



AN ASSESSMENT
OF
RESEARCH, CREATIVE, AND SCHOLARLY ACTIVITY
AT
THE UNIVERSITY OF SOUTHERN MAINE

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I. Executive Summary

In October 2000, the University of Southern Maine's (USM) Board of Visitors issued *The Southern Maine Imperative*, in which they stated their expectations and codified USM's role within the community.¹ Then, in September 2004, the University of Maine System's Board of Trustees released its *Strategic Plan* and reaffirmed USM's regional role.² The description of USM's role and its governing bodies' expectations of its future is summarized below (Figure I A).

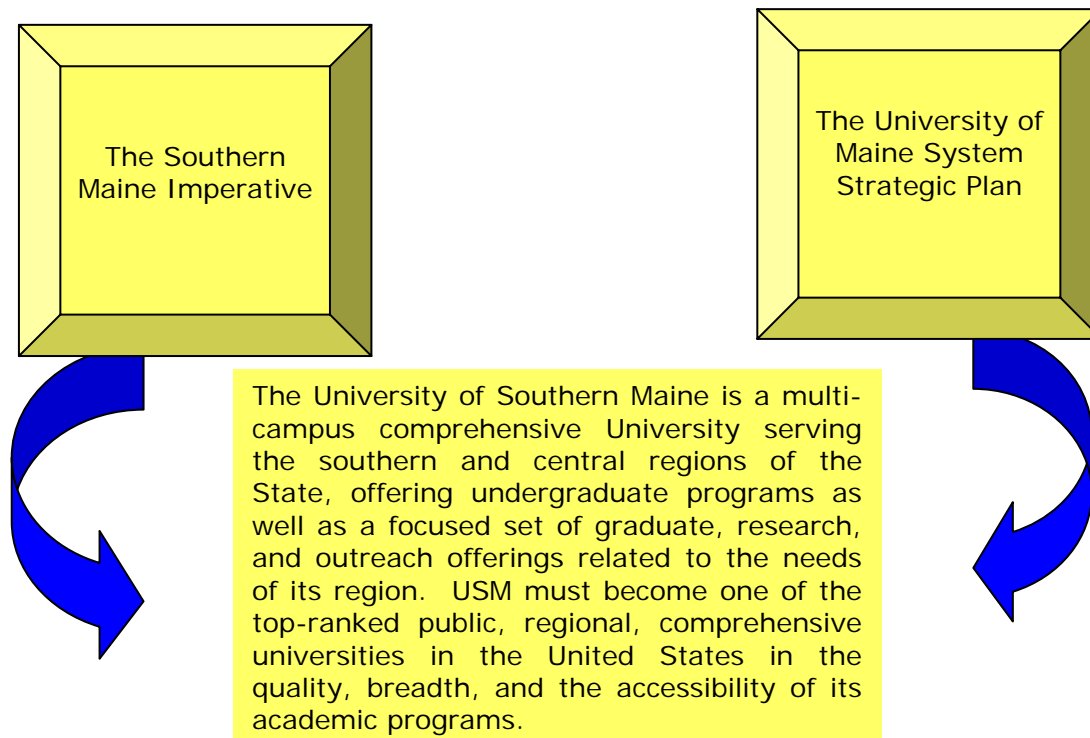


Figure I A

Provost Joseph Wood engaged the team of Lovett Collins Associates, LLC (Lovett Collins) and the American Association for the Advancement of Science (AAAS) to: 1) assess the current state and supporting infrastructure of research creative, and scholarly activity (RC&SA) at USM; and 2) produce and deliver a series of findings and recommendations to guide USM's policies and strategic direction for RC&SA.

¹ "The University of Southern Maine must become one of the top-ranked public, regional, comprehensive universities in the United States in the quality, breadth, and the accessibility of its academic programs."

² "A comprehensive, multi-campus, urban university serving the southern and central regions of the State, offering undergraduate programs as well as a focused set of graduate, research, and outreach offerings related to the needs of those regions."

In his strategic plan for the University, *Transforming USM*, President Richard Pattenaude offers five “levers” of change³ necessary to fulfill the expectations of USM’s communities. It is in the context of this plan that the consulting team set out to assess the role and value of research, creative, and scholarly activity (RC&SA) as a tool to achieve the goal of national excellence articulated by the University’s Board of Visitors.

The consulting team used a three-tiered approach to the assessment:

1. The consulting team engaged a Steering Committee with national, regional, and community representatives to broaden the discussion on RC&SA and its value to USM.
2. Lovett Collins conducted many interviews on-site over several months, met periodically with the deans, held a series of town meetings open to all members of the USM community to keep them apprised of the process, and engaged an internal panel appointed by the Provost to provide feedback on the key emerging issues brought to them for discussion. Lovett Collins also met regularly with senior leadership during the process to update them of the status of the assessment.
3. AAAS brought a panel of external experts to Maine to conduct a site visit on the Portland and Gorham campuses. Over several days, the panel interviewed a cross-section of USM faculty and staff from across the three campuses to address two issues: personnel and existing system capacity. The panel prepared a report on their findings, *Building Capacity for Research, Creative and Scholarly Activity at the University of Southern Maine* (Appendix D). The AAAS report focuses primarily on externally funded research and the infrastructure required to conduct research, creative, and scholarly activity competitively, efficiently, and effectively.

This document considers scholarship on each of USM’s three campuses, the impact of RC&SA on its communities, the faculty’s role in *Transforming USM*, and the changes to University leadership, policies, and infrastructure necessary to maximize USM’s investments in RC&SA.

The report details a comprehensive set of recommendations from this assessment that focus on fixing functional weaknesses in RC&SA infrastructure and investing in the University’s strengths. Key recommendations are:

- Be bold. Decide where the University wishes to excel and focus investment in those areas.

³ 1) Revitalize the curriculum. 2) Invest in current programs and people. 3) Change the enrollment profile. 4) Upgrade and expand facilities. 5) Raise additional external support.

- Build on excellence. Focus USM program investments using established criteria. Terminate ineffective investments and reallocate funding. Establish performance expectations, outcomes, and timelines for investment of MEIF and internally supported funding for RC&SA.
- Hire a Chief RC&SA Officer (CRO). Ensure that research infrastructure, policies, procedures, expectations, and rewards are aligned across schools, colleges, and campuses. Upgrade and formalize RC&SA functions under the leadership and direction of the CRO.
- Create a RC&SA Council. The Council's membership should represent the faculty and professional staff from all of the colleges and schools. Among its responsibilities, the Council will gain input from the faculty and staff on the recommendations of this report.
- Overhaul indirect cost rate structures and budgeting. Develop policies on indirect cost recovery, match, and space and equipment requirements of adding new faculty. Develop an interactive budgeting mechanism and transparent financial reporting.
- Establish a RC&SA fund. The funding goal should be \$5 Million over 3-5 years to support the role of the faculty and staff in the implementation of *Transforming USM*. The fund should be seeded by the community, awarded competitively, and based on internal and external peer review.
- Look to the future. Support small investments in promising individual faculty endeavors. Use peer review. Make expectations clear. Develop performance standards for continued funding. Hold awardees accountable.
- Support faculty scholarship. Develop objective standards to document and assess the breadth of the faculty's scholarship as articulated in the "Boyer model."
- Support community/University integration. Constitute, where required, and actively engage community Councils for Research, Industry, Community Engagement, Public Health, Arts and Humanities, and Human Services. Catalogue and celebrate the integration of the faculty and professional staff with their communities. Increase communication venues for and among faculty.
- Implement the report's recommendations. Develop action steps, assign responsibility, create a timetable, and measure progress.

This assessment provides the University with a comprehensive strategy to increase the value of RC&SA to the University and its communities. It also creates a platform for engaging the faculty in the implementation of *Transforming USM*.

The observations, recommendations, and action steps in this report are in six discrete sections: A) The State of the University B) Community Engagement C) Scholarship D) Leadership Structure of RC&SA E) Financial Strategies and F) Funding Challenges and Investment Opportunities. Although the recommendations are presented in separate sections, they are interdependent and mutually supportive elements of a complex whole.

II. Introduction

In the Fall of 2004, USM senior leadership released a Request for Proposals that called for five tasks:

1. Design and carry out a process for reviewing, analyzing, and reporting on USM's current research activity. Identify and engage members of the University community (stakeholders) in an ongoing participatory process that will identify issues and needs, provide input and feedback, and assist in implementation of interventions. Facilitate meetings, interviews, and focus groups, as needed.
2. Evaluate University infrastructure (financial, programmatic, organizational) in terms of research capacity and growth; analyze strengths and weaknesses inherent in current activities and provide recommendations for interventions. Work is inclusive of, but not limited to: integration of research with University mission, the faculty and student involvement, incentives and barriers to research, and effectiveness of organizational structures.
3. Assist USM in strategic planning for the development of scientific research centers and/or foundations; evaluate the feasibility and benefits of establishing such entities and provide recommendations.
4. Bring in regional and national technical resources/experts, as appropriate, to advance USM's strategic initiatives with external partners, collaborating institutions, funding agencies, economic development groups, and others. Identify opportunities for potential growth, collaboration, and access to resources.
5. Produce and deliver a series of reports/findings and recommendations, based upon the above that will guide USM's development of policies, practices, and strategic directions for research.

Following a competitive process, USM contracted with the team of Claire Collins and EJ Lovett III of Lovett Collins Associates, LLC (Lovett Collins) and Edward Derrick of the American Association for the Advancement of Science (AAAS) to conduct an assessment of research at USM. During a December "kickoff" meeting with senior leadership, the scope of the engagement was expanded from "research" to the broader context of "research, creative, and scholarly activity (RC&SA)" at USM.

From December 2004 through August 2005, Lovett Collins conducted over 400 interviews, held two rounds of town meetings on each of the three campuses, and met with individuals, groups, insiders, outsiders, collaborating institutions, leadership, deans, the faculty, and professional staff.

The assessment process [Appendix A] benefited from the input and advice of a diverse committee structure: a Steering Committee [Appendix B], Deans' Council, Internal Advisory Panel [Appendix C], and a Site Team.

This assessment document is one of three reports that address the tasks specified in the proposal:

- ┌ The American Association for the Advancement of Science, with a team of national experts, conducted a site visit in March 2005. The AAAS team reviewed materials provided by the deans and interviewed a cross-section of the faculty from the three campuses and eight colleges. The team's resulting observations and recommendations are contained in the first report from this Assessment, *Building Capacity for Research, Creative, and Scholarly Activity at the University of Southern Maine*, April 2005 [Appendix D]. The AAAS report focuses primarily on externally funded research and the infrastructure required to conduct research, creative, and scholarly activity competitively, efficiently, and effectively.
- ┌ Lovett Collins' *An Assessment of Research, Creative, and Scholarly Activity* is the second in the series. The *Assessment* incorporates recommendations in the first report and takes a broader look at RC&SA, its relationship to teaching/scholarship/service, and the faculty's use of RC&SA in *Transforming USM*.
- ┌ In response to Task 3, Lovett Collins will issue *The Feasibility and Benefits of Establishing Scientific Research Centers or Foundations at the University of Southern Maine*, in the fall of 2005.

III. Observations and Recommendations

The observations, recommendations, and action steps in this report are in six discrete sections: A) The State of the University B) Community Engagement C) Scholarship D) Leadership Structure of Research, Creative, and Scholarly Activity (RC&SA) E) Financial Strategies and F) Funding Challenges and Investment Opportunities. Although the recommendations are presented in separate sections, they are interdependent and mutually supportive elements of a complex whole.

A. The state of the University

Each of the institutions within the University of Maine System has a designated role, authority, and responsibility, e.g., the University of Maine is a research university, and the University of Maine at Farmington is a teaching college. As a comprehensive regional university, USM has the unique opportunity to carve out its own distinct mission and role within the region it serves by delivering a focused set of academic, research, and outreach offerings.

USM has been in a state of rapid evolution for more than a decade, transitioning from a collection of liberal arts and teaching colleges to a

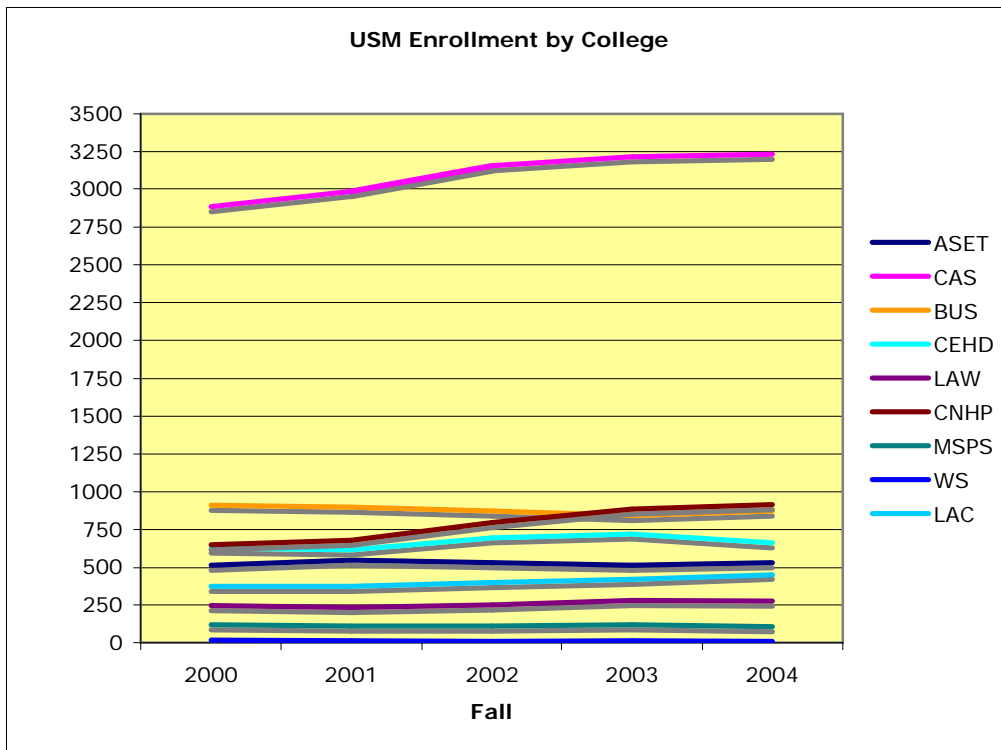


Figure III A⁴ USM Enrollment by College 2000-2004

⁴ USM Enrollment 2000-2004

university with a balanced portfolio of undergraduate and graduate faculty and programs (Figure III A).

Total enrollment has grown from 9,500 students in 1995 to over 11,000 students in the Fall of 2004 (Figure III B). In addition, students are more

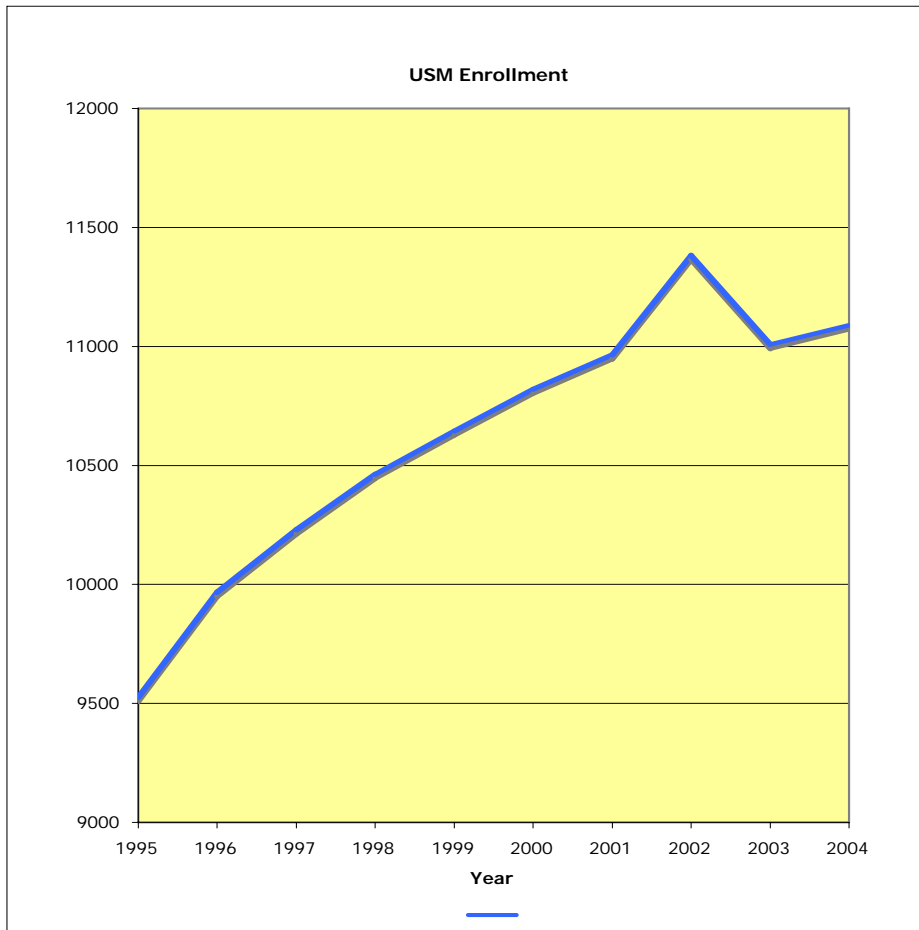


Figure III B⁵ USM Enrollment 1995-2004

focused on selecting a major. The percentage of registered students each Fall that are either undeclared or non-degreed has been steadily declining (Figure III C).

⁵ USM Fact Books, 1994-1995 through 2004-2005

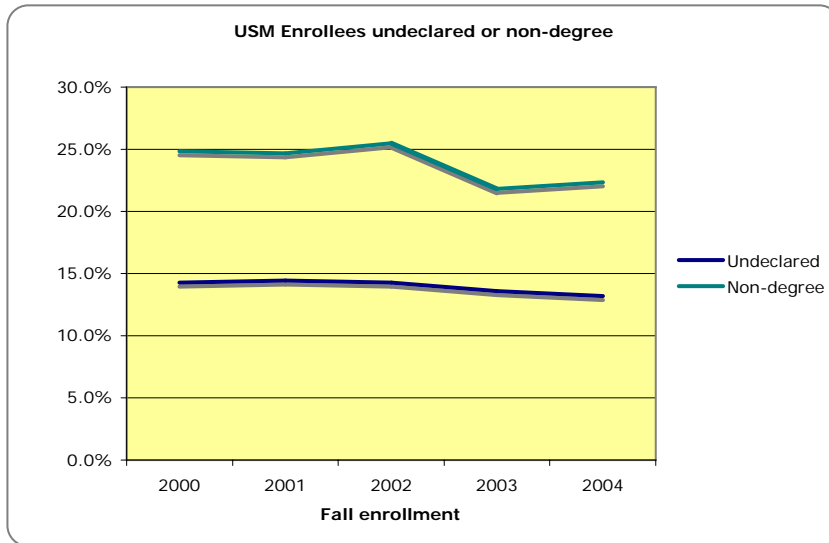


Figure III C⁶ USM Enrollees undeclared or non-degree

The relative change from 2000 to 2004 in the percentage of students enrolling with declared majors has generally increased (Figure III D) across all colleges and schools⁷.

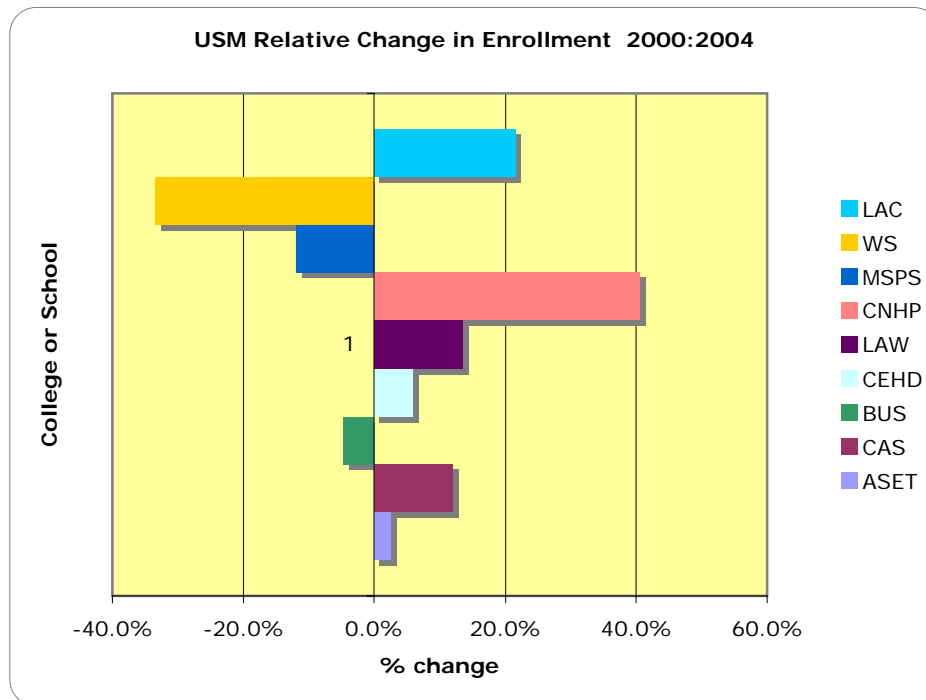


Figure III D⁸ USM Relative Change in Enrollment 2000:2004

⁶ USM Fact Books 2000-2001 – 2004-2005

⁷ Key: LAC Lewiston-Auburn College, WS Women's Studies, MSPS Muskie School of Public Service, CNHP College of Nursing and Health Professions, LAW Maine School of Law, CEHD College of Education and Human Development, BUS School of business, CAS College of Arts and Sciences, ASET Applied Science, Engineering, and Technology

The University’s culture, structure, and incentives have been shaped by USM’s undergraduate focus. However, the number of Baccalaureate and Master’s degrees awarded each year has been steadily increasing (Figure III E).

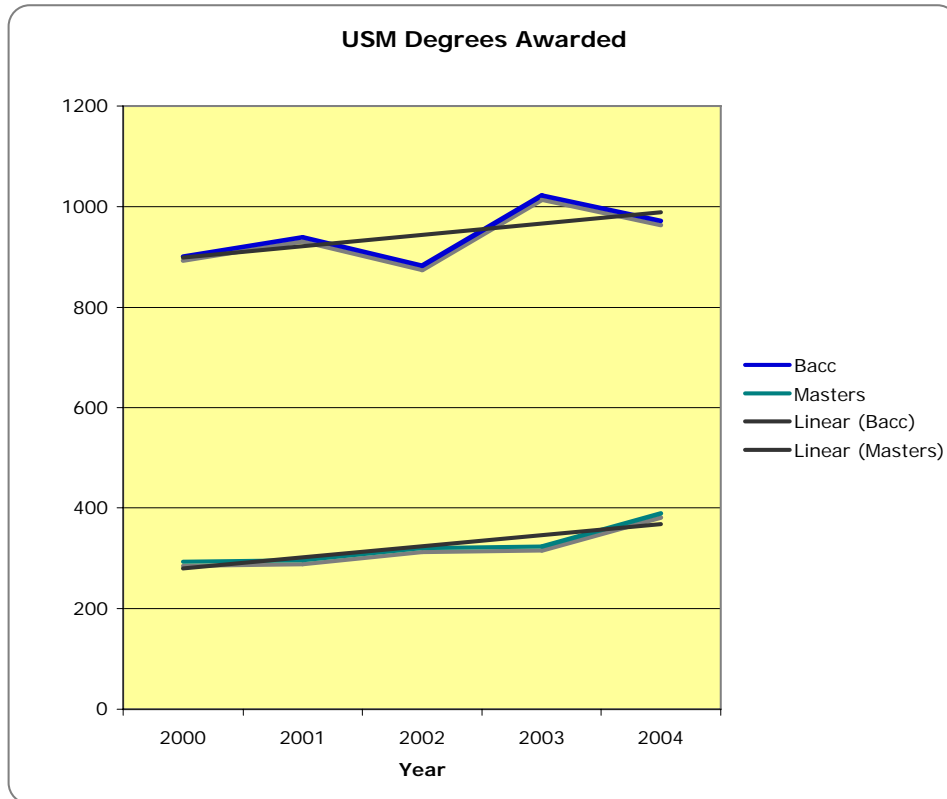


Figure III E⁹ USM Degrees Awarded 2000-2004

The University’s culture, structure, and incentives must now support a population of upper level undergraduate and graduate students. Growth in competitive RC&SA could support a larger pool of graduate students. USM could align the development of its graduate programs with strategic development in RC&SA.

USM comprises three geographically distant campuses. This configuration has fostered the evolution of a rich diversity among the campuses. It also presents challenges to leadership attempting to weave the various threads into a single fabric. Geography, diminution of resources, and disparate community needs have led to the isolation of campus or college units and the formation of programmatic or operational silos. Such isolation has impeded the development of synergies that might result from this diverse mix and has been a barrier to the University’s ability to leverage its assets as well as it might.

⁸ USM Fact Books 1999-2000 – 2004-2005

⁹ USM Fact Books 1999-2000 – 2004-2005

In addition, many of the University's systems, operations, policies, and procedures have not kept pace with the expanding needs of the University. Key examples of such elements include: 1) outdated systems of grant and contract management 2) faculty recruitment and retention 3) development programs for faculty, staff, and administrators 4) allocation of teaching load 5) mentoring junior faculty and 6) allocation of institutional resources.

In order to achieve the goals set out in the President's plan, there must be greater congruence of mission and goals among leadership, deans, the faculty, and staff and better alignment with University priorities. Although each of the colleges, schools, and departments exists unto itself, collectively they are the University; the University is the embodiment of its schools and colleges. Deans are heads of colleges and schools; they are also the senior academic management of the University. Faculty members are individuals with career goals and aspirations; they are also part of larger academic units, such as departments. The very nature of a comprehensive regional university fosters disparate missions and goals. Current isolation of individual, departmental, and school or college goals from University goals has evolved to the point that the strategic plans of the subunits are sometimes written without reference to any parallel or superstructure plans. This can and should be mitigated by an integrated process of strategic assessment, planning, and action to integrate individual and unit plans with a broad institutional plan.

As the University chooses areas in which to focus academics, research, and outreach, leadership must engage faculty members and staff in discussions of how to leverage assets effectively among campuses. The objectives would be, for example, to minimize duplication, to create a feeder system from core Arts and Sciences undergraduate students to graduate studies at Muskie or the School of Law, and to focus investments in RC&SA.

In supporting RC&SA, the challenge will be to strike a balance: to support individual RC&SA broadly on one hand and to focus areas for University investment on the other. The costs of supporting individual faculty scholarship are often modest, and add value to the University's mission elements of teaching, scholarship, and public service. The size of the investment required for return in some areas is greater than others, e.g. some programs will require extensive laboratories and large-scale equipment, and external funding opportunities are more accessible and larger in some areas than others. It is likely that only two or three areas for large-scale investment may be possible.

In a large-scale investment, focus could be narrow and deep within a single discipline, such as Music. An investment could also be broad and interdisciplinary, for example, Public Health (the Muskie School, College of Arts and Science, College of Nursing and Health Professions, Maine School of

Law) or Educated Workforce (College of Education, Lewiston-Auburn College, College of Arts and Sciences, the Muskie School, Maine School of Law).

Whether the investment is in an individual, focused, or thematic endeavor, candidates competing for all too few institutional dollars must be subject to objective standards and internal, or where appropriate external assessment. In addition, the University must take "market" considerations into account: the needs of the community or the nation, the demand for the investment's output, or the fit with the culture of the University and the region. USM will need to invest its limited assets prudently.

Recommendations:

- Be bold. Decide at what the University wishes to excel. Invest in those areas. Ensure that policies and procedures, as well as expectations and rewards are aligned across schools, colleges, and the research infrastructure.
- Use Peers. Identify and engage a peer group of regional comprehensive universities from around the country as models for behavior.
- Be clear. Clarify roles, responsibilities, and institutional expectations of colleges, departments, deans, the faculty, and professional staff.
- Plan inclusively. Align, when appropriate, the planning for development of graduate programs with planning for investments in RC&SA.
- Integrate planning efforts. Ensure that strategic planning exercises in the colleges, while "bottom-up," are consistent with the vision and goals set by institutional leadership.
- Cooperate. Expect and reward interdisciplinary cooperation among the faculty, departments, schools, and campuses.
- Invest in basic infrastructure. Invest adequately to ensure that physical plant, equipment, and on-line library resources meet the diverse needs of faculty members and staff.

B. Community engagement

The President has laid out a plan for the future of USM in *Transforming USM*, and he has set the expectation that USM will be in and of its community. In fulfillment of this plan, the role of the faculty and staff will be to build, or to reinforce, strong University/community relationships.

The University and its campuses have a symbiotic relationship with their communities. They are both the beneficiaries of community support and the providers of necessary elements for vibrant, attractive, growing communities.

However, the extent to which this USM-community relationship exists is not fully appreciated by state government, University of Maine System leadership, collaborating organizations, or often, USM faculty members and staff themselves. In many instances, self-directed faculty members have formed virtual centers, built community relationships, and provided opportunities to students and professionals. Surprisingly, faculty often expressed little knowledge of each other's projects, even on the same campus.

RC&SA can be a facilitator of community development and an enabler of University/community relationships.

- Through the engagement of undergraduates and graduate students in RC&SA, USM produces critical thinkers with the skills to fill globally competitive jobs in the new economy.
- USM enriches the professions by providing experientially informed graduate course work in the professional disciplines.
- USM faculty members enrich the social fabric of their communities through performances in theatre, art, and music. The faculty and staff are active in the Arts and Humanities Councils, involving students, businesses, and citizens in creative and scholarly works.
- USM enriches the political environment through public service, education, training, and policy dialogue at the local, state, and national levels.

Recommendations:

- Appoint a community outreach director. Appoint a director to establish new, or enrich existing, community advisory councils in the Arts and Humanities, Sciences, Industry, Public Service, and Social Service. Use research, creative, and scholarly activity as the bridge between the University and its communities and as an implementation tool for *Transforming USM*. Make the community outreach director the single point of contact for all quarters of the community in search of resources or assistance.
- Plan a publicity campaign. Engage the community outreach director and the office of public affairs in a campaign to publicize success stories and opportunities generated by community projects. Share the results on a periodic basis with internal and external stakeholders, such as schools and colleges, state government, UM System leadership, and collaborating organizations.
- Celebrate success. For example, the Osher Lifelong Learning Institute is a nationally adopted model for life long learning, including "senior college" in the greater Portland community. USM should make its success known in the state and among its constituencies.

- Nurture centers of community outreach. Seek participation from faculty members and staff to assist in the region's areas of critical need that can be addressed through community involvement, e.g., enriching students' perceptions of their opportunities in the professional disciplines.
- Play by the rules. Set terms and conditions for community outreach and engagement to enhance the efficacy of such interactions and to ensure that expectations on both sides are congruent with resources and roles.
- Provide venues for interaction. Support a community culture within the institution. Provide multiple venues for communication and interaction among faculty members and staff.
- Document assets. Prepare and periodically update 1) a compendium of research, creative and scholarly activity, 2) an inventory of equipment on each campus, 3) a list technology assets, and 4) infrastructure that support USM's community engagement, e.g., performing spaces.

C. Scholarship

USM faculty members are the institution's greatest asset. In a broad generalization, they are well qualified and many are doing excellent work. Unfortunately, much of their work is unpublicized, uncelebrated, and under-supported. Individual faculty members have achieved laudable levels of scholarship, and have advanced the mission elements of the institution in spite of diminished state funding and inadequate support for faculty development and scholarship.

Steady growth and progress of the University mean that, for many faculty members, the University into which they were hired and within which expectations for their performance and employment were set has been left in the past. Research, creative, and scholarly activity are evaluative indicators of faculty performance for tenure and post tenure review as well as outreach mechanisms to the community. Yet, expectations for productivity in RC&SA are not clearly defined or consistently assessed.

The Provost has adopted the "Boyer model" as a platform to address RC&SA comprehensively at USM. Ernest Boyer¹⁰ posits that universities must reconsider their roles in society. He proposed a new paradigm of scholarship, one that embraces scholarship of discovery (classical research), integration (interdisciplinary in the broadest construct), application (service), and teaching (transforming and extending knowledge, not merely transmitting it). Although the Boyer model is broadly accepted among faculty

¹⁰ *Scholarship Reconsidered: Priorities of the Professorate*

members, it is inadequately understood, variably interpreted and implemented, and not adequately reinforced as a model for change.

The Pennsylvania State University formed a Learning Community to convene a university-wide dialogue and establish a model of the university mission elements - teaching, research, and service – as a continuum of scholarship. The model facilitates the evaluation of performance under the various forms of scholarship as articulated in the Boyer model. USM must clarify expectations for productivity and invest in faculty and professional staff in a manner that recognizes and catalyzes broad-based scholarship as articulated by the Learning Community.

The Boyer model does not preclude, nor should it conflict with, the University's commitment to fund excellence in research and scholarship. The University is appropriately raising the bar for investment of its resources. RC&SA that includes faculty at all stages of professional development and career evolution, and that sets high standards with the means and resources to achieve them will be necessary ingredients to assure a strong role for the faculty in *Transforming USM*.

Recommendations:

- Engage the Faculty. Engage the faculty's creative energy in *Transforming USM*. The Research Council, with the faculty's input, should recommend strategies for using RC&SA to impact the plan's levers of change: 1) revitalizing the curriculum; 2) investing in current programs and people; 3) changing the enrollment profile; 4) upgrading and expanding facilities; and 5) raising additional external support.
- Support community engagement. USM is in and of its community. Co-invest with USM's communities in outreach that benefits the community, its businesses and citizens, and the faculty's teaching and scholarship.
- Value scholarship. Use the Boyer model as a framework for scholarly works – discovery, integration, service, and teaching. The Research Council should engage faculty members, under the guidance of the CRO and Provost, to recommend appropriate descriptors of scholarship and measures of excellence at USM across media and disciplines.

D. Leadership structure of research, creative, and scholarly activity

Over the last decade USM has produced a wide range of research, creative, and scholarly activity. Efforts to focus on "areas of excellence" have lacked the mentoring and administrative support necessary to develop strong niches. Planning and infrastructure have evolved organically into disparate

functions, some centralized, others decentralized. The University's current construct of RC&SA administration is not adequate to support the needs of faculty members or staff.

Current research management is caught in an untenable middle ground. It lacks a mandate or authority from senior leadership to manage effectively and has no mechanism for input from the faculty. There are no mentors available for current research management and there are no articulated expectations for outcomes, outputs, or performance.

There is no single person, at an appropriately senior level in the institution, who has the responsibility and authority to develop a RC&SA agenda. Lacking such leadership, no University-wide research plan exists to forward the University's teaching/research/service mission or to use RC&SA as an enabler for the implementation of *Transforming USM*.

Much of the RC&SA at USM happens in ones and twos, and some effective collaboration with the community has evolved across the college and campuses. For example:

- The College of Education and Human Development's Southern Maine Partnership has a 20 year history of working with Maine's public schools, connecting teaching, service, and research.
- USM utilizes space at the Gulf of Maine Research Institute and seeks to integrate USM activities with the GMRI plan.
- The College of Nursing has established the Bayside Community Nursing Partnership, combining teaching and service.
- Lewiston-Auburn College's marine researchers team with local industry to train research assistants ready for employment in local companies upon graduation.
- The GIS collaboration in the College of Arts and Sciences is an example of several departments working in a virtual center to train the community in GIS applications.
- The Maine Center for Toxicology and Environmental Health engages in a myriad of relationships with other scientists in Maine and nationally.
- The Maine School of Law's Center for Law and Innovation is a resource for companies and institutions to explore the benefits and costs of protecting intellectual property.
- The Muskie School of Public Service has a number of long standing collaborations: the Institute for Public Sector Innovation is well integrated with state government for service and training; the Health Policy Institute is a national leader on multiple projects; the Child and Family Institute's National Child Welfare Center has been a national resource since 1985.

Self-direction is an important aspect of academic life. There are un-orchestrated, one-on-one collaborations (often the most productive) that occur at the personal level both between faculty members within USM and among faculty members in other institutions.

However, few relationships exist with federal and regional funding agencies, and none of these appears to be robust. USM's participation at the state level in such programs as the Experimental Program to Stimulate Competitive Research (EPSCoR), for example, has been limited to two small awards: one human resource development component in a 1996 Department of Energy (DOE) award to the State of Maine and a 2004 Department of Defense (DEPSCoR) award to Dr. John Wise for his work in Depleted Uranium in Human Bronchial Cells. The University is missing an opportunity to use a significant resource. The EPSCoR¹¹ program is a federal/state partnership established by the National Science Foundation to increase federal funding in states receiving less than their "fair share" of federal award dollars. The purpose of EPSCoR funding is to increase the institutional capacity of university investigators in EPSCoR states to be competitive for mainstream funding. The opportunity is a good and appropriate one for the University. USM should immediately focus its research efforts and prepare now to submit competitive proposals for future rounds of EPSCoR funding in the state.

Recommendations:

- Build a research office. As quickly as possible, build a University-wide RC&SA office that is appropriately staffed to support the scholarship of faculty members and staff.
- Hire a Chief RC&SA Officer (CRO). Hire a CRO who both understands and appreciates RC&SA at USM. The CRO should have university-wide authority for the development of RC&SA. The CRO must have access to the President, the Provost, and the CFO. The CRO will have the necessary skill set to: lead the creation of a vision for RC&SA; represent USM's interests within the state and nationally; work effectively with a faculty Research Council; build partnerships and collaborations locally, regionally, and nationally; build strong ties to federal agencies and other funding sources; mentor faculty members; develop expectations for internally funded RC&SA; and set policies and procedures. The CRO should understand the diversity of research,

¹¹ The EPSCoR equivalent in the National Institutes of Health is called IDeA – Institutional Development Awards; in the Department of Defense, the program is called DEPSCoR – Defense EPSCoR. Participating federal agencies are the National Science Foundation, the Department of Defense, Department of Energy, Environmental Protection Agency, National Aeronautics and Space Administration, National Institutes of Health, and the US Department of Agriculture

- creative, and scholarly activity at USM and be charged with increasing the quality and quantity of externally funded, internally funded, and unfunded RC&SA by faculty members, staff, and students. The CRO should be well-versed in approaches to multiple funding sources, covering the breadth of RC&SA, e.g., federal, foundation, and philanthropic.
- Establish a Research Council. The Council's membership should include second level administrators from each school or college to represent the interests of the faculty and staff within their respective units. As requested by the CRO, the Council may advise on issues such as evaluations, standards, productivity, and investment in RC&SA, provide peer review for internal investments; and assist the CRO in reviewing existing best practices and drafting appropriate policies and procedures to manage the research enterprise. The Internal Advisory Panel for this Assessment may serve as the Research Council until a council is nominated and approved by the CRO.
 - Invest in administration. Appoint from within USM or hire a Research Administrator who will report to the CRO and have oversight responsibility for: Sponsored Programs, Compliance, financial services liaison, intellectual property liaison, operations, information technology, and facilities. The centralized office for research will support the CRO. The CRO and the Research Administrator will review existing best practices for research administration within the colleges and schools and adopt, adapt, or create practices and policies, where appropriate.
 - Measure progress. Establish expectations and measures of performance for the office of research, the CRO, and the Research Council.
 - Establish benchmarks. Benchmark RC&SA performance against peer comprehensive research universities. Benchmarks and other University-specific measures might include:
 - Per capita increase in number of proposals submitted and in number of proposals funded;
 - Per capita increase in total dollars for funded research, creative, and scholarly activity and increase in dollars by type of funder;
 - Number of faculty members, professional staff, graduate students, and undergraduates engaged in RC&SA;
 - Number of multi-disciplinary and externally collaborative proposals submitted; number funded;
 - Number of University/community collaborations;
 - Number of refereed publications or works of art;

- Number of panels served, presentations made by faculty members; and
- Increase in number of student contributors to *Thinking Matters*.
- Engage in state-level opportunities. Take an active role in the University of Maine System’s funding strategies, such as the EPSCoR Program. Actively work with other Maine universities and research institutions to offer opportunities within USM and partner with faculty members outside USM.

E. Financial strategies

USM, like many state universities, faces numerous fiscal challenges. State support is level or decreasing. But costs, such as faculty salaries, healthcare, and repair/replacement of inadequate facilities, continue to rise.

Indirect costs at USM are also rising annually. Unfortunately, indirect cost recovery rates are often inadequate under major contracts to cover actual cost. In addition, indirect costs are sometimes inadequately budgeted by faculty members seeking to increase their competitive position on proposals. The total volume of contracts and grants is rising; however the overall indirect recovery rate is relatively unchanged (Figure III F).

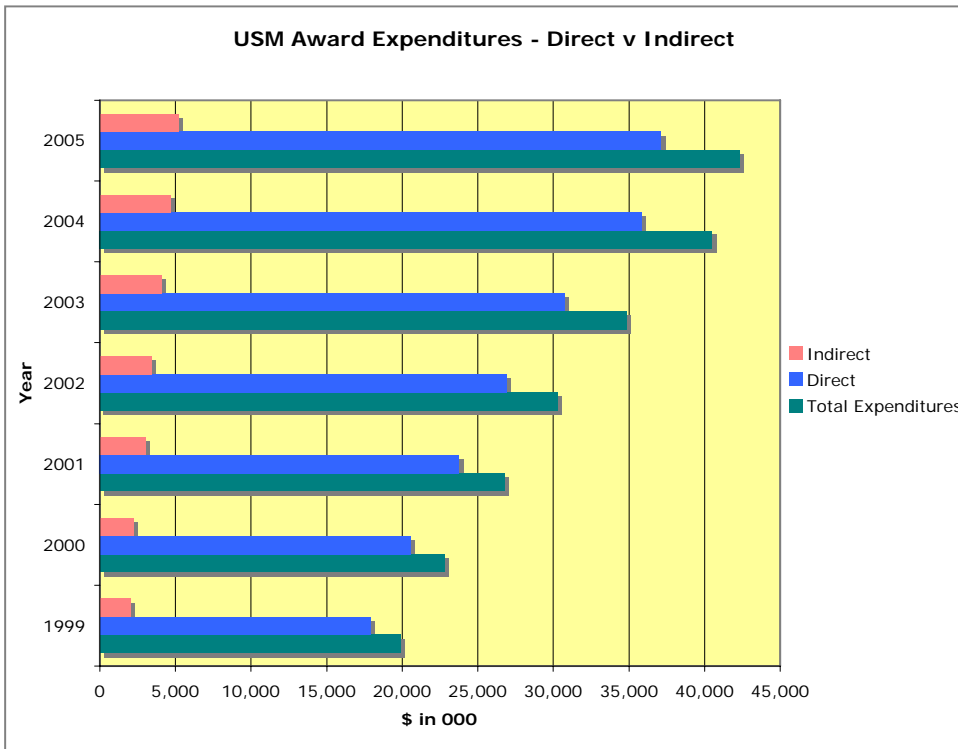


Figure III F¹² USM Award Expenditures – Direct v Indirect

¹² USM Office of Sponsored Programs

Allowable indirect cost rates vary for USM from 0% to 47%, depending on the funding agency. Some funders, such as foundations, do not allow indirect cost recoveries. In such instances, however, funding agencies typically allow a number of indirect items, such as space and administrative support, to be included as budget lines.

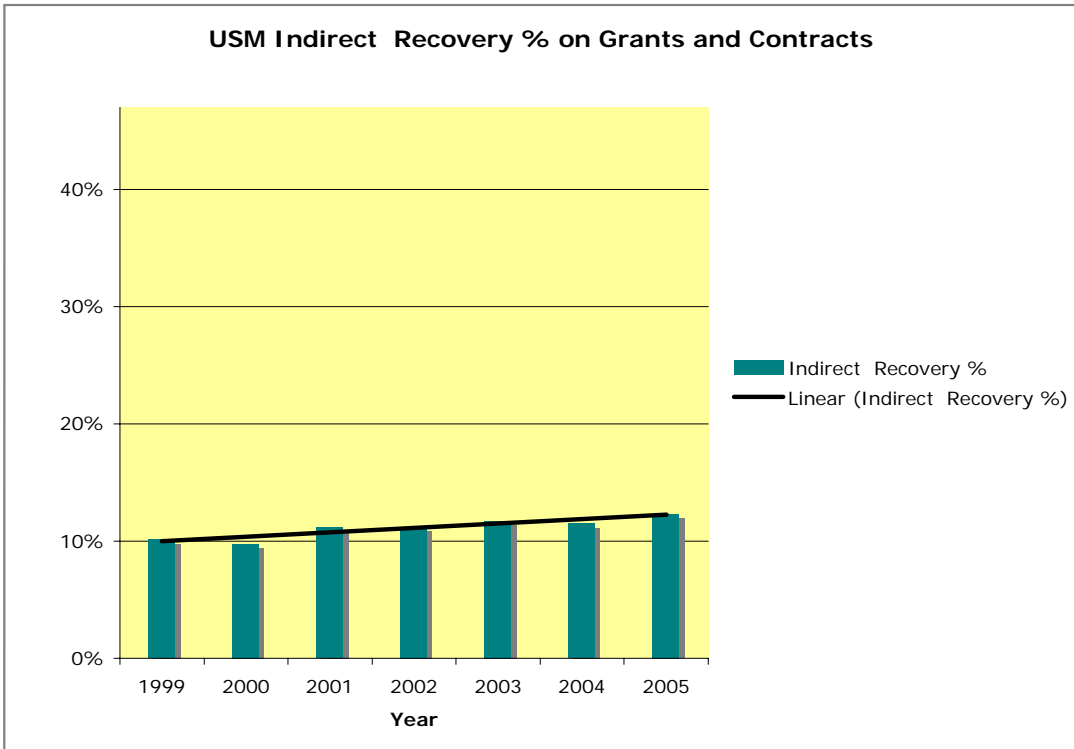


Figure III G¹³ USM Indirect Recovery % on Grants and Contracts

USM’s average recovery rate has increased modestly over the last several years from about 10% to about 12% (Figure III G). A university with a mix of funding sources might expect a blended rate of approximately 25%.

Since 2000, the dollar volume of proposals submitted per annum across all funding sources has risen from about \$50 Million to \$85 Million (70% increase), and the corresponding increase in the dollar volume of awards has risen from almost \$20 Million in 1999 to over \$43 Million in 2005 (115%) (Figure III H). The University is submitting more and better proposals.

¹³ Office of Sponsored Programs

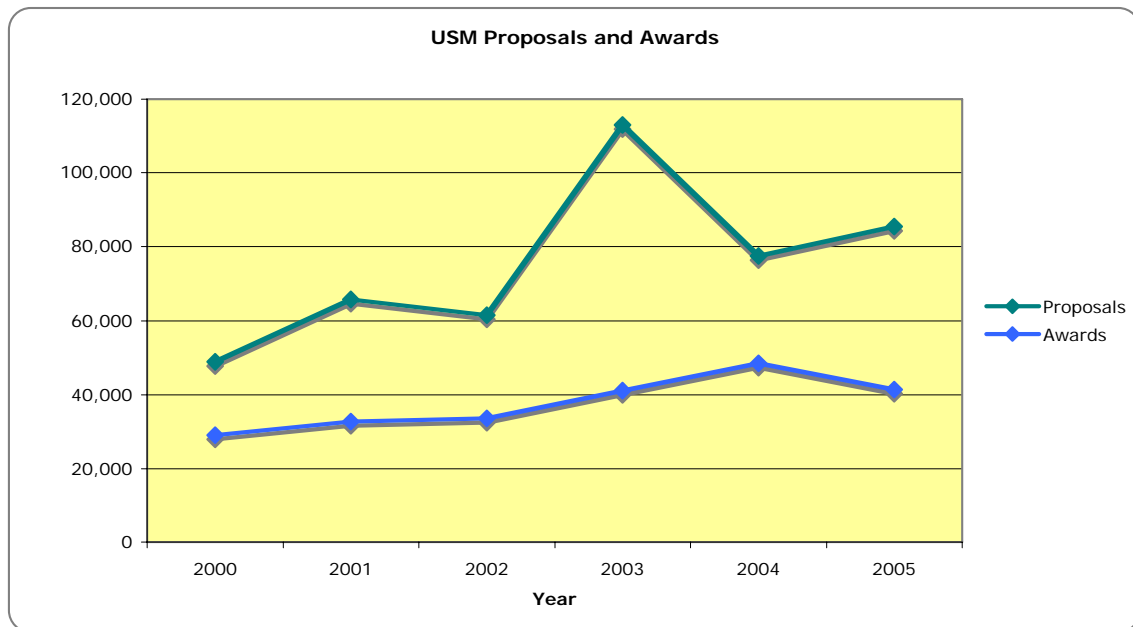


Figure III H¹⁴ USM Proposals and Awards 2000-2005

Raising USM's average indirect cost recovery rate will be impacted by the University's ability to submit and win competitive proposals with federal agencies that support RC&SA, for which the University has a negotiated rate of 47%.

Some long-term contracts are outdated. For example, The Muskie School generates 75% of the University's contracts and grants revenues. However, the Muskie School's single largest contract for service, a Cooperative Agreement between the University of Maine System and the State of Maine, appears¹⁵ to provide less than 30% of actual indirect costs, potentially resulting in a significant deficit to USM and an inadequate return to Muskie. Most of the recovered indirect is required and retained at the University level to cover basic expenses. Returns of indirect from the University to the Muskie School are approximately 10-12% of recoveries. The indirect cost rate in the agreement is low; the returns to Muskie are insufficient to cover the core administrative staff necessary to attract graduate students and faculty and to increase the impact of Muskie research beyond its core service work.

There is no single answer or "magic bullet" to fix the lack of adequate recoveries; however USM should explore all avenues to maximize overall indirect cost recovery. Some actions to consider include:

¹⁴ USM Office of Sponsored Programs

¹⁵ Estimated. The Office of Sponsored Programs is compiling data on various funded contracts and grants, indirect cost recovery rates, and amounts of indirect cost requested and returned. The data are not available at time of this report.

- Increase the number of proposals to federal agencies in support of research, creative, and scholarly activity. The University's negotiated federal cost recovery rate is 47%;
- Renegotiate indirect cost rates on long-term contracts, when possible; or amend agreements to capture costs required to operate programs efficiently and effectively as direct costs;
- Partner with state agencies on federal grants, for example, to take advantage of federal indirects, when possible;
- Allow infrequent, preferably no, waiving of indirect costs;
- Ensure that budgets take advantage of funders' specific guidelines, such as foundations, to recover indirect costs "above the line;" or research grant budgets that allow recovery of disposable supplies as a direct cost;
- Increase federally funded research to bring up the average University recovery rate; and
- Involve seasoned professionals, such National Council of University Research Administrators (NCURA) members, in discussions of specific agencies or foundations to learn how they've maximized their budgets. They're knowledgeable; they won't charge for a telephone call; they make a great peer group.

Admittedly, operating within declining budgets is a monumentally difficult task for senior administration. There is little or no discretionary spending at USM. The result has been a "black box" of close control of expenditures, informed by little or no significant input from deans, department chairs, faculty members, or staff. Lacking data or being unable to translate financial reports to match their operational needs, colleges, schools, and departments assign staff to the task, thus increasing indirect cost, creating redundant systems and contributing to inefficiency.

A robust research, creative, and scholarly enterprise must be facilitated by an effective and efficient Office of Sponsored Programs. Many opportunities exist to centralize and streamline functions, provide more targeted assistance, and maximize external funding opportunities at USM. Communication between the staff under the direction of the CFO and the staff under the direction of the Provost, including within the Office of Sponsored Programs, is inadequate. Better integration of the work of these two offices is necessary for a smoothly functioning RC&SA effort.

The revenue/cost mix is also affected by structural change. The impact of the reorganization of Maine's technical college system into a community college system is just being realized. The change may be fortuitous and present the opportunity for USM to increase its attention and resources on its upper level undergraduate and graduate students.

Recommendations:

- Get indirect cost recoveries under control. Appoint one individual in research administration to oversee indirect cost budgeting and recoveries for RC&SA and hold him/her accountable to the CFO. Establish procedures for central oversight of budgeting indirect cost rates. Enforce strict guidelines for all requests to reduce established rates (waived indirect), to determine space needs for additional budgeted staff, and to determine availability of required match. Be aware of each funder's specific cost allowances.
- Reassess funding strategies. Work with the state and the system office to assess the appropriateness of the University's funding levels from state appropriation, economic development funding, and cooperative agreements.
- Make budgeting and reporting transparent. Involve the faculty and staff in managing their direct costs, e.g., reporting project salaries and other direct costs on a timely basis. Give them guidance and hold them accountable. Provide the CFO with an assistant who will interface between the CFO and the faculty, chairs, and deans. Though the CFO should approve the skill set required by the position, the recommendation is that the assistant be an accountant who can maintain contact with the colleges, provide easily understandable financial data and results, resolve issues on-site, and involve deans in any required mid-course correction strategies that arise during a fiscal year.
- Create a pool of indirects. The CFO, the Provost, and the CRO should annually recommend a strategy for managing indirect cost recovery collection and distribution. Terminate the formulaic distribution of that portion of indirect cost recoveries to be returned to schools, departments, and the faculty. Often allocated recoveries are too small to make a difference. Combine them into a research investment pool.
- Review existing contracts. Prepare an analysis of current contractual obligations. Immediately pursue changes to outdated contracts. When possible, renegotiate substandard recovery rates to equal or, at least, more closely approximate actual cost.
- Increase communication. Provide opportunities, such as budget committees, for research staff and financial managers to work together and discuss issues affecting each other's scope of work.
- Work with the community colleges. Engage the community colleges in discussion of potential challenges and benefits of integrating community college graduates into the University.

F. Funding challenges and investment opportunities

A state university’s funding is developed through three sources: state appropriation, tuition, and a combination of grants, contracts, philanthropy, alumni contributions, auxiliary enterprises, and returns on investment, e.g., royalties and licensing. The returns on investment are typically an outcome of research and development efforts funded by grants and contracts.

By definition, a research university has opportunity in each of these categories. Top tier research universities are typically able to realize significant revenues from contracts, grants, and returns on investment. A comprehensive regional university, in contrast, usually has a very different revenue model because it typically generates a much lower proportion of its revenue from grant/contract revenues or returns on investment. However, in Maine the revenue mix is not consistent with these norms. A typical fiscal year for Maine’s universities yields the following, in order of level of support:

University of Maine a research university	University of Southern Maine a comprehensive regional university
1. State appropriation	1. Tuition
2. Tuition	2. Grants and contracts
3. Grants and contracts	3. State appropriation

For example, the sources of revenues in Maine’s research and comprehensive universities in the 2004-2005¹⁶ fiscal year are below:

	University of Maine	as a % of total	University of Southern Maine	as a % of total
State Appropriation	\$78,610,325	40%	\$38,338,756	30%
Tuition and Fees	67,917,430	34%	47,750,937	37%
Contracts and Grants	51,500,000	26%	43,300,000	33%
Total revenues	\$198,027,750		\$129,389,693	

Given the level of evolution of the University over the last decade and of the expectations for its role within the state, the revenue source from state appropriation is disproportionately low. This inadequate funding stream is

¹⁶ USM Office of the Chief Financial Officer

resulting in an increased reliance on tuition and fees (Figure III I). We recommend that given the evolution of USM and its mandate to serve the

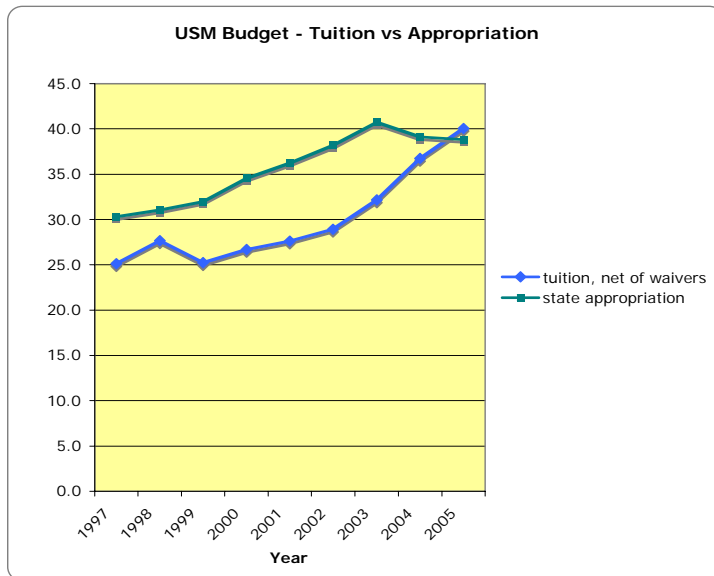


Figure III I¹⁷ USM Budget – Tuition vs Appropriation 1997-2005

regions of Maine with the largest population base, USM should discuss the allocation base and percentage allocation of the state appropriation with the University of Maine System office prior to the next state budget cycle.

The schools and colleges with the University provide a strong, diverse base to attract funding for RC&SA from a variety of sources. The Muskie School for Public Service (Muskie) has the potential to be one of the University’s greatest assets. It generates the majority of externally funded contracts and grants at USM (about 75%) and generates about half of total dollars from the federal government, about 20% of the school’s total revenue (16% average FY 2004-2005).

While it provides great public service for Maine and the nation, USM could better leverage and integrate Muskie’s assets so that it becomes a more productive academic resource to itself as well as to other USM colleges, programs, and students. For example, there appears to be little intra-college utilization of undergraduate students in areas parallel or supportive to Muskie’s service programs, such as GIS, social work, or education. In addition, Muskie is nationally competitive in a number of policy and service areas. Federal programs increasingly look at service and replicability of programs as desired outcomes for sustainability of funded programs. RC&SA projects would benefit from using this significant on-campus resource to develop such models.

¹⁷ USM Fact Books 1996-1997 – 2004-2005

Muskie is currently undergoing an internal assessment. The school has earned an exemplary reputation in public policy, service, and training, but has not yet fulfilled its own expectations for teaching and scholarship. Muskie is committed to building its graduate programs, but inadequate resources have been an impediment to building its faculty and graduate student base according to plan. Under the guidance of the Provost, the Muskie faculty and staff are evaluating the strategic direction of current program offerings and service activities, the time and resource requirements of increasing graduate students and a Ph.D. program, and the challenges and opportunities presented by the resignation of the current dean and the recruitment of his replacement.

In 2000, the legislature, through the Maine Economic Improvement Fund (MEIF¹⁸) wanted to support research and development in the state's universities as a mechanism to enhance the state's economy. In response USM created concentrations in three designated focus areas – bioscience, computer science, and advanced manufacturing. Bioscience Research Institute of Southern Maine (BRISM), Institute for Research in Information Sciences (IRIS), and the Center for Advanced Manufacturing in the School of Applied Science, Engineering and Technology were selected for investment because they represent three areas targeted by the state with industrial and scientific strengths in the greater Portland community. The expectation was that investment of approximately \$2,000,000 per annum from the MEIF would develop scientific niches and expand community interactions. Success has been mixed. Few or no expectations were developed inside the University either for the research areas or the MEIF-funded personnel and there has been no accountability required of the recipients.

BRISM assets, with appropriate investment and planning, could be better leveraged within the University and to attract external funding. BRISM has attracted talent in biomedicine and has developed the Maine Center for Toxicology and Environmental Health (MCTEH), but has been unable to develop additional competitive researchers internally. ASET has built good industry relationships and has invested significantly with industry to improve physical assets, including a 23,000 square foot facility in the fall of 2004. Expectations are that the facility will cultivate and advance school-based research and development. However, the college has yet to experience the prototype development for new products and processes that USM anticipated. The State Legislature's expectations for MEIF funding are to encourage federally funded research and development with opportunities for economic development. However, in the selected priority areas, little research and development with the potential for commercialization, patents, technology transfer, or licensing has yet occurred. USM should assess its internal investments for productivity and relevance.

¹⁸ The Maine Economic Improvement Fund's initial investment was \$10 Million/year, of which 20% was targeted to USM initiatives.

Recommendations:

- Establish a RC&SA Fund. Recognize and support the faculty's role in *Transforming USM* by establishing a RC&SA Fund dedicated to peer-reviewed research, creative, and scholarly activity. Awards should reflect the diversity, excellence, and community engagement by faculty members and staff. The level of investment should be significant, e.g., \$5Million over 3-5 years. Seed the fund by soliciting significant one-time contributions from key stakeholders in the community.
- Invest conditionally. Establish performance expectations, outcomes, and timelines for investment of MEIF and internally supported investments in research, creative and scholarly activity. Terminate ineffective investments and reallocate funding.
- Focus areas for investment. Evaluate USM's specific areas of strength and focus on RC&SA that capitalizes on the University's existing and emerging strengths, whether in science, the humanities, the arts, or social sciences. The new CRO, working with the Research Council and external advisors, should undertake this effort as soon as possible.
- Set objective criteria for focus areas. These should be set by the CRO and the Research Council and must be endorsed by the Provost and President. The areas must take "market" considerations into account, i.e., the needs of the community or the nation, the demand or fit with the culture of the University and the region. AAAS recommends the following criteria for focused investments:
 - The area shows merit as measured through publications, competitive grants and contracts, collaboration with leading centers/institutes, contributions to national research boards and committees, or other measures of recognition.
 - Investment in the area will enhance the University's academic programs (particularly graduate programs) and move the University forward in developing nationally recognized programs consistent with its mission.
 - The area is already contributing to, or is likely to contribute to regional or statewide science and technology initiatives and/or address problems of significant regional interest.
 - Investment in the area is likely to leverage additional external funds such as may be available through national R&D priorities.
 - The group has strong faculty leadership (both in academic reputation and in leading a group of faculty members toward higher collaborative activities) and involves a number of highly productive faculty members.
 - The group is able to articulate an investment strategy to increase its stature and that strategy has the endorsement of the group's dean or deans.

- Support new ideas. Continue to support emerging efforts that have the potential to benefit the University and the region. Require internal peer review, a timeline for investment, and expectations for performance.
- Support individual efforts. Support individual scholarly efforts, subject to internal peer review, a fixed timeframe, and expectations for academic productivity, e.g., a book, a panel discussion, a fundable proposal, a play, a piece of music.
- Support collaborative efforts. Establish criteria, expectations, and accountability from all parties. Such collaborations should be acknowledged, supported, and invested in by the University of Maine System.
- Ensure adequacy of funding. Periodically review the adequacy of its funding portfolio of state appropriation, tuition and fees, and other funding mix with the university system office as USM evolves.
- Strive for excellence. Use national peer reviewers to broaden the assessment of the major program and investment areas, such as planning for the Muskie School of Public Service, BRISM, IRIS, the college of Applied Science, Engineering, and Technology, and the Office of Sponsored Programs.

G. Summary Comments

The Board of Visitors has articulated the community's expectations of USM. The University of Maine system has specified the role for USM with the system. USM will now decide how it will meet those expectations and fulfill its role, where it wishes to focus its investments, and how the university and the community can co-invest for their mutual best interest.

As Maine's comprehensive regional university, USM is expected to provide a complement of academic programs, research, and public service to its region. USM is poised to achieve the expectations of its region and to fulfill its role within the University of Maine System as articulated by the System Board of Trustees.

The President has prepared and is implementing his plan, *Transforming USM*. The faculty and staff's engagement in research, creative, and scholarly activity is a critical tool for implementing that plan and achieving its goals.

This assessment provides USM with a roadmap for a robust RC&SA enterprise with the leadership, authority, involvement across faculty members and staff, and the updated policies and enhanced systems necessary for USM to succeed.

Appendix A: Assessment Process and Timeline

THE COMMITTEES:

Steering Committee

The steering committee (Appendix B) is chaired by Edward Derrick, Director of the Research Competitiveness Service at AAAS. With national, regional, and community representation, the SC keeps us focused on the big picture; ensures that the Assessment Team is responsive to the issues; considers the University's appropriate national, state, and community role; and remains mindful of the potential for regional and national collaborations. The SC has held two meetings and an off-site retreat. The consulting team communicates and receives feedback electronically at least monthly.

Deans' Council

In addition to providing input to the assessment, the deans from all of the schools and colleges serve as a sounding board for feedback Lovett Collins received during open meetings and discussion groups, the process, and the recommendations.

Internal Advisory Panel (IAP)

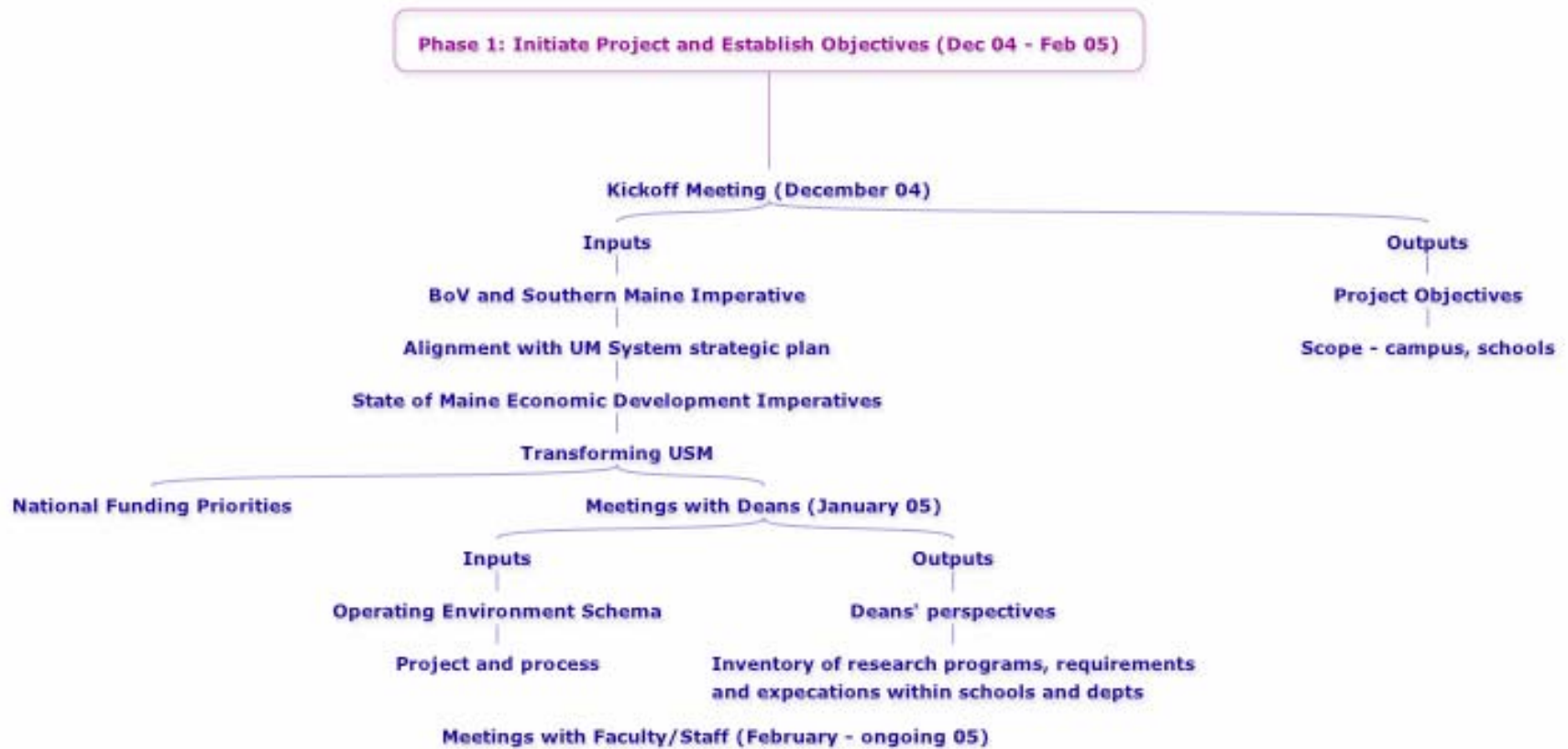
A 19 member, cross-section of faculty members and professional staff, the IAP (Appendix C), provides complementary capability and experience from each of the campuses and colleges. The Panel's role is threefold: 1) to provide input verbally and through an electronic discussion board on areas under assessment; 2) to critique our approach and the nuances of our communication; and 3) to provide advice on internal issues, such as bridging across constituencies, academic and administrative realities, politics, and finance. The Provost selected the membership and the chair of the IAP.

Site Team

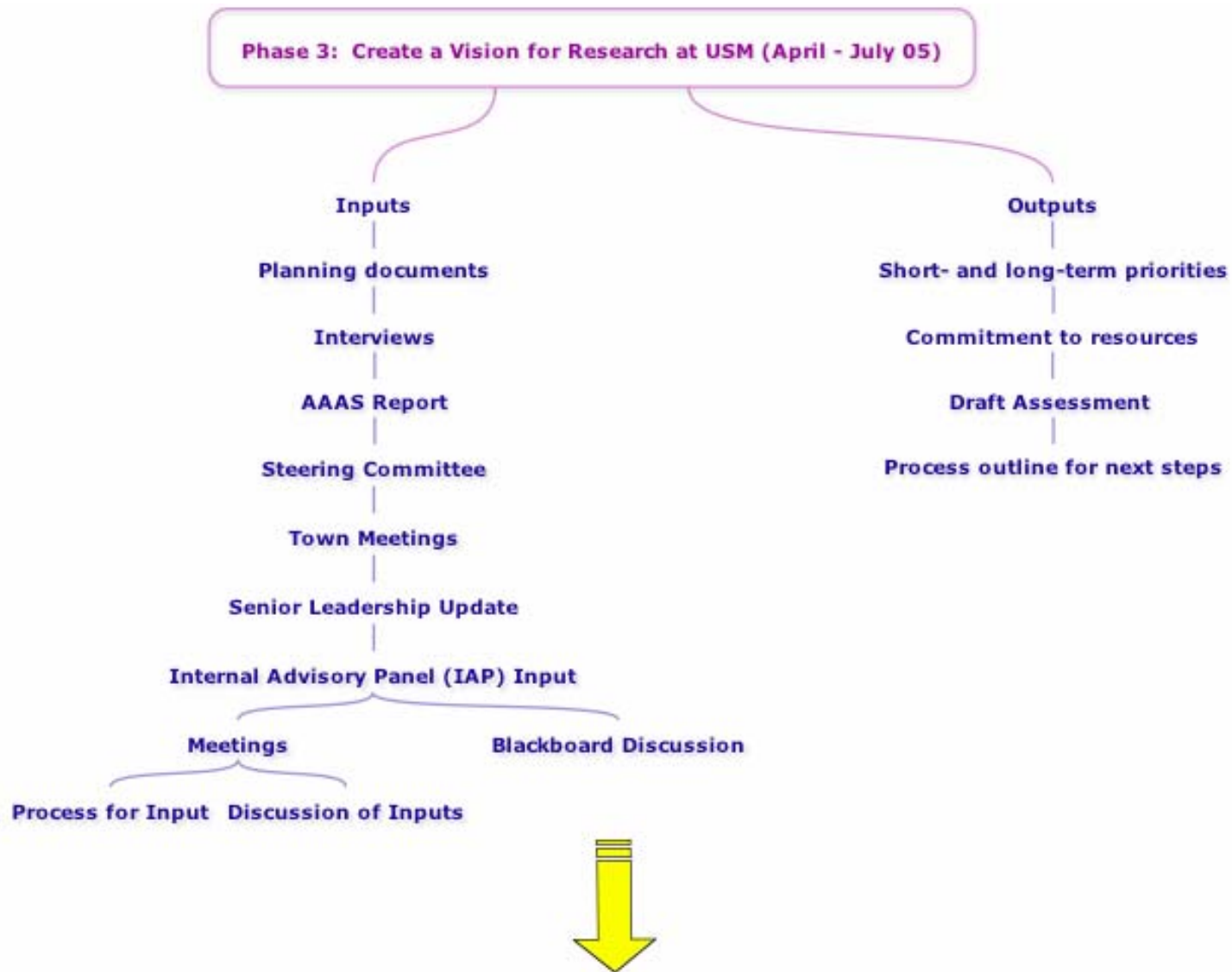
Claire Collins, EJ Lovett, and Nancy Martz constitute the site team. Ms. Collins serves as project manager, Dr. Lovett is a principal in Lovett Collins Associates, and Ms. Martz serves as the Provost's liaison for the assessment. Ms. Martz is Director of Operations in Research Initiatives at USM. The site team conducted site interviews, held town meetings, and worked with the Deans to assemble background material for the AAAS on-site review. They maintain ongoing contact with the Provost.

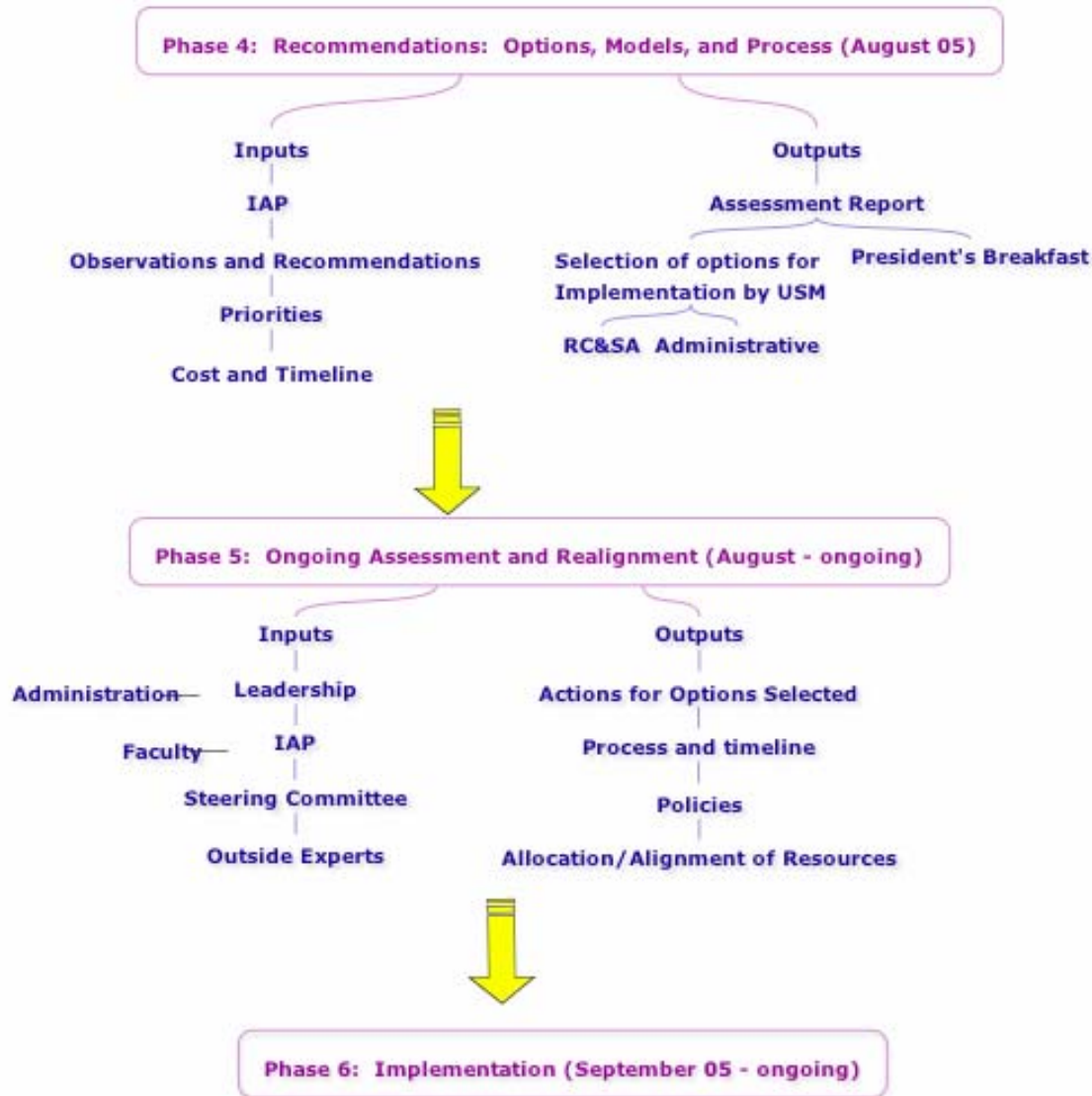
THE PROCESS:

The process for this Assessment is a series of 6 Phases, each with inputs and outputs, as diagramed below:









Appendix B: Steering Committee

<u>Name</u>	<u>Affiliation</u>
National	
Edward Derrick, Chair	Director, Research Competitiveness Program, American Association for the Advancement of Science (AAAS)
Chris Hill	Vice Provost for Research, George Mason University
Irwin Feller	Former Director of the Institute for Policy Research and Evaluation (IPRE) and professor emeritus in economics at The Pennsylvania State University
State	
Evan Richert	Former Director of the State Planning Office and current Director of the Gulf of Maine Pilot/Census of Maine
Janet Yancey-Wrona	State of Maine's Science Officer and Director of the Office of Innovation
Community	
Debra Coyman	VP IDEXX Laboratory
Richard D'Abate	Executive Director, Maine Historical Society
Jane Havey	CEO, Capricorn Products
Dana Hutchins	CEO, Image Works
Donald Perkins	President, Gulf of Maine Research Institute

Appendix C: Internal Advisory Panel

Bruce Andrews, Director and Research Associate, Center for Business & Economic Research, School of Business

Freda Bernotavicz, Director of the Institute for Public Sector Innovation, Muskie School of Public Service

Ardis Cameron, Professor of American and New England Studies, College of Arts and Sciences

Robert Caswell, Executive Director of Media and Public Relations, Office of Public Affairs, *Ex Officio*

Andrew Coburn, Associate Dean & Director IHP & Research, Muskie School of Public Service

Marijane Fall, Professor of Human Resources, Human Resource Development, College of Education and Human Development

Nancy Gordon, Professor of Chemistry, College of Arts and Sciences

Mustafa Guvench, Professor of Electrical Engineering, School of Applied Science, Engineering and Technology

Rita Heimes, Director of Technology Law Center, Maine School of Law

Jan Hitchcock, Associate Professor of Social and Behavioral Sciences, and Associate Dean, Lewiston-Auburn College

Sharon Locke, Chair, Associate Research Professor of Geosciences, and Director of Proposal Development, Research Initiatives

Rose Marasco, Professor of Art, College of Arts and Sciences

Kris Sahonchik, Director of the Institute for Child and Family Policy, Muskie School of Public Service

Lydia Savage, Associate Professor, Geography & Anthropology, College of Arts and Sciences

Debra Smith, Director of Collaborative Inquiry and Development, College of Education and Human Development

Judith Spross, Associate Professor, College of Nursing and Health Professions

Mark Swanson, Professor of Geosciences, College of Arts and Sciences

John Wise, Associate Professor, Applied Medical Sciences, School of Applied Science, Engineering, and Technology

Appendix D:

**Building Capacity for Research, Creative and Scholarly Activity
at the University of Southern Maine**

Frank J. Calzonetti
Vice Provost for Research, Graduate Education and Economic Development,
University of Toledo

Edward G. Derrick
Director, Research Competitiveness Program
AAAS

Christopher T. Hill
Vice Provost for Research
George Mason University

John M. Owens
Vice President for Research
Boise State University

David J. Prior
Provost and Vice Chancellor for Academic Affairs
University of Wisconsin-Superior

Albert H. Teich
Director, Science and Policy Programs
AAAS

American Association for the Advancement of Science
Research Competitiveness Service

April 2005

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I. Introduction

This is a report from a panel organized by the Research Competitiveness Service of the American Association for the Advancement of Science (AAAS). The report was produced as part of a project to review, assess and guide the research enterprise of the University of Southern Maine (USM) being conducted by Lovett Collins Associates in collaboration with AAAS.

The Lovett-Collins-AAAS project responds to the goals laid out in the recently published *University of Maine System Strategic Plan*, the USM Board of Visitors *Southern Maine Imperative*, and President Pattenaude's *Transforming USM, 2004-09*. It aims to guide change that will address these goals within institutional, state, and national funding priorities and realities.

The project includes:

- ξ a comprehensive overview of research, creative, and scholarly activity at the University of Southern Maine, including program, management, and financial areas. This analysis of "current state" will identify research capacity for growth, strengths, weaknesses, opportunities, and recommendations for interventions;
- ξ a participatory process, over 9 to 12 months, to facilitate organizational change and to identify and engage members of the university community to assist in identifying issues and needs as well as to provide input and feedback during the process;
- ξ an evaluation of the feasibility of establishing scientific research centers and/or foundations to conduct research in emerging areas of strength;
- ξ engagement of regional and national technical resources/experts, as appropriate, to identify opportunities for growth, collaboration, and access to resources in order to advance USM's strategic initiatives with external partners, collaborating institutions, funding agencies, economic development groups, and others;
- ξ preparation of a series of reports, findings, and recommendations that will guide USM's development of policies, practices, and strategic directions for research.

The results are intended to effect the organizational change necessary and the strategic direction chosen to support USM's mission as a regional comprehensive university.

As part of its role in this program, AAAS assembled a panel of experts (called here the Assessment Team) to review background materials, conduct a site visit, and address the issues of integration of research with the USM mission, incentives and barriers to research, effectiveness of organizational structures and policy, and faculty and student involvement in the research enterprise.

The Assessment Team, whose members were specifically selected to reflect the types of expertise needed to answer the kinds of questions identified by the project's steering committee, consisted of:

- ξ Frank Calzonetti, Vice Provost for Research, Graduate Education and Economic Development, University of Toledo;
- Ξ Ed Derrick, Director, AAAS Research Competitiveness Program;
- ξ Chris Hill, Vice Provost for Research, George Mason University;
- ξ John Owens, Vice President for Research, Boise State University;
- ξ David Prior, Provost and Vice Chancellor for Academic Affairs, University of Wisconsin-Superior; and
- ξ Al Teich, Director of Science and Policy Programs, AAAS (chair)¹.

The site visit took place on March 6-9, 2005. The agenda for the site visit is included as Appendix A. At the end of the site visit, an exit briefing to discuss the panel's initial findings was held with the President Richard Pattenaude, Provost Joseph Wood, Chief Financial Officer Samuel Andrews, and Nancy Martz, Director of Operations for Research Initiatives, who is serving as University liaison to the project. In attendance were the members of the Assessment Team, as well as Claire Collins and E.J. Lovett, principals in Lovett Collins Associates. This report presents the findings of the Assessment Team.

¹ It should be noted that panel members, with the exception of Derrick and Teich, participated in their personal capacities and not as representatives of their employing organizations.

II. USM Has Come a Long Way

The University of Southern Maine has begun a remarkable renaissance. Through the leadership of the President, Provost and the Board of Visitors, a bold vision for the future of the university has been articulated. The *Imperative* describes an ambitious effort to raise the profile of the University both regionally and nationally by enhancing the quality of the educational experience for students and the service to the southern Maine community.² Through the development of world class centers for research and an overall increase in scholarly creative work, USM will provide its students and the community a high quality center of learning and outreach. The hard work of faculty and staff has begun to bear fruit.

Traditionally, it has been the land grant research university in each state that has responded to state-wide economic growth and workforce development needs. In this instance, however, the University of Southern Maine (an urban, non-land-grant university) is responding to the public need for strong partnerships with the private sector and the PK-12 educational system to further the growth of the knowledge-based economy in Southern Maine. By taking advantage of the relationship between the University and the Portland business community, the “USM/Portland Collaborative” could well become a national model for urban educational/economic development.

The University is clearly serious about charting a new direction. The declaration of the “USM as partner” model and the commissioning of this review both indicate real commitment. We believe the University is rapidly expanding its capacity for significant research and creative works. But to sustain this growth and become a genuine “metropolitan research university” it must develop an environment of intentionality wherein decisions great and small are shaped by its newly articulated goals. This systematic change will take time, but all indicators point toward the promise of success. The students, community and state will be well served by this enhanced effort to become a center for intellectual innovation and the development of human potential.

President Pattenaude stated that the University of Southern Maine is “not only *in* its community, but it is *of* its community.” Our interviews indicated that there was great interest in having the University well integrated with the community, and some groups have long been actively engaged in the community. Others express interest in becoming more engaged, but are looking for leadership on how this may be accomplished. The University is well positioned to provide intellectual leadership to Greater Portland, and its potential for leadership will continue to grow as more support is provided for the research enterprise, additional funds are identified, and new faculty are hired in the coming years.

Being known as an intellectual center, rather than a teaching school will require a well designed and sustained marketing effort that is directed both inwardly and outwardly.

² The team did not discuss the precise boundaries of the area that USM ought to view itself as serving. We generally refer to “Greater Portland,” but it might equally be viewed as “Southern—or Southeastern — Maine”

There appears to be fine scholarly activity distributed through the university, but it appears that these activities are not widely known. The ongoing scholarly achievements of the faculty across campus must be celebrated as the campus grows centers of excellence that have the potential for statewide and even national impact. This is a balance that must be achieved in order for USM not just to *be* an intellectually strong university, but to be *known* as one.

It is worth noting that USM and its faculty have been engaged in research and scholarly activity for many years, even though such activity had not been articulated as an institutional priority and resources and infrastructure to support it have been limited. This has led to some frustration among members of the faculty who have tried to focus some of their energies on research, occasionally with disappointing results owing to the paucity of institutional support. If the incentives and supports are improved, these faculty can help stimulate enthusiasm for research across the University. For this to happen, however, the University leadership, supported by the Maine System and the state and regional political leadership, will need to articulate a new vision of the nature of USM and of its role in the region, state and nation.

Finally, it should be pointed out that both the President and the Provost are held in high esteem by the faculty and are in a good position to continue the transformation of the institution. The faculty are looking to them for leadership and they have the opportunity to take advantage of this position in a positive way. It appears that people enjoy USM and find it a friendly place to live and work. The value of this positive work environment should not be dismissed and maintaining a positive work environment should be a high priority as the transformation of the university continues.

III. Next Steps

Transforming the University of Southern Maine into a comprehensive metropolitan university as described in this report is not something that can be accomplished overnight. It is a process that will take years. Nevertheless, a number of major steps can be taken in the near term that begin the process, show results, and lay the foundation for future development. These steps and the longer-term actions that should follow are noted briefly in this section and elaborated in the sections that follow.

Steps to be taken in the next six to nine months

Leadership

The President should make a clear and powerful statement setting out the goal of transforming USM into a comprehensive metropolitan university with a national reputation and strong regional focus. This statement should initiate a campus-wide discussion of the actions that will need to be taken and the process of implementing those steps should be as inclusive and transparent as possible. The tone of the statement should be optimistic, but it should warn the USM community that the transformation will require patience and sacrifice. And it should caution against losing sight of the University's educational and service role as well as against rising expectations of major infusions of funds or other instant fixes. Building USM's capacity for research and scholarship is not a panacea and the benefits will not be seen immediately.

Organization and Infrastructure

As discussed below, the Assessment Team recommends that USM appoint a Chief Research Officer (called here the CRO, but the exact title needs to be determined) as soon as possible. The CRO will have oversight and administrative responsibility for the University's research enterprise, will be an internal advocate for research, and will be responsible for overseeing implementation of initiatives described in this report aimed at enhancing USM's research capabilities and rationalizing its research administration. A university-wide Research Council should be established to advise the CRO and facilitate communication with the university community.

Incentives for Research

A number of widely-practiced university policies that inhibit faculty from seeking outside funding for research need to be changed and policies that reward those faculty who engage in research and pursue outside funding (as well as their departments) should be put into place. Among these are development of a system of indirect cost return to schools and departments, recovering the full cost of faculty time when a grant provides for buying out a faculty member's time from teaching, establishing a program of internal travel and seed money grants to encourage proposal development, and improving the support provided to faculty—both pre- and post-award—by the Office of Sponsored Programs.

Review of the Muskie School

A review of the Muskie School should be undertaken with the aim of increasing the share of costs that it recovers from external sponsors of its activities and of examining ways to increase its integration into the University's academic life.

Steps to be taken in the next one to two years

Establish a regional S&T council

A Greater Portland Science and Technology Council, similar to those in Greater Pittsburgh, San Diego, and other cities, should be established as an independent organization whose mission is promoting the development and economic diversification of the region's economy through investments in and expansion of knowledge-based assets. USM should catalyze its formation and play a leading role in it.

Increase resources available for research and allocate them to key priorities

The University already has a number of very significant strengths in research and scholarship. It should seek to obtain additional resources from a variety of potential sources including the system budget, MEIF, and EPSCoR and invest them in building up its existing "pinnacles of excellence" and additional ones that should be selected through a systematic, participatory priority-setting process.

Longer term issues (two to five years and beyond)

The steps to be taken in the near and mid-term should lay the foundation for transforming USM into a genuine metropolitan research university, retaining its strong teaching focus while building a nationally competitive research and scholarship enterprise on top of it. To continue on this course, the University will need to increase the flow of resources from federal, state, and private sources. It will also need to reinforce its engagement with the community, to make its case and the case for growing its research enterprise forcefully at the system level and in state government. Consistent with these developments, it will need to consider ways of reducing the teaching loads of its faculty members and building more graduate programs and enrollment in those programs. None of this will be easy, but the Assessment Team is unanimous in its belief that with careful planning, steadfast leadership and the support of the University and regional communities, the University of Southern Maine can realize the bold vision its leaders have articulated.

IV. Potential Research Pinnacles and Strong Points for the University of Southern Maine

Many faculty are justifiably proud of their contributions to scholarship and research and have made significant accomplishments despite very modest levels of institutional and state support. They, too, are part of the indigenous strength of USM that is ready to be mobilized in pursuit of a new vision of the university.

There are a number of academic units and programs at USM that have the potential—if they have not done so already—to achieve nationally recognized stature and become “pinnacles” of research excellence. Foremost among these is the Muskie School. As discussed elsewhere in this report, the Muskie School is already nationally recognized and has the potential to achieve much more, once its costs are analyzed and brought under control and its educational and research missions expanded.

Many universities are increasing their outreach and engagement roles, and are looking for successful models. The Muskie School is a model for others throughout the nation in this regard and thus is providing USM with “national recognition.” As noted below, however, the Muskie School’s impact on research at USM is not commensurate with the size of its budget or staff, as much of its work is more in the nature of provision of services to and on behalf of the State government, rather than of research. This issue needs to be addressed if the school is to achieve its potential as an academic enterprise and is discussed in a separate section, below.

USM has concentrated its state allocation of the Maine Economic Improvement Fund (MEIF) to concentrate on two areas: biosciences and information technology. USM’s Center for Environmental Toxicology is well on its way to being a nationally recognized center. Its work is well funded and it is competitive at the national level. The fact that the effort is heavily focused on the research and leadership of a single individual—a potentially risky situation—is a cause for some concern. There is also concern that program development, proposal writing, and administrative tasks are taking too large a share of the lead faculty member’s time and detracting from the Center’s research productivity.

On the negative side, in view of the competitiveness of the IT field, the effort in Information Technology does not seem focused nor does it seem to be making much progress toward becoming a pinnacle within USM research activities.

USM’s collaboration with the Gulf of Maine Research Institute offers great opportunity to build a nationally recognized research effort as well as to provide a service to the state in an important area of the economy and to provide a unique educational experience in marine science for Maine’s fifth- and sixth-graders. Activities in geographic information systems research and application offer the potential for significant contributions to knowledge as well as future funding, but this is a very competitive area nationally. The University of Maine at Orono may claim intellectual leadership in the national arena

through its participation in NGIS; however USM has established a reputation within the state for the application of GIS technology to research questions and problem solving – areas consistent with the work of GoMoos and GMRI. Music and Theater offer the potential for substantial impact on the cultural life of the region, but lack an appropriate venue to present their art. The Center for Law and Innovation offers the opportunity to provide technology transfer support to the university and small business in the region, but at present lacks the resources to make this a viable reality.

Undergraduate research has also made great strides at USM and is well developed. The undergraduate research program can prove a valuable source of graduate students for developing master's and doctoral programs in the future.

V. To Reach the Next Level, the Culture of the Institution Must Be Transformed

The University of Southern Maine is making real progress toward becoming a comprehensive metropolitan university . However, in order to fully realize this vision, the culture of the university must be reshaped to meet the challenges. The President must take advantage of his high standing in the university community and continue to be an articulate spokesman who is building lasting relationships between the University and external constituencies. The vision of the University must be clearly stated and regularly repeated. The “extra measure of excellence” that USM offers its students must be understood both on and off campus. The President must be able to convincingly answer the question, “ Why USM ? ”

It will be important to stay on message through the challenging steps ahead. It must become clear to all members of the USM community that they have a role in increasing the intellectual vitality of the learning environment. We believe the President can draw upon his experience in development as he creates ways of contributing to the USM model of academic excellence. It is essential that he articulate the real benefits of an enhanced Research environment for current and future students as well as for the faculty and the community of Greater Portland. The message must be clear: the engagement of our students in a learning community of faculty who are actively involved in their disciplines creates greater opportunities for undergraduate research, honors projects, internships and service learning. These opportunities provide unique settings for our students to learn communications skills, team-based problem solving and self-confidence.

Achieving the goals of USM will require organizational change. The faculty will need additional support as they strive to secure extramural funding, fellowship opportunities and external collaborations. This will be a challenge as the faculty are at varying career stages, levels of involvement in their disciplines and experience. The academic commitment of faculty and their eagerness to better serve USM’s students must be carefully nurtured. The substantial number of faculty who will retire in the next few years poses some difficulties. It may also be a blessing in disguise, however, since it offers an opportunity for selectively adding research-oriented faculty in key areas in order to strengthen established pinnacles of excellence and to create new ones.

The University has charted a bold course for the future, and like all new ventures, caution must be taken to keep the goals clearly in mind and communicate them effectively so the entire campus community can focus on and share the enthusiasm for this exciting future.

VI. Clarify the Role of Research and Make the Case for It

It is important that the leadership of the University communicate the importance of research and scholarship to USM and make clear its support for those elements of the University's mission. An active research and scholarship program enhances the University's educational role by giving students access to faculty members who are up-to-date and respected in their fields. It can, in addition, provide an opportunity for undergraduate students to expand their education, by offering them the opportunity to engage in research activities under the direction of faculty members with active research programs or centers. Strength in research also enhances the image and perceived quality of the University as faculty members increase their visibility nationally and the University rises in national rankings. Research and scholarship are still among the most significant measures of the stature of a university.

Research and scholarship also increase the ability of the University to serve the community, the region and the state. The results of research can provide opportunities for the development of new businesses and the knowledge base in the institution can provide technical support for existing local industries and well as develop collaborations with industry on funded research projects. Finally, as the reputation of the institution increases, the self-esteem of the faculty and staff will increase as they enjoy the intangible benefits (like pride) of being associated with a recognized institution. Ultimately, this will make it easier to attract high quality students, faculty, and staff to USM.

One caution must be added to the list of benefits of a strong and active research program: sponsored research should not be viewed as a "cash cow" for the university. On most campuses, the majority of sponsored research does not recover all of its administrative costs, and finance and administration (F&A) returns generally do not completely offset university contributions to the research enterprise. At present the university is only recovering about a 12 percent indirect cost rate, although the federally negotiated rate is about four times that amount. The benefits of research must be viewed in terms of the enhanced quality of carrying out the mission of the University and its service to the community, region and state, not as a revenue-generating proposition.

VII. Changes are Needed in Organization and Leadership for Research

Present Situation

The Assessment Team believes that responsibilities for oversight, administration and promotion of faculty and student research at USM are not sufficiently well-organized and coordinated to serve as the foundation for moving USM ahead in externally-supported, sponsored research.

While there is great enthusiasm and energy among the staff currently responsible for aspects of research administration and promotion and elements of what is needed for these functions are in place, there are also gaps, overlaps, and insufficient resources to meet the needs of a growing institution. There is an Office of Sponsored Programs (OSP), but it seems not to have complete oversight over external agreements and commitments and too often seems to defer to others. Likewise, the Director of Research Initiatives, who oversees OSP among other duties, has some but not all of the responsibilities and authorities needed. The authority of this position derives in significant measure from the fact that it has some discretionary resources to distribute as well as from the academic standing and experience of the individual in the position. At present, units appear to function autonomously in some cases in ways that may raise concerns under certain legal and/or financial circumstances. As noted below, the absence of a top manager for research has undoubtedly contributed to important lacunae in the array of institutional policies and procedures needed to guide a research-intensive institution.

Need for a Chief Research Officer

We recommend that USM create the new position of Chief Research Officer (CRO) to oversee, coordinate and promote research and related scholarly and creative activities throughout the university. Four issues are central to this position—the title, the reporting relationship, the roles and responsibilities of the position, and desirable characteristics of the person for the position.

The title for this position needs to be considered carefully. If limited to “research,” it could inadvertently (and wrongly) signal to those who consider themselves scholars and artists rather than researchers that this initiative has nothing to do with them. We note, however, that across the country, the customary title for this position is either “vice president for research” or “vice provost for research,” and we suggest that, despite the drawbacks, USM may have the most to gain externally by adopting this near-standard national practice. For purposes of this report, we will use the term “Chief Research Officer” (CRO).

It is common for the CRO to report either to the chief academic officer (provost) or, in some institutions, to the president directly. There is probably no “right” reporting relationship. On the one hand, reporting to the provost recognizes the essential unity of

teaching and research and establishes that the quality and nature of research is as great a concern of the provost as is the quality and nature of instruction. On the other hand, the CRO has many executive responsibilities that are more akin to those of the chief administrative and financial officer and that are more appropriately responsive directly to the chief executive. A typical compromise is that the CRO has a direct reporting line to the provost and a “dotted line” relationship to the president. In an institution like USM that is seeking to marshal institutional resources in the direction of greater research and greater involvement in support of regional business and industry, to ensure that the CRO is productive and able to influence the allocation of energies and resources, the CRO should be a regular member of the most senior executive council around the president. He or she should also participate as a regular member of the deans’ council.

What is the job of the CRO? The CRO should have oversight and administrative responsibility over all externally supported research and scholarly activities at the university, including line authority for the Office of Sponsored Programs, research compliance, technology transfer, and federal grant and contract relationships, as well as congressional relations and pursuit of congressional funding allocations. The CRO should have charge of strategic assessment and planning for the research enterprise and should be a force for organizing and encouraging large-scale and interdisciplinary research activities. The CRO should represent the research commitment of the University to external bodies at the local, state and national levels. And, the CRO should be the principal internal advocate for research, scholarship and creativity. In that capacity, the CRO should be charged with ensuring that the institution’s policies and procedures are adequate, up-to-date, and operational.

In addition to these somewhat formal roles, the CRO is also called upon to resolve issues, solve problems, and run interference as needed. One area of responsibility that is particularly challenging to locate is oversight of environmental, safety and health matters in the research and instructional laboratories. At some institutions, this responsibility is located in the administrative body responsible for physical facilities and maintenance. At others, it is seen an integral part of academic oversight. Either way, the CRO will have a role to play, either as the person directly responsible or as the person responsible for ensuring that the facilities-based safety operation is appropriately sensitive to the special demands of academic operations and that safety-related matters are made a regular part of the instruction of students in every relevant part of the institution, from biology to ceramics.

Experience has shown that, to be effective, a CRO must be a senior level, active researcher and scholar, appropriate for appointment to a tenured full professorship in one or more units of the institution. It is imperative that he or she hold faculty rank as well as the administrative position. We cannot emphasize too strongly that the CRO should be familiar with the nature of research and scholarship in a wide range of disciplines and fields—being a transparent advocate for one field or discipline over all others will not work. For an institution at the stage of development of USM, the CRO should have had prior experience in research administration, preferably at the level of a dean or other, more senior position. He or she should understand and appreciate how bureaucratic and administrative processes work and value their contributions. At the same time, it is

important for the CRO to be flexible and to recognize the need for, and constraints on, *ad hoc* decisions that don't always "go by the books." As both a faculty member and an executive responsible for a variety of administrative offices that touch faculty lives directly, the CRO is often the focal point of faculty disenchantment with those administrators. It may be a cliché, but being adept at communicating and listening is essential to success in this role.

The Issue of Resources

To be effective, the CRO must appear to have, and must, to some degree actually have, control over a significant level of financial resources. In most institutions, these resources are based heavily on control over the use of some portion of the recovered indirect costs on external grants and contracts. There are many legitimate calls on these resources, including paying for the very costs that were used to justify receiving them in the first place (facilities and administrative costs allocated to externally sponsored activity). How those costs are paid for and how the recovered indirect costs are invested, going forward, however, can and should be influenced by the CRO. The Team believes that allocating a portion of recovered indirect costs (perhaps five to ten percent) to a development fund controlled by the CRO is an approach that USM should consider seriously. In any event, this is probably an opportune time in the evolution of USM for a thorough-going reconsideration of how recovered indirect costs are allocated (not to mention whether and how they are charged—see the next section). The CRO in conjunction with the CFO should lead that examination.

In addition, in the USM context it seems obvious that the CRO should have the responsibility for managing the research initiatives funds made available from the state. Current administration of those funds appears to be in good hands, and there may be no reason to handle them differently than they are now being handled. On the other hand, these represent the largest discretionary portfolio of funds in the university and it is essential that they be managed and invested strategically to build for the future, rather than be used to paper over problems that should be addressed with funds from other sources. We observed several instances of the latter.

The University does not have a transparent process for the distribution of internal funds in support of research and scholarship. Funds should be provided to the CRO and formal criteria should be designed so that it is clear how funds are to be awarded, what the time period of support is, and what the expectations are of the awardees. Competitive internal grants can be created for summer support, travel, etc.

From a longer-term perspective, however, the investment in a CRO should be seen as just that—an investment in USM's future. It is likely to cost on the order of \$200,000 to \$300,000 annually to hire a CRO and provide basic supporting services to him or her. After the next round of indirect rate negotiation with the federal government, it might be possible to recover some of this cost through an adjustment of the administrative portion of the F&A rate, unless that portion is already at the 26 percent federal cap. More likely, however, the investment will have to be understood as having been recouped through a more effective research administration and through growth in the overall research and scholarly profile and resources of the university over time.

In any event, filling the CRO position is a matter of some urgency. Should there be

financial or administrative barriers to doing so in a timely manner, the university should seek creative ways to establish the position as quickly as possible, since it is key to many of the other recommendations contained in this report.

A Research Council

In conjunction with the appointment of the CRO, a university-wide Research Council should be established, including representatives from all of the major academic units of the institution. This Council, which would be chaired by the CRO, would serve as an advisory body for him or her. In addition, it would provide a channel of communication for the CRO to disseminate information about the University's research enterprise (including for example, regulations, research initiatives, and funding opportunities) and to gather feedback and the opinions of faculty and administrators regarding important research issues.

VIII. Criteria for Choosing Research Focus Areas

The Assessment Team suggests that USM begin a process of evaluating and identifying promising areas of research, creative, and scholarly activity that can be targets for selective investments in the near future. The identification of research areas will aid in advancing the University's stature as an emerging research university. The process will empower members of the selected groups and the University to establish a basis for gaining regional and national recognition for research, provide a transparent basis for selective investments, encourage further development of the selected areas, provide a foundation for developing opportunities for these areas in state funding considerations, and demonstrate to faculty across the University that the institution is ready to invest in those groups which are able to organize and demonstrate quality research and scholarship activities.

The CRO should use the Research Council to initiate an open, campus-wide process to invite groups to demonstrate that they should be designated for special recognition and enhancement on the basis of research and scholarship. Such areas should include a group of faculty and not just represent individual researchers. Criteria in this evaluation should be selected by the Research Council and Chief Research Officer and endorsed by the Provost and President. The criteria used in the evaluation of potential areas could be the following:

- ξ The area shows merit as measured through publications, competitive grants and contracts, collaboration with leading centers/institutes, contributions to national research boards and committees, or other measures of recognition.
- ξ Investment in the area will enhance the University's academic programs (particularly graduate programs) and move the University forward in developing nationally recognized programs consistent with its mission.
- ξ The area is already contributing to, or is likely to contribute to regional or statewide science and technology initiatives and/or address problems of significant regional interest.
- ξ Investment in the area is likely to leverage additional external funds such as may be available through national R&D priorities.
- ξ The group has strong faculty leadership (both in academic reputation and in leading a group of faculty toward higher collaborative activities) and involves a number of highly productive faculty members.
- ξ The group is able to articulate an investment strategy to increase its stature and that strategy has the endorsement of the group's dean or deans.

The University may wish to provide a few selected areas with additional faculty lines,

preference to the area in approaching Congress for earmarked funds, preference for cost-sharing funds, preference for F&A distribution, and preference for graduate assistantships .

The University should put the process into place for several rounds in order to energize emerging groups that may not be selected in the first round. It should plan on a reevaluation after a 3-4 year period with a new campus-wide external peer-evaluation of research areas in which selected areas are either reaffirmed or dropped, and new areas have the opportunity for selection.

IX. Strengthening Research Policies, Procedures and Practices

In its brief visit to the USM campus, the Assessment Team did not have time to review USM's formal statements of policy and procedures, nor to examine carefully its informal practices for the administration of research, scholarly and creative activity. From our interviews, however, we did form certain impressions of the present situation that we believe should be addressed.

University policies are not widely understood.

In several discussions we found that faculty and administrators were unable to answer basic questions about what USM policy is regarding such matters as conflict of interest, indirect cost waivers, and intellectual property ownership and benefit. This is not entirely surprising since external funding is not that widespread in the university. However, we believe that more effort needs to be made to convey the essence of those policies to the faculty and support staff.

Indirect cost recovery appears inadequate and weakly managed.

From our interviews we formed the impression that USM does not have a consistently applied policy regarding the recovery of indirect costs on grant and contract proposals. It also appears that few faculty members know how the university spends or allocates its returned overhead. It appears that quite often rates below the federally negotiated rate are applied to proposals, even with federal agencies that routinely pay full indirect costs. While this practice may or may not make a proposal more competitive—in most cases it probably does not—it also means that the university is subsidizing each such project that obtains external support.

Federal agencies, led by NSF, have recently backed away from the practice, which had become more widely used in the 1990s, of asking universities to cost share by foregoing some portion of the negotiated indirect costs. Where such cost sharing is not specified in a program announcement, we recommend that USM take a hard line on indirect cost waivers, making them exceptions rather than routine matters. The CRO can provide useful support to OSP in enforcing this policy in the face of faculty pressure. The reason for this is clear—USM needs these indirect cost recovery funds if it hopes to support an expanded research infrastructure.

External agreements are not centrally overseen.

In light of the increasing demands from policymakers and funding agencies for accountability and uniformity in research administration, it is good practice for universities to centralize the final authority for making binding agreements with research sponsors. Typically, all proposals for such funding, as well as all acceptances of grant and contract awards, are signed and managed by a single entity, usually, the Office of Sponsored Programs and its director. Similarly, legal agreements given other names, such as memoranda of agreement or of understanding, teaming agreements, non-disclosure agreements, and material transfer agreements should also be centrally negotiated and signed.

At USM we found circumstances in which such contracting authority has been devolved, or perhaps simply assumed, by local academic unit administrators. This practice exposes the institution to unmanaged liability exposures, risks setting precedents that are difficult to overturn, and inadvertently places faculty members and administrators at risk of being found personally liable in the eyes of the law if events go badly. An early task of a new CRO, with the support of other senior administrators, should be to bring all such activity into OSP. Along with this, we were told that the university does not have in-house counsel but must go to the system office or private counsel for legal advice. Over time, effective and responsive administration of legal agreements will be greatly improved if it is possible to add a legally trained contracts negotiator to the OSP or CRO staff, even if such a staff person is not able to represent the institution as its counsel of record.

Release time policy and practice needs to be better developed and disseminated. We found a wide range of views about what the university's release time policy is and how it is implemented, and an even wider range of views about whether release time can or should be made available to faculty who bring in grants or contracts that would pay a portion of their academic year salary. Both of these are serious deficiencies that need to be addressed.

Perhaps the most serious problem we found in the area of release time were repeated claims from faculty that they had been discouraged from seeking release time on grants because there would be no one to teach their courses if they bought out some of their time. In part, we understand that this reflects a staffing practice in which departments have had to have "one of each" in various specialties within their disciplines. However, it also suggests undesirable rigidity over faculty assignments to teach various courses, leading to an over-rigid approach to teaching roles. And, we heard that efforts to hire adjunct faculty locally to fill in for those on release time have been unsuccessful. While we have had no opportunity to make an independent assessment of this claim, we suggest that it ought to be possible to cast the recruitment net a bit wider to locate appropriate adjuncts from the northern reaches of the Boston area as well as locally.

Another problem in the release time area is inconsistent practice regarding how release time salaries are charged to grants and contracts. It is standard practice in academia for faculty release time to be charged to grants and contracts at the regular rate of pay, plus benefits, for the person supported. Thus, ten percent release time for a faculty member earning \$100,000 annually would be charged to a grant at \$10,000, plus benefits. However, we heard that at USM, what is often charged to the grant is not the cost of the faculty member's release time but rather the replacement cost for that faculty member's teaching effort. Since adjuncts and graduate students typically earn less on a unit time basis than do regular faculty members, this practice means that USM is under-recovering the cost of the release time, as well as benefits and indirect costs.

We strongly recommend that OSP be directed by the new CRO to budget release time in the conventional manner based on the value of the salaries and wages being released. The difference between the value of the release time and the cost of a temporary replacement, or so-called salary savings, can then be passed back to the department or the college to provide some additional discretionary funds to be reinvested in the research enterprise. (This raises the question of which academic level should enjoy the benefits of the salary savings—the provost, the dean or the chair. Resolving this is largely a matter

of balancing the positive incentives at the lower levels to manage course staffing creatively, with the benefits at the higher levels of being able to aggregate salary savings to make larger, strategic investments in the institution's future.)

Finally, in the area of release time management is the question of how much release time salary support should be required to warrant buying out one course. This is closely associated with the discussion of how faculty workload is defined and managed, and is, thus, a matter for institutional decision in light of collective bargaining agreements and other considerations we have not examined. However, as a rough rule of thumb, if a "full load" is four courses each term, then one course is associated with a quarter of a faculty member's effort; that is, a one-course buy-out would be equivalent to 25 percent of salary for the period of the course. Lower or higher amounts would be expected, depending on national and regional norms for full load in different disciplines and professional schools. We think it unlikely that a uniform university-wide policy on course buy-outs and loads will be workable in a complex university with many different disciplines and fields.

Research compliance seems to be in good hands at the moment.

The Assessment Team was impressed with the recent strides made to upgrade and implement research compliance policies and practices across the institution in such areas as human subjects review, animal use and care, and laboratory safety. At the same time, various "walk through" experiences suggest that there is still some distance to go to bring all parts of the university up to speed in compliance with basic laboratory safety expectations. (Although we did see some high spots here as well, such as the new life sciences research facilities and the renovated printmaking shop in the art department.) Nonetheless, as the university expands its research activities, it will need to ensure that all of its policies, procedures and practices are up to national norms and regulatory expectations. Faculty-based oversight committees can be most helpful in this regard, as their members are typically highly motivated to ensure that the work of their colleagues is up to par and does not put their own work at risk.

X. USM Must Seek Stronger Support from the UM System and State Government

The Assessment Team is concerned that USM is not participating in state funding opportunities at a level appropriate to its current standing or its aspirations. The Team members saw scant evidence that the University was playing a significant role in the state's EPSCoR program, and its share of the Maine Economic Improvement Fund (MEIF) was very modest compared to the amount provided to the University of Maine at Orono. The team believes that USM can make a strong and well-substantiated case that its participation in EPSCoR be raised to a higher level and that the University receive a larger share of new MEIF funds.

The Team believes that USM should have its position with respect to state funds readjusted in light of its recent growth as well as its mission in research, scholarship, and community engagement. When making a case for additional funds, USM ought not argue about what constitutes a "fair share," but should instead aim to bring state leaders into a shared vision for USM that calls for additional investment to support enhanced economic development and improved quality of life for the greater Portland area and for the citizens of Maine. We believe that there exist champions for USM at the state level if USM provides a plan that can be championed.

State Funding and other Sources of Revenue.

The Assessment Team was not charged to evaluate revenue streams for USM, but the issue of state funding cannot be ignored, since it shapes the overall fiscal environment for the University. Given that state funds are not formula-driven, the allocation of state funds is difficult to understand.

- ξ It appears that USM tuition is low compared to its peer institutions in other states (\$154 per credit hour for undergraduates, \$229 for graduates). Although the University may be concerned about competition from community colleges (\$70 per credit hour), tuition levels for a university with the breadth of programs such as USM appear very competitive with comparable institutions. The Assessment Team did not ascertain whether USM was benchmarking its tuition against its peers and whether there was more flexibility in increasing University revenue through tuition increases. If there is, USM may want to consider a 6 percent tuition increase plus another 3 percent for financial aid.
- ξ The Assessment Team sees opportunities for alternative sources of revenue that USM may not currently be tapping. For instance, Portland is certainly an attractive holiday destination in the summer. The University should take maximum advantage of its facilities and faculty during this period (NEH Summer Workshops, short courses, etc.). The state funds being placed into Tourism and Outreach offer great opportunities to USM through the newly established Center for Tourism Research and Outreach developed by USM and the U Maine.

- ξ USM should work to increase the amount of finance and administration (F&A) support included in external projects. Although some flexibility is always needed when dealing with local governmental agencies and non-profits, there is no reason for the University to be losing as much money as it appears to be in connection with sponsored projects. The fact that the state system takes F&A funds off the top is not necessarily unique, but reduces the University's ability to pay for its research enterprise.
- ξ The Assessment Team agrees with USM leadership that the total endowment is low. Team members were not clear about how well the staff in the University's Advancement Office worked with college deans or the alumni association in raising additional gifts.
- ξ Although there may be push from the state to increase USM's technology transfer activities, USM must be cautious about putting funds into patents that do not have a strong probability of being licensed. The University should build up its research portfolio then expand its technology transfer and commercialization activities accordingly. A statewide technology transfer office might be worthy of consideration.

The Maine Economic Improvement Fund (MEIF).

According to the description of the program, the Maine Economic Improvement Fund was established in 1997 to help the State develop a critical mass of infrastructure, expertise, and equipment in targeted areas needed to compete for federal research and development grants. The Assessment Team learned that the \$10 million allocated to the university system was split 80/20 between the University of Maine at Orono and USM. We understand that the decision on this split was not made by the legislature, but rather in the system office.

Although the Assessment Team questions the percentage split given the comparative sizes of the institutions, it appears that the \$10 million has been base-budgeted at both institutions so that little flexibility in redistributing these funds exists, at least for the next biennium. From the information gathered during the site visit, the Assessment Team did not see an opportunity to redistribute MEIF funds across campus. However, with a well-developed research infrastructure investment plan along with USM campus expansion, USM should be able to make a compelling case to adjust this ratio in future allocations toward a more favorable split toward USM. If the decision for this split was indeed made in the system office, then USM leadership should be more aggressive in positioning the university for a larger share of future allocations.

EPSCoR

The Experimental Program to Stimulate Competitive Research (EPSCoR) was initially developed by the National Science Foundation in 1979 in response to concern expressed by Congress that certain states were not participating fully in federal R&D programs. Maine was one of the original five states to receive NSF EPSCoR funding. Initially providing modest seed funds to only five states, the program has expanded in terms of the

number of jurisdictions participating in the program, the number of federal agencies dedicating funds to the program, and the amount of funding available to support EPSCoR activities.

EPSCoR funds are valuable to universities in less research-intensive states in building research infrastructure in line with university and state plans, and allowing faculty to compete in sheltered competitions across a number of agencies.

The Assessment Team was surprised at the low level of understanding of EPSCoR across campus, at USM's low level of participation in EPSCoR projects across campus, and at the lack of participation of campus leaders and advocates in working with EPSCoR state leaders in building research infrastructure and projects on the USM campus. The impression that USM was a marginal player in EPSCoR was confirmed in a follow-up telephone interview with the Maine EPSCoR director after the site visit (rescheduled because of weather).

The State EPSCoR director, who is also the Director of the state Office of Innovation within the Office of Community and Economic Development, spends only about one-fifth of her time on EPSCoR, and does not take an active role in communicating information about EPSCoR opportunities to Maine's research institutions, including USM. The PI of the NSF EPSCoR program (the largest of the various federal agency programs) is located at the University of Maine at Orono and that institution is the major participant and driving force in Maine's NSF EPSCoR program. This model is not necessarily unusual, but what is unusual is lack of participation in this program by the state's second largest university. It does not appear that there is widespread communication of EPSCoR opportunities across the USM campus nor does it appear that the USM has a plan to position itself or to build capacity for EPSCoR support.

The Assessment Team recommends that USM take a more aggressive position toward EPSCoR, develop mechanisms to energize faculty and chairs toward EPSCoR opportunities, and include EPSCoR funding as a possible resource in building core capacity of state interest. The Chief Research Officer should be an advocate for USM as EPSCoR proposals and investments are discussed at the state level and should also seek to raise the visibility of USM in Washington and within the national EPSCoR community. The CRO could also work with USM faculty to prepare stronger and more proposals for DoD EPSCoR competitions. For instance, having USM faculty identify funding priorities of the DoD agencies, making contact with DoD laboratories and keeping budget requests modest would increase the chances of DoD EPSCoR awards.

XI. Broaden and Focus Community Support for USM's Enhanced Research Role

The Assessment Team's interviews did not convey a strong sense of collaboration and involvement between USM as a research and scholarly institution and the Greater Portland community, with the exception of the developing ties to the Gulf of Maine Research Institute.

The Team believes that forging stronger ties between the university's research and scholarship and the community will benefit both sides in the relationship. The region has much to offer. Portland is a vibrant and attractive city with the strongest and most diverse economy in the state. The region's physical environment also provides rich and inviting possibilities for interesting research. USM is the only local institution with the breadth of mission to support a broad range of collaboration with the region, and the growth and development of the community in the 21st century knowledge economy will of necessity be closely intertwined with the growth of USM. Enlisting the support of community leaders will help generate the support needed to increase the state investment in the University of Southern Maine.

Although the Assessment Team did not hear much about research and scholarship tied to the community, it seems likely that much outreach and engagement does exist "below the radar." The Assessment Team suggests that the University conduct an inventory of engagement activities in preparation for development of a marketing strategy to show the community the value of the University to the region. For instance, it should become well known throughout the community that the University of Southern Maine has excellent work underway on the Gulf of Maine and is the place to go for expertise and instruction on environmental issues on this topic. The Assessment Team believes that the University should develop a clear and consistent message led by the President and that this message be part of a long-term marketing strategy. The President appears to have much standing in the community and should use this standing to further develop his role as a person with a vision not only for the University, but for the region as a whole. The new CRO should also be a major participant in outreach to the community.

Importance of collaborative research.

The Assessment Team believes that there exists great potential for collaborative research with regional partners that will benefit the university, the partners, and the region. For example, collaboration with the Gulf of Maine Research Institute will bring USM faculty into the GoMoos project that could connect well to faculty involved in GIS, biology, geosciences, education, and information technology. If the university decides to continue with the earmark process, collaborative projects with community organizations will help bring more political muscle to the process. The President and Provost should encourage collaborations and use the office of the Chief Research Officer to develop stronger and new collaborations.

Greater Portland Science and Technology Council.

The Assessment Team did not see evidence or mention of a regional technology organization or council in the Greater Portland area. The Team suggests that the USM President take the initiative in creating such a council that would be composed of the leadership of the region's technology companies and organizations, the leadership of USM and other higher education institutions in the area, and the region's top political and civic leadership. The Council should not be part of USM but an independent organization whose mission is promoting the development and economic diversification of the economy through investments in and expansion of knowledge-based assets. The Council members should be interested in working together to attract more state and federal technology funds to the region and should serve as an advocate in Augusta in bringing project funds to the region. Council members should include major corporations who are able to open up new avenues for collaborative projects with USM faculty. Forming this Council will require the personal involvement of the USM President who needs to identify champions in the community who are committed to this joint vision for community development.

The Council should aim to become a major force in the state capital and should have a strong interest in seeing USM grow its research and scholarship activities. The Council should be able to weigh in on the need for a proper distribution of state funds in support of higher education and research facilities needed to support a growing regional economy. Council members will likely be members of important statewide boards and organizations and will have the opportunity to connect USM into broader statewide initiatives as a full participant.

XII. The Mission and Direction of the Muskie School Deserve Special Attention

The Muskie School is an important asset for the University and the state. Its unique public service activities are no doubt regarded with envy by many public universities in this country. Many universities are developing strategies to increase outreach and engagement, as the Muskie School is already doing. As a single entity, however, it represents an unusually large portion of USM's externally funded activity. The Assessment Team notes that only a small portion of the Muskie School's external funding supports research, while its largest programs deliver services to citizens on behalf of the State government. It appears to deliver these services to and for the state at well below cost. For example, while USM's overhead rate is 46 percent, it appears that the actual overhead recovery rate for projects at the Muskie School is approximately 13 percent. Add to this the fact that a substantial amount of the space utilized by the school is rented (the rental cost is probably substantially more than the overhead recovery for space) and this makes the cost to the University even more substantial.

Apart from these cost issues there is the question of the School's contribution to USM's academic enterprise. While the school is nationally recognized for its public service, it seems to have a limited impact on the academic environment and the educational mission of the university. Out of more than 200 professionals associated with the center, only eight faculty and 11 of the research adjunct faculty are involved in teaching the 200 students taking courses in the school. The Team's information and time were limited, but in view of these uncertainties about the relative costs and benefits, we believe that an objective review of the school's objectives and directions would be in order.

It appears that the leadership of the Muskie School has a realistic understanding of the School's contributions to the University and state as well as its limits. We agree with them that the Muskie School needs to become more nationally known for research, scholarship, and academic programs; it needs to recruit more faculty and students, and needs to move to the next level of research prominence. The four areas that the School has identified (public health; tourism; rural policy; and environmental policy) appear to fit well with state needs and institutional strengths. Expanding the School's research role (as opposed to its service role) will help to integrate it more effectively with the rest of the campus.

Appendix – Site Visit Agenda

Sunday, March 6

7pm Dinner with Provost and Site Team

Monday, March 7

Portland Campus

8am Meeting with President, Provost, and Site Team

9am Meeting with Deans

11:15am Margo Wood, Associate Provost and Dean for Graduate Education

Noon Brief tour of facilities; lunch with researchers in Research Initiatives

1:30pm College of Arts & Sciences – Science Faculty

2:15pm College of Arts & Sciences – Social Science Faculty

3pm Financial Matters
Chief Financial Officer, Director of Sponsored Programs, Development Officer

Gulf of Maine Research Institute

4:30pm Conference call with representatives of Maine Biomedical Research Coalition

5pm Conference call with representatives of Maine Marine Research Coalition

5:30pm Tour of GM RI

The Cumberland Club

6pm Dinner with representatives of Board of Visitors

Tuesday, March 8

Gorham Campus

8:30am Tour of facilities with Associate Dean ASET.

9am College of Arts & Sciences – Arts Faculty

10am Conference call with University of Maine Orono representatives
Vice President for Research, Executive Director for Research and Economic Development, and Professor of Computer Science

11am Conference call with University of Maine System

Vice Provost for Academic Affairs

Noon Brief tour of Arts facilities

Portland Campus

12:30pm Lunch and discussion with Research Initiatives staff
 Director of Operations for Research Initiatives
 Coordinator of Undergraduate Research Program and Director of the
 Office of Proposal Development
 Director of Research Compliance

1:45pm Research Initiatives
 Director of Research Initiatives
 Brian Hodgkin

2:30pm Center and Institute Directors

3:30pm Muskie School
 Associate Dean and Institute Directors

Wednesday, March 9*Portland Campus*

9:30am Panel report on its preliminary observations
 President, Provost, Chief Financial Officer, Site Team.

Tuesday, March 15*Conference call with panel members Derrick and Calzonetti*

3pm Discussion with Dr Yancey-Wrona, Director of State of Maine
 Office of Innovation and state EPSCoR Director.

Thursday, March 24*Conference call with panel members Derrick, Calzonetti, Owens and Prior*

2:30pm Discussion with Dr. Wise and Dr. Incze.