



**Office of Research and Sponsored Programs**

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January 30, 2008

TO: Dr. Ann Stuart, Chancellor and President  
Dr. Carolyn Gunning, Provost and Vice President for Academic Affairs  
Dr. Brenda Floyd, Vice President for Finance and Administration  
Dr. Richard Nicholas, Vice President of Student Life  
Mr. Bill Palmertree, Vice President of Information Services  
Dr. Jennifer Martin, Dean of the Graduate School  
Dr. David Watson, Director – Houston Office of Research & Sponsored Programs  
Dr. Victoria McGillin, Associate Provost  
Dr. Vic Ben-Ezra, Research Support Committee, Chair  
Dr. Sharla Snider, Graduate Council, Research Committee, Chair  
Board of Regents

FROM: Dr. Jo Ann Engelbrecht  
Director of Research & Sponsored Programs

RE: Annual Report, FY2007

This is a report from the Office of Research & Sponsored Programs (ORSP) on external funding at Texas Woman's University for 2006-2007 as shown by the grants and contracts for sponsored projects that were awarded to the University. These sponsored projects encompass many types of activities funded by outside agencies: basic scientific research; applied research in nursing or allied health sciences, social sciences, and other areas; education and training programs in community and business settings; demonstration, model, or pilot projects, and creative activities. Research is defined as a systematic study directed toward fuller scientific knowledge or understanding of the subject studied and includes all research activity, both basic and applied. Sources of funding include federal, state, and private funding agencies.

Proposals for grants and contracts are initiated by TWU faculty or staff and are reviewed by the department chair, director or associate dean, the dean of the college, the director of Research & Sponsored Programs, and the Provost. Occasionally others are included in the review process, depending on the nature of the project or the instructions from the funding source. Proposals range in complexity from a request for support of a few hundred dollars from a professional association to an application for a million-dollar, multi-year project from a federal agency.

This report is divided into four sections. The first section provides different breakdowns of externally funded projects by campus, college, department, and principal investigator (or project director). The second section describes the proposals submitted for external funding, the third section provides information about research expenditures, while the fourth section includes information about facility and administrative (indirect) costs.

e-copy:           Dr. Patricia Holden-Huchton, Interim Dean – College of Nursing  
                      Dr. Jimmy Ishee, Dean – College of Health Sciences  
                      Dr. Nan Restine, Dean – College of Professional Education  
                      Dr. Ann Staton, Dean – College of Arts & Sciences  
                      Dr. Barbara Lerner, P-16 Initiative Coordinator – Academic Affairs  
                      Ms. Carolyn Barnes, Associate Vice President – Marketing & Communications  
                      Ms. Carolyn Ishee, Executive Director – Institutional Development  
                      Mr. Rayzor Dent, Senior Development Officer for Schools & Colleges – Institutional Development  
                      Ms. Sheila Marlow, Senior Development Officer – Institutional Development  
                      Ms. Amanda Simpson, Director of News & Information – Marketing & Communication  
                      Dr. Carol Kominski, Associate Vice President – Institutional Effectiveness & Research  
                      Dr. Judith Bean, Associate Vice President for Undergraduate Studies  
                      Dr. Don Edwards, Council of Chairs, Chair

## I. Externally Funded Grants and Contracts

The overall trend of external funds received at TWU during the past five years is that the total dollar **amount** of grants awarded and the number of grants remained fairly constant. Although the number and amount of research grants awarded has decreased since 2003, they have remained constant over the past 4 years.

### Total Grants Awarded

FY 2003: \$ 5,481,573 60 Awards  
 FY 2004: \$ 4,377,137 57 Awards  
 FY 2005: \$ 5,407,216 58 Awards  
 FY 2006: \$ 4,926,421 62 Awards  
 FY 2007: \$ 5,312,584 60 Awards

### Research Grants Awarded

FY 2003: \$ 1,861,613 30 Awards  
 FY 2004: \$ 1,523,983 33 Awards  
 FY 2005: \$ 1,527,591 27 Awards  
 FY 2006: \$ 1,533,154 29 Awards  
 FY 2007: \$ 1,556,342 25 Awards

The following section provides a more detailed breakdown of the external grants and contracts received through ORSP during FY 2007 and the comparison of these breakdowns with FY 2006.

### A. Distribution by College, Department, and Campus

Tables 1-4 illustrate the distribution of grant awards within each college, department, individual faculty member, and campus. For accounting purposes, the award is listed in the department of the principal investigator (PI). In the instances where the co-principal investigator (Co-PI) is from a different department or campus than the PI, the Co-PI's department is shown in parentheses.

**Table 1**  
**Comparison of Funding by College**

	2005-2006	2006-2007
Arts & Sciences	\$1,624,488	\$2,305,282
Health Sciences	\$1,477,945	\$621,976
Nursing	\$973,326	\$609,012
Professional Education	\$311,575	\$1,322,306
Other	\$539,087	\$454,008
<b>TOTAL OF ALL AWARDS</b>	<b>\$4,926,421</b>	<b>\$5,312,584</b>

**Table 2**  
**Comparison of Funding by College and Department**

	2005-2006	2006-2007
<b>ARTS &amp; SCIENCES</b>		
School of the Arts	\$0	\$4,225
Biology	\$797,137	\$946,616
Chemistry & Physics	\$58,000	\$194,000
Fashion & Textiles	\$30,000	\$28,000
History & Government	\$429,193	\$505,193
Mathematics & Computer Science	\$98,591	\$217,857
Psychology & Philosophy	\$0	\$6,565
Sociology & Social Work	\$211,567	\$402,826
<b>Total Arts &amp; Sciences</b>	<b>\$1,624,488</b>	<b>\$2,305,282</b>

<b>HEALTH SCIENCES</b>		
Communication Sciences & Disorders	\$318,737	\$363,890
Health Care Administration – Houston	\$63,000	\$6,610
Health Studies	\$41,887	\$1,000
Kinesiology	\$545,355	\$18,000
Nutrition & Food Sciences	\$403,900	\$137,600
Nutrition & Food Sciences - Houston	\$25,000	\$25,000
OT - Dallas	\$2,600	\$3,600
PT - Dallas	\$66,372	\$63,816
PT - Houston	\$11,094	\$2,460
<b>Total Health Sciences</b>	<b>\$1,477,945</b>	<b>\$621,976</b>
<b>NURSING</b>		
Nursing - Dallas	\$269,358	\$181,912
Nursing - Denton	\$332,256	\$305,090
Nursing - Houston	\$371,712	\$122,010
<b>Total Nursing</b>	<b>\$973,326</b>	<b>\$609,012</b>
<b>PROFESSIONAL EDUCATION</b>		
Family Sciences	\$0	\$63,741
Library & Information Studies	\$500	\$704,123
Reading	\$50,000	\$0
Teacher Education	\$261,075	\$554,442
<b>Total Professional Education</b>	<b>\$311,575</b>	<b>\$1,322,306</b>
<b>OTHER</b>		
Academic Affairs	\$274,087	\$313,008
Student Life	\$265,000	\$141,000
<b>Total Other</b>	<b>\$539,087</b>	<b>\$454,008</b>
<b>TOTAL OF ALL AWARDS</b>	<b>\$4,926,421</b>	<b>\$5,312,584</b>

**Table 3**  
**Funding Distribution by College, Department, and Individual Faculty Member 2006-2007**

<b>ARTS &amp; SCIENCES</b>		
<b>School of the Arts</b>		
Dr Herbert Holl	Texas Commission on the Arts	\$2,171
Dr Herbert Holl	Texas Commission on the Arts	\$1,500
Dr James Chenevert & Dr Herbert Holl	National Endowment for the Arts (NEA)	\$554
<b>Subtotal School of the Arts</b>		<b>\$4,225</b>
<b>Biology</b>		
Dr Camelia Maier	Delta and Pine Land Company	\$10,000
Dr Sarah McIntire	HHS - National Institutes of Health	\$206,888
Dr Lynda Uphouse	HHS - National Institutes of Health	\$485,144
Dr Lynda Uphouse	HHS - National Institutes of Health	\$244,584
<b>Subtotal Biology</b>		<b>\$946,616</b>

<b>Chemistry &amp; Physics</b>		
Dr B. Mark Britt	American Chemical Society	\$14,000
Dr Manal Omary	Department of Defense	\$150,000
Dr Richard Sheardy	Welch Foundation	\$30,000
<b>Subtotal Chemistry &amp; Physics</b>		<b>\$194,000</b>
<b>Fashion &amp; Textiles</b>		
Dr Sheri Dragoo	Texas Department of Agriculture	\$28,000
<b>Subtotal Fashion &amp; Textiles</b>		<b>\$28,000</b>
<b>History &amp; Government</b>		
Dr Jim Alexander	State of Texas	\$505,193
<b>Subtotal History &amp; Government</b>		<b>\$505,193</b>
<b>Mathematics &amp; Computer Science</b>		
Ms Catherine Banks	U.S. Department of Education	\$86,994
Ms Catherine Banks	U.S. Department of Education	\$11,543
Dr Don Edwards & Dr Judith Bean	Texas Higher Education Coordinating Board	\$114,771
Dr Winifred Mallam	National Science Foundation	\$4,549
<b>Subtotal Mathematics &amp; Computer Science</b>		<b>\$217,857</b>
<b>Psychology &amp; Philosophy</b>		
Dr Daniel Miller	National Association of School Psychologists	\$6,565
<b>Subtotal Psychology &amp; Philosophy</b>		<b>\$6,565</b>
<b>Sociology &amp; Social Work</b>		
Mr Mark Sandel & Dr Linda Rubin (Psychology)	U.S. Department of Justice	\$199,479
Dr Abigail Tilton	HHS - Administration for Children & Families	\$185,316
Dr Lisa Zottarelli & Dr David Bugg	State of Texas	\$18,031
<b>Subtotal Sociology &amp; Social Work</b>		<b>\$402,826</b>
<b>Total Arts &amp; Sciences</b>		<b>\$2,305,282</b>

<b>HEALTH SCIENCES</b>		
<b>Communication Sciences &amp; Disorders</b>		
Dr Cynthia Gill	Texas Education Agency	\$117,180
Dr Delaina Walker-Batson	Marsh Foundation	\$9,000
Dr Delaina Walker-Batson	Haia and Murray Goldenberg	\$50,000
Dr Alfred White	U.S. Department of Education	\$187,710
<b>Subtotal Communication Sciences &amp; Disorders</b>		<b>\$363,890</b>

<b>Health Care Administration - Houston</b>		
Dr Kelley Moseley & Dr Gerald Goodman	Care for Elders / Sheltering Arms Senior Services	\$6,610
<b>Subtotal Health Care Administration – Houston</b>		<b>\$6,610</b>
<b>Health Studies</b>		
Dr Kristin Wiginton & Dr Denise Bates	Lupus Foundation of America	\$1,000
<b>Subtotal Health Studies</b>		<b>\$1,000</b>
<b>Kinesiology</b>		
Dr Vic Ben-Ezra	Flow Healthcare Foundation	\$18,000
<b>Subtotal Kinesiology</b>		<b>\$18,000</b>
<b>Nutrition &amp; Food Sciences</b>		
Dr Clay King	Texas Department of Agriculture	\$40,000
Dr Clay King	Texas Department of Agriculture	\$35,000
Dr Clay King	Texas Department of Agriculture	\$30,000
Dr Clay King	Texas Department of Agriculture	\$2,600
Dr Huanbiao Mo	Texas Department of Agriculture	\$30,000
<b>Subtotal Nutrition &amp; Food Sciences</b>		<b>\$137,600</b>
<b>Nutrition &amp; Food Sciences - Houston</b>		
Dr John Radcliffe & Dr Victorine Imrhan	Texas Department of Agriculture	\$25,000
<b>Subtotal Nutrition &amp; Food Sciences - Houston</b>		<b>\$25,000</b>
<b>OT - Dallas</b>		
Ms Regina Campbell	Presbyterian Hospital of Dallas	\$3,600
<b>Subtotal OT - Dallas</b>		<b>\$3,600</b>
<b>PT - Dallas</b>		
Dr Elaine Trudelle-Jackson	HHS - National Institutes of Health	\$63,816
<b>Subtotal PT - Dallas</b>		<b>\$63,816</b>
<b>PT - Houston</b>		
Dr Katy Mitchell & Ms Jill Seale	Texas Physical Therapy Education & Research Foundation	\$2,460
<b>Subtotal PT - Houston</b>		<b>\$2,460</b>
<b>Total Health Sciences</b>		<b>\$621,976</b>

<b>NURSING</b>		
<b>Nursing - Dallas</b>		
Dr Carol Michelle Arnold	March of Dimes Birth Defects Foundation	\$8,250
Dr Caryl Mobley	HHS - Health Resources & Services Administration	\$3,672
Dr Caryl Mobley	HHS - Health Resources & Services Administration	\$169,990

<b>Subtotal Nursing - Dallas</b>		<b>\$181,912</b>
<b>Nursing - Denton</b>		
Dr Marcia Hern	HHS - Health Resources & Services Administration	\$134,582
Dr Anne Stiles	U.S. Department of Education	\$170,508
<b>Subtotal Nursing - Denton</b>		<b>\$305,090</b>
<b>Nursing - Houston</b>		
Dr Constance Ayers	Texas Higher Education Coordinating Board	\$7,091
Dr Constance Ayers	Texas Higher Education Coordinating Board	\$5,666
Dr Janet Foster & Dr Susan Sheriff	Texas Higher Education Coordinating Board	\$107,035
Dr Lene Symes & Dr Judith McFarlane	Texas Medical Center	\$2,218
<b>Subtotal Nursing - Houston</b>		<b>\$122,010</b>
<b>Total Nursing</b>		<b>\$609,012</b>

<b>PROFESSIONAL EDUCATION</b>		
<b>Family Sciences</b>		
Dr Larry LeFlore	HHS - Administration for Children & Families	\$63,491
Dr Katherine Rose & Ms Bridget Walsh	Trophy Club Women's Club, Inc.	\$250
<b>Subtotal Family Sciences</b>		<b>\$63,741</b>
<b>Library &amp; Information Studies</b>		
Dr Robert Martin & Dr Ling Hwey Jeng	Tocker Foundation	\$12,800
Dr Robert Martin & Dr Ling Hwey Jeng	Institute of Museum and Library Services	\$691,323
<b>Subtotal Library &amp; Information Studies</b>		<b>\$704,123</b>
<b>Teacher Education</b>		
Dr Patricia Casey & Dr Claudia Sanchez	U.S. Department of Education	\$232,715
Dr Claudia Sanchez	U.S. Department of Education	\$5,500
Dr Claudia Sanchez & Dr Winifred Mallam (Math & Computer Sciences)	U.S. Department of Education	\$56,815
Dr Claudia Sanchez	U.S. Department of Education	\$259,412
<b>Subtotal Teacher Education</b>		<b>\$554,442</b>
<b>Total Professional Education</b>		<b>\$1,322,306</b>

<b>OTHER</b>		
<b>Academic Affairs</b>		
Dr Judith Bean	U.S. Department of Education	\$220,000
Dr Judith Bean	Texas Higher Education Coordinating Board	\$93,008
<b>Subtotal Academic Affairs</b>		<b>\$313,008</b>
<b>Student Life</b>		
Dr Monica Mendez-Grant	TG Public Benefit Program	\$8,000
Dr Monica Mendez-Grant	TG Public Benefit Program	\$25,000
Dr Richard Nicholas & Dr Monica Mendez-Grant	Texas Higher Education Coordinating Board	\$98,000
Dr Richard Nicholas & Dr Monica Mendez-Grant	Texas Higher Education Coordinating Board	\$6,400
Dr Richard Nicholas & Dr Monica Mendez-Grant	Texas Higher Education Coordinating Board	\$3,600
<b>Subtotal Student Life</b>		<b>\$141,000</b>
<b>Total Other</b>		<b>\$454,008</b>

<b>TOTAL OF ALL AWARDS</b>	<b>\$5,312,584</b>
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**Table 4  
Comparison of Funding by Campus**

<b>Location</b>	<b>2005-2006</b>	<b>2006-2007</b>
Dallas – Parkland Campus	\$269,358	\$181,912
Dallas – Presbyterian Campus	68,972	67,416
Denton Campus	4,117,285	4,907,176
Houston Campus	470,806	156,080
<b>TOTAL</b>	<b>\$4,926,421</b>	<b>\$5,312,584</b>

**B. Distribution by Funding Source**

Tables 5 and 6 provide a breakdown of funding by agency type. Most of the state accountability measures focus on federal funding which did increase slightly from FY 2006 to FY 2007.

**Table 5  
Comparison of Funding by Type of Funding Source**

	<b>2005-2006</b>		<b>2006-2007</b>	
Federal	\$ 3,531,406	71.7%	\$ 3,834,585	72.2%
State	988,777	20.1%	1,270,246	23.9%
Private	406,238	8.2%	207,753	3.9%
<b>TOTAL</b>	<b>\$ 4,926,421</b>	<b>100.0%</b>	<b>\$ 5,312,584</b>	<b>100.0%</b>

**Table 6**  
**List of External Funding Agencies Supporting Research & Sponsored Projects at TWU during FY 2007**

<b>FEDERAL FUNDING</b>		
Department of Defense	1	\$150,000
HHS - Administration for Children & Families	2	\$248,807
HHS - Health Resources & Services Administration	3	\$308,244
HHS - National Institutes of Health	4	\$1,000,432
Institute of Museum and Library Services (IMLS)	1	\$691,323
National Endowment for the Arts (NEA)	1	\$554
National Science Foundation	1	\$4,549
U.S. Department of Education	9	\$1,231,197
U.S. Department of Justice	1	\$199,479
<b>TOTAL FEDERAL FUNDING</b>	<b>23</b>	<b>\$3,834,585</b>
<b>STATE FUNDING</b>		
State of Texas	2	\$523,224
Texas Commission on the Arts	2	\$3,671
Texas Department of Agriculture	7	\$190,600
Texas Education Agency	1	\$117,180
Texas Higher Education Coordinating Board	8	\$435,571
<b>TOTAL STATE FUNDING</b>	<b>20</b>	<b>\$1,270,246</b>
<b>PRIVATE FUNDING</b>		
American Chemical Society	1	\$14,000
Care for Elders/Sheltering Arms Senior Services	1	\$6,610
Delta and Pine Land Company	1	\$10,000
Flow Healthcare Foundation	1	\$18,000
Haia and Murray Goldenberg	1	\$50,000
Lupus Foundation of America	1	\$1,000
March of Dimes Birth Defects Foundation	1	\$8,250
Marsh Foundation	1	\$9,000
National Association of School Psychologists	1	\$6,565
Presbyterian Hospital of Dallas	1	\$3,600
Texas Medical Center	1	\$2,218
Texas Physical Therapy Education & Research Foundation	1	\$2,460
TG Public Benefit Program	2	\$33,000
Tocker Foundation	1	\$12,800
Trophy Club Women's Club, Inc.	1	\$250
Welch Foundation	1	\$30,000
<b>TOTAL PRIVATE FUNDING</b>	<b>17</b>	<b>\$207,753</b>
<b>TOTAL</b>	<b>60</b>	<b>\$5,312,584</b>

**C. Distribution by Project Type**

Table 7 provides a breakdown of funding by project type. State accountability measures focus on research funding which did increase slightly from FY 2006 to FY 2007.

**Table 7  
Comparison of Awards by Project Type**

	2005-2006		2006-2007	
	Number of Awards	Amount of Awards	Number of Awards	Amount of Awards
Instruction	24	\$ 2,459,328	22	\$ 2,575,815
Research	29	1,533,544	25	1,556,342
Scholarship or Fellowship	5	384,856	5	341,690
Service	4	548,693	8	838,737
<b>TOTAL</b>	<b>62</b>	<b>\$ 4,926,421</b>	<b>60</b>	<b>\$ 5,312,584</b>

In summary, the dollar amount of grants received in FY 2007, as compared to FY 2006, increased by \$386,163. These numbers are encouraging in light of a highly competitive funding environment and the number of new investigators at TWU.

**II. Proposals Submitted for External Funding**

Fewer proposals were submitted this year as a result of a confluence of internal and external patterns and trends.

- 1) Highly competitive funding environment. Federal discretionary spending, which includes both basic and applied research, is flat. Funding shifted to support defense and homeland security.
- 2) Changed profile of TWU researchers over the past five years. Some seasoned researchers who were successful in garnering funding moved to other institutions, retired, or assumed administrative roles. Less experienced faculty members have been hired who are at a different place in their research careers. Many of them are still conducting pilot projects and developing publication records, both of which are necessary to be competitive in the current funding environment.
- 3) Gradual shift by some federal agencies from requiring non-competing, continuation proposals to requiring progress reports in order to continue funds. These requests for continuing funding were once counted by TWU as new proposals. By FY 2007, this shift was complete and these documents are now counted as reports (not proposals), resulting in a decrease in the number of proposals listed on the TWU reports.

**Total Proposals Submitted (All Types)**

FY 2003: \$ 12,625,319 94 Submitted  
 FY 2004: \$ 21,966,712 72 Submitted  
 FY 2005: \$ 24,774,007 79 Submitted  
 FY 2006: \$ 27,059,562 106 Submitted  
 FY 2007: \$ 17,319,754 89 Submitted

**Research Proposals Submitted**

FY 2003: \$ 8,136,438 63 Submitted  
 FY 2004: \$ 11,395,026 39 Submitted  
 FY 2005: \$ 13,512,833 53 Submitted  
 FY 2006: \$ 16,425,270 80 Submitted  
 FY 2007: \$ 7,261,640 60 Submitted

Following is a more detailed breakdown of proposals submitted in FY 2006 compared with the previous fiscal year.

**Table 8**  
**Comparison of Proposal Submissions by Type of Funding Source**

	2005-2006		2006-2007	
	Number of Proposals	Amount Requested	Number of Proposals	Amount Requested
Federal	42	\$22,817,933	33	\$13,484,597
State	20	1,623,864	19	1,748,502
Private	44	2,617,765	37	2,086,655
<b>TOTAL</b>	<b>106</b>	<b>\$27,059,562</b>	<b>89</b>	<b>\$17,319,754</b>

**Table 9**  
**Comparison of Proposal Submissions by Project Type**

	2005-2006		2006-2007	
	Number of Proposals	Amount Requested	Number of Proposals	Amount Requested
Instruction	14	\$9,042,280	17	\$8,054,333
Research	80	16,425,270	60	7,261,640
Scholarship or Fellowship	4	693,044	4	930,704
Service	8	898,968	8	1,073,077
<b>TOTAL</b>	<b>106</b>	<b>\$27,059,562</b>	<b>89</b>	<b>\$17,319,754</b>

In summary, the number of proposals submitted in FY 2007, as compared to FY 2006, decreased by 17 and the dollar amount requested decreased by approximately \$9.7 million. The largest decrease was in the number of research proposals submitted and amount of research dollars requested. The amount of funds requested for federal and private funding decreased while the funds requested for state funds increased.

### **III. Research Expenditures**

Research expenditures include all funds spent by TWU to support research. The Texas Higher Education Coordinating Board's accountability system includes research activity among its indicators. Two state accountability measures relate to the amount of federal research funding each university spends while a third accountability measure relates to the total amount of research expenditures reported.

The first column below shows total research expenditures, including state-appropriated research funds, indirect costs, external awards, and pass-through funds to other entities with whom TWU collaborates on projects. The amount of total research expenditures slightly decreased from FY 2006 to FY 2007, mostly because of the amount of funds expended by the University in FY 2006 for research equipment in the new Houston building.

The second column represents only the research expenditures from federally-funded research projects. The amount of federal research expenditures, one of the Closing the Gap's accountability measures, has increased by 18.4%.

**Total Research Expenditures**

FY 2003: \$ 2,998,340  
FY 2004: \$ 2,233,085  
FY 2005: \$ 1,927,385  
FY 2006: \$ 2,078,736  
FY 2007: \$ 1,931,001

**Federal Research Expenditures**

FY 2003: \$ 1,493,677  
FY 2004: \$ 1,238,556  
FY 2005: \$ 940,048  
FY 2006: \$ 637,390  
FY 2007: \$ 754,692

**IV. Facilities and Administrative (Indirect) Costs**

TWU's on-campus federally negotiated indirect cost rate during FY 2007 was 54% of salaries and wages. The amount of indirect costs (facilities and administrative costs) that were recovered are listed below. FY 2007's indirect cost recovery increased almost 24% from FY 2006.

FY 2003: \$ 291,996.77  
FY 2004: \$ 298,201.21  
FY 2005: \$ 218,303.73  
FY 2006: \$ 194,887.91  
FY 2007: \$ 241,386.70