WKU

OFFICE OF RESEARCH & CREATIVE ACTIVITY

Annual Report
2015-2016

Message from the Associate Provost for Research & Creative Activity

As WKU's Associate Provost for Research & Creative Activity, I am both honored and excited to serve the university in this new capacity and to work with the entire campus and surrounding community to facilitate, support, and promote discovery, innovation, creativity, and collaboration.

The Office of Research & Creative Activity (which includes the Office of Sponsored Programs and the Office of Research Integrity) is a vital service unit for Western Kentucky University. The Office of Sponsored Programs' staff is dedicated to partnering with faculty and staff to compete for grants, contracts, and other sources of external support. The Office of Research Integrity provides guidance in the protection of the rights, welfare, and security of faculty, staff, and students involved in activities throughout the WKU campus system and supporting communities to ensure compliance with federal, state, and local requirements.

In ORCA, we also oversee a variety of internal programs and initiatives that provide funding support for research, creative activities, and other scholarly enterprises at WKU including the Research & Creative Activities Program (RCAP), Faculty Undergraduate Student Engagement (FUSE), and the Quick Turn Around Grant Program (QTAGs).

WKU is widely recognized as an institution whose faculty members excel at engaging students in scholarly research, creative activities, and service. ORCA plays a very important role in facilitating student-faculty collaborative research and scholarly activity in all disciplines by administering and promoting the Posters at the Capitol program, by administering the Faculty Undergraduate Student Engagement (FUSE) grant program, and by partnering with the Student Research Council and promoting the annual Student Research Conference and REACH events.

On behalf of the entire ORCA staff, I would like to thank all of the dedicated faculty, staff, and students who participate in research, scholarship, and creative activities within all academic disciplines at WKU.

Cheryl D. Davis
Associate Provost for Research & Creative Activity

Office of Sponsored Programs
External Grants & Contracts

In FY16, personnel in the Office of Sponsored Programs offered grant workshops, hosted webinars & seminars, and provided one-on-one assistance to faculty and staff in the preparation and submission of external grant proposals and contracts. We also increased the visibility of research & creative activities on our campus through feature articles (WKU global reach series), news releases, email announcements of new awards, and increased use of social media. We hope these activities will increase awareness of the scholarly activities and achievements of our faculty and staff, and lead to exciting collaborations and increased grant activity.

The successful pursuit of extramural funding enhances the ability of faculty & staff to contribute new knowledge to their discipline, provides valuable resources for engaging WKU students in research and creative activities, and increases the reputation and prestige of our institution. We extend our sincere thanks and congratulations to the many dedicated faculty and staff members who participated in sponsored project activities in FY16.
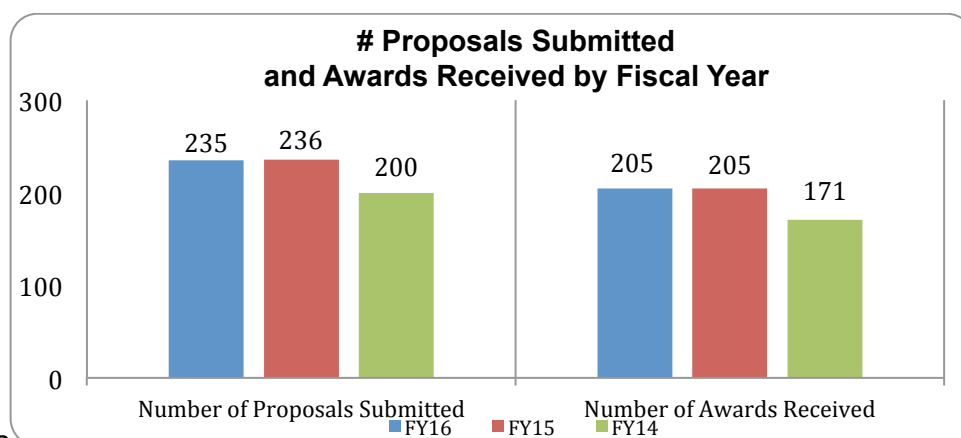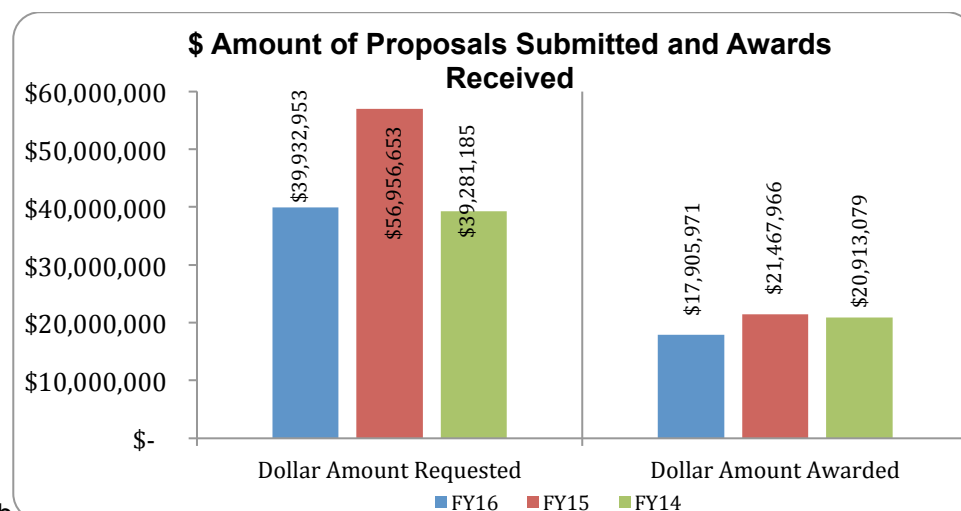

Figure 1a

Figure 1b

Figures 1a and 1b show a three-year comparison of proposals submitted, awards received, and the corresponding dollar amounts associated with proposals and awards. Both proposal number and awards received were similar in FY16 and FY15 with 235 (or 236) proposals submitted and

205 awards received. However, the dollar amount of awards received in FY16 ($17,905,971) was lower than in FY15 ($21,467,966) and in FY14 ($20,913,079).
It is important to note that grant proposals submitted in one fiscal year are often not awarded in the same fiscal year. Therefore, direct comparisons cannot be made between the number of proposals submitted and the number of awards received in a given fiscal year, nor the amount requested and the amount received.

Despite the lower overall dollar amount of grants and contracts awarded in FY16, our facilities and administration cost recovery reached its highest level in three years in FY16 (see Figure 2). Facilities and administration costs (also known as overhead or indirect costs) are those costs associated with providing and maintaining the infrastructure required to support sponsored activities, but which cannot easily attributed to a specific project. It is WKU policy to request full funding of F&A costs (according to our federally negotiated indirect cost rate) on all proposals, unless specifically prohibited by the sponsor.
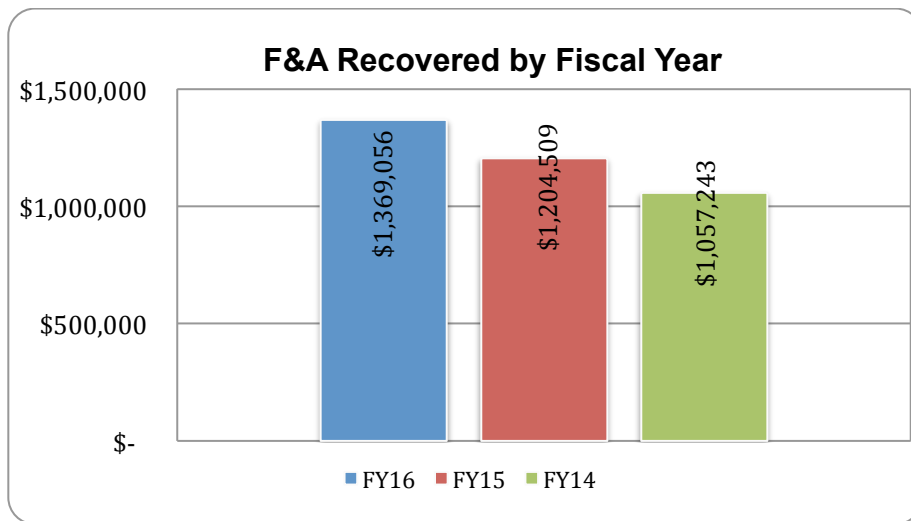

Figure 2

An analysis of proposal submissions over three years (see Figure 3) indicates that the annual number of faculty/staff who submit proposals has changed very little over this time period. However, the success rate (i.e. the number of faculty/staff receiving awards each year) has increased from a low of just 83 in FY14 to a high of 101 in FY16. An important goal for ORCA will be to increase the number of faculty and staff submitting proposals for extramural funding in FY17.
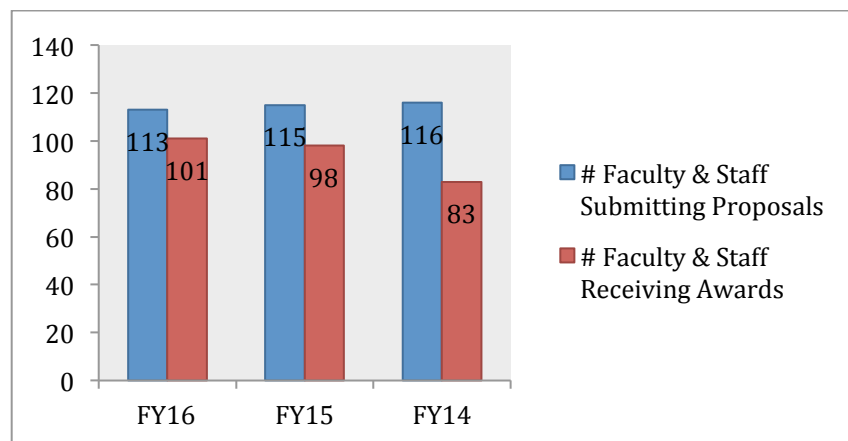

Figure 3

External Grants & Contracts by Sponsor Type & Project Type

Figures 4-6 provide a summary of the types of awards received in FY16 categorized by sponsor type (federal, state, local, private, & international) and by project type (research, public service, instruction, student support service, equipment & instrumentation, & scholarships).
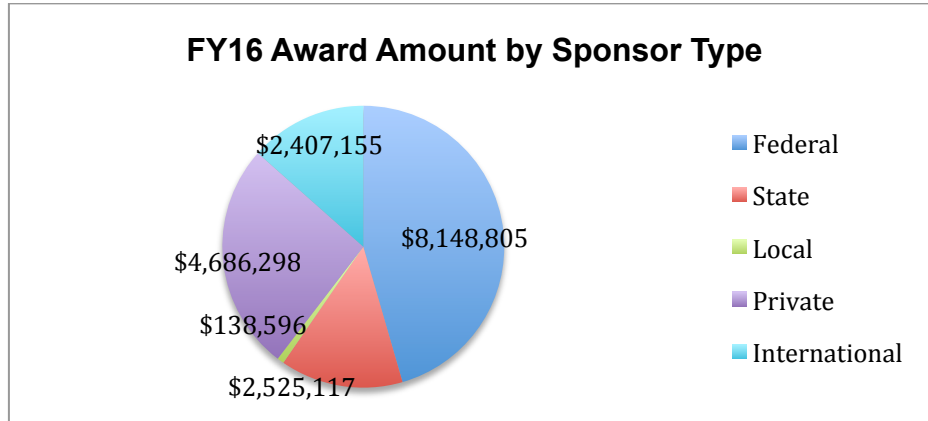
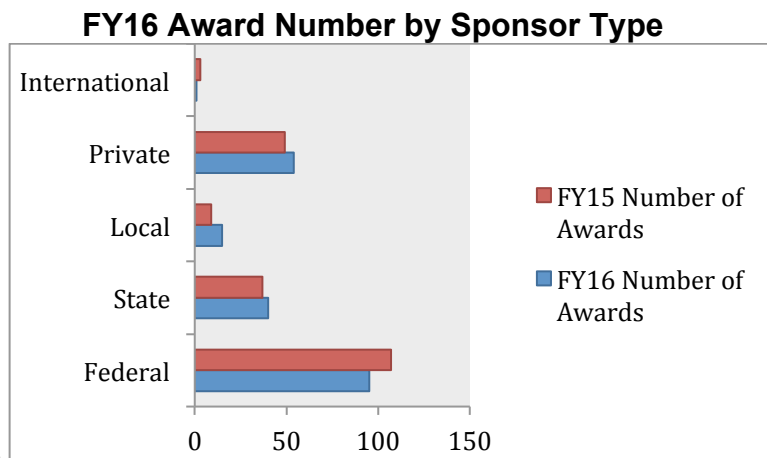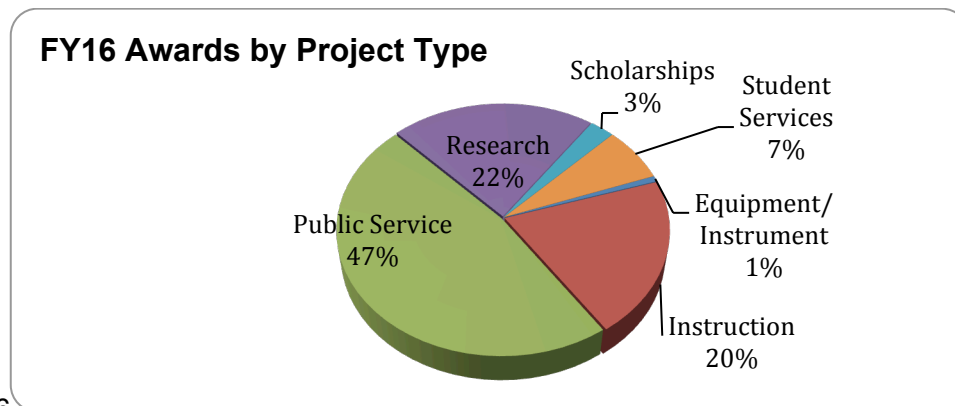**FY16 Award Amount by Sponsor Type**

Figure 4

FY16 Award Number by Sponsor Type

Figure 5

FY16 Awards by Project Type

Figure 6

Distribution of External Grants & Contracts by College

FY16 Award Amount By College

$3,614,039

$87,725

$460,588

$5,603,573

$6,620,608

$1,502,688

$16,750

Legend:
- CEBS
- CHHS
- GFCOB
- OCSE
- PCAL
- UC
- Other

Figure 7

Figure 8

Chart legend:
- FY15 Number of Awards
- FY16 Number of Awards

Categories (top to bottom): Other, UC, PCAL, OCSE, GFCOB, CHHS, CEBS

X-axis: 0, 20, 40, 60, 80, 100, 120
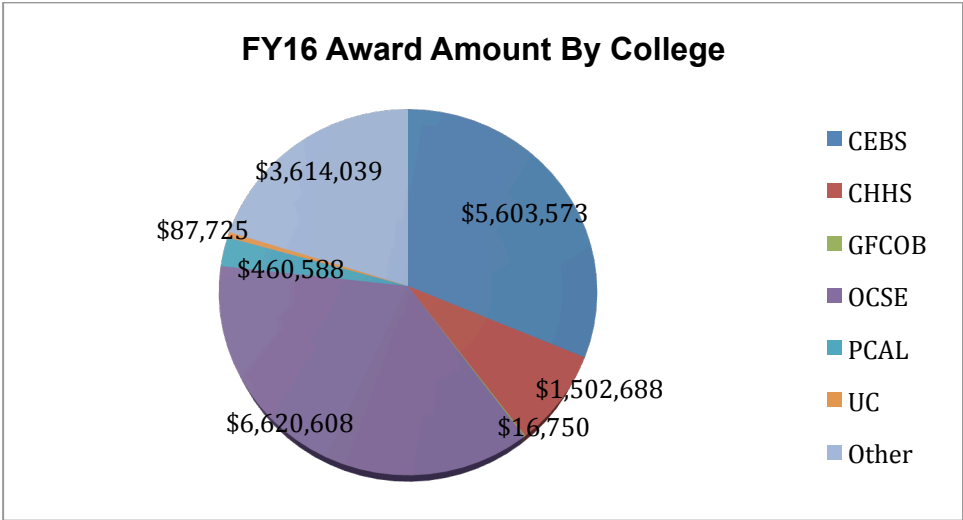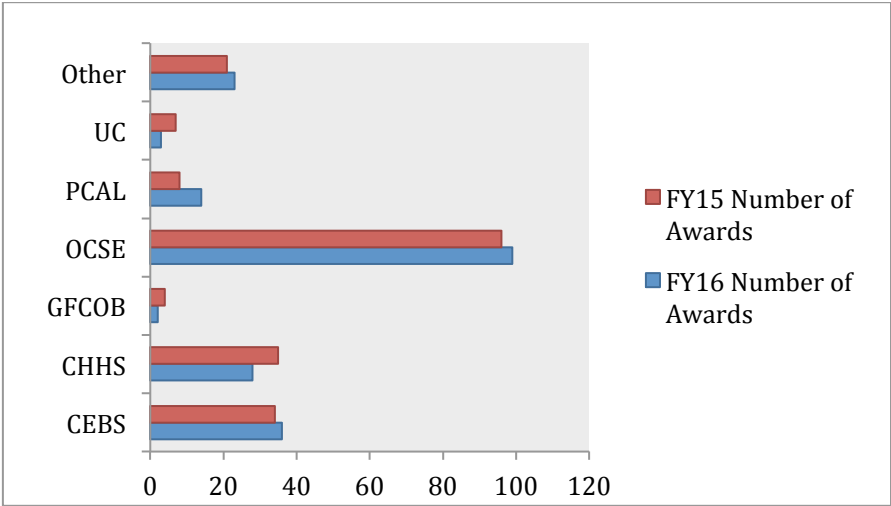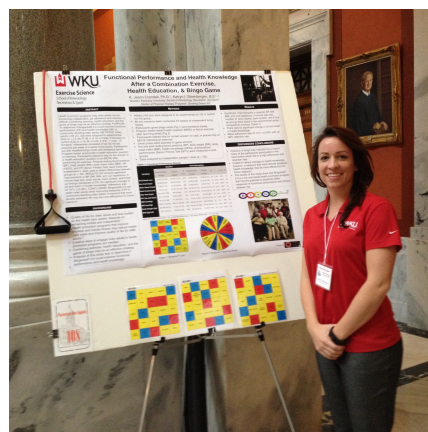
Office of Research Integrity

All research protocols that involve human subjects (e.g., survey, experimental, evaluation, and biomedical research) must be reviewed and approved by WKU's Institutional Review Board (IRB). The Institutional Review Board is charged with the responsibility of maintaining institutional compliance with the U.S. Office of Human Research Protections (OHRP) regulations regarding the use of human subjects in research. In FY16, the IRB received and processed a total of 529 new applications through IRBNet.org.

The use of vertebrate animals for instructional, demonstration or research purposes comes under the federal guidelines of the Office of Laboratory Animal Welfare (OLAW) and the U.S. Dept. of Agriculture (USDA). All animal use in such projects must receive prior approval from the Institutional Animal Care and Use Committee (IACUC). Western Kentucky University's Institutional Biosafety Committee (IBC) is a federally mandated review committee that oversees research involving recombinant deoxyribonucleic acid (rDNA) molecules and the use of microorganisms for biological research.

Collaborative Institutional Training Initiative
The IRB, IACUC, and IBC have implemented a training program for all research projects requiring approval through each review board. Each researcher is required to complete a set of on-line training modules in their field to obtain certification lasting for three years. Collaborative Institutional Training Initiative (CITI) is the web-based training platform that WKU is currently using for this training program. The Office of Research Integrity has established a total of 7,707 CITI accounts for WKU faculty, staff, and students who participate in research and scholarly activities that require IRB, IACUC, or IBC review and approval. Refer to the table below for the total number of individuals who have completed each category of CITI training.

WKU CITI Training Program	
Total WKU CITII Affiliated Accounts	7707
Completed Trainings	
Responsible Conduct of Research	6293
IRB	6509
IACUC	173
IBC	92
Export Controls	105

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