

6-1-2007

## Awards Annual Report: Fiscal Year 2007

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ANNUAL REPORT *fiscal year 2007*

The University of New Mexico  
Office of the Vice President for Research and Economic Development

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# MESSAGE

## From the Interim Vice President for Research and Economic Development

It is a pleasure for me to release this annual report, which summarizes the University of New Mexico's (UNM) sponsored activities for fiscal year 2007 (i.e., July 1, 2006 - June 30, 2007, FY07). The purpose of this report is to present statistics of FY07 sponsored research, public service and instruction efforts at the main campus, the Health Sciences Center (HSC), and the branch campuses.

UNM faculty have continued their commitment to excellence by seeking sponsored project support and producing scholarly and creative works. While the majority of research at UNM is faculty-based, there is a noticeable level of activity which involves non-faculty initiatives. The scholarly and creative works are listed in Faculty Publications and Creative Works and the details of contract and grant activities are compiled in the Contract and Grant Awards Report, both of which are published annually by the Office of the Vice President for Research and Economic Development, Research Development Services.

The awards received for FY07 total \$280.1M, of which \$156.8M is attributed to the main campus, and \$123.3M is from the Health Sciences Center. These awards assist in providing resources that are necessary to improve the quality of research and teaching at UNM. They also enhance the opportunities for students to be trained in state-of-the-art laboratories in a variety of disciplines.

UNM centers continue to pursue cutting-edge research and promote interdisciplinary collaborations. They acquired \$16.7M in awards and were responsible for supporting numerous faculty, staff, and students from a broad spectrum of disciplines on campus.

Terminology pertinent to this report include the following: contract and grant (C&G) awards — new funds that were acquired during FY07; expenditures — expenses incurred with respect to C&G awards in effect during FY07; facilities and administrative costs (F&A) — overhead funds that were generated as a result of expenditures incurred during FY07.

Please join me in thanking our dedicated faculty, staff, and students involved in the research, public service, and instruction efforts at UNM. It is their successful endeavors that enhance UNM's visibility at the national and international levels, as well as contribute to the economic growth of New Mexico and the region. Thanks are also due to a number of individuals who have helped in preparing this report. In particular, I would like to acknowledge the efforts of Ann Powell, Valerie Roybal, and Denise Wallen of the Office of the Vice President for Research and Economic Development, Rena Vinyard of the Health Sciences Center Financial Services Division, and Barbara West of the Contract and Grant Accounting Office.

As always, your comments and questions are welcome with respect to this annual report, and other issues related to research activities at UNM.

John K. McIver  
*Interim Vice President for Research and Economic Development*

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# SUMMARY

Contract and grant (C&G) awards received by the University of New Mexico are from the federal government, state and local government, national laboratories, private and corporate foundations, industry, universities, and nonprofit organizations. A breakdown of FY07 (July 1, 2006 - June 30, 2007) awards, by category, is as follows:

	<u>FY06</u>	<u>FY06</u>
Research	\$157,978,282	\$148,907,890
Instruction & Training	22,971,126	16,345,362
Public Service & Other	63,883,930	61,083,668
Fellowships	1,454,377	1,955,401
Financial Aid	52,298,862	51,797,781
Total	\$298,586,577	\$280,090,102

The FY07 total for external sponsored support to the University of New Mexico is \$280.1 million. As in the past, the federal government remains the primary source of UNM sponsored projects and represents 54% of sponsored support at UNM. State funding represents 22% of sponsored support. Funding from the national laboratories represents 2% of total sponsored support. Foundation support contributes to 8% of sponsored funds. Industry accounted for 8% of total sponsored support. Other support, which includes funds from universities, nonprofit organizations, local schools, and foreign entities accounted for 6% of sponsored support.

The largest sponsor was the U.S. Department of Health and Human Services, followed by the State of New Mexico, the U.S. Department of Education, the National Science Foundation, and the U.S. Department of Defense. Foundations, industry, and local/state government continue to play an important ongoing role for UNM's sponsored activities.

The total number of contracts and grants receiving funds in FY07 is 1,655. Of the colleges and schools, the School of Medicine had the largest amount of outside funding; the second was the College of Arts and Sciences, followed by the School of Engineering and the SRE Category III Centers. Other significant support was distributed among the remaining colleges and schools, institutes, centers, and programs.

Tables 1a through 1d and Table 2 summarize statistics pertaining to funding sources with respect to C&G awards for the main campus as well as the Health Sciences Center (HSC).

# STATISTICS SUMMARY

## Contract and Grant Awards and Funding Sources FY07

**Table 1a**

<u>Total C&amp;G Awards</u>	<u>Percentage of Total C&amp;G Awards</u>
Total C&G Awards: UNM	\$280.1M
Total C&G Awards: Main Campus	\$156.8M (56%)
Total C&G Awards: HSC	\$123.3M (44%)

**Table 1b**

<u>Source of C&amp;G Awards (UNM)</u>	<u>Percentage of Total C&amp;G Awards</u> [Total: \$280.1M]
Foundations	8%
Federal	54%
Industry	8%
National Laboratories	2%
State of New Mexico	22%
Other	6%

**Table 1c**

<u>Source of C&amp;G Awards (Main Campus)</u>	<u>Percentage of Total C&amp;G Awards</u> [Total: \$156.8M]
Foundations	6%
Federal	56%
Industry	3%
National Laboratories	4%
State of New Mexico	25%
Other	6%

**Table 1d**

<u>Source of C&amp;G Awards (HSC)</u>	<u>Percentage of Total C&amp;G Awards</u> [Total: \$123.3M]
Foundations	8%
Federal	52%
Industry	15%
National Laboratories	<1%
State of New Mexico	18%
Other	6%



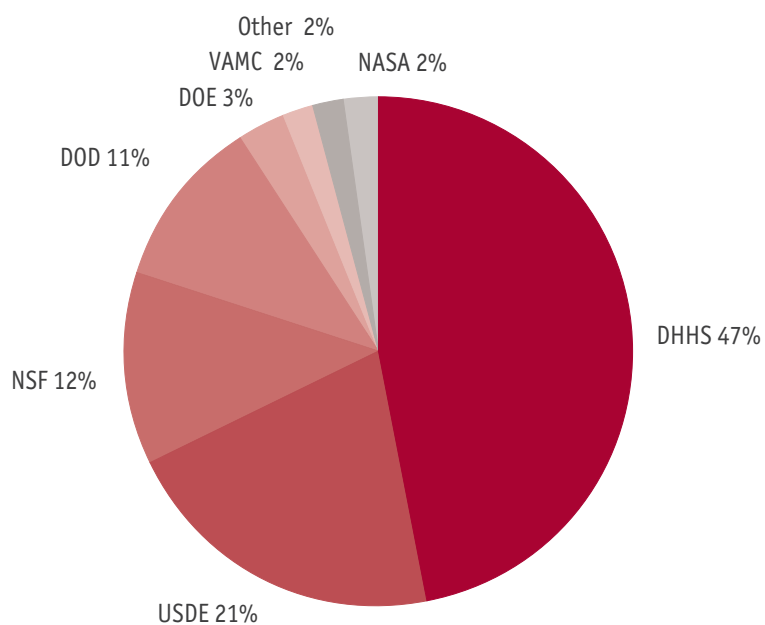
# STATISTICS SUMMARY

## Funding Categories FY07

Table 2

Funding Category	Main Campus [Total: \$156.8M]	HSC [Total: \$123.3M]	UNM [Total: \$280.1M]
Research	42%	67%	53%
Public Service	17%	28%	22%
Instruction	8%	4%	6%
Fellowships	<1%	<1%	<1%
Financial Aid	33%	0%	18%

Figure 1: Breakdown of Federal Funds FY07



# NATIONAL RANKINGS

The National Science Foundation (NSF) maintains data on research and development (R&D) expenditures and obligations in science and engineering for the nation's universities. R&D expenditures and obligations are from all sources of funding: federal, state, local, industrial, foundation, and miscellaneous. Below is UNM's rankings based on this NSF data.

## UNM's Ranking for Total R&D Expenditures at Public Universities and Colleges

<u>Year</u>	<u>Ranking</u>
FY05	62

## UNM's Ranking for R&D Expenditures at Universities and Colleges with a Medical School

<u>Year</u>	<u>Ranking</u>
FY06	65

## UNM's Ranking for R&D Expenditures at Universities and Colleges

<u>Year</u>	<u>Ranking</u>
FY06	92

## UNM's Ranking for Federally-financed R&D Expenditures at Universities and Colleges

<u>Year</u>	<u>Ranking</u>
FY06	74

## UNM's Ranking for Non-federal R&D Expenditures at Universities and Colleges

<u>Year</u>	<u>Ranking</u>
FY06	103

## UNM's Ranking for Federal Obligations for Science and Engineering R&D to Universities and Colleges

<u>Year</u>	<u>Ranking</u>
FY05	76

## UNM's Ranking for Federal Obligations for Science and Engineering to Universities and Colleges

<u>Year</u>	<u>Ranking</u>
FY05	76

# AWARDS

External sponsored support at the University of New Mexico has increased 59 percent over a ten-year period. In FY07 UNM received \$280.1M for 1,655 awards. The School of Medicine had the largest percentage of contract and grant awards, 41%, for a total \$115.1M. The College of Arts and Sciences accounted for 12% of the awards, for a total of \$32.4M, and the School of Engineering accounted for 6% of the awards, for a total of \$17M. Table 3 reflects the number of contract and grants awarded from FY98 through FY07.

**Table 3: Award Dollars FY98 - FY07**

<u>Year</u>	<u>Main</u>	<u>HSC</u>	<u>Total</u>
1998	121,291,377	54,539,233	175,830,610
1999	148,630,252	69,997,296	218,627,548
2000	135,775,784	77,516,603	213,292,387
2001	147,240,410	88,490,573	235,730,983
2002	137,527,282	106,822,522	244,349,804
2003	139,266,229	116,461,558	255,727,787
2004	171,658,766	106,742,859	278,401,626
2005	167,602,213	127,843,217	295,445,430
2006	165,385,317	133,201,260	298,586,577
2007	156,790,189	123,299,913	280,090,102

**Table 4: Award Dollars by Source of Funds FY07**

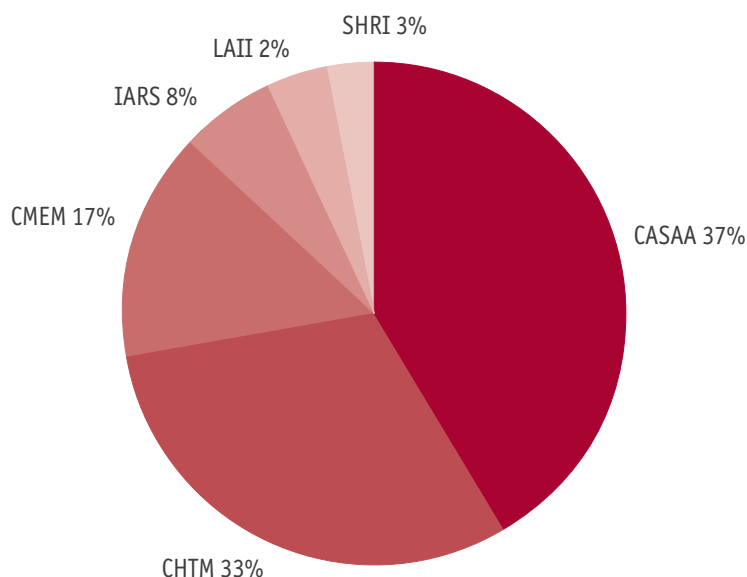
<u>Source</u>	<u>Fin. Aid</u>	<u>Main</u>	<u>HSC</u>	<u>Total</u>	<u>%</u>
Federal	\$25,767,328	\$61,715,855	\$63,513,500	\$150,996,863	54%
State of New Mexico	26,030,453	13,451,773	22,269,076	61,751,302	22%
National Laboratories	0	5,545,052	877,147	6,422,199	2%
Industry	0	4,371,162	18,806,758	23,177,920	8%
Foundations	0	11,052,074	9,888,667	20,940,741	8%
Other	0	8,856,492	7,944,765	16,801,257	6%
<b>Total</b>	<b>\$51,797,781</b>	<b>\$104,992,408</b>	<b>\$123,299,913</b>	<b>\$280,090,102</b>	<b>100%</b>

**Table 5: Awards by Campus Area FY07**

<u>Campus Area</u>	<u># of Awards</u>	<u>\$ Amount</u>	<u>%</u>
<i>Main Campus and Branch Campuses</i>			
Anderson Schools of Management	5	\$355,290	<1%
College of Arts and Sciences	346	32,428,525	12%
College of Education	28	4,160,944	1%
College of Fine Arts	5	73,200	<1%
School of Architecture and Planning	6	153,066	<1%
School of Engineering	163	16,981,093	6%
School of Law	27	2,870,690	1%
Financial Aid	6	51,797,781	18%
UNM Centers/Institutes (Category II)*	27	1,906,667	<1%
UNM SRE Centers (Category III)*	122	14,818,889	5%
Vice President for Research & Economic Development	34	9,863,207	3%
Vice President for Student Affairs	18	2,767,692	1%
School of Public Administration	2	56,726	<1%
University College	4	208,382	<1%
Vice President for Academic Affairs	26	11,730,219	4%
Vice President for Institutional Advancement	10	1,163,646	<1%
Branch Campuses	60	5,414,172	2%
<i>Health Sciences Center</i>			
Vice President for HSC and Other*	20	2,535,470	1%
School of Medicine	703	115,123,873	41%
College of Nursing	7	418,173	<1%
College of Pharmacy	36	5,262,397	2%
Sub Total Main Campus and Branch Campuses	890	156,750,189	56%
Sub Total Health Sciences Center	766	123,339,913	44%
Grand Total	1,655	\$280,090,102	100%

☆, \*, ☆, ☆, ☆ See "References," page 20.

Figure 2: Contract and Grants Awards by Centers/Institutes II and III FY07



CASAA = Center on Alcoholism, Substance Abuse and Addictions; CHTM = Center for High Technology Materials; CMEM = Center for Micro-Engineered Materials; IARS = Institute for Applied Research Services; LAII = Latin American and Iberian Institute; SHRI = Southwest Hispanic Research Institute.

Table 6: Funding Agencies Providing More Than \$2M in Support FY07

<u>Agency</u>	<u>\$ Amount</u>
U.S. Department of Health and Human Services	\$71,008,500
State of New Mexico	60,789,330
U.S. Department of Education	30,955,598
National Science Foundation	18,868,016
U.S. Department of Defense	16,847,698
Robert Wood Johnson Foundation	10,300,514
Sandia National Laboratories	4,843,724
U.S. Department of Energy	4,726,155
Veterans Administration Medical Center	3,052,097
National Aeronautics and Space Administration	2,872,398

# TEN YEAR HISTORY

Figure 3: Total Contract and Grant Awards Ten Year History FY98 - FY07

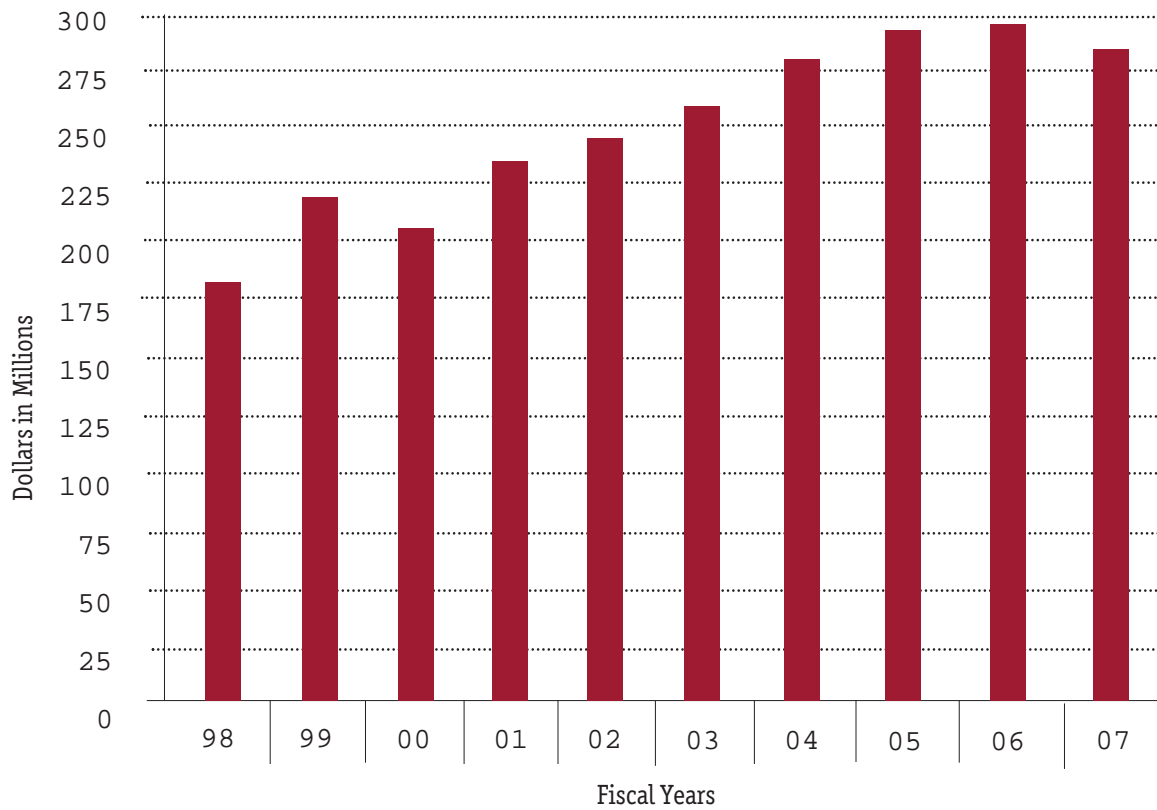
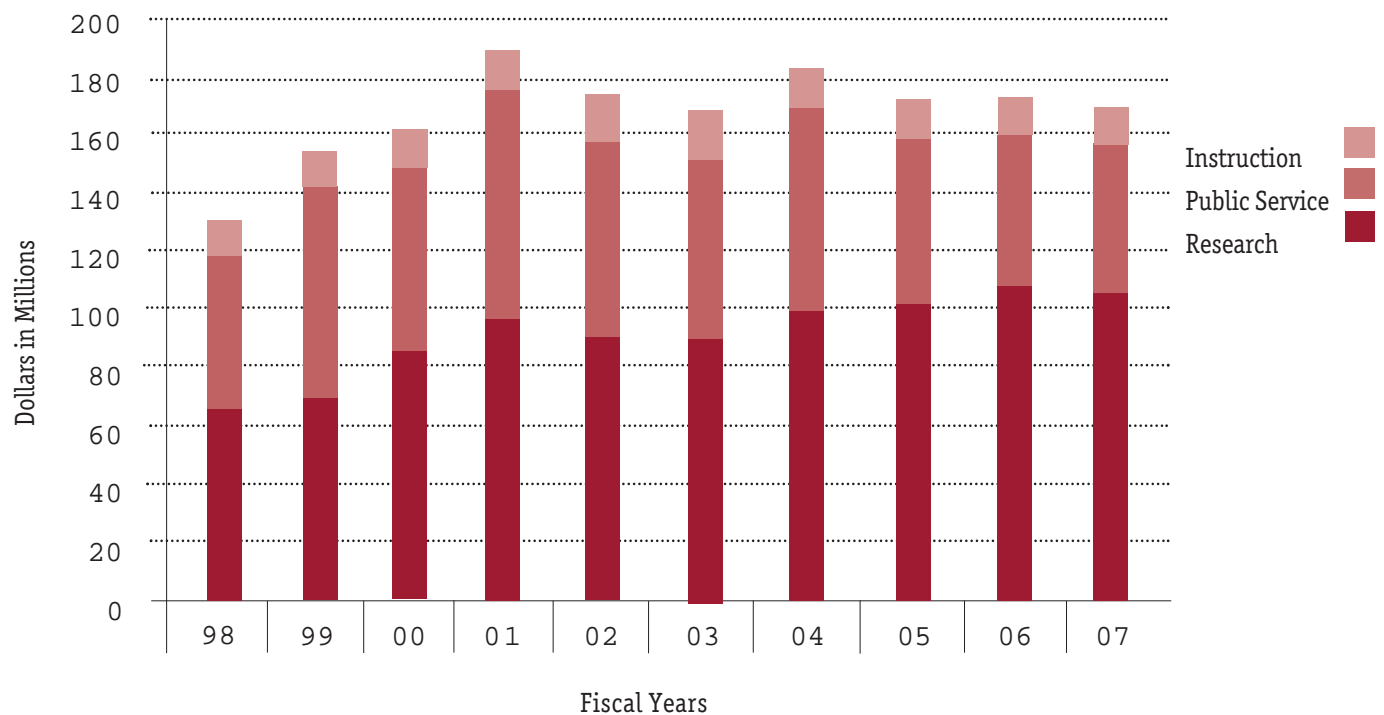


Figure 4: Total Contract and Grant Expenditures Ten Year History FY98 - FY07<sup>†</sup>



<sup>†</sup> Please see References, page 32. Note: Financial aid, endowments, fellowships, and other

# PROPOSALS

During FY07, 2,082 proposals were submitted by UNM faculty and staff.

**Table 7: Proposals by Campus Area: School, College and Division FY07**

<u>Campus Area</u>	<u>Number of Proposals</u>	<u>\$ Amount Requested</u>	<u>%</u>
<i>Main Campus and Branch Campuses</i>			
Anderson Schools of Management	5	\$2,908,400	<1%
College of Arts and Sciences	390	53,551,933	12%
College of Education	33	7,532,680	1%
College of Fine Arts	12	197,978	<1%
Division of Continuing Education	7	406,017	<1%
School of Architecture and Planning	15	276,493	<1%
School of Engineering	188	31,431,230	11%
School of Law	27	3,109,475	<1%
UNM Centers/Institutes (Category II)*	27	3,847,397	<1%
UNM SRE Centers (Category III)*	82	30,465,622	8%
Vice President for Academic Affairs	21	13,187,337	3%
Vice President for Business and Finance	1	10,000	<1%
Vice President for Institutional Advancement	20	1,404,993	<1%
Vice President for Research	33	2,931,717	<1%
Vice President for Student Affairs	22	7,123,194	2%
Branch Campuses	61	12,624,353	2%
<i>Health Sciences Center</i>			
Vice President for HSC and Other*	23	490,288	<1%
School of Medicine	925	234,148,325	48%
College of Nursing	17	5,313,275	<1%
College of Pharmacy	78	13,709,019	3%
Cancer Research and Treatment Center*	95	267,616	5%
Sub Total Main Campus and Branch Campuses	944	198,463,588	42%
Sub Total Health Sciences Center	1,138	253,928,523	58%
Total Health Sciences Center	2,082	436,309,813	100%

☆, \*, ☆, ☆, ☆ See "References," page 20.

# EXPENDITURES

During FY07, expenditures at UNM were \$237.7M\*, of which \$149.9M were due to the main campus and \$87.8M were due to HSC. This number represents expenses actually incurred for items such as salaries, fringe benefits, materials, services, equipment, and travel (excluding F&A costs).

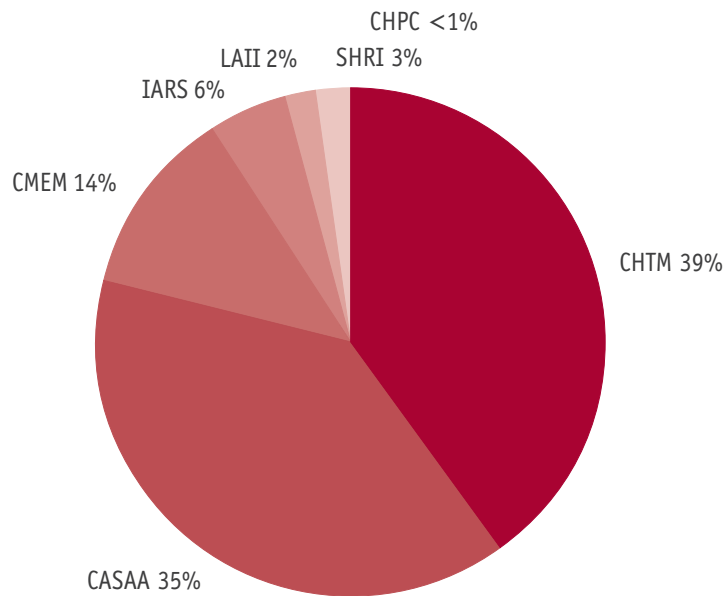
**Table 8: UNM Contract and Grant Expenditures FY07**

<u>Campus Area</u>	<u>Expenditures</u>	<u>%</u>
<i>Main Campus and Branch Campuses</i>		
Anderson Schools of Management	\$462,691	<1%
College of Arts and Sciences	36,935,997	16%
College of Education	4,766,632	2%
College of Fine Arts	84,326	<1%
School of Architecture and Planning	47,178	<1%
School of Engineering	16,461,924	7%
School of Law	2,723,926	1%
<b>UNM Centers/Institutes (Category II)</b>		
Latin American and Iberian Institute	427,808	<1%
Southwest Hispanic Research Institute	551,904	<1%
<b>UNM Strategic Research Emphasis Centers (Category III)</b>		
Center on Alcoholism, Substance Abuse and Addictions	6,206,894	3%
Center for High Performance Computing	68,522	<1%
Center for High Technology Materials	6,779,937	3%
Center for Micro-Engineered Materials	2,425,761	1%
Financial Aid	51,797,781	22%
Vice President for Academic Affairs and Other	2,429,541	1%
Vice President for Institutional Advancement	1,782,337	<1%
Vice President for Research and Economic Development	7,432,066	3%
Vice President for Student Services	2,230,376	<1%
<b>Branch Campuses</b>		
Gallup	2,593,359	1%
Los Alamos	520,301	<1%
Taos Education Center	788,479	<1%
Valencia	2,407,300	1%
<i>Health Sciences Center</i>		
Vice President for HSC and Other*	2,649,709	1%
School of Medicine	69,101,174	29%
College of Nursing	696,710	<1%
College of Pharmacy	3,415,465	1%
Cancer Research and Treatment Center*	11,920,771	5%
Sub Total Main Campus and Branch Campuses	149,925,040	63%
Sub Total Health Sciences Center	87,783,829	37%
<b>Total</b>	<b>\$237,708,869</b>	<b>100%</b>

\* , \* See "References," page 32.



Figure 5: Total Expenditures by Centers/Institutes II and III FY07



CASAA = Center on Alcoholism, Substance Abuse and Addictions; CHPC = Center for High Performance Computing; CHTM = Center for High Technology Materials; CMEM = Center for Micro-Engineered Materials; IARS = Institute for Applied Research Services; LAI = Latin American and Iberian Institute; SHRI = Southwest Hispanic Research Institute.

# FACILITIES AND ADMINISTRATIVE COSTS

Facilities and Administrative Costs (F&A, formerly known as indirect costs or IDC) are overhead funds that are generated while expenditures were incurred during FY07. The following table details the F&A generated by the various colleges, schools and divisions, centers and institutes, and branch campuses.

**Table 9: F&A Generated FY07**

<u>Campus Area</u>	<u>F&amp;A</u>	<u>%</u>
<i>Main Campus and Branch Campuses</i>		
Anderson Schools of Management	\$55,972	<1%
College of Arts and Sciences	8,128,852	23%
College of Education	335,136	<1%
College of Fine Arts	5,331	<1%
School of Architecture and Planning	6,147	<1%
School of Engineering	3,293,071	9%
School of Law	364,285	1%
<b>UNM Centers/Institutes (Category II)</b>		
Latin American and Iberian Institute	13,370	<1%
Southwest Hispanic Research Institute	92,149	<1%
<b>UNM Strategic Research Emphasis Centers (Category III)</b>		
Center on Alcoholism, Substance Abuse and Addictions	868,801	2%
Center for High Performance Computing	22,830	<1%
Center for High Technology Materials	1,895,218	5%
Center for Micro-Engineered Materials	474,513	1%
Vice President for Academic Affairs and Other	150,214	<1%
Vice President for Research & Economic Development	849,438	2%
Vice President for Student Services	266,328	<1%
<b>Branch Campuses</b>		
Gallup	48,313	<1%
Los Alamos	13,691	<1%
Taos	33,277	<1%
Valencia	67,074	<1%
<i>Health Sciences Center</i>		
Vice President for HSC and Other*	41,140	<1%
School of Medicine	14,558,924	41%
College of Nursing	172,192	<1%
College of Pharmacy	896,429	2%
Cancer Research and Treatment Center*	3,252,863	9%
Sub Total Main Campus and Branch Campuses	16,984,010	47%
Sub Total Health Sciences Center	18,921,548	53%
<b>Total</b>	<b>35,905,558</b>	<b>100%</b>

\*, \* Please see "References," page 20.

# APPENDIX

## The Office of the Vice President for Research and Economic Development

The Office of the Vice President for Research and Economic Development's Sponsored Projects Services (SPS) reviews all proposals from the main campus and branch campuses prior to their submission to funding agencies. The SPS staff works closely with principal investigators to ensure an accurate proposal, with all requisite forms, budgets, and certifications, as well as timely turnaround. After this internal review, each proposal is signed by the designated University administrator on behalf of the Vice President for Research and Economic Development.

Proposals and awards for the Health Sciences Center (HSC) are handled through the HSC Financial Services Division. The Health Sciences Center includes the School of Medicine, College of Nursing, College of Pharmacy, and other programs.

The Office of the Vice President for Research and Economic Development's Research Development Services (RDS) is committed to supporting the research service needs of the University of New Mexico. RDS offers workshops, seminars and training for faculty, staff, and students in support of the University's research mission. RDS is responsible for managing and maintaining the main campus research information services, which includes the publication of *Awards Annual Report*, the *Contract and Grant Awards Report*, *Faculty Publications and Creative Works*, *Quantum* magazine, and the *Guide for Principal Investigators*.

RDS is also responsible for supporting electronic research administration at UNM by maintaining and developing several databases that are accessible from the OVPRED web site including the *SMARTS\GENIUS Researcher Profiling and Funding Matching System* and the *Midas Databases of Funding Sources*. *SMARTS\GENIUS* allows UNM faculty to record their research profile and receive funding information automatically via email. The UNM research community can access *Midas* to search a number of public and private databases to look for funding sources. Additional information, such as funding resources, news and events, limited competitions, and policies and procedures, is available at the OVPRED web site <http://research.unm.edu>.

Additionally, RDS is responsible for coordinating large and complex proposal efforts and advising multidisciplinary teams in their proposal development activities. RDS works enable and support collaboration between researchers from different disciplines and fields. To assist multidisciplinary groups develop competitive proposals we engage in the following: investigate potential funding sources; assess project readiness and competitiveness in line with funding agency guidelines; liaison with funding agencies; assist or participate in targeted proposal development efforts; review proposal drafts; assist in the formation of multi-institutional and inter-institutional partnerships; and organize and lead proposal reviews.