



EASTERN KENTUCKY UNIVERSITY

*Serving Kentuckians Since 1906*

Graduate Education and Research  
Division of Sponsored Programs

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September 28, 2007

Dear EKU Campus Community,

It is our pleasure to present to you the Annual Report of the Division of Sponsored Programs for fiscal year 2007. Successes have been numerous this year among veteran faculty and staff with established track records for securing external funding as well as faculty and staff who are seeking external funding for the first time. We are pleased to report that funding for externally-sponsored projects at EKU totals \$60,922,331 for fiscal year 2007.

Sponsored Programs staff is available to assist EKU faculty and staff in their pursuits of funding for research, scholarly, creative, and service endeavors by offering support services at various levels and providing guidance for compliance with federal, state, University, and sponsor regulations. We welcome the opportunity to serve you and encourage you to take advantage of our services.

We wish to congratulate the faculty and staff whose hard work and dedication is represented by the awards presented in this report and look forward to providing continued support to the campus community. As always, please feel free to contact us with any questions or comments you have.

Sincerely,

Dr. Gerald J. Pogatshnik  
Dean of the Graduate School and  
Associate Vice President for Research

Mr. Gustav A. Benson  
Director, Sponsored Programs

Eastern Kentucky University  
Division of Sponsored Programs

*Annual Report*

Fiscal Year 2007

*Sponsored Programs Mission*

The purpose 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 issues, including subcontracts, no-cost extensions, and budget revisions; administering the Institutional Review Board for the protection of human research subjects; and providing workshops on various pre-award topics.

*2006-2007 Summary of Services and Accomplishments*

Sponsored Programs seeks to enhance and facilitate the ability of faculty and staff to achieve their goals in research, service, and teaching by successfully competing for funding from external sponsoring agencies. In accomplishing this goal, it is critical that responsible stewardship of sponsored project funding be maintained at all times by adhering to applicable federal, state, sponsoring agency, and University regulations and policies. During the last year, Sponsored Programs staff have worked as part of a campus-wide workgroup to create policies that impact external funding at the University. With the primary focus on compliance, these policies will provide University faculty and staff with guidance for many decisions that are faced in grants management.

A sponsored programs work group was established in fiscal year 2007 with representatives from each college and administrators from relevant offices across campus. Monthly meetings of this group have served to inform the campus community of important updates and allow for input from college representatives. These meetings will continue to be utilized as an information and feedback forum.

Sponsored Programs worked toward improving campus outreach efforts during the 2007 fiscal year. Staff provided an informational booth at the New Faculty Orientation, presented at the Teaching and Learning Center, and offered a variety of grants-related workshops to the campus community. A total of 89 faculty, staff, and students participated in workshops provided by Sponsored Programs during the 2007 fiscal year. The Sponsored Programs newsletter, *Funding News*, provides listings of relevant funding opportunities from various sponsoring agencies across disciplines, a feature article on a current sponsored project, and information geared toward keeping the campus community up-to-date in terms of current events and compliance issues. Outreach efforts also improved through email communications with new faculty and current project directors and the website. Sponsored Programs staff are always available to meet with project directors and other project staff on a one-on-one basis for individualized assistance with various sponsored projects related functions.

Sponsored Programs purchased a University-wide subscription to the Sponsored Program Information Network (SPIN) database, making available to faculty and staff thousands of potential funding sources in a searchable medium. In addition to search capabilities, SPIN provides Smarts Alerts, a mechanism for selecting keywords and receiving daily email alerts of new opportunities matching specified search criteria. This resource allows the University community to access a greater range of funding prospects through an easily-manageable system and keep abreast of the relevant new opportunities as they are added to the system.

In an attempt to make grants-related processes as simplified as possible for faculty and staff, Sponsored Programs revised several forms, including the Internal Review and Approval Form and the Subcontract Request and Routing Form. The website has also been updated to include additional instructions and resources, and additional resources will continue to be added on an ongoing basis.

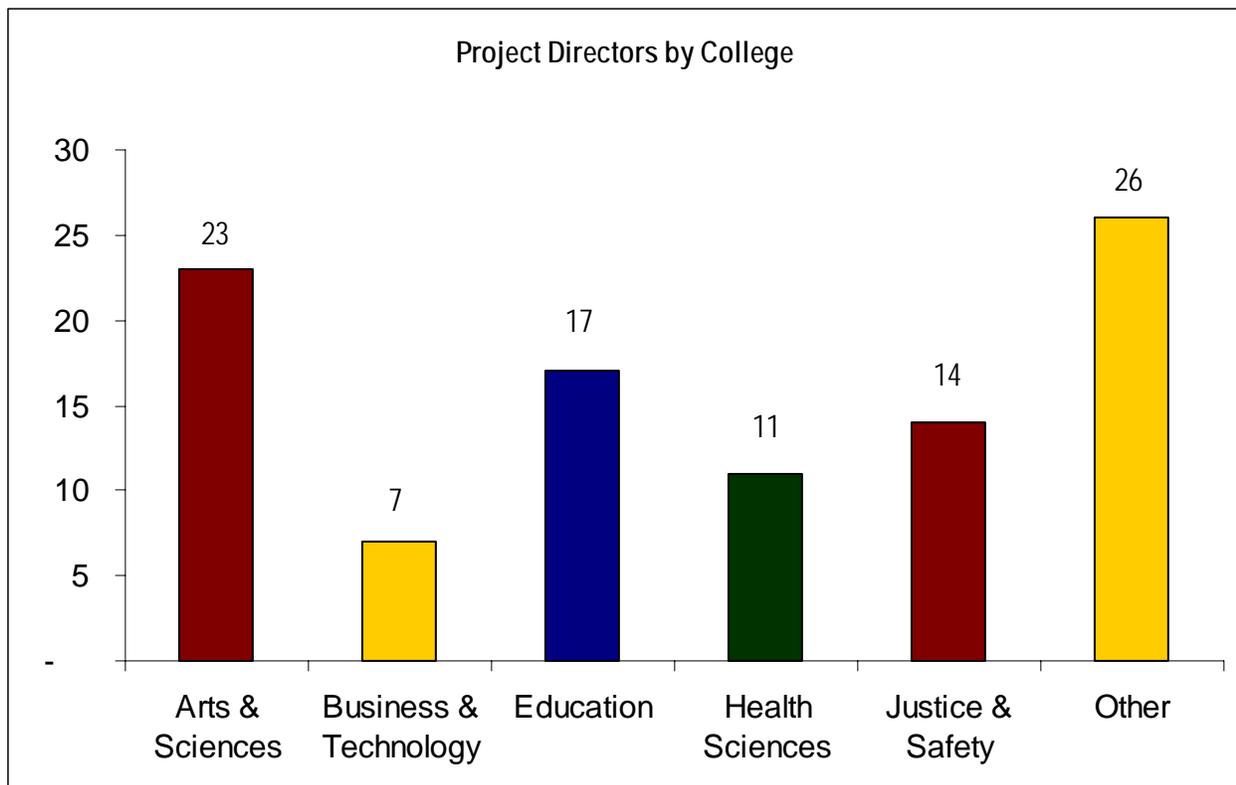
A total of 290 subcontracts were processed on sponsored projects during the 2007 fiscal year. This includes agreements with both subrecipients and vendors performing work on a variety of projects.

During the 2007 fiscal year, 92 research protocols were submitted to the Institutional Review Board (IRB) for the protection of human research subjects. Sixty-four (64) of these protocols were classified and approved as exempt from further review under the Office for Human Research Protections (OHRP) guidelines. Eighteen (18) protocols were approved through expedited review, and ten (10) were approved after full convened meetings of the IRB. These projects include research conducted by ECU faculty, staff, and students for research projects involving human subjects.

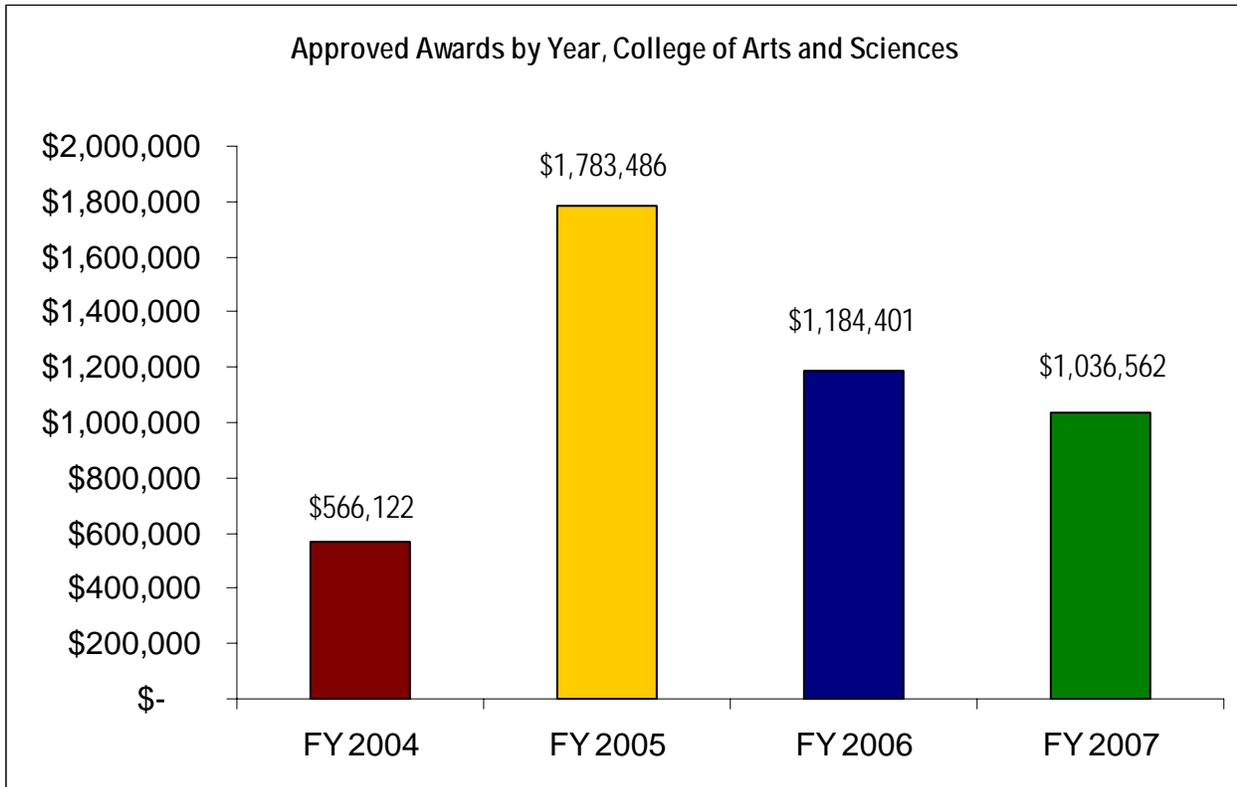
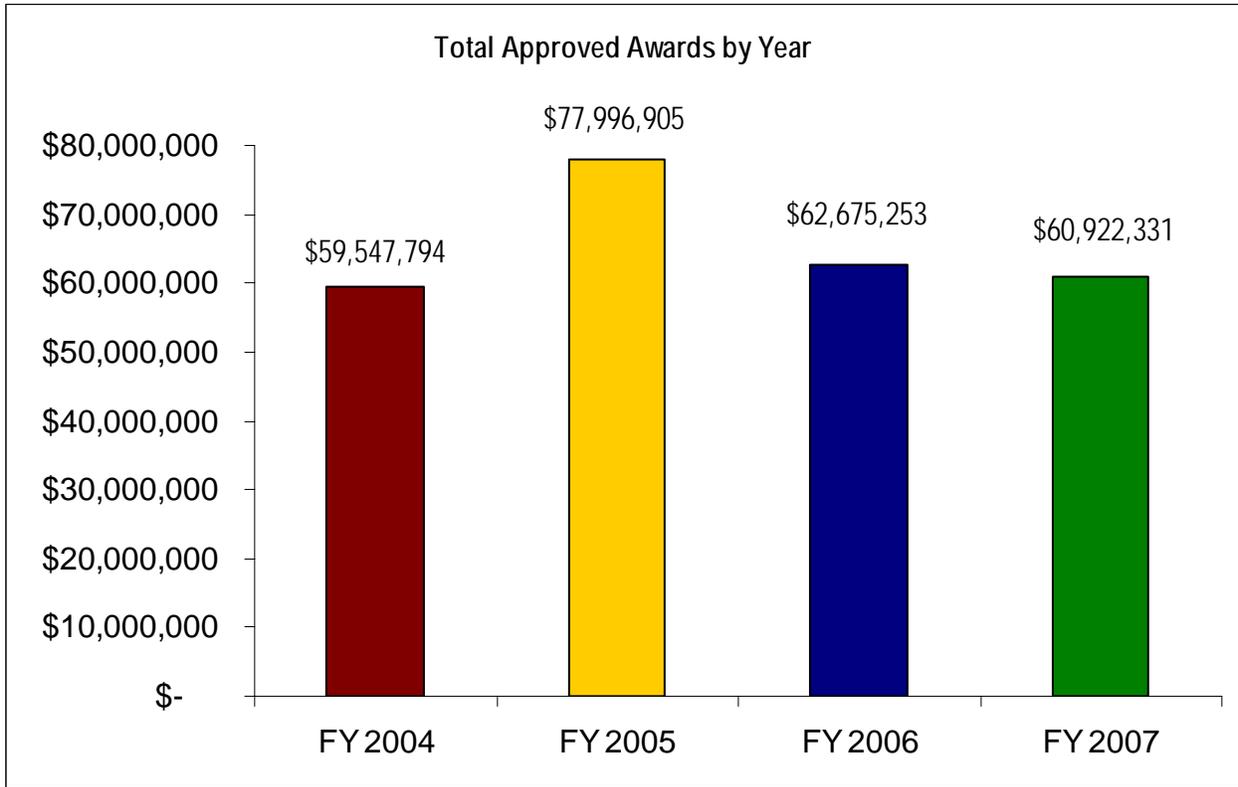
The University Research Committee (URC) grant program, administered by Sponsored Programs, awarded a total of \$67,104 to twelve faculty for a variety of research projects. The URC grants are funded internally through the Provost's Office for the primary purpose of providing seed money to new faculty to establish research programs and prepare to pursue external funding.

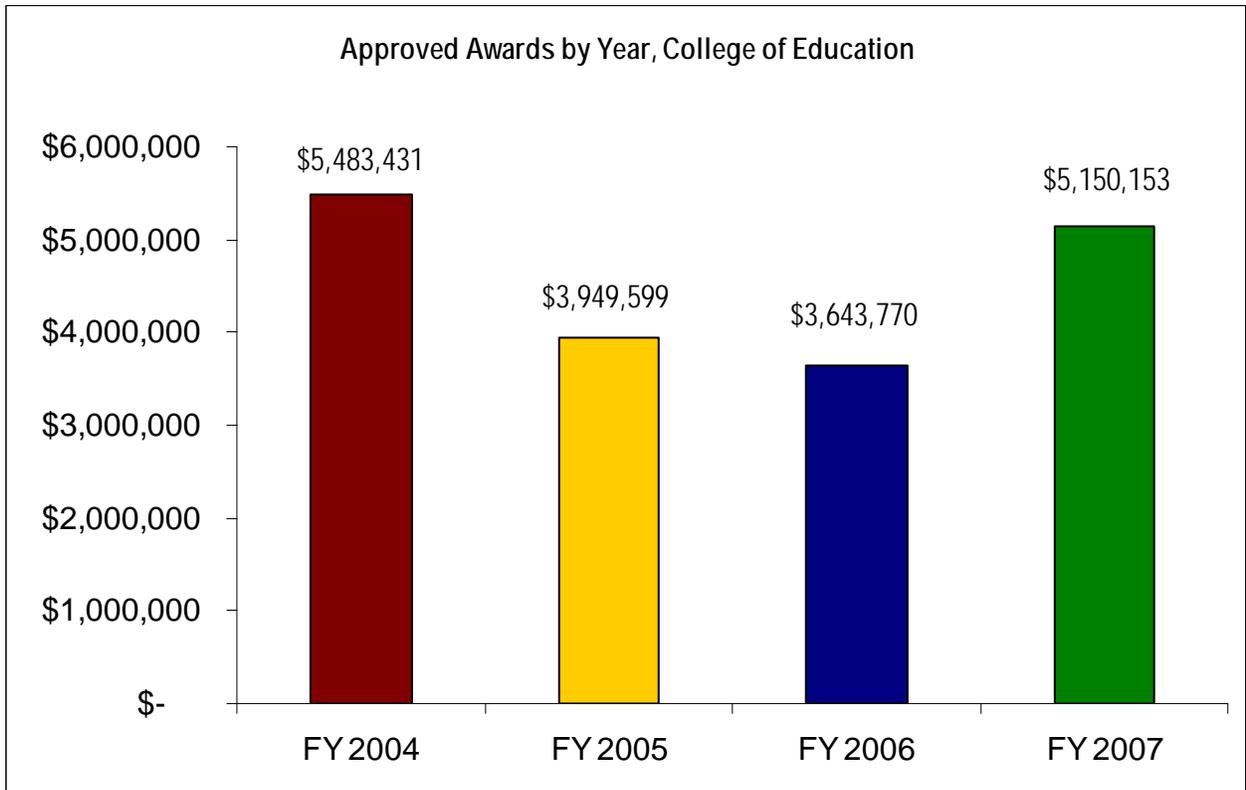
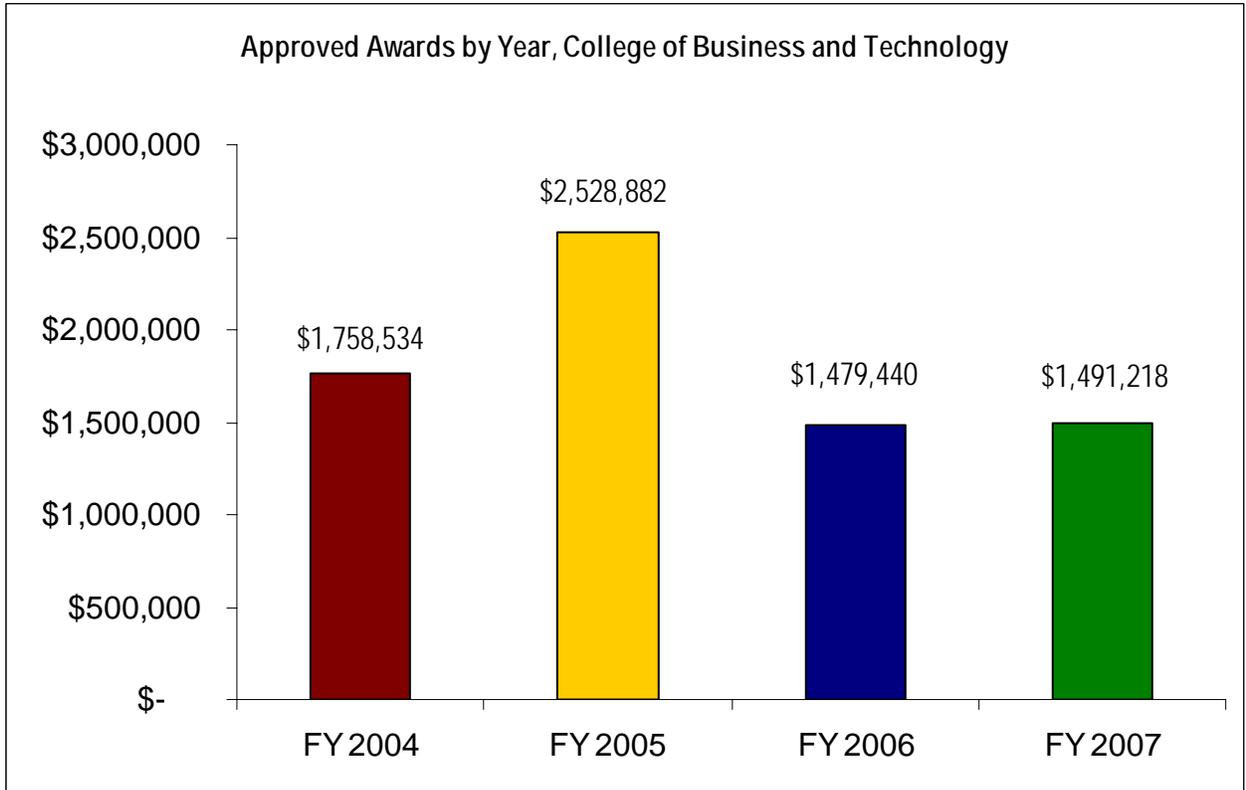
## 2006-2007 Funding Highlights

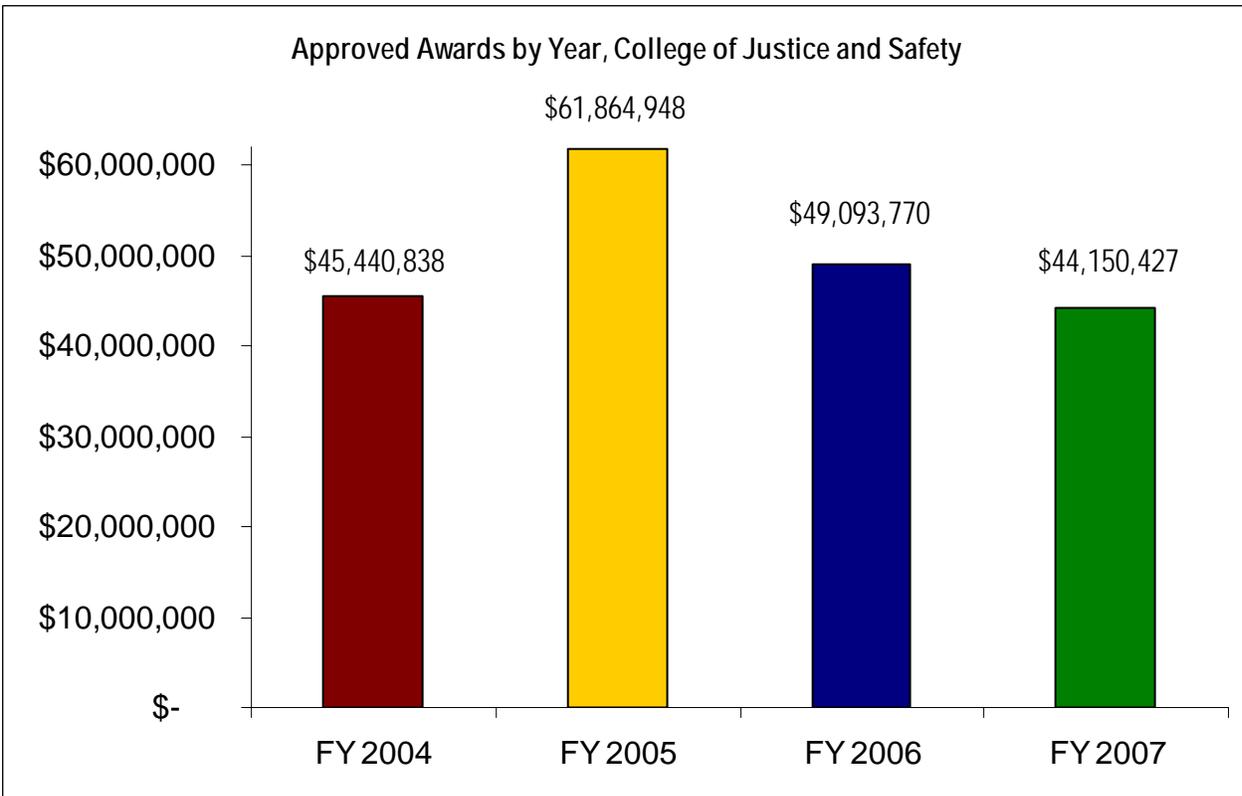
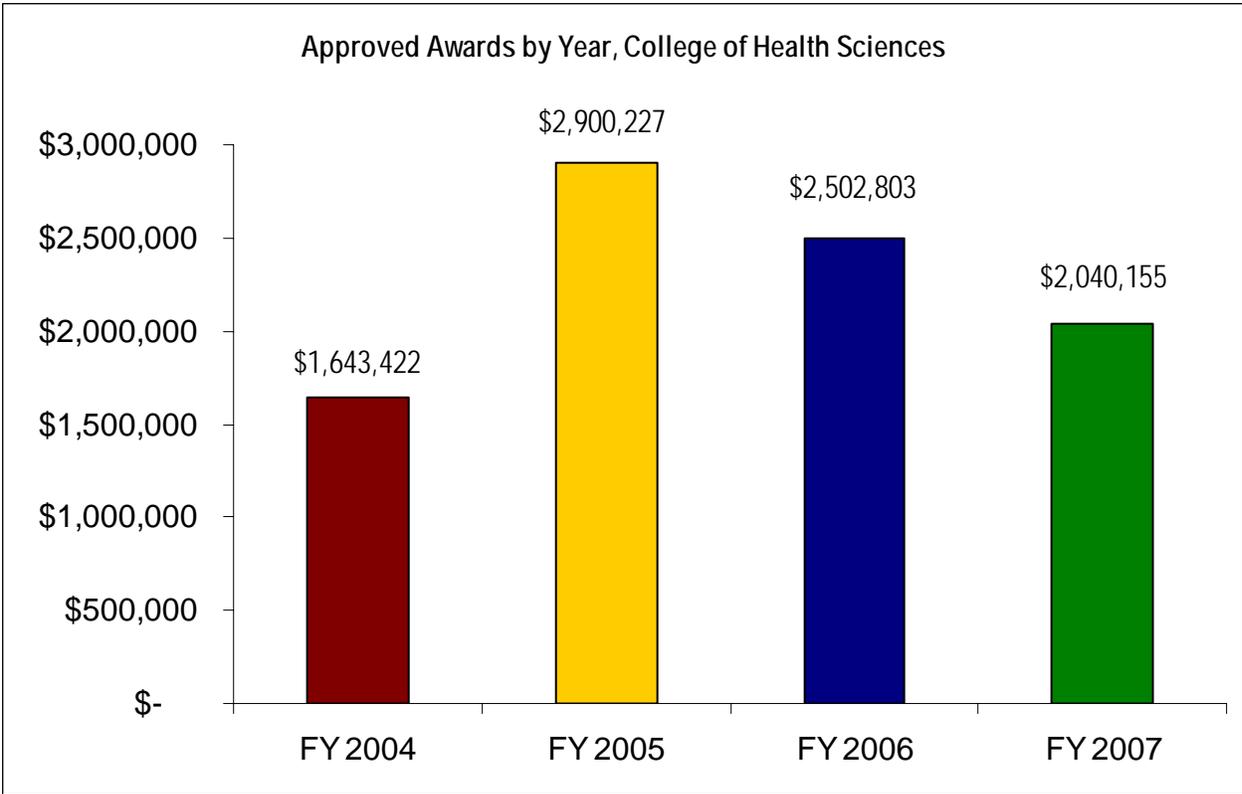
Sixty-three (63) faculty and 35 staff served as project directors or co-project directors on 141 separate awards during the 2007 fiscal year. These totals reflect an unduplicated count of project directors and an adjustment to account for awards that include multiple projects. Fifteen individuals served as project directors for the first time this year. The following graph illustrates the number of project directors and co-project directors by college.

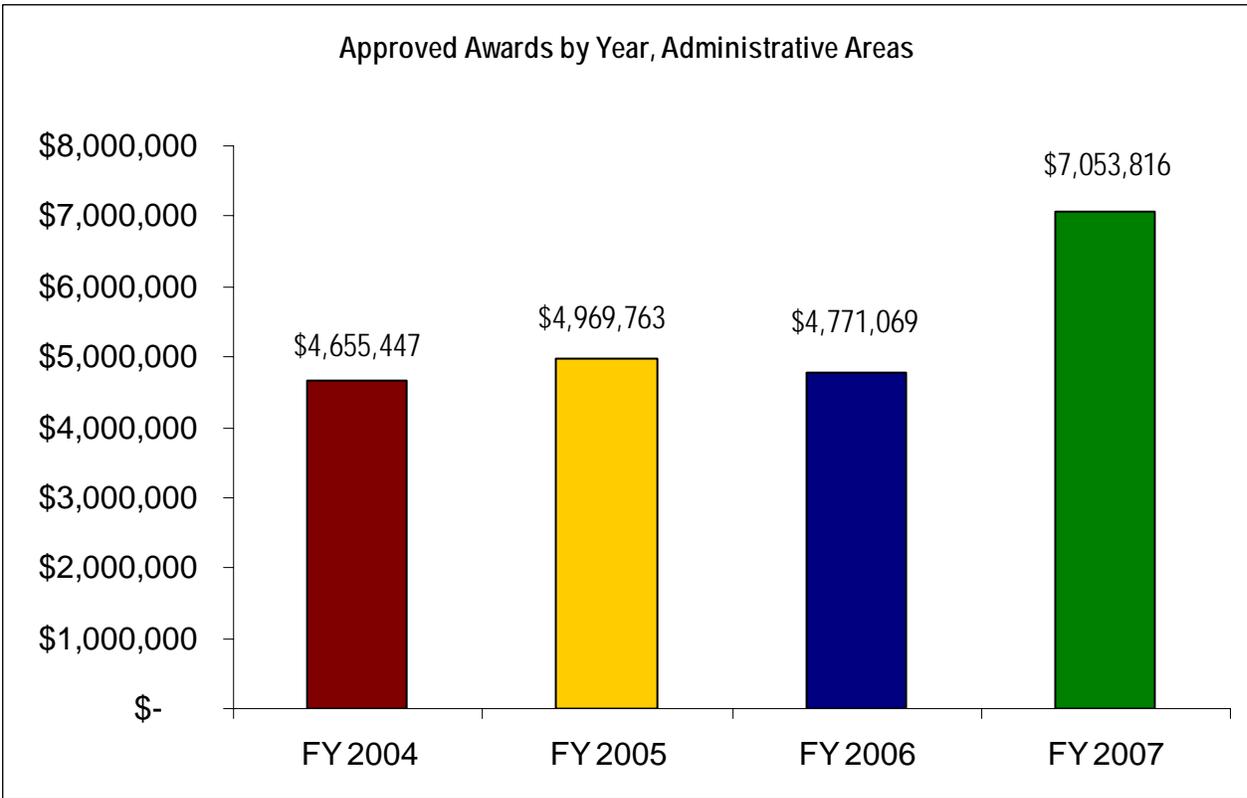


Funding from external sponsors for 2006-2007 totaled \$60,922,331, a slight decrease from the previous year's total of \$62,675,253. The following graphs illustrate the funding trend for the last four fiscal years for each college. Totals used in this report reflect data as of September 28, 2007 and may not reflect awards processed after that date.



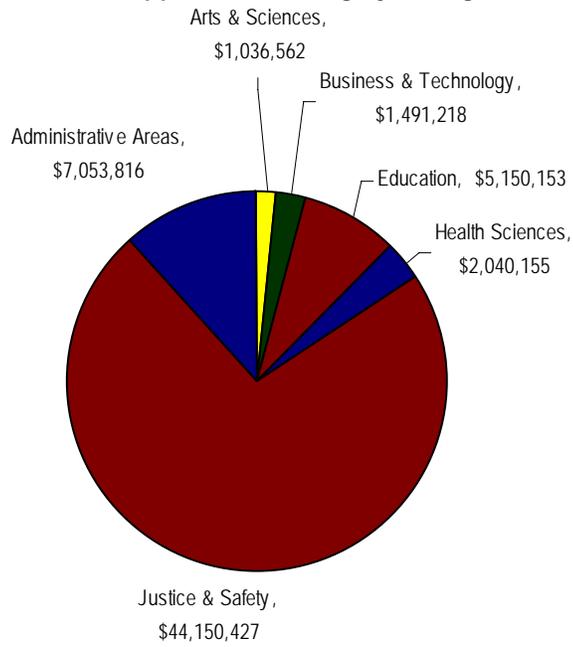




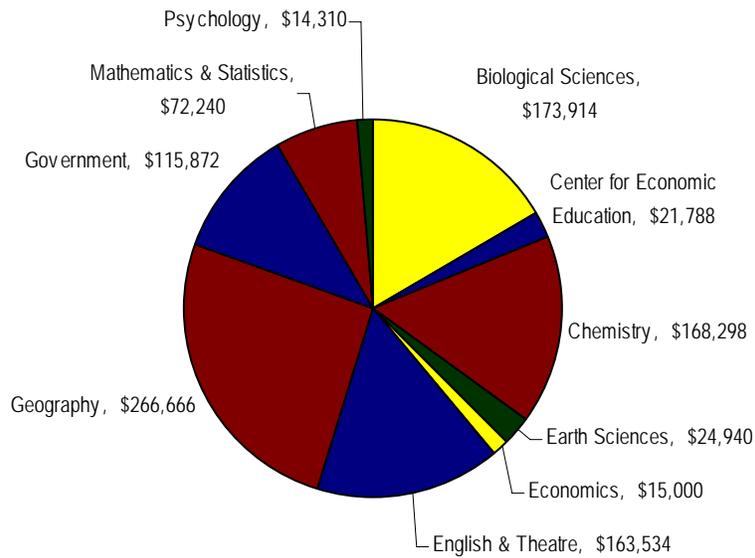


The following graphs illustrate the funding levels by college and department. Dollar amounts included in these graphs reflect awards received with start dates that fall between July 1, 2006 and June 30, 2007 and may not reflect additional funding awarded on prior projects.

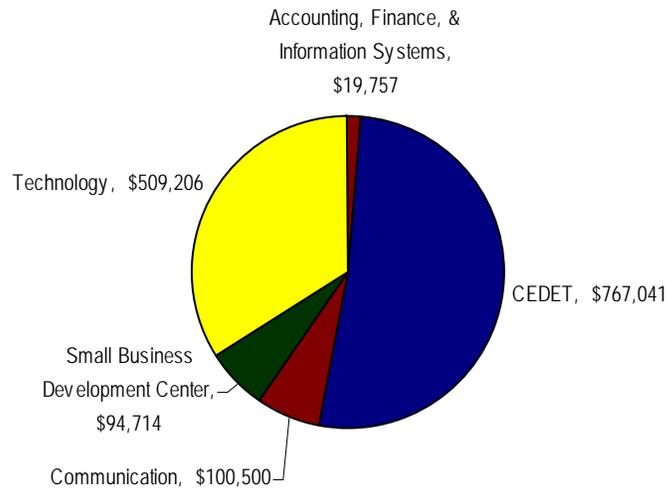
### FY 2007 Approved Funding by College



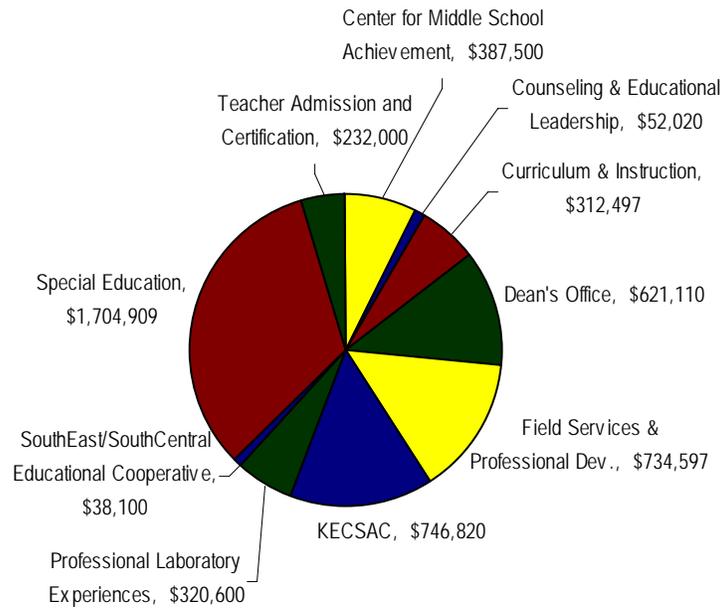
### College of Arts & Sciences, FY 2007 Approved Funding by Department



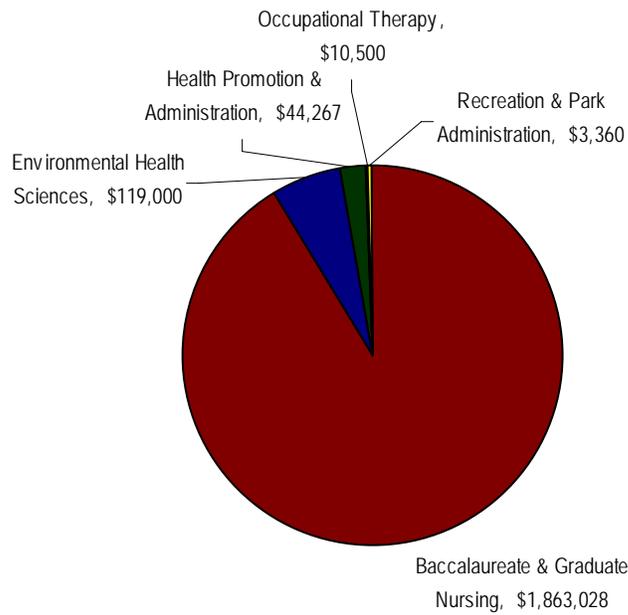
### College of Business & Technology, FY 2007 Approved Funding by Department



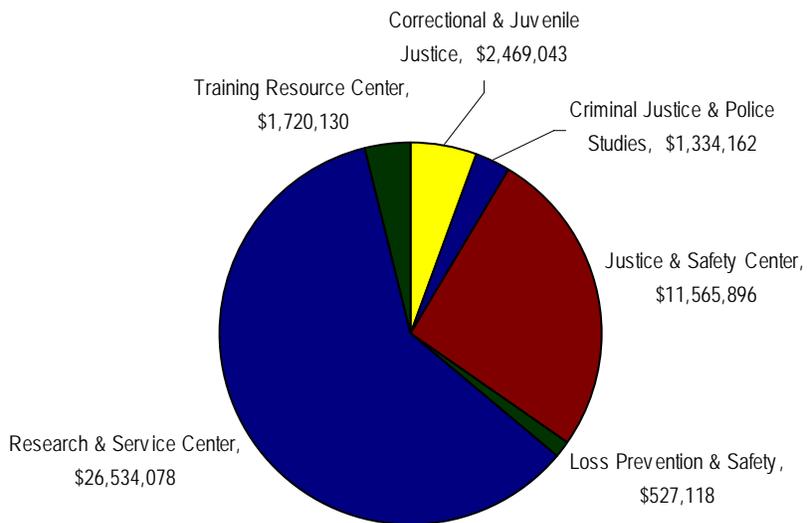
### College of Education, FY 2007 Approved Funding by Department



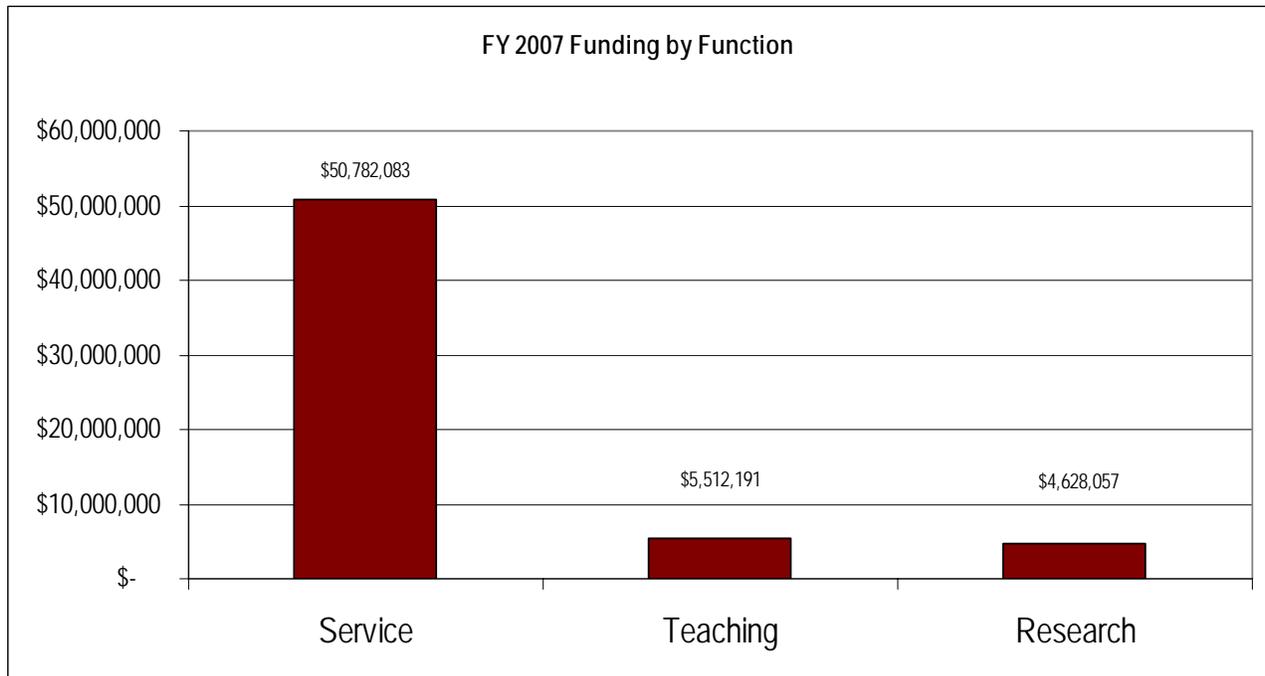
### College of Health Sciences, FY 2007 Approved Funding by Department



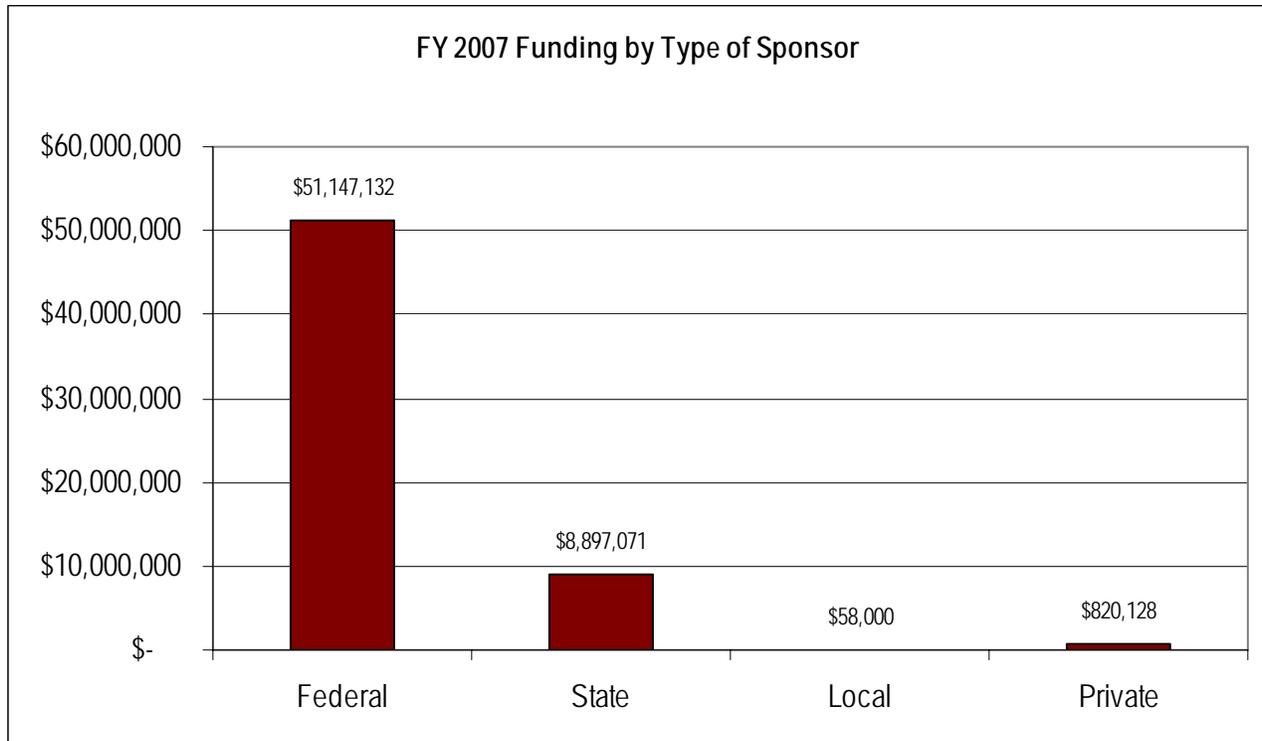
### College of Justice & Safety, FY 2007 Approved Funding by Department



The majority of funding for fiscal year 2007 was secured for service projects. The following graph depicts the dollar value of funding approved for service, teaching, and research projects.



Awards from federal funds totaled \$51,147,132, which represents 84% of the total amount awarded to ECU. This total includes federal funding passed through state agencies. Notable federal agencies include the US Department of Health and Human Services, US Department of Justice, and US Department of Education. State-funded awards represent 15% of funding for fiscal year 2007 at \$8,897,071. Notable state agencies include the Kentucky Council on Postsecondary Education, Kentucky Department of Education, and Kentucky Transportation Cabinet. The remaining 1% of funding for fiscal year 2007 was awarded by local or private sponsoring agencies. The following graph illustrates the breakdown of federal, state, local, and private sponsoring agencies for fiscal year 2007.



## *Plans for Upcoming Year*

Sponsored Programs will begin providing project director orientation sessions for newly awarded projects in collaboration with Sponsored Programs Accounting. The goals of this new initiative are to enhance the level of communication among Sponsored Programs, Sponsored Programs Accounting, and project directors and to provide project directors with important information related to their awards and an opportunity to ask questions.

For related reasons, Sponsored Programs will also be relocating to the Jones building in a suite shared with Sponsored Programs Accounting. The intention of this move is to provide the campus community with one stop services for sponsored projects issues, both pre- and post-award. The relocation of Sponsored Programs to Jones 414 is expected to occur early in the 2008 fiscal year.

Sponsored Programs plans to continue improving the level of customer service provided to faculty and staff. We are continuously reviewing our forms and procedures and trying to make everything you do a little simpler. Sponsored Programs will conduct a campus-wide survey aimed at identifying strengths and weaknesses of our services and informing decisions for the upcoming year. We value the input of the campus community and invite faculty and staff to provide feedback on our forms, processes, and services at any time.

## EKU Division of Sponsored Programs

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