

9-2011

Division of Research Fiscal Year 2010-2011 Report

Division of Research, Florida International University

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**THE FLORIDA INTERNATIONAL UNIVERSITY BOARD OF TRUSTEES
FINANCE AND AUDIT COMMITTEE**

DIVISION OF RESEARCH

FISCAL YEAR 2010-2011 REPORT

I. Introduction

This document presents Division of Research (DoR) data for Fiscal Year 2010-2011 (FY 2011) and focuses on two areas. In [Section II](#), we present an overview of performance regarding research awards, facilities and administrative costs (F&A), and research grant applications. In [Section III](#), we provide an update and summary of several key DoR initiatives that represent ongoing efforts aimed at improving research support to faculty and addressing needs associated with the growing breadth and quality of the research enterprise at FIU.

II. Overview of Awards, Applications, and F&A

The data presented in [Table 1](#) compares awards received during FY 2009-2010 (FY 2010) with those received in FY 2011 by unit (academic and/or administrative). The total amount received in grants during FY 2011 totaled \$104.56 million. This amount represents a 4% increase from last fiscal year, and once again, we exceeded \$100 million in sponsored research awards. Notable academic increases include the Herbert Wertheim College of Medicine (showing a 27.02% increase), and the College of Arts and Sciences (26.61% increase, with over \$12.5M from USAID, over \$5M from the Department of Health and Human Services, and over \$1M from the NSF). The Herbert Wertheim College of Medicine has the 4th highest level of research awards among colleges, and the combined funding of the Herbert Wertheim College of Medicine, the Robert Stempel College of Public Health & Social Work, and the College of Nursing and Health Sciences ranks second in terms of research awards to the College of Arts & Sciences, despite significant declines for the Robert Stempel College of Public Health & Social Work.

It is important to note that in the context of increasingly competitive research funding, and shrinking budgets for state and federal agencies, FY 2011 represents the third consecutive year of increases in research awards obtained by our faculty. The increases for FY 2009, FY 2010, and FY 2011 have been 22%, 11% and 4% respectively. The just concluded FY 2011 was particularly unpredictable with almost all grant awards receiving a minimum of 10% cuts. Additionally, many federal grant awards that were slated to be awarded during FY 2011 were delayed. For example, a \$4M grant that was expected during April 2011 was received during the first week of July; thus, it is not included in FY 2011.

[Figure 1](#) presents the changes in new awards for each of the colleges. Overall, awards for colleges/schools increased by 2.6%, from \$91.56M in FY 2010 to \$94M in FY 2011.

[Figure 2](#) presents the average award F&A rate (overhead) by college or school. The overall F&A rate for all awards received remained within the range we have targeted of 20% to 22.5%, at 21%. As expected, given the larger proportion of grants funded by the National Institutes of Health (which are more likely to fund grants at FIU's full F&A rate of 45%), the F&A for the Herbert Wertheim College of Medicine (38.5%), and the Robert Stempel College of Public Health & Social Work (29.5%) were the highest rates.

Awards received by Centers, Institutes and Museums are presented by unit in [Table 2](#). Overall, Centers, Institutes and Museums experienced a 16.04% growth in awards, as well as an increase in the F&A rate (from 21.8% in FY 2010 to 24.4% in FY 2011). The Center for Internet Augmented Research and Assessment – CIARA – received \$1.18M in funds from the National Science Foundation, reflecting a 445.52% increase. The International Forensic Research Institute (IFRI) increased their funds by 228.09%, with over \$1.3M in funds from several federal agencies and private industry. It is also important to note that IFRI has produced several patents, and that we are in the process of creating a spin-off company from IFRI. The other centers with notable increases in research awards, especially since they are the two largest centers, were the Applied Research Center (ARC), with an increase of 29%, and the Southeast Environmental Research Center (SERC), with an increase of 23%.

[Table 3](#) illustrates the distribution of new research awards by three categories: Federal, State, and Private/Other. While the funds received from federal sources remained almost the same (81% and 80% for FY 2010 and FY 2011, respectively), the percentage of state and local government funds decreased slightly, but the percentage of private/other sources increased somewhat.

[Table 4](#) presents the funding value of applications submitted by colleges. The total value of applications submitted during FY 2011 decreased by 33.8%, from \$496M to \$328M. This decline in the amount of funding requested is related to two interrelated factors: (1) during FY 2010 there were opportunities for applications for an unusual number of grants, as well as larger grants, all related to ARRA-funded opportunities, and (2) for FY 2011 ARRA opportunities were no longer available, and there was also a reduction of funding opportunities as a result of the ongoing federal budget crisis. Finally, it is important to note that our trend in grant applications from FY 2009 to FY 2011 is positive, having increased by 22% in the value of funding being requested (from \$269.4M to \$328M).

[Table 5](#) presents the same information on applications submitted by Centers, Institutes, and Museums.

III. Initiatives Update

As reported in the last BOT Division of Research Report, the Division continues with the implementation of several initiatives that have the goal of improving support for the faculty in its endeavors to conduct cutting-edge research, and grow the breadth and quality of the research enterprise at FIU. Some of these initiatives are nearing completion of full implementation, while others will be completed during the new fiscal year. Below, we briefly report on some of the key initiatives and highlight new specific initiatives for the next year.

Initiatives in Completion Stages

- **New Electronic Effort Reporting System.** The implementation of a new electronic system for effort reporting (Ecr) has been completed, and will be used for the first time at the end of the summer semesters and going forward. Effort reporting is an essential compliance and regulatory requirement for the expenditure of grant dollars. This new system is very sophisticated and easy to use. In addition to fulfilling regulatory requirements, it will be a tool that will make it much easier for our researchers and grant administrators throughout the University to track the status of the budgets in their grants and contracts.
- **New Electronic System for Grant Applications.** The implementation of an electronic system for the submission of grant applications has been completed. We are now in the stage of training Division of Research personnel and grant administrators in the colleges on the new system. We have also hired new personnel that will be deployed throughout the colleges to provide services for research faculty using the new system. This new system and the use of trained personnel will allow research faculty to dedicate more time to the technical and scientific portion of grant applications, and thus ease the process of submitting grant applications to external funding agencies.
- **New Graduate Grants Center (GGC).** In collaboration with the University Graduate School, we have established a Graduate Grants Center, which will assist graduate students with applications for external support for their research endeavors. This unit will work closely with the Dean of the Graduate School, and with the Research Development team being assembled within the Division of Research. A national search for a coordinator of the Center was successfully completed, and the new coordinator joined FIU in July. One of the major objectives of the GGC will be to work closely with faculty mentors to identify opportunities and assist in applications for graduate student stipends and fellowships.

Initiatives Expected to be Completed During the Current Fiscal Year

- **Mentoring of Junior Faculty.** The Division of Research has been working with senior faculty researchers to implement a new mentoring program to assist junior faculty in the preparation of competitive grant applications to major federal programs at the NSF, NIH, and other agencies. This is part of the efforts, previously reported to the BOT, to enhance the quality and quantity of grant applications at a time of shrinking budgets for the funding agencies. This program will begin with internal funding support for junior faculty and mentors, as well as the creation of mentoring committees of FIU faculty members that have received NSF CAREER Awards and NIH K-Awards. These faculty members will mentor junior colleagues in submitting applications to these programs.
- **Application for New Facilities and Administrative (F&A) Negotiations with the Federal Government.** The last negotiations with the federal government increased FIU'S overhead from 40% to the current 45%. As part of the last negotiations, the federal government agreed to new negotiations for 2012. The F&A proposal is due December 30, 2011 and we are currently working on it. The timeline for negotiations, including a site visit by the federal agency responsible for establishing F&A rates, is to be concluded during the spring of 2012.
- **Electronic System for the Institutional Review Board (IRB), the Institutional Animal Care and Use Committee (IACUC), the Animal Care Facility (ACF), and the Institutional Biosafety Committee (IBC).** We have been working on the implementation of a new electronic system for IRB, IACUC, ACF, and IBC, and expect complete implementation by the fall of 2011. The IRB, IACUC, ACF, and IBC are fundamental needs for the regulatory conduct of bio-behavioral research. Implementation of this electronic system is critical for the support of FIU's research growth trajectory.
- **Application for Accreditation of the Animal Care Facility (ACF).** The application for accreditation for the ACF is dependent on the implementation of the electronic system described above. We plan to submit the accreditation application by the April 2012 deadline, and expect to successfully receive accreditation by the fall of 2012—just prior to the opening of the new ACF in the spring of 2013.

Table 1: Comparison of Awards Received

College/Division	July 2009 - June 2010			July 2010 - June 2011			% change
	Direct	F&A	Total	Direct	F&A	Total	
Academic Affairs (AA)	\$8,260,573	\$1,830,139	\$10,090,712	\$8,149,060	\$2,723,864	\$10,872,924	7.75%
College of Architecture & the Arts (CARTA)	\$101,155	\$0	\$101,155	\$202,051	\$450	\$202,501	100.19%
College of Arts & Sciences (CAS) *	\$35,021,981	\$7,132,132	\$42,154,113	\$44,743,898	\$8,627,621	\$53,371,519	26.61%
College of Business Administration (CBA) *	\$885,122	\$126,065	\$1,011,187	\$1,380,551	\$159,390	\$1,539,941	52.29%
College of Education (CoE)	\$4,802,841	\$355,380	\$5,158,221	\$3,213,225	\$166,089	\$3,379,314	-34.49%
College of Engineering & Computing (CEC)	\$15,762,864	\$3,293,034	\$19,055,898	\$14,049,674	\$2,796,857	\$16,846,531	-11.59%
College of Law (CoL)	\$564,050	\$0	\$564,050	\$127,280	\$0	\$127,280	-77.43%
College of Nursing & Health Sciences (CNHS)	\$3,131,331	\$327,589	\$3,458,920	\$2,895,683	\$248,491	\$3,144,174	-9.10%
Division of Student Affairs (SA)	\$1,497,708	\$113,836	\$1,611,544	\$1,398,422	\$123,681	\$1,522,103	-5.55%
Herbert Wertheim College of Medicine (HWCoM)	\$2,910,678	\$1,095,636	\$4,006,314	\$3,675,462	\$1,413,349	\$5,088,811	27.02%
Robert Stempel College of Public Health & Social Work (RSCPHSW) *	\$12,292,566	\$3,530,317	\$15,822,883	\$7,315,771	\$2,156,645	\$9,472,416	-40.13%
School of Hospitality & Tourism Management (SHTM)	\$158,537	\$0	\$158,537	\$193,215	\$0	\$193,215	21.87%
School of Journalism & Mass Communication (SJMC)	\$53,812	\$11,386	\$65,198	\$466,433	\$100,207	\$566,640	769.11%
UTS/CIARA	\$393,647	\$74,699	\$468,346	\$1,170,461	\$93,811	\$1,264,272	169.94%
TOTAL	\$83,341,011	\$17,181,530	\$100,522,541	\$86,384,634	\$18,172,959	\$104,557,593	4.01%
The effective/average F&A rate	20.62%			21.04%			

* The following are **NOT** reflected in the “TOTAL” above, but are included in the respective colleges, thus “double counted.”

	FY 2009-2010 Total	FY 2010-2011 Total
Included in AA (IHRC) and CAS	\$984,789	\$749,274
Included in AA (IHRC) and CBA	\$506,010	\$464,781
Included in AA (IHRC) and CEC	\$65,671	\$987,000
Included in AA (CRUSADA) and RSCPHSW	\$1,648,067	\$832,993

Figure 1: Comparison of Awards Received by College/School (\$M)

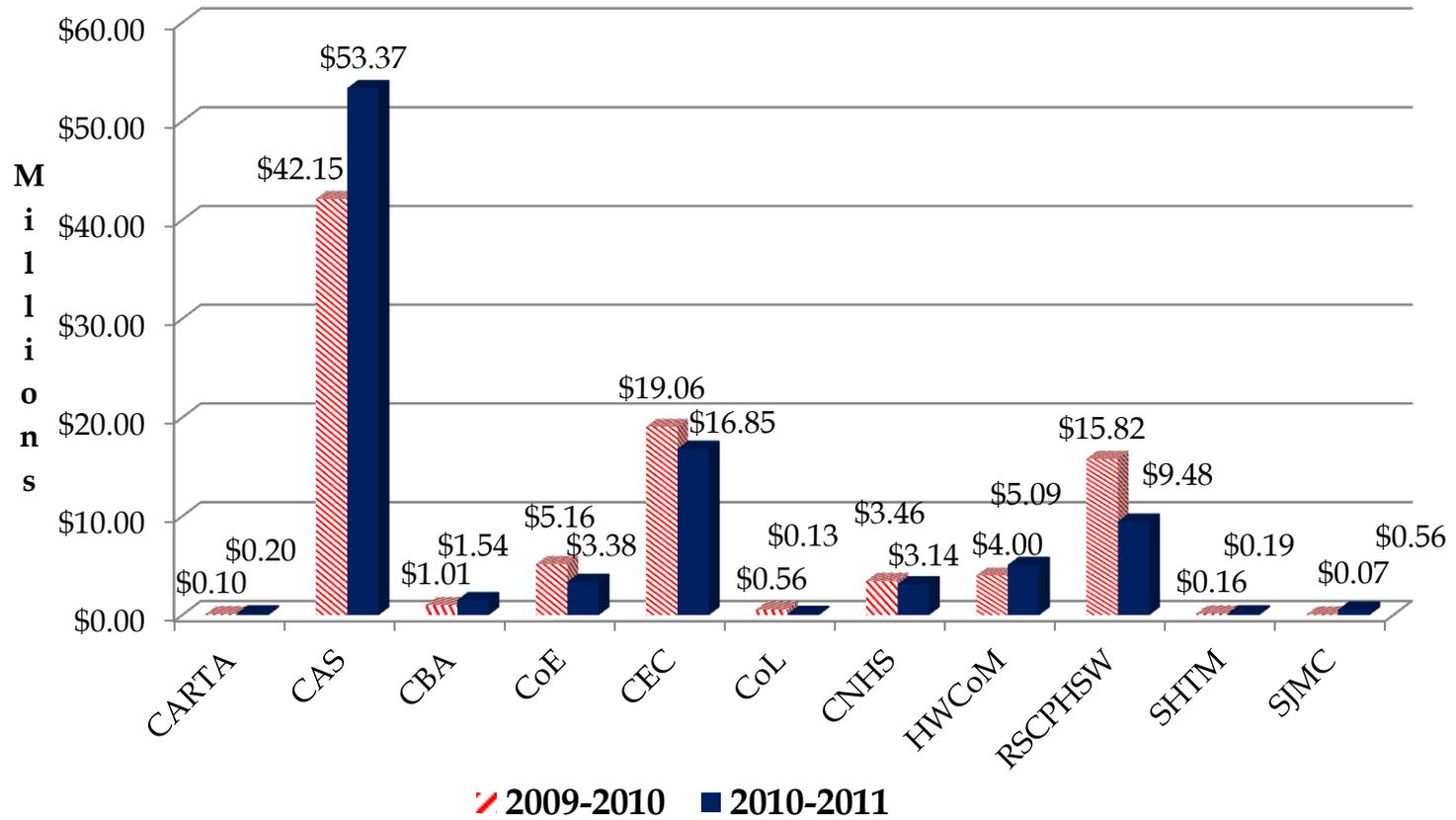


Figure 2: Average Award F&A Rate by College/School

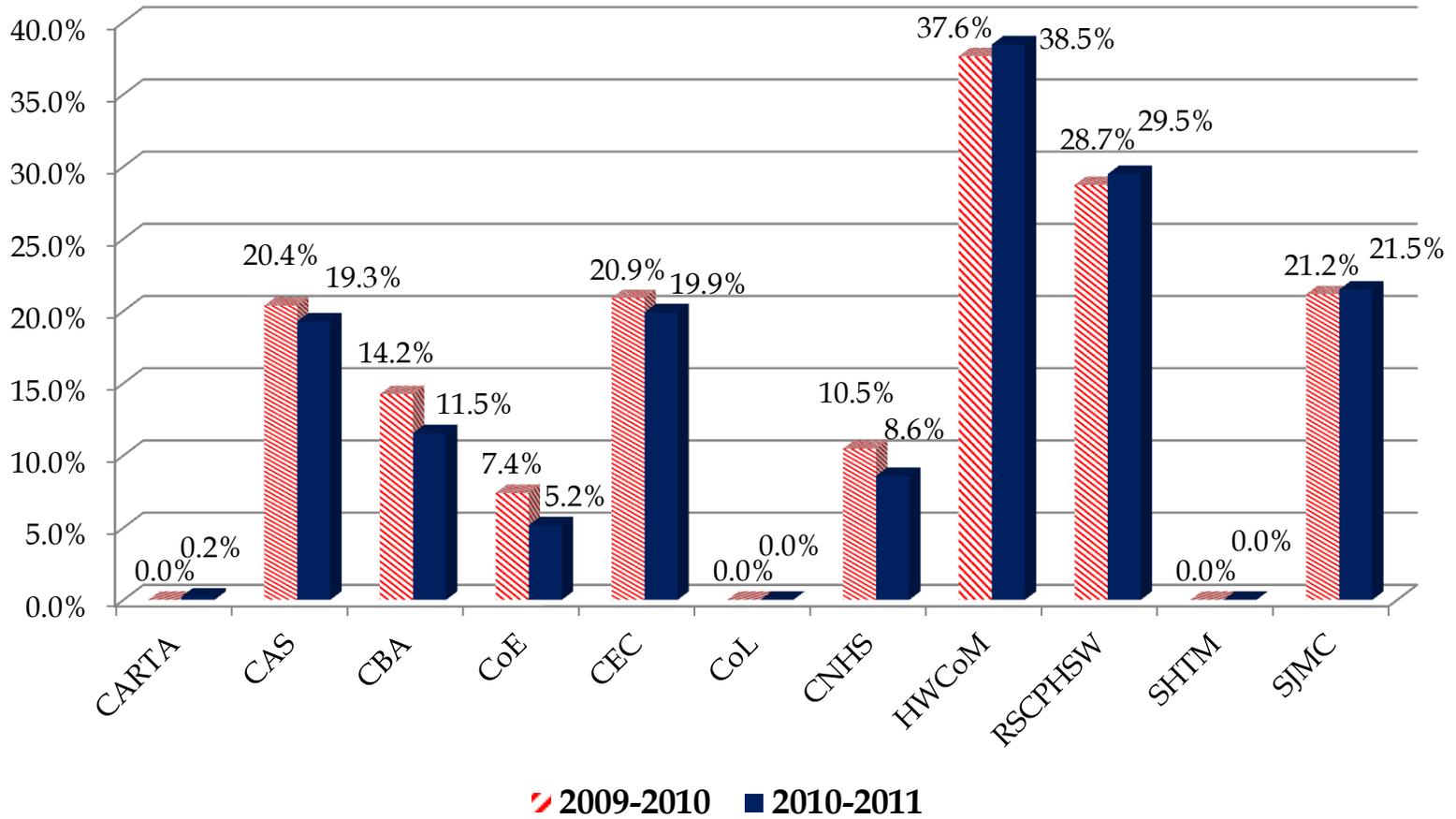


Table 2: Comparison of Awards Received by Centers, Institutes, Museums

College/Division	July 2009 - June 2010			July 2010 - June 2011			% change
	Direct	F&A	Total	Direct	F&A	Total	
Academic Affairs							
Applied Research Center (ARC)	\$4,059,772	\$1,074,785	\$5,134,557	\$4,439,549	\$2,201,181	\$6,640,730	29.33%
CRUSADA*	\$3,363,675	\$1,143,614	\$4,507,289	\$680,254	\$251,674	\$931,928	-79.32%
Int'l Hurricane Research Center (IHRC)	\$1,263,531	\$292,939	\$1,556,470	\$1,986,966	\$214,089	\$2,201,055	41.41%
Wolfsonian	\$912,256	\$15,000	\$927,256	\$414,738	\$15,988	\$430,726	-53.55%
College of Architecture + the Arts							
Frost Art Museum	\$142,133	\$0	\$142,133	\$150,158	\$0	\$150,158	5.65%
College of Arts & Sciences							
Center for Administration of Justice (CAJ)	\$1,711,882	\$342,746	\$2,054,628	\$824,981	\$130,946	\$955,927	-53.47%
Center for Children and Families (CCF)	\$437,502	\$195,103	\$632,605	\$1,467,324	\$591,702	\$2,059,026	225.48%
Center for Labor Research and Studies (CLRS)	\$337,644	\$28,844	\$366,488	\$184,315	\$8,435	\$192,750	-47.41%
Center for Transnational & Comparative Studies (CTCS)	\$131,046	\$9,173	\$140,219	\$0	\$0	\$0	n/a
Institute for Asian Studies (IAS)	\$0	\$0	\$0	\$41,647	\$0	\$41,647	n/a
Institute for Public Management and Community Service	\$310,337	\$28,187	\$338,524	\$81,411	\$10,052	\$91,463	-72.98%
International Forensic Research Institute (IFRI)	\$301,343	\$104,583	\$405,926	\$1,220,777	\$111,028	\$1,331,805	228.09%
Jack D. Gordon Institute for Public Policy & Citizenship Studies	\$139,654	\$10,080	\$149,734	\$471,483	\$27,238	\$498,721	233.07%
Latin American and Caribbean Center (LACC)	\$2,911,619	\$384,417	\$3,296,036	\$4,428,853	\$486,510	\$4,915,363	49.13%
Metropolitan Center	\$200,883	\$43,969	\$244,852	\$83,382	\$13,684	\$97,066	-60.36%
Southeast Environmental Research Center (SERC)	\$7,105,167	\$1,494,938	\$8,600,105	\$8,202,117	\$2,409,175	\$10,611,292	23.39%
Women's Studies Center	\$0	\$0	\$0	\$211,134	\$21,114	\$232,248	n/a

Table 2: Comparison of Awards Received by Centers, Institutes, Museums

College/Division	July 2009 - June 2010			July 2010 - June 2011			% change
	Direct	F&A	Total	Direct	F&A	Total	
College of Business							
Center for International Business Education & Research	\$0	\$0	\$0	\$362,074	\$28,726	\$390,800	n/a
Eugenio Pino & Global Entrepreneurship Center	\$0	\$0	\$0	\$129,012	\$0	\$129,012	n/a
College of Education							
Center for Urban Education and Innovation (CUEI)	\$126,133	\$32,164	\$158,297	\$0	\$0	\$0	n/a
College of Engineering & Computing							
Center for Diversity in Engineering & Computing	\$828,119	\$82,159	\$910,278	\$802,111	\$60,285	\$862,396	-5.26%
Division of Student Affairs							
Children's Creative Learning Center (CCLC)	\$0	\$0	\$0	\$273,166	\$21,511	\$294,677	n/a
School of Journalism & Mass Communication							
Institute for Public Opinion Research (IPOR)	\$48,261	\$9,943	\$58,204	\$46,830	\$2,810	\$49,640	-14.71%
International Media Center (IMC)	\$5,551	\$1,443	\$6,994	\$374,603	\$97,397	\$472,000	6648.64%
University Technology Services							
CIARA: Center for Internet Augmented Research	\$162,574	\$54,517	\$217,091	\$1,090,461	\$93,811	\$1,184,272	445.52%
Total	\$24,499,082	\$5,348,604	\$29,847,686	\$27,838,334	\$6,797,356	\$34,635,690	16.04%
Effective F&A rate	21.8%			24.4%			

* Includes \$2,859,222 and \$98,935 credited to the School of Social Work for FY 2009-2010 and 2010-2011, respectively.

Table 3: Awards by Sponsor Type

July 2009 - June 2010				
Funding Source	Awarded Direct Costs	Awarded F&A	Awarded Total	Percent
Federal Government	\$66,145,335	\$15,144,506	\$81,289,841	80.9%
State & Local Government	\$8,183,941	\$1,119,609	\$9,303,550	9.3%
Private / Other Sources	\$9,011,735	\$917,415	\$9,929,150	9.9%
TOTAL	\$83,341,011	\$17,181,530	\$100,522,541	100.0%
July 2010 - June 2011				
Federal Government	\$68,193,631	\$15,319,300	\$83,512,931	79.9%
State & Local Government	\$8,335,129	\$969,281	\$9,304,410	8.9%
Private / Other Sources	\$9,855,874	\$1,884,378	\$11,740,252	11.2%
TOTAL	\$86,384,634	\$18,172,959	\$104,557,593	100.0%

Table 4: Comparison of Applications Submitted by Colleges

College/School/Center/Division	July 2009 - June 2010			July 2010 - June 2011			% change
	Direct	F&A	Total	Direct	F&A	Total	
Academic Affairs	\$69,935,826	\$15,774,011	\$85,709,837	\$42,785,097	\$12,126,239	\$54,911,336	-35.9%
College of Architecture & the Arts	\$304,199	\$19,603	\$323,802	\$1,020,000	\$260,000	\$1,280,000	295.3%
College of Arts & Sciences	\$110,170,529	\$21,340,374	\$131,510,903	\$88,348,563	\$21,167,549	\$109,516,112	-16.7%
College of Business Administration	\$2,141,727	\$336,578	\$2,478,305	\$626,136	\$58,225	\$684,361	-72.4%
College of Education	\$15,560,299	\$1,865,696	\$17,425,995	\$11,155,628	\$1,440,735	\$12,596,363	-27.7%
College of Engineering & Computing	\$114,894,740	\$27,774,438	\$142,669,178	\$57,720,358	\$16,622,749	\$74,343,107	-47.9%
College of Law	\$614,751	\$0	\$614,751	\$186,804	\$0	\$186,804	-69.6%
College of Nursing & Health Sciences	\$7,396,229	\$1,973,922	\$9,370,151	\$9,271,114	\$1,642,083	\$10,913,197	16.5%
Division of Finance & Administration	\$0	\$0	\$0	\$53,308	\$14,393	\$67,701	N/A
Division of Student Affairs	\$2,722,126	\$430,050	\$3,152,176	\$517,629	\$17,037	\$534,666	-83.0%
Herbert Wertheim College of Medicine	\$10,009,828	\$3,583,358	\$13,593,186	\$11,601,893	\$4,466,383	\$16,068,276	18.2%
Robert Stempel College of Public Health & Social Work	\$53,123,537	\$17,755,275	\$70,878,812	\$33,140,753	\$11,386,073	\$44,526,826	-37.2%
School of Hospitality & Tourism Management	\$84,000	\$0	\$84,000	\$256,261	\$0	\$256,261	205.1%
School of Journalism & Mass Communication	\$6,637,754	\$1,560,078	\$8,197,832	\$917,799	\$223,027	\$1,140,826	-86.1%
UTS/CIARA	\$8,865,092	\$972,739	\$9,837,831	\$805,578	\$263,280	\$1,068,858	-89.1%
TOTAL	\$402,460,637	\$93,386,122	\$495,846,759	\$258,406,921	\$69,687,773	\$328,094,694	-33.8%
Effective/average F&A rate	23.2%			27.0%			

Table 5: Comparison of Applications Submitted by Centers, Institutes, Museums

College/Division	July 2009 - June 2010			July 2010 - June 2011			% change
	Direct	F&A	Total	Direct	F&A	Total	
Academic Affairs							
Applied Research Center (ARC)	\$34,156,070	\$12,413,459	\$46,569,529	\$16,837,825	\$5,558,123	\$22,395,948	-51.9%
CRUSADA: Center for Research on US Latino AIDS/HIV/Drug Abuse	\$5,971,013	\$2,135,916	\$8,106,929	\$16,714,186	\$5,627,692	\$22,341,878	175.6%
International Hurricane Research Center (IHRC)	\$4,759,755	\$707,751	\$5,467,506	\$73,806	\$151,288	\$1,014,779	-81.4%
The Wolfsonian	\$1,071,231	\$65,544	\$1,136,775	\$368,464	\$0	\$368,464	-67.6%
College of Architecture + the Arts							
Frost Museum	\$375,875	\$13,858	\$389,733	\$16,837,825	\$6,467	\$80,273	-79.4%
College of Arts & Sciences							
Center for Administration of Justice	\$6,684,497	\$956,821	\$7,641,318	\$3,356,938	\$781,088	\$4,138,026	-45.8%
Center for Children and Families (CCF)	\$1,909,058	\$857,277	\$2,766,335	\$2,173,641	\$822,880	\$2,996,521	8.3%
Center for Labor Research and Studies (CLRS)	\$400,755	\$22,923	\$423,678	\$194,489	\$11,161	\$205,650	-51.5%
Infant Development Research Center (IDRC)	\$0	\$0	\$0	\$99,908	\$44,958	\$144,866	n/a
Institute for Asian Studies (IAS)	\$173,483	\$13,184	\$186,667	\$0	\$0	\$0	n/a
Institute for Public Management and Community Service	\$308,856	\$28,068	\$336,924	\$81,411	\$10,052	\$91,463	-72.9%
International Forensic Research Institute (IFRI)	\$1,375,429	\$394,061	\$1,769,490	\$4,519,194	\$546,064	\$5,065,258	186.3%
Jack D. Gordon Institute for Public Policy & Citizenship Studies	\$940,698	\$77,507	\$1,018,205	\$983,601	\$220,003	\$1,203,604	18.2%
Latin American and Caribbean Center (LACC)	\$2,907,808	\$54,898	\$2,962,706	\$167,100	\$12,900	\$180,000	-93.9%
Metropolitan Center	\$924,214	\$283,300	\$1,207,514	\$1,488,182	\$206,789	\$1,694,971	40.4%
Southeast Environmental Research Center (SERC)	\$9,528,066	\$1,912,282	\$11,440,348	\$7,709,655	\$2,235,215	\$9,944,870	-13.1%
Women's Study Center	\$2,399,968	\$566,710	\$2,966,678	\$2,262,071	\$365,038	\$2,627,109	-11.4%

Table 5: Comparison of Applications Submitted by Centers, Institutes, Museums

College/Division	July 2009 - June 2010			July 2010 - June 2011			% change
	Direct	F&A	Total	Direct	F&A	Total	
College of Business Administration							
Center for International Business Education & Research	\$1,482,075	\$117,925	\$1,600,000	\$0	\$0	\$0	n/a
Eugenio Pino & Global Entrepreneurship Center	\$0	\$0	\$0	\$129,012	\$0	\$129,012	n/a
College of Engineering & Computing							
Center for Diversity in Engineering & Computing	\$5,058,596	\$872,037	\$5,930,633	\$2,191,788	\$263,305	\$2,455,093	-58.6%
School of Journalism & Mass Communication							
Institute for Public Opinion Research (IPOR)	\$5,273,619	\$1,410,937	\$6,684,556	\$162,430	\$36,567	\$198,997	-97.0%
International Media Center (IMC)	\$682,317	\$80,959	\$763,276	\$872,799	\$223,027	\$1,095,826	43.6%
UTS							
CIARA: Center for Internet Augmented Research	\$8,865,092	\$972,739	\$9,837,831	\$805,578	\$263,280	\$1,068,858	-89.1%
Total	\$95,248,475	\$23,958,156	\$119,206,631	\$78,029,903	\$17,385,897	\$79,441,466	-33.4%
Effective F&A rate	25.2%			22.3%			