



**WKU**<sup>®</sup>

OFFICE OF RESEARCH & CREATIVE ACTIVITY

# Annual Report FY18

## Office of Sponsored Programs

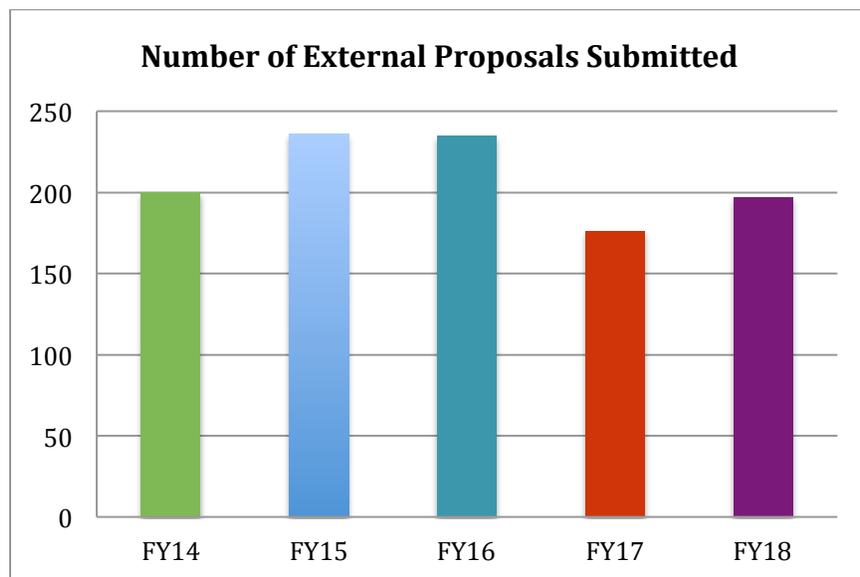
The Office of Sponsored Programs (OSP) is the coordinating office for both externally and internally funded research and sponsored projects at Western Kentucky University. We serve as the principal point of contact for faculty and staff seeking and managing external funding for research, public service, instruction, student services & equipment/instrumentation. OSP staff members offer assistance across the entire spectrum of sponsored programs activities, from identifying a potential source of funding to reviewing the terms and conditions of awards made to the institution.

Data pertaining to extramural grants and contracts in FY18 are summarized below. Please do not hesitate to contact us with any questions or with requests for additional information.

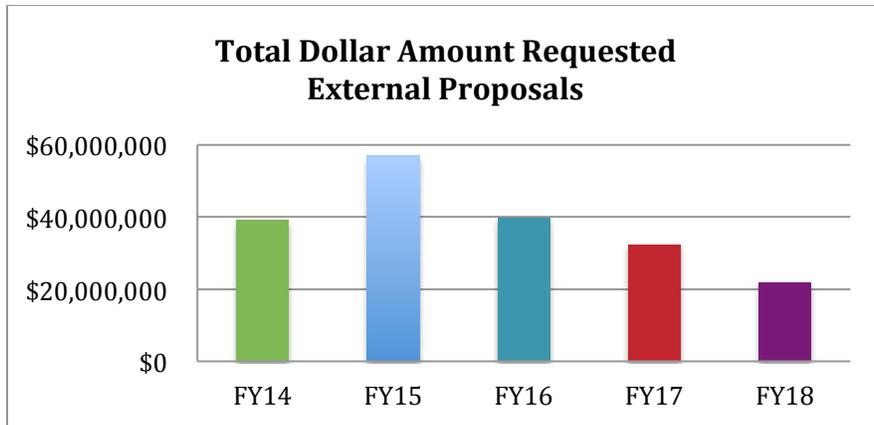
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### Proposals

Each year, faculty and staff work diligently to prepare and submit proposals to external sponsors to request support for their research and projects. A proposal is the record that is submitted to the sponsor, typically in response to a particular call or solicitation. The proposal must follow specified guidelines, outlines the proposed project, and justifies the budgetary requirements to complete the project. OSP's Pre-Award team assists with the entire proposal development process, including finding funding, reviewing requirements and guidelines, developing the budget, compliance review, and ultimately submission.



**Figure 1.** A five-year comparison of the number of proposals submitted through WKU's Office of Sponsored Programs. In FY18, 197 proposals were submitted with an average of 209 proposals submitted annually over 5 years.

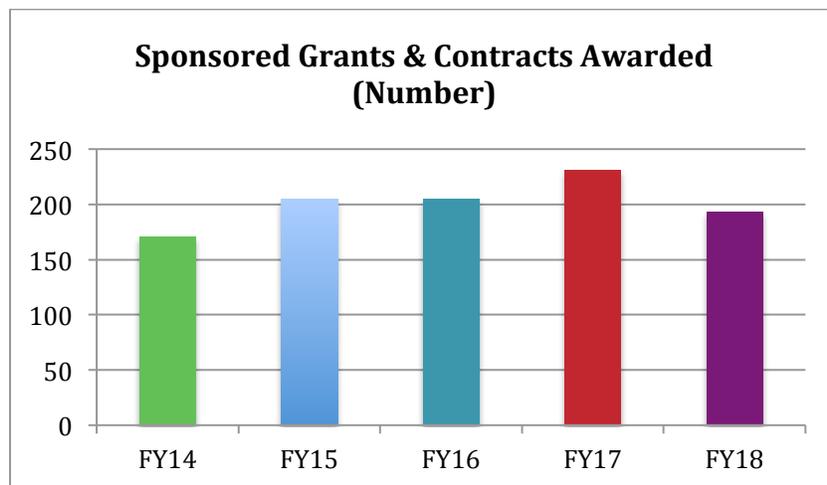


**Figure 2.** A five-year comparison of the total dollar amount requested in external proposals. Over the past 4 years there has been a decline in the total dollar amount proposed for external support, from a high of \$56,956,653 in FY15, to a low of \$21,971,451 in FY18. The decline in the dollar amount proposed for external support between FY15 and FY18 in part reflects a decrease in the average amount requested per proposal.

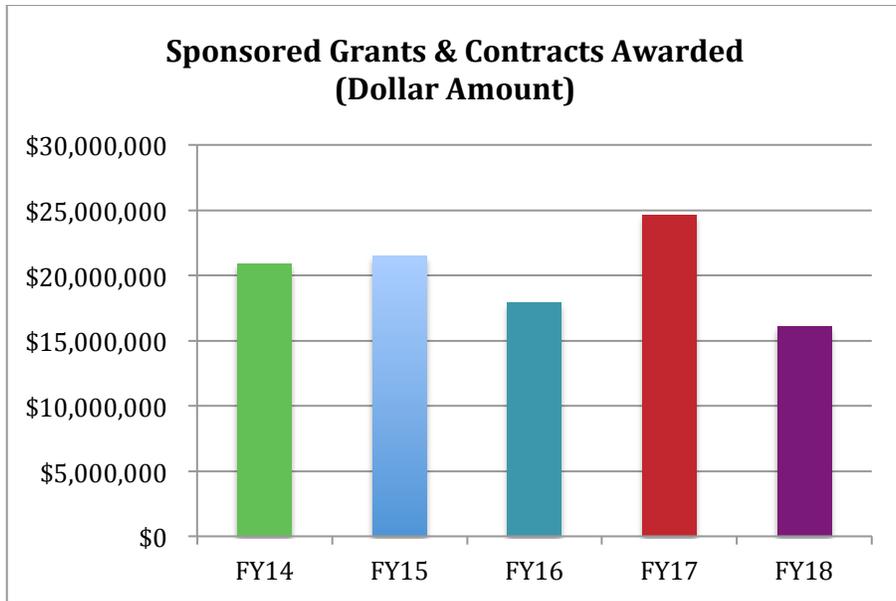
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### Awards

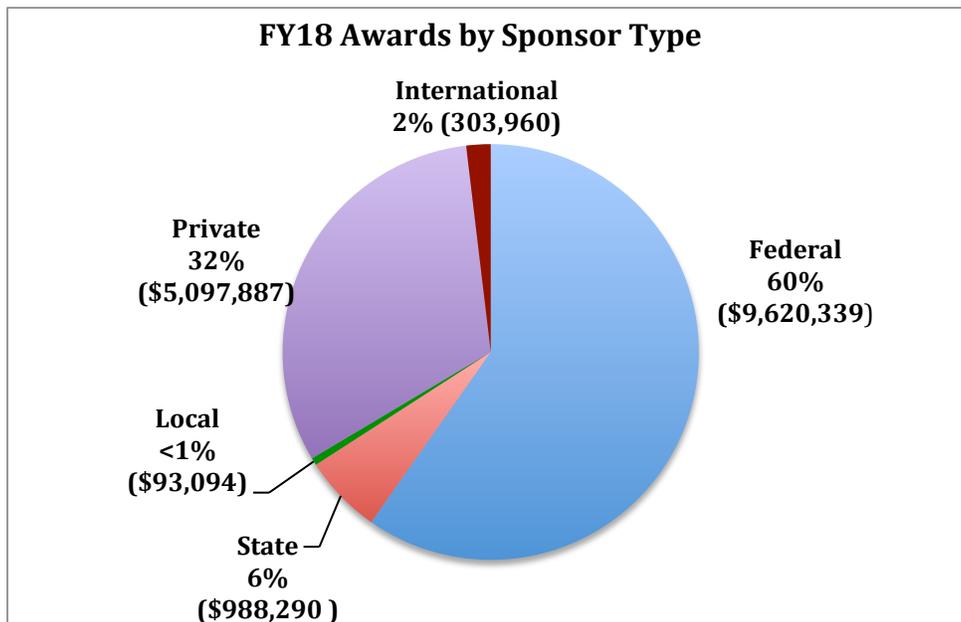
The Post Award team in the Office of Sponsored Programs is committed to providing timely and accurate assistance to faculty, staff, external sponsors and other University personnel. We assist principle investigators in exercising good fiscal management practices for the administration of externally funded sponsored programs at WKU from award receipt to closeout. We also provide expertise in interpreting guidelines and promoting compliance with sponsor and University policies.



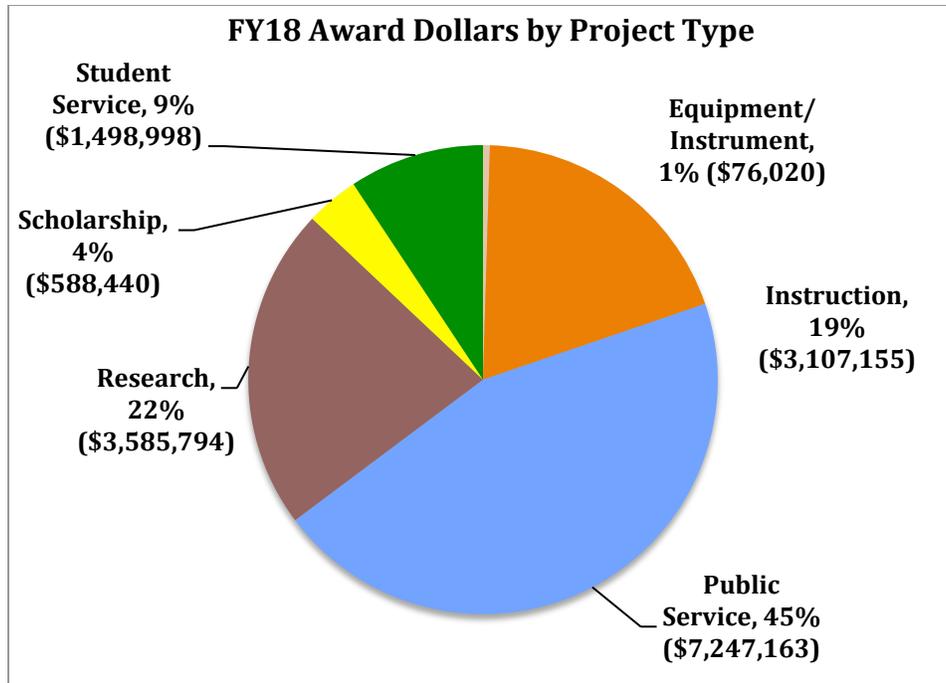
**Figure 3.** A five-year comparison of the number of awards received annually between FY14 and FY18. There were 193 awards received in FY18, with an average of 201 awards received over the past 5 years. Annual award numbers have ranged from a low of 171 in FY14 to a high of 231 in FY17.



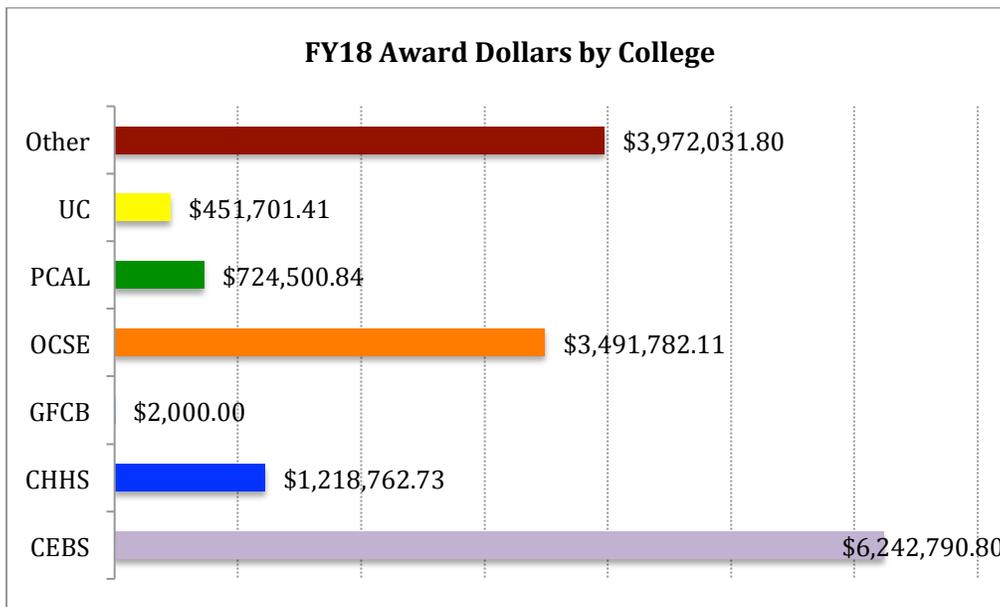
**Figure 4.** The total dollar amount awarded each year from FY14 to FY18. The total dollar amount awarded in FY18 (\$16,103,570) was the lowest amount in five years. This is expected based upon the declining trend in total dollars requested in external proposals between FY15 and FY17.



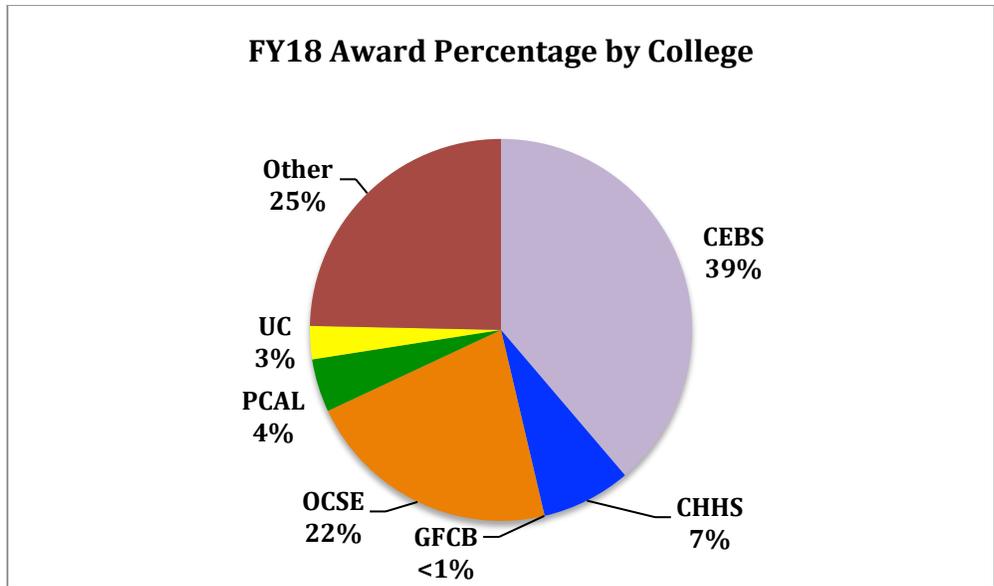
**Figure 5.** Percentage of external award dollars received categorized by sponsor type. Sixty percent of all external grant and contract dollars awarded in FY18 came from federal sources; the second highest percentage (32%) came from private entities.



**Figure 6.** Breakdown of FY18 award dollars by project type. The highest percentage received was for projects categorized as “public service” (45%). The second highest percentage received was for projects categorized as “research” (22%).



**Figure 7.** Total award dollars by college for FY18. The College of Education and Behavioral Science yielded the largest dollar amount in external awards in FY18 at \$6,242,790.80.



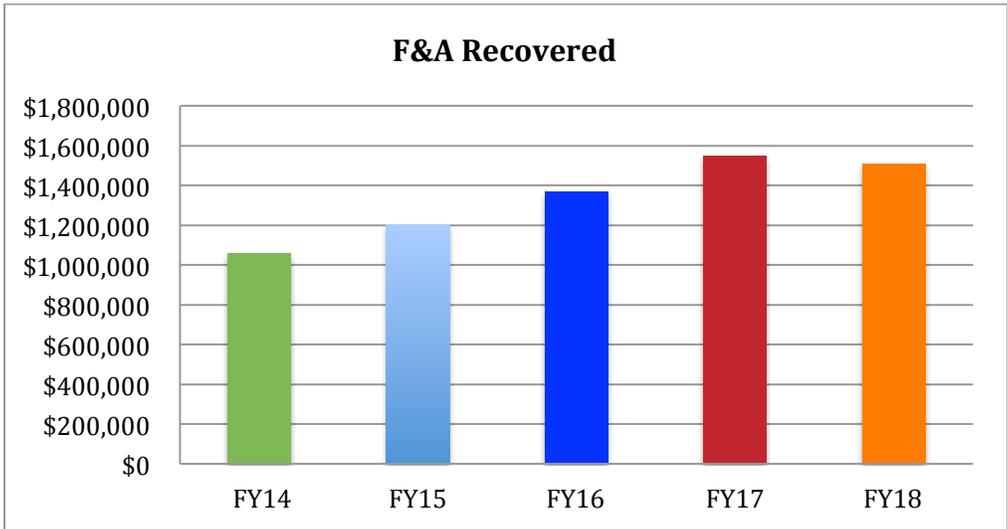
**Figure 8.** The percentage of total award dollars received by college in FY18.

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### Facilities and Administrative Costs

Facilities and administrative 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 be attributed to a specific project. Indirect costs are requested according to WKU’s federally negotiated indirect cost rate, unless specifically prohibited or limited by the sponsor.

Figure 10 below shows a five-year comparison of the total amount of F&A recovered annually.



**Figure 10.** A five-year comparison of total F&A recovered annually.

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## **Research and Creative Activities Program (RCAP) FY11-16 Outcome Report**

RCAP funding is provided by the Office of Research and Creative Activity to encourage eligible full-time faculty and instructors to develop individual projects for research, scholarly pursuits, and creative activities, while promoting the pursuit of external funding sources.

**Category I** funds are considered "seed" monies to enhance the competitiveness of a subsequent submission of a proposal for external funding. Category I awardees are required to submit a proposal for extramural funding as an outcome of funding.

**Category II** funds support the general development, expansion, or enhancement of faculty research and scholarly activity, and/or the creative and performing arts.

The following report summarizes the outcomes and return on investment for RCAP Fiscal Years 2011- 2016. During the reported period, 192 projects received RCAP funding totaling \$1.67 million dollars. (RCAP 17-19 outcomes have not yet been captured, since award periods are ongoing at the time of this report).

### **Outcomes**

*Extramural Proposals & Awards* – While submission of extramural proposals is a requirement of Category I awards, all awardees may choose to submit subsequent funding requests to external sponsors. Several projects during the reporting period served as seed funding for subsequent external proposal submissions. Of the 190 external proposals submitted, 58 received funding. The amount of external funding received by WKU as a result of RCAP FY11-16 support is \$5,627,082.

*Student Engagement* – RCAP guidelines promote that, “all projects should aim to incorporate undergraduate and/or graduate students...” As a result of RCAP support (both directly and indirectly), 561 students gained valuable experience in research, creative activities, and other scholarly pursuits.

*Publications* – Most RCAP awards result in a publication of some form. During the reported period, 134 journal articles and 10 manuscripts were published as a result of RCAP funding.

*Other Outcomes* – RCAP projects resulted in nearly 400 presentations, over 200 posters, and over 100 creative works. Additionally, RCAP projects added 8 books to departmental/library resources and added 53 pieces of small and large equipment to

the university's infrastructure.

**Return on Investment**

The primary purpose of RCAP Category I funds are to serve as "seed" monies to enhance the competitiveness of a subsequent proposal submission for external funding. Such funding serves to provide preliminary data, proof of concept, project/fund management experience, publications, etc., all of which contribute to strengthening external proposal submissions from WKU.

During the reporting period (FY11-FY16), RCAP support totaled \$1,669,329. This reflects WKU's investment in research, scholarly endeavors, and creative activities via the RCAP program. As a result of RCAP funding, 58 external grants were awarded totaling \$5,627,082. **This strong return on investment clearly demonstrates the value of RCAP funding in stimulating competitive external proposals.**

Return on investment for FY14 and FY16 awards were particularly exceptional, with several large federal awards received by WKU faculty that were related RCAP seed funding. During these two funding years, WKU invested \$504,540 to support RCAP projects; in turn, related projects totaling over \$4.25 million dollars in external funding were awarded to WKU through external funding sources. This return on investment is 842%.

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**HERD Survey Results**

The NSF HERD (Higher Education Research & Development) survey collects data from universities and colleges in the U.S. on annual research expenditures. Surveys are submitted each January.

The NSF publishes the HERD survey data each year, and also publishes the rankings of colleges and universities in various categories of research expenditures: Total R&D Expenditures (from both external sources and internal sources); Expenditures from federal sources, and Expenditures from all external sources, etc.

At WKU, data required for completion of the survey are provided by budget managers from all colleges, the graduate school, staff in Grants Contracts Accounting, and staff in the Office of Sponsored Programs. Paula Mattison, Research Resources Manager in the Office of Research & Creative Activity, collects the relevant data from across the campus, assembles the data and performs the necessary calculations, and completes and submits the survey.

It is important to keep in mind that the NSF HERD survey pertains ONLY to research expenditures. Our profile of external grants and contracts includes awards in the

categories of Instruction, Public Service, Research, Student Services, Equipment, and Scholarships. In FY18, WKU received just over \$16 million in external grants and contracts, and approximately 22% of external awards and contracts received were categorized as “research”.

Below you can see WKU’s nationwide ranking (as compared to other Kentucky public universities) in the category of Total R&D Expenditures (external + internal) for FY15, FY16, and FY17. FY18 rankings will not be available until November of 2019. In the HERD ranking, a lower score is associated with a higher ranking in the survey.

FY 15 Ranking		FY 16 Ranking		FY 17 Ranking	
UK	69	UK	64	UK	62
UofL	107	UofL	112	UofL	122
<b>WKU</b>	<b>347</b>	<b>WKU</b>	<b>337</b>	<b>WKU</b>	<b>324</b>
KSU	375	KSU	367	KSU	357
MSU	490	MoSU	487	MoSU	475
NKU	512	MSU	508	MSU	486
MoSU	524	NKU	527	NKU	554
EKU	541	EKU	570	EKU	599

The Table below shows WKU’s reported Total R&D expenditures from 2012 to 2018.

FY	R&D
FY2012	\$10,639,000
FY2013	\$ 9,322,000
FY2014	\$ 8,280,000
FY2015	\$ 7,854,000
FY2016	\$ 8,926,000
FY2017	\$10,814,000
<b>FY2018</b>	<b>\$9,617,000</b>

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We are pleased to extend our sincere thanks and congratulations to the many dedicated faculty and staff members who participated in sponsored projects activities in FY18.

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