

6-1-2009

# Office of the Vice President for Research, Year in Review: Fiscal Year 2009

Office of the Vice President for Research

Follow this and additional works at: [https://digitalrepository.unm.edu/ovp\\_research\\_publications](https://digitalrepository.unm.edu/ovp_research_publications)

---

## Recommended Citation

Office of the Vice President for Research. "Office of the Vice President for Research, Year in Review: Fiscal Year 2009." (2009).  
[https://digitalrepository.unm.edu/ovp\\_research\\_publications/41](https://digitalrepository.unm.edu/ovp_research_publications/41)

This Report is brought to you for free and open access by the Archives & University Administrative Records at UNM Digital Repository. It has been accepted for inclusion in Office of the Vice President for Research by an authorized administrator of UNM Digital Repository. For more information, please contact [disc@unm.edu](mailto:disc@unm.edu).

*Office of the Vice President for Research*

YEAR IN REVIEW: FISCAL YEAR 2009



Dear Colleagues,

I was appointed interim Vice President for Research in May '08 and, thanks to your strong support, was named VPR in January '09. It has been a difficult and challenging year, but despite the stresses of the past year, I can sincerely state that I remain honored to be your VPR. Many of you have responded to changes in the research office with new energy for submission of proposals and development of new collaborations and programs. As you will read in this report, your efforts are paying off and we are poised to have a record-setting year. I realize, however, that there remains much work to do before we have a research office structure and budget process that provides the leadership and support for faculty research that I envision. Be assured that I am permanently committed to the four critical priorities that I explained in the Town Hall in September '08:

- ◆ Excellence in faculty research
- ◆ Facilitating faculty-driven research initiatives
- ◆ Integration of research and education
- ◆ Transparency in decision-making

This report summarizes progress in the OVPR during FY09 and begins to outline plans for FY10. Key documents on the website are listed throughout the report. Our actions have been guided by recommendations in the Research Study Group and NCURA reports, both of which remain on the OVPR web site. Many of the changes in budgeting are required by the FY08 internal audit of the office, this document is also available online. My staff and I will be visiting colleges, schools, centers, and departments throughout the Fall in order to present my vision for research at UNM, and to explain our plans for moving forward as the flagship university of New Mexico. As always, my staff and I are glad to provide help, explain decisions, answer questions and – most importantly – consider new ideas.

The revolution continues.

A handwritten signature in black ink, appearing to read "Julia".

## THE NUMBERS

### *Congratulations to the faculty and staff!*

- ◆ Proposal submissions in FY09 totaled \$236.4M, an increase of 17% over FY08.
- ◆ New research awards totaled \$133.3M, an increase of 18.5% over FY08.
- ◆ Research expenditures totaled \$113.4M, an increase of 6.2% over FY08.

Note: Many publications of research expenditures include Student Financial Aid, which increases FY09 expenditures to \$154.5M (an 8.9% increase over FY08).

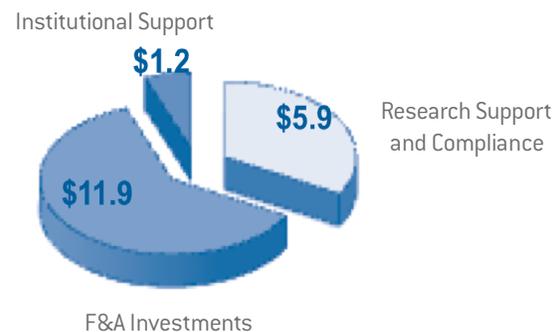
Faculty and staff have had a phenomenal response to the stimulus funding opportunities. As of the date of this report, we have 122 stimulus proposals submitted for a total of \$76.4M with \$12.6M received in stimulus funding.

My thanks to faculty, staff and students who have worked so hard to increase research efforts. We have partnered with University Communications and Marketing to more effectively publicize research accomplishments and will expand our efforts this year. Additionally, we are working with the Deans to develop customized reports on research accomplishments within Colleges and Schools.

### *Where did the money go?*

UNM's Main Campus generated \$18.4M in Facilities and Administration (F&A) revenues in fiscal year 2009. In addition, the OVPR received \$640K in non-F&A revenues, for a total available budget of \$19M for the fiscal year. Expenditures in the OVPR are broken down into three types: Research Support and Compliance, F&A Investment, and Institutional Support.

FY09 Expenditures (in millions)



“Research support and compliance” comprised \$5.9M of the FY09 expenses, and includes costs required for leadership and management of main campus research and compliance with federal requirements.

Specifically, Research Support and Compliance funds: the OVPR, Pre-Award Services, Contract and Grant Accounting, Research and IP Legal Services, Faculty Research Support Services, Federal Legislative Priority efforts, STC.UNM, and several compliance entities, including Industrial Security, Safety and Risk Services, the Office of Animal Care and Compliance, and the Institutional Review Board. This should be viewed as approximately a fixed cost that will have minor increases as research expenditures increase and we add staff to address the currently unmet faculty requests for support from the OVPR.

“F&A investment” is F&A spent throughout the year by the OVPR, departments and PI’s and funds distributions to units, startup, cost-share, special requests, rent for research labs, support for research centers, etc. This part of the budget will increase as research expenditures increase and the OVPR deficit is paid down. Total expenses for F&A investment for FY09 were \$11.9M, comprising 60% of total expenditures.

Breakdown of the F&A investment by school/college:

	A&S	CoE	SoE	Cat III	Other
Distribution	\$ 2,709,018	\$ 93,169	\$ 1,159,397	\$ 1,950,627	\$ 315,099
Start Up	\$ 451,165	\$ -	\$ 290,157	\$ 100,000	\$ 13,080
Cost Share	\$ 601,210	\$ -	\$ 33,660	\$ 84,360	\$ 165,648
Special Requests	\$ 384,421	\$ -	\$ 233,699	\$ 85,806	\$ 14,115
Faculty Retention	\$ -	\$ -	\$ 300,000		\$ -
Loan Repayment	\$ 100,499	\$ 61,582	\$ 190,642	\$ 100,000	\$ -
Rent	\$ -	\$ -	\$ 538,609	\$ -	\$ -
<b>Other</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 1,680,268</b>	<b>\$ 205,000</b>
<b>Total</b>	<b>\$ 4,246,313</b>	<b>\$ 154,751</b>	<b>\$ 2,746,164</b>	<b>\$ 4,001,061</b>	<b>\$ 712,942</b>

“Institutional Support” comprised just over \$1.2M in FY09, and is composed of items that are on the budget for a variety of reasons, including costs associated with some of the research centers, and other units that report to the OVPR. The OVPR deficit reduction plan developed in spring 2008 called for some of these expenses to be covered from new state appropriations or from I&G. Given the economic environment in FY09, moving these expenses to I&G proved untenable. However, some progress was made in reducing their dependence on F&A funding, reducing the costs to the OVPR.

## THE YEAR IN REVIEW

### *What we did besides spend money? A few highlights:*

- ◆ **Balanced Budget** – Despite ~\$2M of expenses that were either unbudgeted, untracked, or unknown financial commitments, the OVPR finished FY09 with a positive balance. This included a payback of a portion of the FY07 loan, leaving the OVPR with a remaining indebtedness of ~\$2.8M. Additional details on the deficit are found in the FAQ. ([research.unm.edu/budget](http://research.unm.edu/budget))
- ◆ **Negotiated a compromise between deficit reduction and research investment** – In May '08 the goal was to eliminate the deficit by the end of FY11. This spring, the President of the Board of Regents, President, Provost, and EVP for Administration agreed to allow the deficit to be eliminated by the end of FY13. This allows for F&A generated over the budgeted amount to be divided among deficit reduction, return to units and research initiatives (i.e. seed money, bridge funding, small equipment).
- ◆ **Restructured Pre-Award Services** – We have made significant progress in changing the pre-award philosophy from one of avoiding risk at all costs to partnering with faculty in advancing research on campus. Additional staff, training and legal support have been provided and most people have noticed dramatic improvements in service. We have had significant turnover since not everyone was comfortable working in the new environment, and additional improvements will be noticeable as we move toward a full complement of well-trained staff.
- ◆ **Creation of Faculty Research Support Services (FRSS)** – Formerly Research Development Services, FRSS provides support for proposal identification and development in the units. In addition, FRSS will provide pre- and post-award expertise to assist faculty and staff in solving problems before they become crises.
- ◆ **Modified Internal Competition Process in response to faculty complaints and concerns** – the new internal competition process includes evaluation by a faculty committee that provides feedback to all participants. Iterative and additional improvements will be implemented as we receive input and feedback from faculty.

◆ **Jane Slaughter was appointed Director of Arts and Humanities Research Initiatives** – Dr. Slaughter will spearhead increased support efforts for Arts & Humanities faculty members, assisting with the identification of funding opportunities, preparation of proposals, and coordination of collaborative, multi-unit research proposals.

◆ **Establishment of the Center for Advanced Research Computing (CARC)** – Formerly the Center for High Performance Computing, CARC and new Director Susan Atlas are developing a resource designed to meet the computing needs of a wide range of UNM faculty. Faculty research computing needs will define the scope of CARC over the next few years. Initial faculty response to the new Center has been overwhelmingly positive, and we want to especially thank the faculty members who have helped by writing CARC support into their proposals.

◆ **American Recovery and Reinvestment Act (ARRA)** – In response to the passage of the ARRA and the resulting opportunities for UNM researchers, the OVPR coordinates a Main Campus stimulus effort. The OVPR provides staff support to assist faculty in the identification of funding opportunities and proposal preparation, and continues to work on mechanisms to streamline the increased reporting requirements. The pre- and post-award staff have done a remarkable job in handling the extra work load that has resulted!

◆ **Pause and Hold** – In response to the mandated hiring “Pause and Hold,” the OVPR worked with Human Resources and UNM departments to ensure that the hiring process for employees paid by grants, contracts, and F&A remained as smooth as possible and staffing changes were completed in a timely manner.

◆ **Improved Relationships across campus** – Over the course of the year, the OVPR developed and improved relationships with several departments across campus, including Administration, Financial Services, Planning, Budget and Analysis, Information Technology, Human Resources, and Health Sciences. We want to thank these and other organizations, for all of their help and support over the last year.

## THE OUTLOOK

### *How does this year look?*

The OVPR budget includes F&A generation of \$18.3M with an additional \$400K of revenue from non-F&A sources. The breakdown of budgeted expenditures for FY10 is similar to FY09, with \$6.1M budgeted for Research Support and Compliance, \$11.8M for F&A Investment, and \$1M for Institutional Support. A breakdown of the F&A Investment piece is below:

	A&S	CoE	SoE	Cat III	Other
Distribution	\$ 2,764,150	\$ 78,810	\$ 1,437,634	\$ 1,638,500	\$ 308,215
Start Up	\$ 202,989	\$ 60,000	\$ 177,895	\$ -	\$ 72,750
Cost Share	\$ 306,025	\$ -	\$ 308,695	\$ 78,497	\$ 93,762
Special Requests	\$ 298,086	\$ -	\$ 162,522	\$ 67,000	\$ 412,631
Faculty Retention	\$ -	\$ -	\$ 150,000	\$ -	\$ 472,352
Loan Repayment	\$ 100,499	\$ 61,582	\$ 190,642	\$ 100,000	\$ -
Rent	\$ -	\$ -	\$ 538,609	\$ -	\$ -
Other	\$ -	\$ -	\$ -	\$ 1,520,699	\$ 205,000
Total	\$ 3,671,749	\$ 200,392	\$ 2,965,997	\$ 3,404,696	\$ 1,564,710

### *What happens if revenues exceed the budgeted amount?*

In the event that the University generates F&A revenues over the budgeted \$18.3M in F&A, the President, Provost and EVP for Administration have agreed that the balance will be divided among debt reduction, increased discretionary return to the units and research initiatives.

### *How will F&A be distributed?*

For FY10, F&A will be distributed based on colleges' actual, real-time generation. There is \$6.2M budgeted for the discretionary distribution to colleges – this money will be allocated quarterly, and the units share of the \$6.2M will be based on the real-time F&A generation of that college. The real-time allocation is required by the internal audit of the OVPR budget process conducted during FY08. Real-time allocation has not been previously utilized, and it will take several years to develop a method that addresses competing concerns related to center support, cost share, return to units and the need for balanced budgets. As has always been the case, the OVPR allocates these discretionary funds to the college, and the college then has sole discretion as to the method of allocation to their departments/centers/faculty.

### *What about the uncertainty of the I&G budget?*

UNM administration has agreed, because facilitating faculty research remains a top priority of the University, that in FY10 they will not implement “off the top” cuts, reductions in the F&A budget or harvesting of F&A balances. Deans and department chairs will thus have maximum flexibility when making financial decisions.

### *What are we going to do next? A few tangible examples of initiatives for next year:*

- ◆ **Continued process improvements** – Continued improvements in Faculty Research Support Services, Pre-Award, and the internal competition process.
  
- ◆ **Increased venues for faculty input in decision-making** – We will continue actively working with the ERAC on issues of faculty concern and challenges facing our office. In addition, we are appointing several new shorter-term faculty committees to provide expertise and input to our office in a variety of areas.
  
- ◆ **Improved Conflict of Interest turnaround** - In response to concerns expressed by faculty, we overhauled the main campus conflict-of-interest committee and operating procedures over the summer. A new, secure, on-line database and voting process will be implemented this fall, and should result in improved turnaround times for conflict-of-interest reviews. Jane Slaughter is the new chair of the committee, and Adelia Otero (coim@unm.edu) will be providing staff support.
  
- ◆ **Additional training and support with IRB proposals** - Also in response to faculty concerns, Scott Tonigan, chair of the main campus IRB committee, has agreed to add a humanities faculty member to the IRB committee. Vera Norwood is the first appointee, and will be helping clarify the IRB approval process for faculty and students in the arts and humanities.
  
- ◆ **Ethics and mentorship training opportunities** – Bill Gannon will be providing additional training opportunities for faculty in response to new NSF regulations regarding ethics and mentorship training.
  
- ◆ **Committee to review center and institute policy** – Mike Dougher and Richard Holder will be co-chairing a committee to review existing and formulate new policies relating to research centers and institutes.

◆ **ARRA reporting assistance** – The first federally mandated quarterly report on stimulus funding will be due in October. The research office will be providing most of the data necessary, and will be submitting the actual reports required by each federal agency. Carlos Romero will be meeting with all faculty and staff involved in reporting to demonstrate use of the software developed to simplify reporting by individual PI's. We will be providing reminders that start out friendly and become increasingly insistent – the time required to fill out the report will be small, but the Federal penalties for not doing so can be large!

◆ **Improved interfacing with Safety and Risk Services (SRS)** – We will be actively working with SRS staff to improve channels of communication and decision-making when issues arise regarding faculty research or research facilities. This partnership should allow us to address concerns and solve problems before they become crises.

Additional Information is available at [www.research.unm.edu/budget](http://www.research.unm.edu/budget)

- ◆ [Office of the Vice President Frequently Asked Questions](#)
- ◆ [Office of the Vice President for Research Budget FY10 Overview](#)
- ◆ [FY10 Budget Recommendation Narrative](#)

Office of the Vice President for Research  
1 University of New Mexico  
MSC05 3400  
Albuquerque, NM 87131-0001  
phone: 505/277-41861  
<http://research.unm.edu>

Dr. Julia Fulghum, Vice President for Research  
email: [research@unm.edu](mailto:research@unm.edu)

