Introduction

Sponsored Programs is pleased to present the Annual Report for fiscal year 2014. New funding for externally-sponsored projects at EKU totaled $45,444,635\(^1\) for the recently ended fiscal year, a slight increase from the previous fiscal year. The pursuit of external funding represents the commitment of EKU faculty and staff to further enhance the Eastern experience by providing new resources and experiences through the University’s multi-faceted mission of teaching, research, and service. We extend congratulations to the faculty and staff whose hard work and dedication are represented by the awards in this report. We are proud of those who have devoted the long hours required to prepare grant proposal packages and excited to see new faculty express interest in the pursuit of external funding.

Notable new competitive awards to celebrate include an award from the National Science Foundation to build research facilities at Lilley Cornett Woods, overseen by Dr. Stephen Richter, Associate Professor of Biological Sciences and Associate Director of Natural Areas; an award from the U.S. Department of Education to prepare related services personnel for rural employment, directed by Dr. Colleen Schneck and Dr. Christine Myers in Occupational Therapy; and a Susan Harwood Training Grant providing injury and wellness training for small and new businesses in Appalachia, conducted by Willard Drake and Tammy Cole in Workforce Education and Scotty Dunlap in Safety, Security, and Emergency Management. Proposals were submitted to several other highly competitive programs in FY 2014 with awards anticipated in FY 2015.

Sponsored Programs Mission

The mission of the Division of Sponsored Programs is to provide support for faculty and staff in the pursuit of external funding while assuring compliance with applicable regulations. Sponsored Programs provides assistance in the following areas: identifying potential funding sources; developing proposal narratives and budgets; facilitating compliance with federal, state, sponsoring agency, and University regulations; completing electronic applications; submitting proposals to sponsoring agencies; negotiating contracts and other award agreements; accepting award documents; administering post-award non-accounting functions, including subawards, vendor agreements, no-cost extensions, and budget revisions; administering the Institutional Review Board for the protection of human research subjects; and administering the Institutional Animal Care and Use Committee.

FY 2014 Fast Facts

- Number of individuals submitting grant proposals: 114 (72 faculty, 42 staff)
- Number of individuals submitting grant proposals for the first time: 34 (25 faculty, 9 staff)
- Total funding awarded for projects with start dates between July 1, 2013 and June 30, 2014: $45,444,635

\(^1\) The dollar amounts included in this report reflect new awards received with start dates that fall between July 1, 2013 and June 30, 2014 and may not reflect additional funding awarded on awards with original start dates prior to July 1, 2013.
- Number of project directors or co-project directors on active awards: 111 (68 faculty, 43 staff)
- Number of new awards: 109
- Number of individuals serving as project directors for the first time on new awards: 12 (8 faculty, 4 staff)
- Number and dollar amount of subwards and vendor agreements processed: 133, $6,356,367
- Number and dollar amount of University Funded Scholarship (UFS) grants awarded: 10, $42,537
- Number of Institutional Review Board (IRB) research protocols: 224
- Number of Institutional Animal Care and Use (IACUC) protocols: 10

2013-2014 Funding Highlights

Sponsored project funding secured through new awards for the 2014 fiscal year totaled $45,444,635. The following graphs illustrate the funding trend for the last five years in total and for each college.

**Funding History, FY 2010 - FY 2014**

<table>
<thead>
<tr>
<th>Year</th>
<th>Total Funding by Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY 2010</td>
<td>$49,291,204</td>
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<tr>
<td>FY 2011</td>
<td>$48,962,156</td>
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<tr>
<td>FY 2012</td>
<td>$46,235,013</td>
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<tr>
<td>FY 2013</td>
<td>$45,050,206</td>
</tr>
<tr>
<td>FY 2014</td>
<td>$45,444,635</td>
</tr>
</tbody>
</table>

**Funding History by College, FY 2010-2014**

<table>
<thead>
<tr>
<th>Year</th>
<th>Arts &amp; Sciences</th>
<th>Business &amp; Technology</th>
<th>Education</th>
<th>Health Sciences</th>
<th>Justice &amp; Safety</th>
<th>Other</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY 2010</td>
<td>$2,053,634</td>
<td>$4,688,510</td>
<td>$3,749,198</td>
<td>$1,799,756</td>
<td>$31,372,566</td>
<td>$5,627,540</td>
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<tr>
<td>FY 2011</td>
<td>$1,282,851</td>
<td>$774,697</td>
<td>$4,365,919</td>
<td>$2,031,309</td>
<td>$36,427,760</td>
<td>$4,079,620</td>
</tr>
<tr>
<td>FY 2012</td>
<td>$857,517</td>
<td>$858,810</td>
<td>$4,090,559</td>
<td>$1,911,555</td>
<td>$32,430,397</td>
<td>$6,086,175</td>
</tr>
<tr>
<td>FY 2013</td>
<td>$783,998</td>
<td>$664,412</td>
<td>$4,353,634</td>
<td>$2,068,502</td>
<td>$32,423,299</td>
<td>$4,756,361</td>
</tr>
<tr>
<td>FY 2014</td>
<td>$1,161,630</td>
<td>$534,680</td>
<td>$4,289,203</td>
<td>$2,507,618</td>
<td>$34,128,401</td>
<td>$2,823,104</td>
</tr>
</tbody>
</table>
Faculty and Staff Submitting Grant Proposals

Seventy-two (72) faculty and 42 staff submitted a total of 150 proposals for external funding during the 2014 fiscal year. Twenty-five (25) faculty and nine staff submitted proposals for the first time in 2014. These counts include both project directors and co-project directors on proposals submitted. The following graph illustrates the number of individuals submitting proposals during the 2014 fiscal year by college.²

The following graph shows the number of proposals submitted by college, based on the college of the project director.

²Note that the number of faculty and staff with projects active in fiscal year 2014 is not comparable to the number of faculty and staff who submitted proposals during fiscal year 2014 because many of the proposals submitted in one fiscal year will begin in the following fiscal year or later.
Project Directors on Active and New Awards

Sixty-eight (68) faculty and 43 staff served as project directors or co-project directors on awards that were active during the 2014 fiscal year. Forty-three (43) faculty and 39 staff served as project directors on 109 separate new awards that began during the 2014 fiscal year. Eight faculty and four staff served as first-time project directors on new awards in FY 2014.

College Funding by Department

The following graphs provide a detailed account of funding activity within each college by presenting funding levels for each department. The dollar amounts included in these graphs reflect new awards received with start dates that fall between July 1, 2013 and June 30, 2014 and may not reflect additional funding added to awards with original start dates prior to July 1, 2013. Departments without new sponsored project awards beginning in fiscal year 2014 are not included.
College of Education

- ADED, $799,394
- ASLIE, $1,714,111
- C&I, $202,632
- EDLEAD, $327,222
- KECSAC, $571,119
- MIGR, $505,923
- P20INNO, $95,360
- EDSERV, $73,442

College of Health Sciences

- DEAN, $77,832
- BCHC, $2,171,260
- OT, $240,399
- RECPA, $18,127
The following graph reflects the number of new awards by department within each college with the college’s total new awards. While the College of Justice and Safety’s Training Resource Center was awarded the highest dollar amount of any department within a college, the College of Arts and Sciences’ Department of Biological Sciences received the most new awards.
Funding by Purpose

The majority of funding (90%; $41,039,890) for fiscal year 2014 was secured for "other sponsored activities" through 67 awards, including service projects. A total of $3,439,064 (8%) was secured for instruction projects through 21 awards, and $965,681 (2%) was secured for organized research projects through 21 awards. The following graph depicts the dollar value of funding approved for organized research, instruction, and other sponsored activities.

Funding by Purpose

- Organized Research, $965,681.00
- Instruction, $3,439,064.00
- Other Sponsored Activity, $41,039,890.00

Funding by Source of Funds

Awards from federal funds totaled $27,353,589, which represents 60.19% of the total amount awarded to EKU during the 2014 fiscal year. The federal funding total includes funding awarded directly to the University from federal agencies as well as federal funding passed through the State of Kentucky, awarded through subawards from collaborating universities, and granted through other federal pass-through agencies. Notable federal agencies include the United States Department of Health and Human Services, the United States Department of Education, the National Science Foundation, and the Health Resources and Services Administration. State-funded awards represent 39.39% of total funding for fiscal year 2014 at $17,898,214. Notable state agencies include the Cabinet for Health and Family Services, Council on Postsecondary Education, Department of Justice, Department of Education, Department of Corrections, and Transportation Cabinet. The remaining 0.42% of funding for fiscal year 2014 was awarded by private ($177,832) or local ($15,000) sponsoring agencies, including local governments and companies. The following graph illustrates the breakdown of federal, state, local, and private sponsoring agencies for fiscal year 2014.
The Year in Review

Customer Service

Sponsored Programs seeks to enhance and facilitate the ability of faculty and staff to achieve their goals by supporting the University's multi-faceted goals through successful competition for funding from external sponsoring agencies. To accomplish this goal, Sponsored Programs is responsible for a dual role focused on customer service and compliance. Our objective is to assist faculty and staff in developing quality proposals that will be competitive with applications submitted by other organizations to external grant programs while also ensuring that Federal, state, sponsor, and University compliance regulations are followed.

In FY 2014, Sponsored Programs devoted attention to providing additional resources as tools for the proposal development process. The new Frequently Asked Questions section of our website was updated with additional information aimed at answering questions many faculty and staff have about the grants process at EKU. Budget worksheets were also developed to assist applicants in building budgets for various sponsoring agencies. The worksheets are available online and include options for specific Federal sponsors as well as general options for simple budgets without a specific required format. In the upcoming fiscal year, Sponsored Programs will continue to look for opportunities to expand the availability of resources.

As a new Federal Office of Management and Budget (OMB) Circular takes effect in January 2015, Sponsored Programs will focus on adjusting internal processes and procedures to ensure compliance with new guidelines. In implementing new procedures, each will be reviewed for ways to further improve efficiency for project directors.

Faculty Development

In the fall of 2008, Sponsored Programs began offering a professional development course on developing competitive grant proposals. The course is open to full-time EKU faculty and staff who plan to submit grant proposals to support projects to be conducted as part of EKU’s mission. The goal is to provide technical assistance and access to resources in support of future grant proposal submissions, and additional one-on-one assistance is available from Sponsored Programs staff throughout and subsequent to the semester of participation. During the 2014 fiscal year, Sponsored Programs developed new resources for the course resource webpage to provide convenient access to proposal development resources and sample documents.
Sponsored Programs tracks grant activity for all participants beginning with the semester of participation in the course and going through a period of five years. The following table reflects the participation level since 2008 and results from subsequent grant proposal submissions through the Fall 2013 semester.

| Total Number of Participants (Fall 2008 – Fall 2013) | 129 |
| Number of Proposals Submitted by Participants | 154 |
| Number of Grant Awards to Participants | 109 |
| Amount of External Funding Secured by Participants | $4,866,328 |

In FY 2015, Sponsored Programs will review opportunities for offering additional professional development opportunities for faculty, such as sessions for identifying funding opportunities and on the application process for targeted funding opportunities.

**Subawards/Vendor Agreements**

A total of 133 subawards and vendor agreements with a value of $6,356,367.40 were processed during the 2014 fiscal year for a variety of projects and tasks on externally-sponsored projects. Subawards totaled $5,197,388.38 to 50 subrecipient organizations and vendor agreements totaled $1,158,979.02 to 83 vendors.

In FY 2014, Sponsored Programs implemented a new web-based form for subaward and vendor agreement requests. The change has resulted in improved efficiency for project directors in making the requests and decreased processing time as hard copy forms are no longer required to be sent through campus mail.

In the upcoming fiscal year, Sponsored Programs will devote considerable time to revamping the subaward process. The new subaward process will include new forms for subrecipients that are required at the proposal submission stage, more flexibility with submission templates, and an additional step at the award stage to provide project directors with documentation required for subaward requests. The result for project directors on competitive grant programs will be less time invested and improved accuracy of subaward documents.

In addition, the subaward template will be redesigned to reflect compliance requirements of the new OMB Circular as well as to more concisely present terms and conditions for subrecipients.

**University-Funded Scholarship Grants**

University Funded Scholarship (UFS) grants are competitively awarded based on the review and recommendations of the University Research Committee (URC) and provide support for faculty to engage in research, scholarship, and creative activities. Faculty may apply for up to $3,000 for faculty mini-grants to support activities where resource needs are modest and in areas where opportunities for external funding are extremely limited. Faculty may apply for up to $8,000 for major project awards as seed grants for the purpose of obtaining significant external funding.

During the 2014 fiscal year, the URC awarded a total of $42,537 to 10 faculty for a variety of projects. Funding was provided for 4 major project awards and 6 mini-grants.

For the 2015 fiscal year, improvements are planned for the submission process to convert to a new online system. The new process will shorten the time involved in preparing application components. In addition, two new options will be added to support new faculty in initiating research programs and to support dissemination costs for faculty who have been previously funded through University-Funded Scholarship awards.

**Human Subjects Research Compliance**

The Institutional Review Board (IRB) for the protection of human research subjects is responsible for reviewing all research activities involving human subjects conducted by EKU faculty, staff, or students or conducted by
representatives from other organizations on EKU’s campus. The mission of the IRB is to promote and safeguard research activity that involves human subjects within the academic community. During the 2014 fiscal year, 223 research protocols were submitted to the IRB. Of these protocols, 124 were classified as exempt from further review under the federal Office of Human Research Protections (OHRP) regulations. Seventy-two (72) were processed through expedited review, and ten were approved after full convened meetings of the IRB. Sixteen (16) protocols were approved through authorization agreements with other university IRBs, and one protocol was withdrawn by the investigator during the review process.

A total of 196 individuals served as principal investigators on IRB-approved projects, and 64 faculty served as primary research advisors on student projects. The average turn-around time for the review of new applications during FY 2014 was 11.96 calendar days from the date of Sponsored Programs’ receipt of the application to the date on which the committee issued approval.

**Animal Care and Use Compliance**

The mission of the Institutional Animal Care and Use Committee (IACUC) is to promote and safeguard activities that involve animals within the academic community. Ten protocols were approved by the IACUC during the 2014 fiscal year. These projects represent various types of research and instruction involving animal subjects undertaken by EKU faculty, staff, and students. Ten individuals (five faculty, one staff, and four students) served as principal investigators on IACUC-approved projects, and three faculty served as primary research advisors on student projects. The average turn-around time for the review of new applications during FY 2014 was 34 calendar days from the date of Sponsored Programs’ receipt of the application to the date on which the committee issued approval.

**Sponsored Projects Awarded During FY 2014**

The following list reflects awarded sponsored projects with start dates between July 1, 2013 and June 30, 2014 and may not reflect funding added to previously awarded projects that were still active during the 2014 fiscal year.


**Akers, Jon** (Criminal Justice & Police Studies). Kentucky Center for Instructional Discipline. Kentucky Department of Education. $719,496.

**Althauser, Krista** (Curriculum & Instruction). Kentucky Center for Mathematics - Regional Coordinator. Northern Kentucky University. $70,777.

**Autrey, Kathy** (Training Resource Center). Project SAFESPACE (Screening and Assessment for Enhanced Service Provision to All Children Everyday). University of Louisville. $16,974.


**Belluscio, Teresa** (Policy, Compliance and Governance). Appalachian Tutoring Grant. Kentucky Department of Education. $72,300.

**Bennett, Billy and Wilder, Melinda** (Curriculum & Instruction). Opening Environmental Education to all Students. Morehead State University. $17,500.

**Bennett, Billy and Wilder, Melinda** (Natural Areas). Increasing the Number of Qualified STEM Educators through the Use of the Interdisciplinary STEM Environment. Northern Kentucky University. $40,000.


**Brown, David and Koslow, Jennifer** (Biological Sciences). Evaluation of Management Strategies for Long-Term Maintenance of Running Buffalo Clover (Trifolium stoloniferum) populations in Kentucky. Kentucky Natural Lands Trust. $6,000.

**Brown, David and Koslow, Jennifer** (Biological Sciences). Running Buffalo Clover and Deer Survey. Blue Grass Army Depot. $20,000.

**Bundy, Myra Beth and Wittman, Peggy** (Psychology). Eastern Kentucky University Developmental Disabilities Clinic Autism Social Groups. WHAS Crusade for Children. $4,000.

**Cain, Karen Sue** (Enrollment Management). Coordinator of Developmental Education Initiative for Council on Postsecondary Education. Kentucky Council on Postsecondary Education. $164,895.

**Cornelius, Susan** (Continuing Education and Outreach). Telework Readiness Program. Eastern Kentucky Concentrated Employment Program, Inc. $33,806.

**Cornelius, Susan** (Workforce Education). 21st Century Community Learning Centers. Kentucky Department of Education. $340,977.

**Cunningham, David** (Chemistry). Coating Research. Abbott Point-of-Care. $25,000.

**Davis, William** (Applied Engineering and Technology). Field Based Teacher Education. Office of Career and Technical Education. $65,000.


**Dent, Delinda** (Curriculum & Instruction). Kentucky Reading Project - Cadre 16. Collaborative Center for Literacy Development. $61,794.5.


**Duvall, Roger** (WEKU). Community Service Grant. Corporation for Public Broadcasting. $184,162.

**Fink, Hal** (Training Resource Center). Kentucky Department of Corrections Training and Technical Assistance Project. Kentucky Department of Corrections. $91,434.

**Fink, Hal** (Training Resource Center). Kentucky Department of Corrections Correctional Educational Program. Kentucky Department of Corrections. $800,000.

**Fister, Susan** (Bluegrass Community Health Center). Bluegrass Community Health Center. Health Resources and Services Administration. $2,001,882.

**Fister, Susan** (Bluegrass Community Health Center). Family Planning. Lexington-Fayette County Health Department. $48,360.

**Fister, Susan** (Health Sciences). Outreach and Enrollment Assistance Project. Health Resources and Services Administration. $121,018.

**Frederick, Robert** (Biological Sciences). Wildlife Ecologist - Research Startup. Kentucky Science and Technology Corporation. $30,000.


**Harrel, Sherry** (Biological Sciences). Distribution, Movement and Ecology of Etheostoma sagitta spilotum, the Kentucky Arrow Darter. Kentucky Department of Fish and Wildlife Resources. $57,160.
**Harrel, Sherry** (Biological Sciences). Distribution, Movement and Ecology of Etheostoma sagitta spilotum, the Kentucky Arrow Darter. United States Fish and Wildlife Service. $22,000.


**Hay, Michael** (Migrant Education). Southeastern KY Migrant Education Program Administrative Center. Kentucky Department of Education. $485,355.

**Hay, Michael** (Migrant Education). Strategies, Opportunities, and Services to Out of School Youth (SOSOSY) Consortium Incentive Grant. Kentucky Department of Education. $20,568.

**Hayes, David** (Biological Sciences). Molecular Analyses in Conjunction with Ongoing Phylogenetics Research. Missouri Department of Conservation. $1,000.

**Hayes, Laurence** (American Sign Language and Interpreter Education). Intrepreter Training Program P-12 Educational Interpreter In-Service. Kentucky Department of Education. $527,532.


**Horn, Tamara** (Center for Economic Development, Entrepreneurship & Technology). Apiforestation: Kids and Bees Project. Spencer Construction. $10,000.


**Kline, Terry** (Safety, Security and Emergency Management). Kentucky Graduated Licensing Classroom Program. Kentucky Transportation Cabinet. $78,7119.


**Martin, Sally** (English & Theatre). Professional Development in a High-Need School: Jackson County High School. National Writing Project. $20,000.

**Martin, Sally and Hunter, Gill** (English & Theatre). EKU Writing Project. Kentucky Department of Education. $40,761.

**McChesney, Jon** (Recreation & Park Administration). Graduate Assistant - Special Populations, City of Richmond. City of Richmond. $15,000.
Miller, Gladys (Cooperative Education). Kentucky Work Study Program (KWSP). Kentucky Higher Education Assistance Authority. $60,000.

Mooers, Ian (Center for Economic Development, Entrepreneurship & Technology). Real Estate Education Grant. Kentucky Real Estate Commission. $16,000.

Mooers, Ian (Center for Economic Development, Entrepreneurship & Technology). Apiforestation. TECO Coal Services. $20,000.


Peavler Karen (Center for the Arts). Regional Touring Grant - Nebraska Theatre Caravan. SouthArts. $3,519.

Petrilli, Peggy (Teacher Education Services). Kentucky Teacher Internship Program. Education Professional Standards Board. $69,432.

Petrilli, Peggy (Teacher Education Services). Kentucky Teacher Internship Program - Technology Interns. Education Professional Standards Board. $4,010.


Pierce, Marcia (Biological Sciences). Bridging the Gap: Appalachian Students in Biomedical Research in Kentucky. University of Kentucky. $206,183.

Poffenberger, Abby and Cox, Lisa (Foreign Languages & Humanities). Latino Educational Advancement Program. Kentucky Latino Educational Alliance. $35,000.

Porter, Diana (Curriculum & Instruction). Adolescent Literacy Project. Collaborative Center for Literacy Development. $52,560.

Powell, Norman (Educational Leadership). Call Me Mister Academic Leadership Academy. Georgetown College. $15,000.


Rezaie, Jaleh (STEM-H Institute). Governor’s Minority Student College Preparation Program: Host Conference. Council on Post-Secondary Education. $8,000.

Richmond, Richard (Graduate Education and Research). Ronald E. McNair Postbaccalaureate Achievement Program. U. S. Department of Education. $208,494.


Richter, Stephen (Biological Sciences). Conservation genetics of gopher frogs in Alabama. Alabama Division of Wildlife and Freshwater Fisheries. $7,045.

Richter, Stephen (Biological Sciences). Effects of interactions between Notophthalmus viridescens and Lithobates sylvaticus in a ridge-top wetland ecosystem. Kentucky Academy of Science. $1,000.


Richter, Stephen and Brown, David (Biological Sciences). Statewide validation of the Kentucky Wetland Rapid Assessment Method (KY-WRAM) and Indices of Biotic Integrity. Kentucky Division of Water. $65,450.65.

Richter, Stephen, Borowski, Wally, Jones, Alice, and Wilder, Melinda (Biological Sciences). Enhancing Research Capacity in Appalachia: Research Facilities for Lilley Cornett Woods Field Station. National Science Foundation. $300,474.


Shi, Buchang (Chemistry). Towards understanding the mechanism of hydrocarbon synthesis on iron catalysts. Kentucky NSF EPSCoR. $25,000.

Short, Judy and Whitehouse, Deborah (Health Sciences). Eastern Kentucky University Parternship with Lake Cumberland Regional Hospital. Lake Cumberland Regional Hospital, LLC. $77,832.
Smith, Kristel (CEDET). Eastern Kentucky Region Innovation and Commercialization Center. Kentucky Science and Technology Corporation. $175,000.


Sowders, Lynn Dee (Training Resource Center). Juvenile Justice Training Center - Cost Center. Kentucky Department of Juvenile Justice. $250,000.


Stewart, Tamara (Upward Bound). Upward Bound - Summer Feeding Program. Kentucky Department of Education. $11,192.

Strong, Homer and Wilder, Melinda (Natural Areas). Watershed Service Learning Field Experiences for Middle School. Florida Department of Environmental Protection's Office of Environmental Education. $4,999.85.


Wilder, Melinda and Bennett, Billy (Natural Areas). Teaching Environmental Service Learning. Southeast Environmental Education Alliance. $4,999.85.


Wilson, Lori (Chemistry). Startup Funds for Assistant Professor of Inorganic Chemistry. Kentucky Science and Technology Corporation. $25,000.

Wilson, Lori (Chemistry). The application of molecular beacons as a diagnostic mechanism for rapid SNP genotyping of highly degraded forensic samples. Kentucky NSF EPSCoR. $59,361.