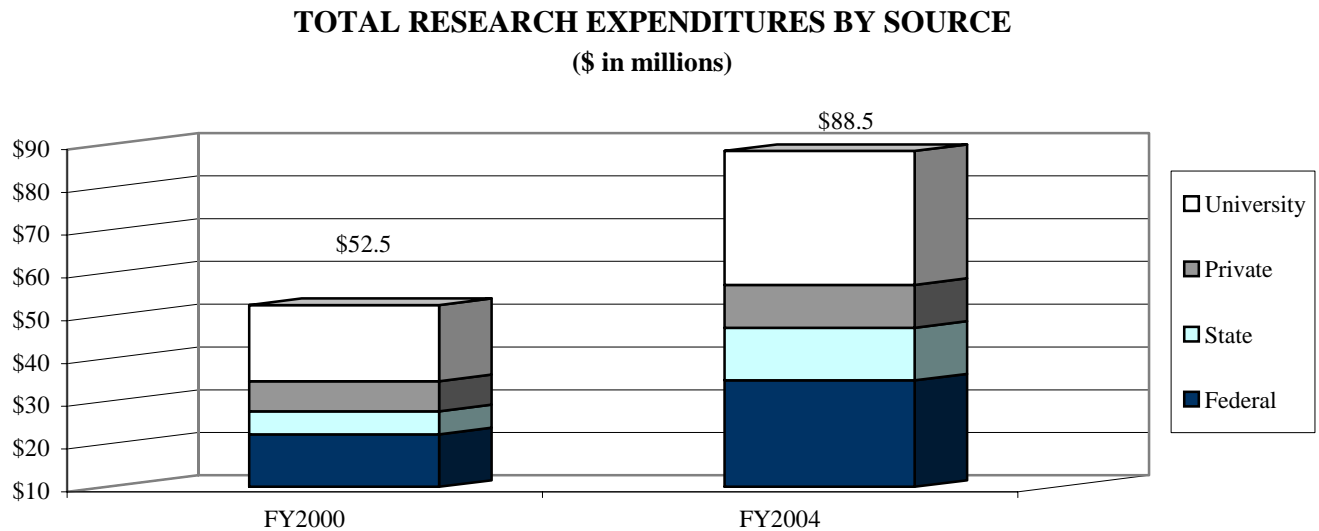
### TOTAL RESEARCH EXPENDITURES BY SOURCE (\$ in Thousands)

	<u>FY2000</u>	<u>FY2001</u>	<u>FY2002</u>	<u>FY2003</u>	<u>FY2004</u>
Federal	\$ 22,311	\$ 22,970	\$ 25,092	\$ 29,720	\$ 34,871
State	5,474	7,367	8,897	10,373	12,293
Private	7,015	8,996	8,987	8,707	10,002
University*					
MAFES Cost Sharing	6,496	6,863	6,677	6,307	7,527
Other Direct Cost Sharing	2,238	2,607	2,711	3,414	3,003
Other Indirect Cost Sharing	3,029	2,610	3,272	4,234	4,228
	<u>11,763</u>	<u>12,080</u>	<u>12,660</u>	<u>13,955</u>	<u>14,758</u>
<b>Total Grants and Contracts</b>	<b><u>\$ 46,563</u></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>
<hr/>					
<b>Total E&amp;G and State Appropriation*</b>	<b><u>\$ 5,953</u></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>Total Research Expenditures</b>	<b><u>\$ 52,516</u></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> **

\* Includes expenditures funded by the available State of Maine research and development appropriation, which totaled \$10.6 million in FY2004. 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 FY2000 and FY2004.



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 FY2004.

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

	<u>Total Research Expenditures FY2004</u>	<u>Research \$ Per Total Faculty Headcount</u>
University of Massachusetts - Amherst	\$ 92,561	\$ 67
University of Connecticut	\$ 61,994	\$ 54
University of New Hampshire	\$ 88,875	\$ 79
University of Rhode Island	\$ 57,942	\$ 80
University of Vermont	\$ 78,123	\$ 64
<b>University of Maine</b>	<b>\$ 54,401</b>	<b>\$ 66</b>

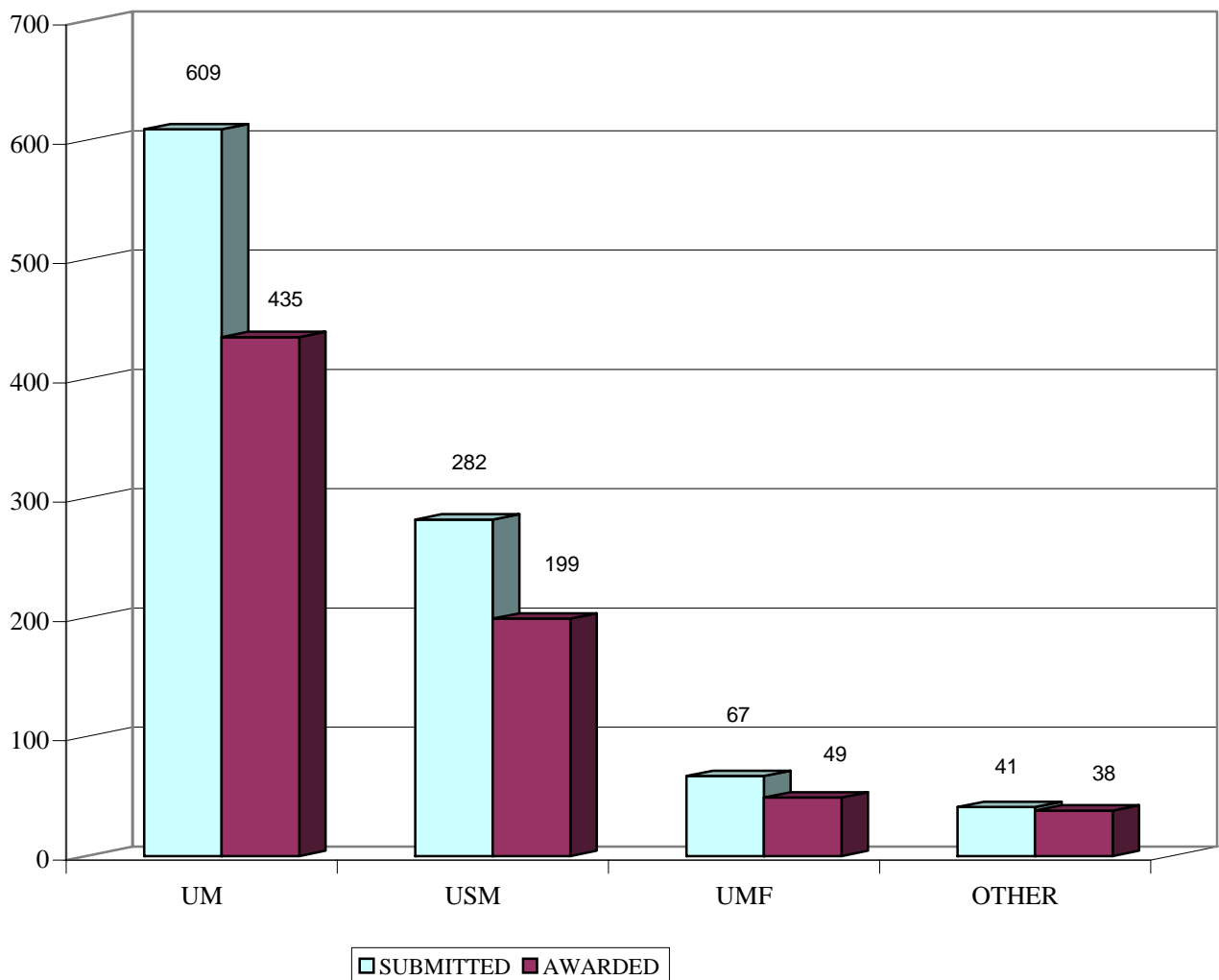
\* Excludes indirect cost recovery and plant fund expenditures for consistency at all institutions.

## 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 FY2004, Sponsored Program Departments throughout the University of Maine System submitted 999 proposals to agencies for funding of a wide range of grants and contracts. Proposals awarded during FY2004 amounted to \$113.5 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  
FY2004**



**PROPOSAL STATUS REPORT FY2004**  
**(\$ in thousands)**

Proposals approved during FY2004 may include prior year submissions, and some FY2004 submissions may be included in future year approvals.

	SUBMITTED DURING FY2004	APPROVED DURING FY2004	
	#	#	\$
<b>UNIVERSITY OF MAINE</b>			
College of Business, Public Policy, and Health	27	16	\$ 1,619
College of Education and Human Development	32	33	7,800
College of Engineering	90	49	8,194
College of Liberal Arts and Sciences	60	37	5,893
College of Natural Sciences, Forestry, & Agriculture	276	187	16,533
Cooperative Extension	46	34	4,292
Libraries	3	5	684
Division of Lifelong Learning	2	4	1,485
Research	67	64	10,573
Other University Programs	6	6	320
Total	<u>609</u>	<u>435</u>	<u>\$ 57,393</u>
<b>UNIVERSITY OF SOUTHERN MAINE</b>			
College of Arts & Sciences	46	21	\$ 2,533
College of Education & Human Development	30	26	2,794
Muskie School of Public Service	132	94	34,789
School of Applied Science, Engineering & Technology	28	11	2,980
School of Business	14	11	2,354
School of Law	7	10	627
College of Nursing & Health Professions	10	9	1,266
Lewiston-Auburn College	7	6	201
Bioscience Research Institute	1	4	389
Women's Studies	0	1	24
Other University Programs	7	6	439
Total	<u>282</u>	<u>199</u>	<u>\$ 48,396</u>
<b>UNIVERSITY OF MAINE AT AUGUSTA</b>	22	20	\$ 2,282
<b>UNIVERSITY OF MAINE AT FARMINGTON</b>	67	49	\$ 3,701
<b>UNIVERSITY OF MAINE AT FORT KENT</b>	3	3	\$ 324
<b>UNIVERSITY OF MAINE AT MACHIAS</b>	3	2	\$ 69
<b>UNIVERSITY OF MAINE AT PRESQUE ISLE</b>	9	9	\$ 856
<b>SYSTEM WIDE SERVICES</b>	<u>4</u>	<u>4</u>	<u>\$ 492</u>
<b>SYSTEM TOTALS FOR FY2004</b>	<u>999</u>	<u>721</u>	<u>\$ 113,513</u>
<b>SYSTEM TOTALS FOR FY2003</b>	<u>946</u>	<u>669</u>	<u>\$ 101,246</u>