

# FY2011

University of North Carolina  
Research and Sponsored Programs  
Report to the President



April 12, 2012

Friends of the University of North Carolina,

The FY2011 Research and Sponsored Programs Report to the President details another record year for the University of North Carolina. Despite the challenges of the current fiscal climate, our institutions remain extremely competitive for external funding, bringing in a total of \$1,376,200,780 in new awards in FY2011. Even after adjusting for activity related to the American Recovery and Reinvestment Act (ARRA), commonly referred to as the Stimulus Bill, the UNC portfolio of new external funds once again grew in FY2011. The adjusted total of \$1,219,829,661 in awards represents a 4% increase over last fiscal year. This level of continued growth demonstrates the quality and commitment of our faculty and staff.

Some sponsored awards provide UNC institutions with a portion of the costs of conducting research. The Facilities and Administrative (F&A) receipts, when applied wisely to research costs, can result in the kind of growth seen on page four.

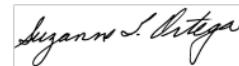
ARRA has increased federal funds available for university research to unprecedented levels. UNC constituent universities aggressively pursued these funds, collectively applying for over \$1.44 billion and receiving over \$330 million in ARRA funds to date. As seen on page five, the extraordinary efforts to apply for these one-time ARRA funds since FY09 were above and beyond the growing number of annual proposals our campuses submitted.

Award totals increased in FY11 for ten of our universities and UNC General Administration. Page seven of this report highlights areas where our diverse portfolio of extramural funding is impacting economic development, health, and the environment across the state.

Finally, this is our second year using a new report format. We hope that this structure continues to provide critical datasets while also highlighting accomplishments and initiatives that clearly demonstrate the impact of University of North Carolina research and sponsored programs.

I invite you to review the full report, and feel free to contact the Office of Research and Sponsored Programs with any questions. I look forward to another record year.

Sincerely,

A handwritten signature in black ink, appearing to read "Suzanne Ortega", enclosed within a thin black rectangular border.

Suzanne Ortega

Senior Vice President for  
Academic Affairs

# The University of North Carolina

## Sponsored Program Activity

### Fiscal Year 2011

(July 1, 2010 – June 30, 2011)

	FY11 Number Proposals	FY11 Total Proposal Dollars	FY11 Number Awards	FY11 Total Award Dollars (includes ARRA and inter-institutional awards)	FY10 Total Award Dollars (includes ARRA and inter-institutional awards)	% Change in Total Award Dollars from FY10	FY11 Inter-institutional Award Dollars	FY11 ARRA Award Dollars	Adjusted Total Award Dollars (minus Inter-institutional and ARRA awards)
<b>Doctoral Granting Institutions</b>									
NCSU	2952	\$ 971,813,036	2051	\$ 270,180,328	\$ 265,860,128	2%	\$ 12,718,899	\$26,987,928	\$ 230,473,501
UNCCH	4627	\$ 3,040,720,959	4589	\$ 788,025,112	\$ 803,552,594	-2%	\$ 11,110,340	\$ 55,554,596	\$ 721,360,175
ECU	967	\$ 225,259,103	455	\$ 44,071,147	\$ 48,863,240	-10%	\$ 7,000,578	\$ 1,111,745	\$ 35,958,824
NCA&TSU	402	\$ 227,689,420	219	\$ 61,122,519	\$ 60,140,464	2%	\$ 998,960	\$ 988,578	\$ 59,134,982
UNCC	666	\$ 214,590,364	350	\$ 31,000,477	\$ 34,550,701	-10%	\$ 2,346,720	\$ 1,600,348	\$ 27,053,409
UNCG	443	\$ 187,817,242	248	\$ 47,928,144	\$ 47,714,585	<1%	\$ 1,512,267	\$ 9,519,248	\$ 36,896,629
<b>Masters Institutions</b>									
ASU	334	\$ 58,412,050	253	\$ 17,552,642	\$ 17,533,182	<1%	\$ 1,533,548	\$ 3,617,453	\$ 12,401,641
FSU	83	\$ 27,504,955	37	\$ 12,674,908	\$ 12,131,094	4%	\$ 701,175	\$ 111,418	\$ 11,862,315
NCCU	139	\$ 91,436,462	104	\$ 25,958,540	\$ 20,695,159	25%	\$ 906,796	\$ 575,662	\$ 24,476,082
UNCP	47	\$ 11,743,871	35	\$ 3,933,230	\$ 4,422,460	-11%	\$ 658,039	\$ 1,101,762	\$ 2,173,429
UNCW	216	\$ 54,729,445	168	\$ 10,272,858	\$ 36,260,057	-72%	\$ 971,742	\$ 1,164,811	\$ 8,136,305
WCU	63	\$ 22,142,094	68	\$ 6,109,627	\$ 4,575,904	34%	\$ 588,481	\$1,292,301	\$ 4,228,844
WSSU	122	\$ 55,890,785	83	\$ 18,857,009	\$ 15,784,791	19%	\$ 712,117	\$ 703,889	\$ 17,441,003
<b>Baccalaureate Institutions</b>									
ECSU	102	\$ 36,879,310	62	\$ 15,623,354	\$ 15,887,098	-2%	\$ 253,298	\$ 284,902	\$ 15,085,154
UNCA	31	\$ 4,858,195	30	\$ 4,477,152	\$ 2,909,288	54%	\$ 1,544,019	\$ 424,612	\$ 2,508,521
<b>Special Focus Institutions</b>									
NCSSM	18	\$ 3,482,945	5	\$ 110,866	\$ 401,004	-72%	\$ -	\$ -	\$ 110,866
UNCSA	2	\$ 110,000	2	\$ 110,000	\$ 68,500	61%	\$ -	\$ -	\$ 110,000
<b>System Office</b>									
UNC GA	29	\$ 28,047,863	19	\$ 18,192,870	\$ 11,337,370	60%	\$ -	\$ 7,774,887	\$ 10,417,983
TOTALS	11243	\$ 5,263,128,100	8778	\$ 1,376,200,780	\$ 1,402,687,618	-2%	\$ 43,556,979	\$ 112,814,140	\$ 1,219,829,661

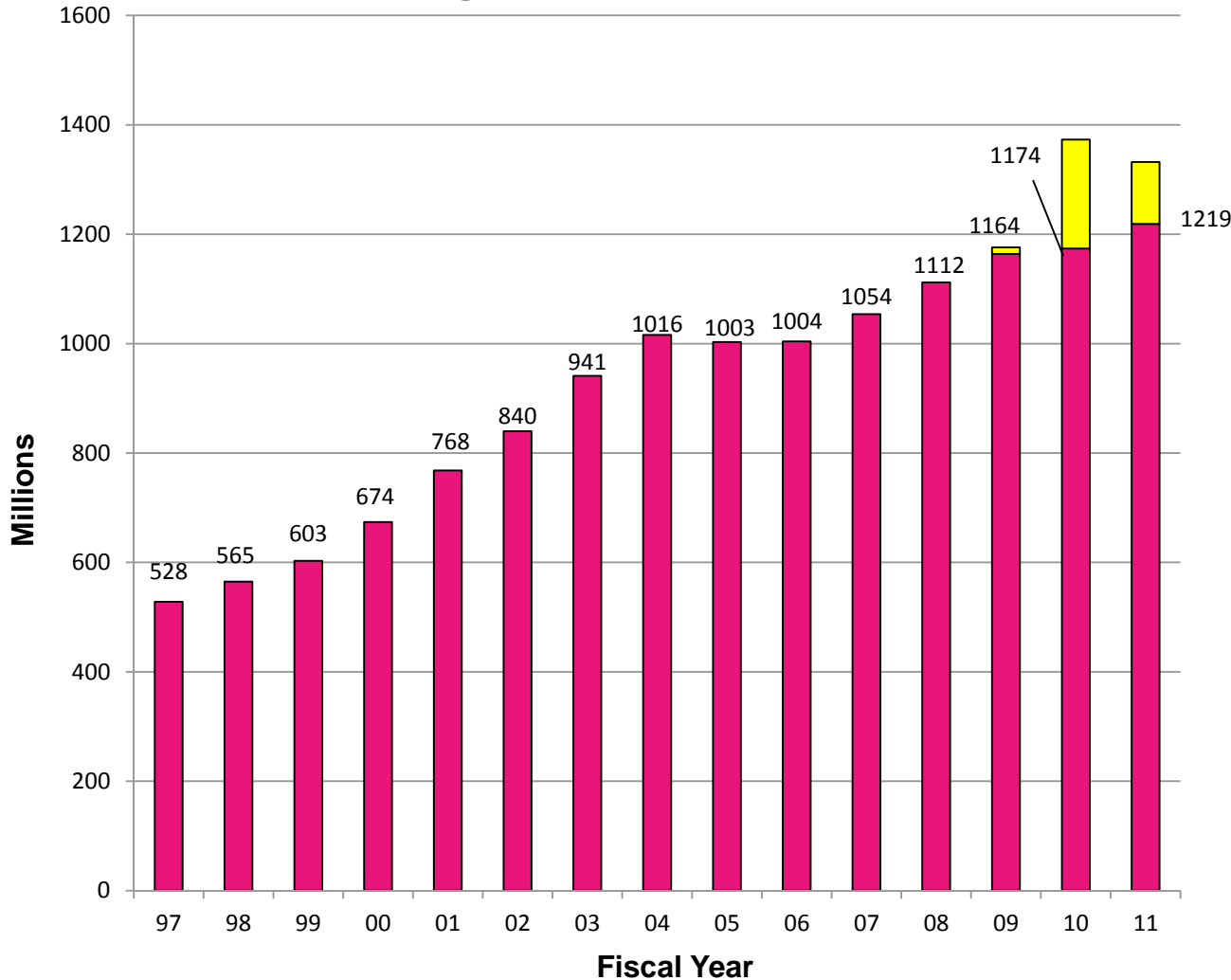
## Steady Progress

In FY11, UNC institutions once again demonstrated their competitiveness for sponsored programs.

As ARRA competitions and funding become a thing of the past, annual award dollars will begin to trend more towards normal levels. Such trending appears this year, with overall award dollars (\$1.38B) reflecting a 2% decrease from FY10.

The adjusted annual total of \$1.22B is 4% growth over the previous fiscal year. The adjusted total does not include ARRA (Stimulus Bill) funding, which has boosted systemwide award totals since FY09.

## Sponsored Programs from FY97 to FY11

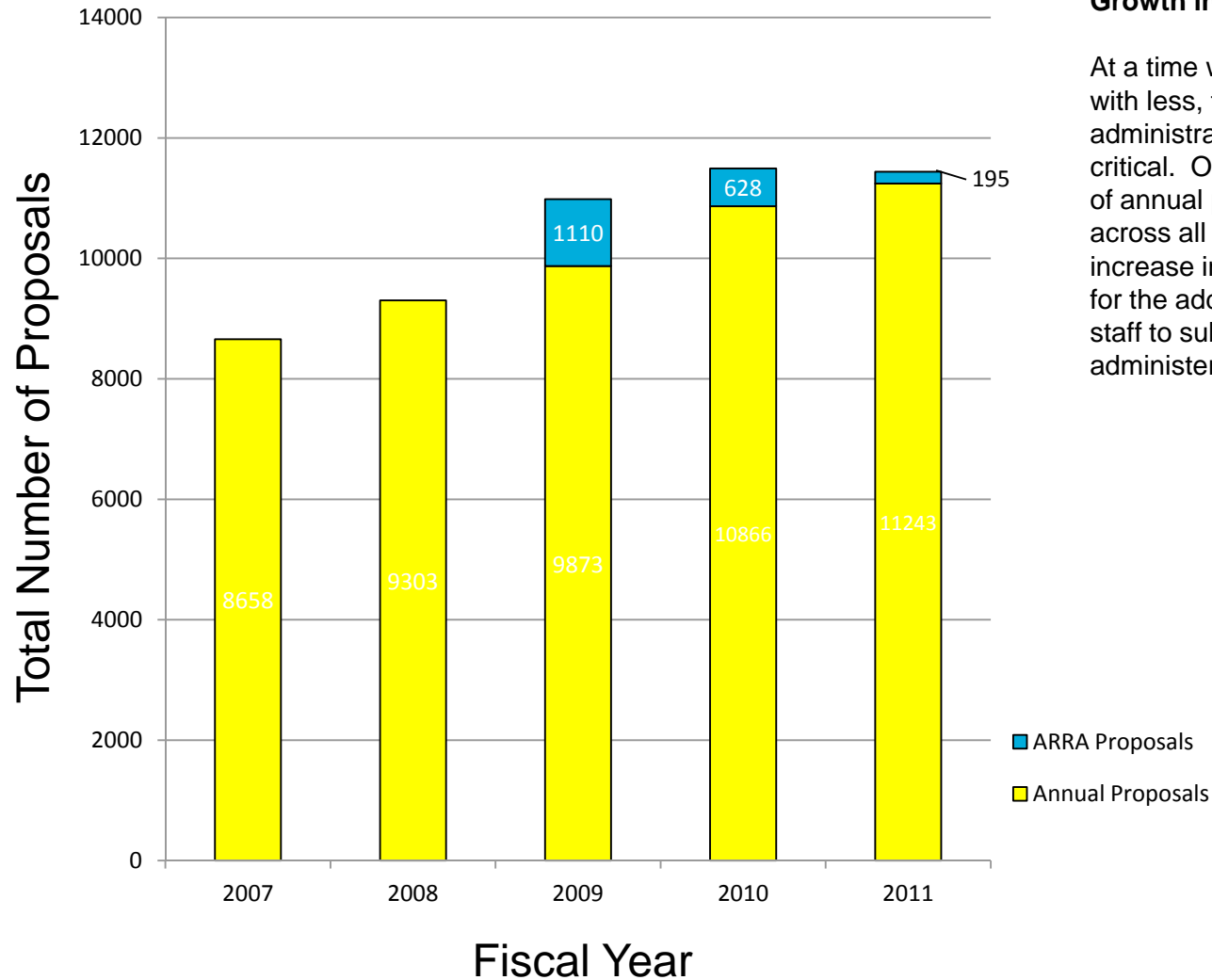


In the last 15 years, UNC sponsored program activity has doubled, even without the recent boost from ARRA funds (shown in gold). A significant factor in this rapid growth has been the ability of UNC institutions since FY99 to retain the facilities and administrative (F&A) receipts that are awarded to help institutions cover the costs of conducting research. UNC institutions utilize F&A receipts to, among other things, maintain and expand research infrastructure like equipment; invest in new research through matching funds, seed grants and “start up” packages for new faculty; support library holdings; and ensure compliance with federal and other regulations.



# The University of North Carolina

## Trends in Proposal Submissions



### Growth in Proposal Submissions

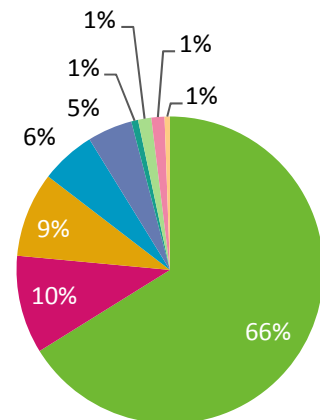
At a time when all UNC institutions are doing more with less, the role of our campus research faculty, administrators and staff has never been more critical. Over the past five fiscal years, the number of annual proposal submissions increased by 29% across all UNC campuses. The percentage increase in proposal submissions does not account for the additional effort required of our faculty and staff to submit ARRA proposals since 2009 and to administer those that were awarded.



# The University of North Carolina

## Fiscal Year 2011 Sponsors

United States Federal Government		Foundations	
National Aeronautics and Space Administration	\$ 8,398,974	NC Foundations	\$ 12,037,427
National Foundation on the Arts and Humanities	\$ 1,916,439	All other foundations	\$ 52,920,411
National Historical Publications and Records Commission	-	<b>Total Awards from Foundations</b>	<b>\$ 64,957,838</b>
National Science Foundation	\$ 113,441,333		
Small Business Administration	\$ 3,691,178		
U. S. Department of Agriculture	\$ 38,602,965	<b>Commerce (Business and Industry)</b>	
U. S. Department of Commerce	\$ 9,427,599	NC Business and Industry	\$ 10,586,278
U. S. Department of Defense	\$ 35,181,093	All other business and industry	\$ 69,187,700
U. S. Department of Education	\$ 78,898,171	<b>Total Awards from Commerce (Business and Industry)</b>	<b>\$ 79,773,978</b>
U. S. Department of Energy	\$ 34,142,636		
U. S. Department of Health and Human Services (Non-NIH)	\$ 64,747,780	<b>Associations</b>	
U. S. DHHS National Institutes of Health	\$ 442,894,343	NC Associations	\$ 1,470,684
U. S. Department of Homeland Security	\$ 9,305,008	All other associations	\$ 17,755,870
U. S. Department of Housing and Urban Development	\$ 2,941,527	<b>Total Awards from Associations</b>	<b>\$ 19,226,554</b>
U. S. Department of the Interior	\$ 5,090,881		
U. S. Department of Justice	\$ 1,506,744	<b>Educational/Research Institutions</b>	
U. S. Department of Labor	-	NC Institutions	\$ 65,307,051
U. S. Department of State	\$ 559,225	All other institutions	\$ 76,879,328
U. S. Department of Transportation	\$ 3,931,659	<b>Total Awards from Educational/Research Institutions</b>	<b>\$ 142,186,379</b>
U. S. Department of the Treasury	-		
U. S. Department of Veterans Affairs	\$ 174,019	<b>Not-for-Profit Organizations</b>	
U. S. Environmental Protection Agency	\$ 8,405,904	NC Not-for-profit organizations	\$ 9,110,981
U. S. International Development Cooperation Agency	\$ 43,315,343	All other not-for-profit organizations	\$ 9,795,641
All Other Federal Agencies	\$ 3,115,400	<b>Total Awards from Not-for-Profit Organizations</b>	<b>\$ 18,906,622</b>
Corporation for National and Community Service	\$ 770,483		
<b>Total Awards from Federal Government</b>	<b>\$ 910,458,702</b>	<b>Other Sponsors</b>	
		Other NC sponsors	\$ 2,955,772
<b>State Government</b>		All other US sponsors	\$ 4,510,059
State of North Carolina	\$ 119,889,998	Foreign Sponsors	\$ 256,144
All other states	\$ 2,960,260	All other/uncodable	\$ 206,771
<b>Total Awards from State Government</b>	<b>\$ 122,850,258</b>	<b>Total Awards from Other Sponsors</b>	<b>\$ 7,928,746</b>
<b>Local Government</b>		<b>UNC TOTAL</b>	<b>\$ 1,376,200,780</b>
NC Local Government	\$ 9,342,824	Interinstitutional Subagreements	\$ (43,556,979)
All other local government	\$ 568,879	ARRA Awards	\$ (112,814,140)
<b>Total Awards from Local Government</b>	<b>\$ 9,911,703</b>	<b>Adjusted Total</b>	<b>\$ 1,219,829,661</b>



- Federal (66%)
- Edu/Research Orgs (10%)
- State (9%)
- Industry (6%)
- Foundations (5%)
- Local (1%)
- Associations (1%)
- Not-for-Profits (1%)
- Other (1%)



## The University of North Carolina Fiscal Year 2011 Highlights

Research and sponsored programs at all UNC institutions contribute to the economic vitality of their regions and support important industry sectors in the state, such as energy efficiency and healthcare. For this reason, care is taken to support and develop the research enterprise at each UNC campus, some of which are highlighted here.

**Award:** Weatherization Innovation in NC (WINC)  
**Recipient:** UNC Charlotte (Dr. Thomas Gentry, PI)  
**Sponsor:** US Department of Energy  
**Amount:** \$2,005,945

The WINC project demonstrates best practices and tests several innovations for effective weatherization of homes in rural and semi-urban areas of North Carolina. The project aims to weatherize 800 homes for low-income families in 12 counties covering each of the three climate regions of North Carolina. WINC was developed with a sustainability-themed approach that seeks to enhance whole-house building performance; be cost effective; and build social capital.

### NCCU/UNC-CH effort snares \$12M in cancer funding

Submitted by ellen on 10/22/2010 - 11:10

Tags: Campus Notes | BBRI | Julius L. Chambers Biomedical/Biotechnology Research Institute | Lineberger Comprehensive Cancer Center | N.C. Central University | NCCU | UNC | UNC-Chapel Hill

SHARE

Scientists with N.C. Central University and UNC-Chapel Hill have won a joint grant from the National Cancer Institute that will bring nearly \$12 million to the two institutions.

The Comprehensive Minority Institution Cancer Center Partnership Grant is one of two issued by NCI; Harvard and the University of Massachusetts were awardees as well.

This will be the largest sponsored research grant in NCCU history - \$7 million over five years. In the Julius L. Chambers Biomedical/Biotechnology Research Institute, UNC's Lineberger Comprehensive Cancer Center will receive about \$4.9 million.

The money will fund faculty partnerships between the two institutions to develop joint programs, expand training and support five research projects.

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### NCSU wins obesity grant

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THE ASSOCIATED PRESS

RALEIGH -- With one report saying nearly half the state's children are at risk of obesity-related ailments, the federal government on Wednesday announced a \$3 million grant for N.C. State University researchers looking for ways to keep kids fit.

Kathleen Merrigan, deputy secretary of the U.S. Department of Agriculture, spoke at the grant at the university during a tour to promote agriculture and food security to local farmers and homegrown products.

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Published: 10:55 PM, Thu Feb 17, 2011

### FSU professor gets Department of Defense grant

A staff report

A Fayetteville State University professor has received a \$573,000 grant from the Department of Defense to study how to grow healthier soybeans. Abdelnajid Kassem, a professor of biological sciences at FSU, said he will try to find genes that control the production of isoflavones in soybeans. Isoflavones might help reduce the risk of breast cancer, prostate cancer, cardiovascular disease, and reduce the symptoms of menopause in women, he said.

"These isoflavones have many health benefits in humans," he said. Kassem will be looking at the production of proteins and oils in soybeans, which he said have positive health benefits.

A small portion of the grant, about \$18,000, will be shared with Southern Illinois University, Kassem said. The grant is part of the Defense Department's Historically Black Colleges and Universities and Minority The program provides grants to "enhance education programs and research capabilities at racial The program is critical to national security and the (Department of Defense)," a depart



# The University of North Carolina

## Select Initiatives in Research and Sponsored Programs

### REACH NC

REACH NC is a Web-based portal that enables users to find experts and assets within North Carolina higher education and research institutions. With funding and support from UNC General Administration, Golden LEAF, NC Biotechnology Center, Research Triangle Foundation and TUCASI, the portal was established in May 2011 at [www.reachnc.org](http://www.reachnc.org). It included select expert profiles from two pilot campuses, North Carolina State University and the University of North Carolina at Chapel Hill. Significant progress was made throughout the remainder of FY11 to prepare and display other UNC institutions in the portal.



### Undergraduate Research

The State of NC Undergraduate Research and Creativity Symposium (SNCURCS, pronounced "Snickers") occurs through a rich partnership between North Carolina's public and private universities and community colleges. On November 2010, Meredith College hosted over 340 students from 39 NC institutions presented their original research and creative works to hundreds of attendees. On April 13, 2011, nearly 100 undergraduates representing all UNC institutions participated in the biennial Research in the Capital event, an opportunity for our students to share their original research with our legislative delegation in Raleigh.



*Representative Garland Pierce with UNC Pembroke student presenters at Research in the Capital, 2011.*

### Innovation Development and Transfer

Throughout 2010, UNC campuses sought to strengthen their innovation development and transfer efforts by identifying areas of research strength and commercial potential, evaluating systems and programs to support entrepreneurial individuals, and developing novel, efficient technology development processes. Our February 2011 report documents the significant progress made by each UNC institution as a result of the yearlong initiative. The full report is available at

[http://www.northcarolina.edu/research/initiatives/tech\\_transfer/FINAL\\_PhaseI\\_Report.pdf](http://www.northcarolina.edu/research/initiatives/tech_transfer/FINAL_PhaseI_Report.pdf)



### Electronic Research Administration Initiative

FY11 brought significant progress in the effort to bring UNC campuses onto RAMSeS, an electronic research administration tool developed by UNC Chapel Hill. Work continues to expand and standardize usage, reporting practices, and capabilities across the campuses.

