

# EAST CENTRAL UNIVERSITY

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OFFICE OF SPONSORED PROGRAMS & RESEARCH

## Annual Report



FY 2011

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## *FY 2011 Goals for the Academic Affairs Council*

The Office of Sponsored Programs and Research (OSPR) worked toward accomplishing the following FY 2011 goals established for all units in the Academic Affairs Council:

1. submit information as necessary in the Annual Reports to document the status of the College, School, Academic Departments, Academic Units strategic plans (Provost, AAC members, & Department Chairs) (SG1, SG2, SG3, SG4, IP7);

**STATUS:** This report submitted by OSPR represents accomplishment of this goal.

10. secure funding and allocation for an undergraduate research program (Provost, Interim Director of OSPR, and Deans) [SG2, SG4, IP1, IP2, IP3, IP4, AP3.4, AP3.5, AP3.6];

**STATUS:** A \$2,000,000 proposal was submitted to the U.S. Department of Education, Office of Postsecondary, Native American-Serving Non-tribal Institutions (NASNTI) Part F, on May 31, 2010. Awards will be announced late summer, 2011.

15. provide support and advice to the OSPR efforts to meet its goal to increase external funding by 3% (Provost & Interim Director of OSPR) (SG4, IP3, AP1.6, AP3.1, AP3.3, AP3.5, AP3.6)

**STATUS:** The amount of external funding did not increase by the projected 3%. The reasons for non-accomplishment were the following. One, 2010-11 was a year in which many federal/state grant opportunities were either entirely deleted, such as the Vocational Rehabilitation and American History grants; or amounts were greatly reduced, for example the Resource and Referral Child Care grant was reduced by 25%. Two, the grants research specialist who assisted the School of Math and Science and the School of Education and Psychology resigned at the beginning of the academic year and no suitable replacement has been found.

## *FY 2011 Goals for the Office of Sponsored Programs and Research*

### **A. FURTHER DEVELOP A CULTURE OF SCHOLARLY RESEARCH AND GRANTSMANSHIP (IP3; SG4, AAP3; AAO 3.1, 3.3, 3.4, 3.5) BY:**

1. presenting a professional development series in which at least 60% of all full-time faculty will participate in at least one session;

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**STATUS:** OSPR presented the following programs in FY 2010-11

- Overview of OSPR services and policies to new faculty (August 11, 2010)
- Two Grantwriting Institutes (September 20 & 21, 2010)
- Two “Writing an Evaluation” workshops (April 20 and May 12, 2011)

2. presenting two professional development opportunities for academic deans and department chairs as a means for increasing the University’s leadership capacity in the area of sponsored programs and research;

**STATUS:** Both grants research specialists met individually with Deans and Department Chairs within the College of Health and Sciences, College of Liberal Arts and Social Sciences, School of Business, and College of Education and Psychology as well as with the director of library and distance education to identify funding areas and to discuss grantsmanship strategies. One grants research specialist also attended faculty meetings of the School of Business and the School of Fine Arts. After these meetings, the grants research specialists developed strategic plans to be used to map what types of grants needed to be identified to meet faculty needs.

3. facilitating the following processes that will increase the capacity of the University to engage in undergraduate research:

- convene the Working Group or Standing Committee;

**STATUS:** Due to the departure of the grants research specialist who worked with the School of Math and Science, this issue was not addressed.

- facilitate activities outlined in the Undergraduate Research Strategic Plan;

**STATUS:** Very little institutional investment was made in advancing the Undergraduate Research Strategic Plan; hence no significant advancement occurred. As for conducting research three School of Math and Science faculty received summer INBRE mentor grants and one faculty member received two EPSCoRE grants—one REU and one ROA. Two NSF grants were submitted, Mathematical Modeling and Computational Simulations of Biological Phenomena and Acquisition of Thermal Analysis Equipment for Undergraduate Research.

- assist with the development of an Undergraduate Research Office;

**STATUS:** Due to the writing and submitting a Title III proposal which emphasized organizing and opening a research center, the organization of such a unit became clearer.

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- coordinate an active learning forum; and

**STATUS:** The working group of faculty, program directors and administrators charged with developing a plan for an active learning forum did not meet during this academic year.

- assist with publicity related to undergraduate research on campus.

**STATUS:** The goal is to develop a webpage to report and display undergraduate research activity. With the departure of the grants research specialist assigned to complete this task and the departure of the campus' webmaster, this task was not accomplished but this will be addressed in the up-coming academic year.

4. increasing the number of faculty and staff benefitting from the Sponsored Program Incentive Policy in FY 2011 over FY 2010;

**STATUS:** In FY 2010, ten faculty, two colleges, four departments and one cost center benefitted from this program. In FY 2011, 14 faculty, three colleges, six departments and one cost center benefitted from this program.

Also, a brochure outlining what services OSPR provides to faculty and what professional and monetary benefits faculty can receive when writing and submitting a proposal was developed and distributed.

5. increasing the amount of funding distributed to faculty, departments and colleges/schools through the Sponsored Program Incentive Policy in FY 2011 over FY 2010;

**STATUS:** The amount of funding distributed in FY 2010 was \$62,511. The amount increased to \$74,349 in FY 2011.

In previous years the money was distributed during a small ceremony with only the people receiving money present. This year, however, the money was distributed at the Winter Convocation using the logic that this might motivate other faculty to write proposals.

6. increasing the operational efficiency of OSPR through the development of the following processes in FY 2010:

- develop a list of external evaluators who would be appropriate to be evaluators for different types of grants, i.e., small grants, large grants, scientific grants, etc.

**STATUS:** A list of external evaluators for ECU was started by OSPR, and Oklahoma's Council on Grantsmanship and Research (CGR) developed a website

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so potential external evaluators could list their name, contact information, and field of expertise.

- review and upgrade current strategy/avenues used to search for potential grants/foundations.

**STATUS:** Due to the severe reduction in the number of federal/state Requests for Proposals being published, a stronger emphasis is being placed on private foundations. To help with the identification process, a copy of Oklahoma Foundation Database was purchased. This year nine proposals were written and submitted to private foundations.

- develop a working relationship with area LEA's in order to collaborate when appropriate RFP's are announced that must be submitted by an LEA.

**STATUS:** This was not accomplished due to various reasons: 1) A new state superintendent of schools was elected and area superintendents spent their energies acclimating to the new superintendent and her goals; 2) the number of federal grants relating to education partnerships was greatly reduced and thus the opportunity to start new partnerships was not available.

- develop a notebook that outlines the submission policies and procedures for each electronic website.

**STATUS:** This notebook was written and is used.

- develop a grant research specialist manual

**STATUS:** This manual was written. This document will be extremely helpful when a new grants research specialist is employed.

7. increasing the effectiveness and efficiency of OSPR through the improvement of the following post-award processes for FY 2011:

- develop a tracking mechanism to easily provide information in regard to grants currently in operation and their ending dates.

**STATUS:** This tracking mechanism was developed. This document is particularly helping in that it allows one to see what the present and the future is.

- meet with every PI and/or PD when a new grant is funded to review grant policies and budget.

**STATUS:** OSPR's compliance officer did meet with every PI and/or PD and reviewed the specific policies and budget that pertained to the grant.

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- Meet with every newly funded PI and/or PD to ensure the grant is being implemented properly and if needed, to help solve barriers to implementation. This will be done within three months of award.

**STATUS:** The interim director met with approximately 90% of newly funded project directors. Most PI's/PD's had no problem with implementing projects; however, two projects required major assistance with resolving difficult issues.

8. increasing the knowledge and skills of OSPR staff as measured by 100% of staff completing at least 80% of their individual professional development objectives;

**STATUS:** OSPR staff improved their knowledge and skills as measured by 100% of staff completing at least 80% of their professional development plans. As an average, staff completed 90% of stated objectives.

**B. INCREASE THE LEVEL OF EXTERNAL FUNDING (IP3; SG4; AACP3; ACO 3.1, 3.3, 3.4, 3.5, 3.6) BY:**

9. achieving a 3% external funding increase in FY 2011 over FY 2010;

**STATUS:** This was not accomplished due to the federal and state economic situation in which many competitions traditionally accessed by ECU were eliminated and often notices were received stating the funded amount was being reduced, for example all TRIO grants received a 3% reduction. In May 2011 the 2011 funded amount was \$11,709,234 and the May 2010 amount was \$11,574,863. In the end, however, the 2011 final amount was \$12,271,394 and the 2010 final amount was \$12,515,378.

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Source	Funding Level		Number of Projects		Number of Sources	
	FY 2011	FY 2010	FY 2011	FY 2010	FY 2011	FY 2010
Federal	\$7,598,171	\$7,842,302	33	28	15	13
State	\$4,442,533	\$4,536,610	31	27	17	14
Private	\$230,690	\$136,466	13	11	11	10
<b>TOTAL</b>	<b>\$12,271,394</b>	<b>\$12,515,379</b>	<b>77</b>	<b>66</b>	<b>43</b>	<b>37</b>

10. achieving a 5% increase in the amount requested within proposals submitted in FY 2011 over FY 2010.

**STATUS:** This was achieved. The number of submitted proposals increased from 39 in FY 2010 to 79 in FY 2011. Total funding requested increased to \$9,816,210 in FY 2011 compared to \$6,386,235 in FY 2010 which was a 15% increase. The number of sources from which funding was requested increased from 25 in FY 2010 to 42 in FY 2011.

Source	Funding Requested		Number of Projects		Number of Sources	
	FY 2011	FY 2010	FY 2011	FY 2010	FY 2011	FY 2010
Federal	\$5,066,625	\$4,915,911	28	15	13	12
State	\$4,502,370	\$1,446,507	35	21	15	10
Private	\$247,215	\$23,817	16	3	14	3
<b>TOTAL</b>	<b>\$9,816,210</b>	<b>\$6,386,235</b>	<b>79</b>	<b>39</b>	<b>42</b>	<b>25</b>

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Unit	Funding Requested		Number of Projects	
	FY 2011	FY 2010	FY 2011	FY 2010
Acad Aff	\$630,250	0	7	0
Adm & Fin	\$1,111,212	0	2	0
Library	\$77,572	0	3	0
Cont Ed	\$3,729,285	1,193,863	15	12
Business	\$169,423	188,956	4	1
CLASS	\$995,946	\$510,604	14	8
CHS	\$1,196,380	\$2,098,897	28	14
CEP	\$263,784	\$1,643,915	2	2
Stud Dev	\$1,642,358	\$750,000	4	2
<b>TOTAL</b>	<b>\$9,816,210</b>	<b>\$6,386,235</b>	<b>79</b>	<b>39</b>

15. increasing the quality of proposals submitted by:

- the number of proposals submitted at least three days before the submission deadline;
- the number of proposals reviewed by an internal reader prior to submission (GRS);
- the number of proposals reviewed by at least one external reader prior to submission (GRS).

**STATUS:** This objective was addressed but not recorded. Informally, a major push was made to submit proposals at least three days before the submission deadline and approximately 40% achieved this status. Since January 2011 100% of the proposals were reviewed internally. Finally, the percentage of proposals reviewed by at least one external reader was approximately 10%. During 2012, a formal tracking method will be organized and put in place.

16. re-negotiating a new IESER contract with the Executive Director and the Director of the Institute for Environmental Science Education and the Dean of the College of Health and Science.

**STATUS:** This was not accomplished; however, a new MOU will be approved in 2012.

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## C. DIVERSIFY THE BASE OF EXTERNAL FUNDING IN AREAS THAT HAVE BEEN HISTORICALLY AND COMPARATIVELY INACTIVE (IP3; SG4; AACP3; AACO 3.1, 3.3; 3.4; 3.5; 3.6) BY

17. achieving the following increases in external funding in FY 2011 over FY 2010 in the following areas:

- School of Education and Psychology (7%);
- School of Business (5%).

**STATUS:** Neither school has increased external funding by the required percentages. Education wrote and submitted two proposals in the amount of \$265,279; one proposal was funded for \$67,000 and one was not. Business currently has two funded proposals for \$148,762 which is approximately \$40,000 less than FY2010's \$188,956. One business proposal, Higher One's Financial Literacy Grant for \$5,000, was written and submitted but not approved yet.

18. benchmarking external funding linked to support faculty and undergraduate research in FY 2010.

**STATUS:** The database was not updated to collect this information. Benchmarks were not established.

### *Programmatic Accomplishments*

1. **Institutional capacity to implement quality proposals continued to increase.** East Central University's commitment to increase institutional capacity linked to monitoring compliance of the success of sponsored programs and research continued to provide direct benefits to those the institution serves.
2. **The number of faculty recognized and the amount awarded through the incentive program increased.** In FY 2010, ten faculty, two colleges, four departments and one cost center benefitted from this program. In FY 2011, 14 faculty, three colleges, six departments and one cost center benefitted from this program. The amount of funding distributed in FY 2010 was \$62,511. The amount increased to \$74,349 in FY 2011.

### *Faculty/Staff Accomplishments*

#### Faculty Accomplishments FY 2011

- Fourteen (14) members of the faculty were recognized as first-time grant writers.
- Fifteen (15) members of the faculty were recognized for successfully securing external funds.
- Eleven (11) members of the faculty received incentives from the indirect cost and

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supplemental salary incentive program.

- Thirty Four (34) new proposals were submitted by faculty.

## Staff Accomplishments FY 2011

- OSPR staff acquired the following credentials or certifications: Nancy Thomason completed the NIH IRB member computer-based training.
- OSPR staff attended the following workshops: Norma Stettler attended the July 2010 Survey Monkey workshop; Hannah McCann attended the September 2010 Grantsmanship workshop.

OSPR staff made the following presentations at national conferences:

- No staff member made any presentations at a national conference.

OSRP staff made the following presentation at state conferences:

- No staff member made any presentations at state conferences.

OSPR staff served on the following national/state committees or advisory groups or panels:

- Nancy Thomason served on the state planning committee for the 2<sup>nd</sup> Annual Promoting Undergraduate Research Conference for Faculty, Staff and Administrators. The conference was held on April 8, 2011 in Oklahoma City.

## *Student Accomplishments*

OSPR coordinated ECU's participation in **Oklahoma Research Day**. In FY 2011, 85 faculty and students participated in Oklahoma Research Day, compared to 70 in FY 2010.

## *Summary*

### **Strengths**

- ☺ External funding continued to be high in FY 2011. ECU continues to outperform Oklahoma's other regional universities.
- ☺ Every academic unit wrote and submitted at least one proposal, and every academic unit was awarded at least one grant.
- ☺ The number of faculty, colleges and departments benefiting from the Sponsored Program and Incentive Policy increased in FY 2011 over FY 2010.
- ☺ The Office of Sponsored Programs and Research in FY 2011 continued to use data driven processes to develop, implement and refine activities that support the submission of quality proposal.
- ☺ The Compliance Officer in FY 2011 continued to develop and refine policies and processes that monitor compliance issues.
- ☺ The Office of Sponsored Programs and Research has effectively developed a sustainable infrastructure that systematically supports the University's external

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funding efforts, an infrastructure that has moved toward being more process-driven, than people-dependent.

- ☺ A highly qualified staff that continue to actively pursue opportunities to improve their knowledge and skills.
- ☺ The percentage of grants approved continues to remain high and is a strength of OSPR.

## Concerns

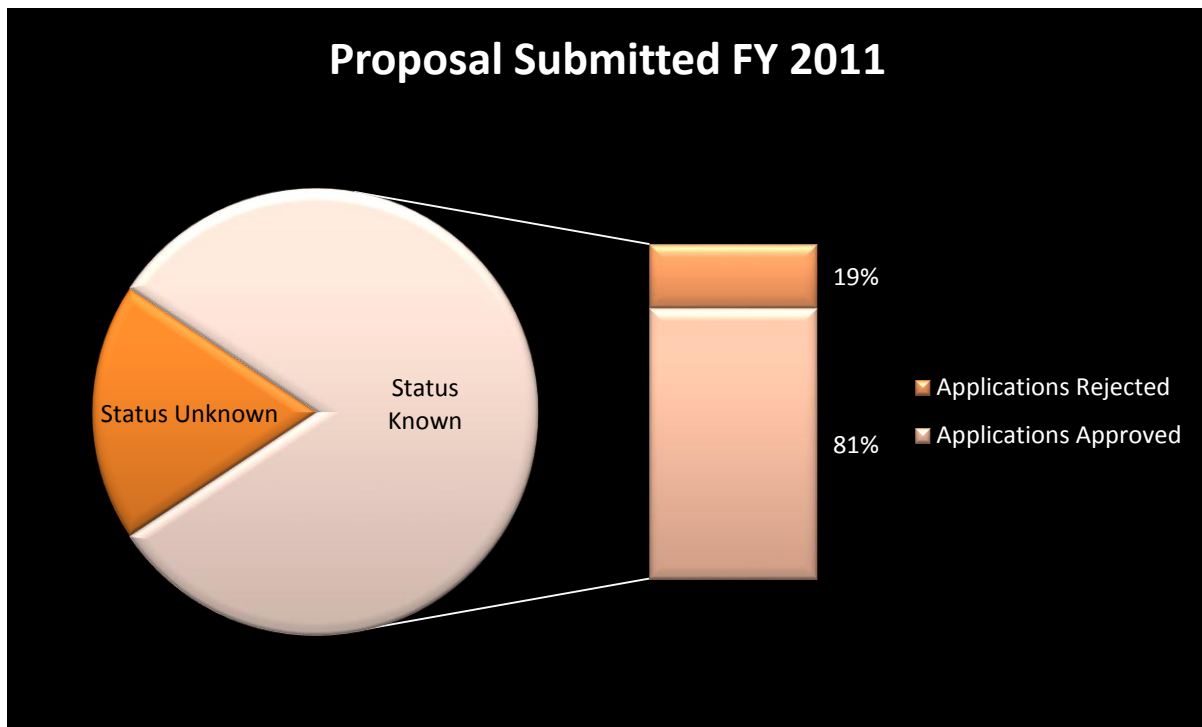
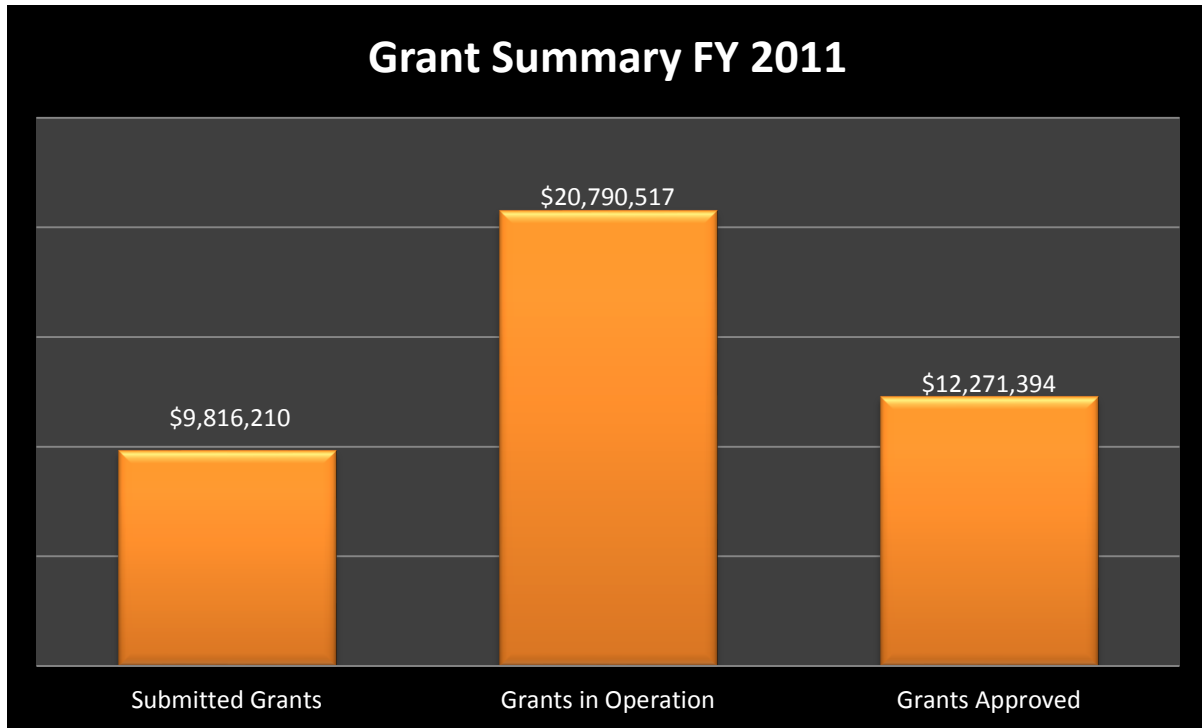
- ☹ The external funding environment is changing, perhaps more quickly and dramatically than at any point over the last ten years. The availability of funding opportunities that support programmatic improvement appears to be shrinking. Education grants are increasingly requiring an LEA to serve as the lead agency, which means that a university can only serve as a partner agency.
- ☹ An area of potential funding growth appears to be research; however the University does not have in place adequate resources to support faculty or undergraduate research. In fact, the Undergraduate Research Strategic Plan was only minimally advanced in FY 2011. In addition, research potential and interest of new faculty hires only appeared to weigh slightly into hiring decisions.
- ☹ A number of departments in the College of Health and Sciences have open faculty positions, which places increased work demand upon faculty. The increased work load has resulted in a decrease in grant production in those areas. Creative ways to maintain grant production will need to be pursued in the near future.
- ☹ The Grants Research Specialist turnover keeps continuing. This has made trying to maintain the high level of funding a challenge, because the new Grants Research Specialists have to learn faculty, faculty interest, and the philosophy of ECU.

## Priority Issues in FY 2012

- Increasing the number and amount of proposals submitted. Aggressive action must be taken in FY 2012 to work with vice presidents and deans to improve proposal submissions.
- A priority for OSPR in FY 2012 will be to orient and involve the new vice presidents and new dean of education in the grants process.
- Efforts to train the new GRS must be a priority in FY 2012.
- The OSPR must develop strategies to deal with the shifting of funding opportunities identified in the previous section.
- The Undergraduate Research Strategic Plan, including some type of Active Learning Forum, must be advanced in FY 2012.
- A new MOU must be written between OSPR and IESER so this model can continue.

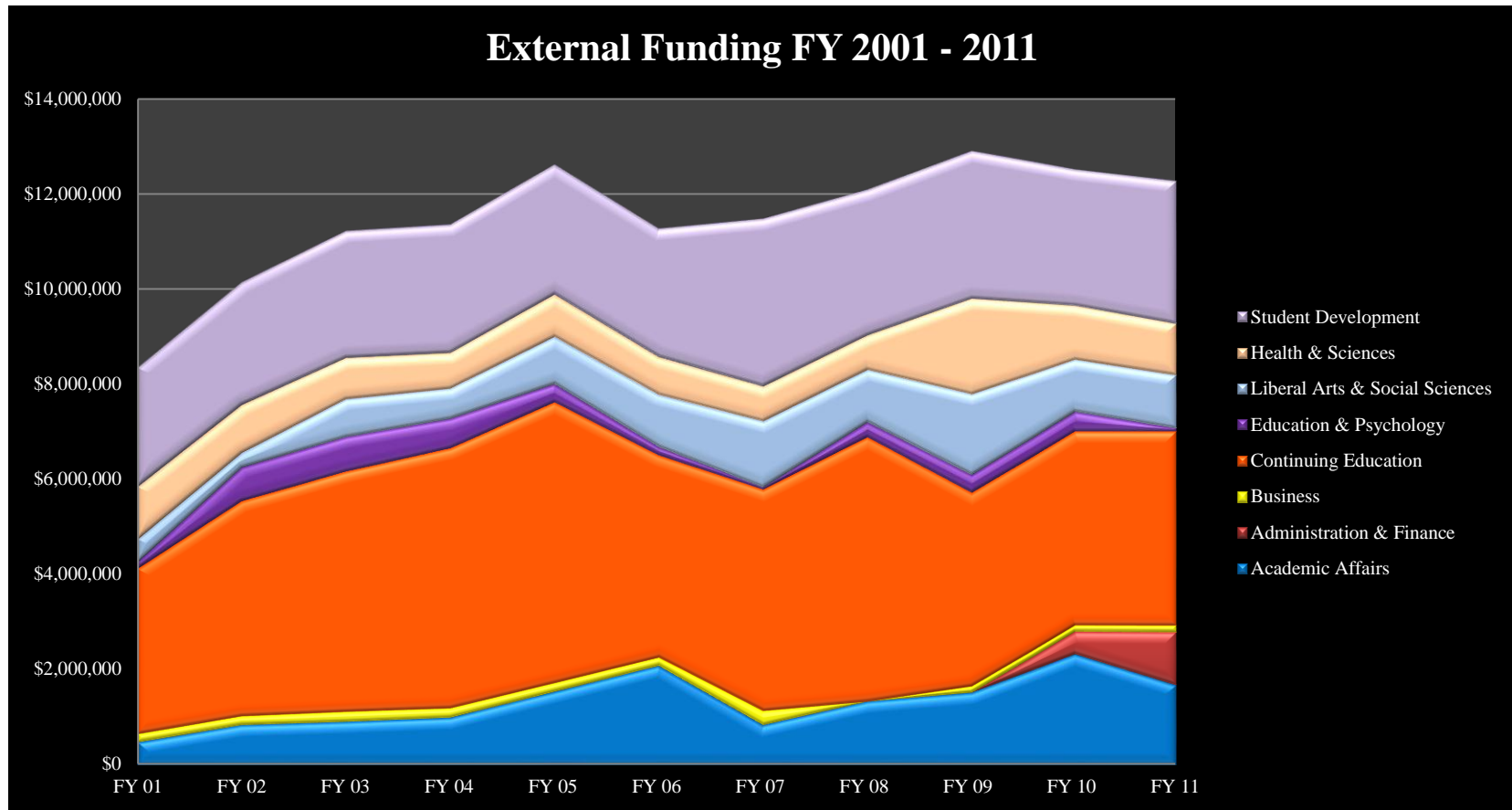
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## Charts & Graphs



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College/School	FY01	FY02	FY03	FY04	FY05	FY06	FY07	FY08	FY09	FY10	FY11	FY 2010 vs 2011 (%)	FY 2010 vs 2011 (\$)	FY 2001 vs 2011 (%)	FY 2001 vs 2011 (\$)
Academic Affai	\$ 478,249	\$ 845,068	\$ 911,275	\$ 994,527	\$ 1,535,123	\$ 2,078,443	\$ 842,786	\$ 1,337,171	\$ 1,522,119	\$ 2,316,852	\$ 1,668,333	-28%	\$ (648,519)	249%	\$ 1,190,084
Administration	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 476,000	\$ 1,111,212	133%	\$ 635,212	#DIV/0!	\$ 1,111,212
Business	\$ 171,843	\$ 182,486	\$ 207,654	\$ 200,553	\$ 186,225	\$ 177,779	\$ 293,409	\$ 329	\$ 135,393	\$ 141,908	\$ 148,762	5%	\$ 6,854	-13%	\$ (23,081)
Continuing Ed	\$ 3,473,388	\$ 4,517,271	\$ 5,044,057	\$ 5,459,384	\$ 5,898,569	\$ 4,250,999	\$ 4,654,914	\$ 5,547,017	\$ 4,063,288	\$ 4,073,639	\$ 4,082,989	0%	\$ 9,350	18%	\$ 609,601
Education & Ps	\$ 138,770	\$ 715,373	\$ 734,177	\$ 626,915	\$ 386,250	\$ 183,797	\$ 50,495	\$ 323,383	\$ 385,166	\$ 416,164	\$ 65,784	-84%	\$ (350,380)	-53%	\$ (72,986)
Liberal Arts &	\$ 488,042	\$ 309,643	\$ 802,082	\$ 635,640	\$ 997,378	\$ 1,098,007	\$ 1,393,793	\$ 1,103,109	\$ 1,694,255	\$ 1,099,607	\$ 1,117,065	2%	\$ 17,458	129%	\$ 629,023
Health & Scier	\$ 1,107,326	\$ 1,011,347	\$ 869,308	\$ 754,284	\$ 891,390	\$ 794,115	\$ 735,590	\$ 725,834	\$ 2,009,082	\$ 1,134,332	\$ 1,083,705	-4%	\$ (50,627)	-2%	\$ (23,621)
Student Develc	\$ 2,493,356	\$ 2,566,305	\$ 2,655,946	\$ 2,687,951	\$ 2,726,093	\$ 2,691,024	\$ 3,513,939	\$ 3,056,354	\$ 3,095,653	\$ 2,856,877	\$ 2,993,544	5%	\$ 136,667	20%	\$ 500,188
<b>Total</b>	\$ 8,350,974	\$ 10,147,493	\$ 11,224,499	\$ 11,359,254	\$ 12,621,028	\$ 11,274,164	\$ 11,484,926	\$ 12,093,197	\$ 12,904,956	\$ 12,515,379	\$ 12,271,394	-2%	\$ (243,985)	47%	\$ 3,920,420



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## East Central University External Funding: FY 2001-2011

