



**Office of Research and Sponsored Programs**

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October 19, 2011

TO: Dr. Ann Stuart, Chancellor and President  
Dr. Robert Neely, Provost and Vice President for Academic Affairs  
Dr. Brenda Floyd, Vice President for Finance and Administration  
Dr. Richard Nicholas, Vice President for Student Life  
Dr. Jennifer Martin, Vice Provost and Dean of the Graduate School  
Dr. Lisa Zottarelli, Research Support Committee, Chair  
Dr. Birgitte Vittrup, Research Support Committee, Co-Chair  
Dr. Lynda Uphouse, Graduate Council, Research Committee, Chair  
Board of Regents

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

RE: Annual Report, FY 2011

The Office of Research & Sponsored Programs (ORSP) is pleased to present this annual report on TWU's sponsored research, teaching, scholarship, and public service for fiscal year 2011, from September 1, 2010 through August 31, 2011. In fiscal year 2011, TWU received \$6.9 million in contract and grant awards, an increase of 17.4% from the prior year's funding of \$5.7 million. Research grants increased from \$1.8 million in FY 2010 to \$3.3 million in FY 2011. One factor contributing to the overall increase in grant awards was \$575,225 funded by the American Recovery and Reinvestment Act (ARRA), enacted in 2009. The university submitted 113 proposals in both FY 2011 and in FY 2010, requesting \$42 million in fiscal year 2011.

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 presents varied 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, 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, Interim Associate Provost for Undergraduate Studies & Academic Partnerships  
                      Ms. Carolyn Barnes, Associate Vice President – Marketing & Communications  
                      Ms. Sharon Venable, Director – Institutional Development  
                      Ms. Amanda Simpson, Director of News & Information – Marketing & Communication  
                      Dr. Michael Stankey, Associate Provost for Institutional Improvement  
                      Dr. Barney Sanborn, Council of Chairs, Chair

**I. Externally Funded Grants and Contracts**

**Total Grants Awarded**

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
FY 2008: \$ 6,441,696	69 Awards
FY 2009: \$ 4,334,014	64 Awards
FY 2010: \$ 5,716,099	62 Awards
FY 2011: \$ 6,910,870	72 Awards

**Research Grants Awarded**

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
FY 2008: \$ 2,583,597	33 Awards
FY 2009: \$ 1,087,057	29 Awards
FY 2010: \$ 1,801,316	37 Awards
FY 2011: \$ 3,329,109	47 Awards

The following section provides a more detailed breakdown of the external grants and contracts received through ORSP during FY 2011 and the comparison of these breakdowns with FY 2010.

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

Tables 1-4 illustrate the distribution of grant awards for 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 other than the PI, the Co-PI's department is shown in parentheses.

**Table 1  
Comparison of Funding by College**

	<b>2009-2010</b>	<b>2010-2011</b>
Arts & Sciences	\$1,254,867	\$2,090,147
Health Sciences	\$982,688	\$1,830,487
Nursing	\$1,824,216	\$731,304
Professional Education	\$415,098	\$906,802
Other	\$1,239,230	\$1,352,130
<b>TOTAL OF ALL AWARDS</b>	<b>\$5,716,099</b>	<b>\$6,910,870</b>

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

	<b>2009-2010</b>	<b>2010-2011</b>
<b>ARTS &amp; SCIENCES</b>		
Biology	259,701	858,685
Chemistry & Physics	73,000	89,821
Fashion & Textiles	35,000	32,405
History & Government	505,193	505,193
Sociology & Social Work	381,973	604,043
<b>Total Arts &amp; Sciences</b>	<b>\$1,254,867</b>	<b>\$2,090,147</b>

Table 2 continued

	<b>2009-2010</b>	<b>2010-2011</b>
<b>HEALTH SCIENCES</b>		
Communication Sciences & Disorders	\$111,226	\$114,359
Health Care Administration – Houston	33,369	48,174
Kinesiology	214,460	239,826
Nutrition & Food Sciences	574,615	1,362,087
Occupational Therapy - Houston	0	7,500
Physical Therapy - Dallas	24,450	19,113
Physical Therapy - Houston	24,568	39,428
<b>Total Health Sciences</b>	<b>\$982,688</b>	<b>\$1,830,487</b>
<b>NURSING</b>		
Nursing - Dallas	\$755,678	\$309,121
Nursing - Denton	260,385	114,693
Nursing - Houston	808,153	307,490
<b>Total Nursing</b>	<b>\$1,824,216</b>	<b>\$731,304</b>
<b>PROFESSIONAL EDUCATION</b>		
Family Sciences	\$26,116	\$26,116
Reading	0	575,526
Teacher Education	388,982	305,160
<b>Total Professional Education</b>	<b>\$415,098</b>	<b>\$906,802</b>
<b>OTHER</b>		
Academic Affairs	\$0	\$368,910
Blagg-Huey Library	1,250	0
Student Life	1,237,980	983,220
<b>Total Other</b>	<b>\$1,239,230</b>	<b>\$1,352,130</b>
<b>TOTAL OF ALL AWARDS</b>	<b>\$5,716,099</b>	<b>\$6,910,870</b>

**Table 3**  
**Funding Distribution by College, Department, and Individual Faculty Member 2010-2011**

<b>Principal Investigator</b>	<b>Agency</b>	<b>Amount Awarded</b>
<b>ARTS &amp; SCIENCES</b>		
<b>BIOLOGY</b>		
Dr Laura Hanson	HHS – National Institutes of Health	\$413,539
Dr Sarah McIntire	HHS - National Institutes of Health	\$200,472
Dr Lynda Uphouse	HHS - National Institutes of Health	\$234,828
Dr Sandra Westmoreland	Texas Higher Education Coordinating Board	\$9,846
<b>SUBTOTAL BIOLOGY</b>		<b>\$858,685</b>
<b>CHEMISTRY &amp; PHYSICS</b>		
Dr James Johnson	Joint Medical and Dental Schools Application Service	\$14,821
Dr Richard Sheardy & Dr B. Mark Britt	National Science Foundation	\$30,000
Dr Richard Sheardy	Welch Foundation	\$35,000
Dr Richard Sheardy & Dr Ann Staton	National Science Foundation	\$10,000
<b>SUBTOTAL CHEMISTRY &amp; PHYSICS</b>		<b>\$89,821</b>
<b>FASHION &amp; TEXTILES</b>		
Dr Sheri Dragoo	Texas Department of Agriculture	\$32,405
<b>SUBTOTAL FASHION &amp; TEXTILES</b>		<b>\$32,405</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>SOCIOLOGY &amp; SOCIAL WORK</b>		
Dr Kirstin Painter	HHS - Substance Abuse and Mental Health Services Administration (SAMHSA)	\$14,625
Dr Kirstin Painter	Texas Department of Family and Protective Services	\$374,539
Dr Abigail Tilton	HHS - Administration for Children & Families	\$214,879
<b>SUBTOTAL SOCIOLOGY &amp; SOCIAL WORK</b>		<b>\$604,043</b>
<b>TOTAL ARTS &amp; SCIENCES</b>		<b>\$2,090,147</b>

<b>Principal Investigator</b>	<b>Agency</b>	<b>Amount Awarded</b>
<b>HEALTH SCIENCES</b>		
<b>COMMUNICATION SCIENCES &amp; DISORDERS (COMS)</b>		
Dr Cynthia Gill & Dr Erika Armstrong	Texas Education Agency	\$114,359
<b>SUBTOTAL COMS</b>		<b>\$114,359</b>
<b>HEALTH CARE ADMINISTRATION (HCA)</b>		
Dr Kelley Moseley	HHS - Health Resources & Services Administration	\$48,174
<b>SUBTOTAL HEALTH CARE ADMINISTRATION</b>		<b>\$48,174</b>
<b>KINESIOLOGY</b>		
Dr Vic Ben-Ezra	Flow Healthcare Foundation	\$20,000
Dr Ron French	U.S. Department of Education	\$199,967
Dr Young-Hoo Kwon	American Heart Association	\$19,859
<b>SUBTOTAL KINESIOLOGY</b>		<b>\$239,826</b>
<b>NUTRITION &amp; FOOD SCIENCES (NFS)</b>		
Dr Carolyn Bednar	U.S. Department of Agriculture	\$5,911
Dr Victorine Imrhan & Dr Chandan Prasad	Texas Department of Agriculture	\$24,647
Dr Shanil Juma & Dr Clay King	Texas Department of Agriculture	\$24,647
Dr Clay King	Texas Department of Agriculture	\$57,510
Dr Clay King	Corporate Funding (varied sources)	\$11,800
Dr Huanbiao Mo & Dr Chandan Prasad	Texas Department of Agriculture	\$28,755
Dr Huanbiao Mo & Dr Clay King	Texas Department of Agriculture	\$28,755
Dr Huanbiao Mo	Texas Department of Agriculture	\$24,888
Dr Dojin Ryu	U.S. Department of Agriculture	\$555,174
Dr Dojin Ryu, Dr Carolyn Bednar, & Dr Lisa Zottarelli (Sociology)	U.S. Department of Agriculture	\$600,000
<b>SUBTOTAL NFS</b>		<b>\$1,362,087</b>
<b>OCCUPATIONAL THERAPY (OT) – HOUSTON</b>		
Dr Patricia Bowyer	HHS – Centers for Disease Control	\$3,500
Dr Pei-Fen Chang	Albert and Ethel Herzstein Charitable Foundation	\$4,000
<b>SUBTOTAL OT – HOUSTON</b>		<b>\$7,500</b>

<b>Principal Investigator</b>	<b>Agency</b>	<b>Amount Awarded</b>
<b>PHYSICAL THERAPY (PT) – DALLAS</b>		
Dr Elaine Jackson	HHS - National Institutes of Health	\$14,813
Dr Venita Lovelace-Chandler & Dr S. Ann Medley	Texas Society of Allied Health Professions	\$1,500
Dr Sharon Wang & Ms Kelli Brizzolara	Texas Physical Therapy Foundation	\$2,800
<b>SUBTOTAL PT – DALLAS</b>		<b>\$19,113</b>
<b>PHYSICAL THERAPY (PT) – HOUSTON</b>		
Dr Carolyn Kelley	Memorial Hermann Clinical Innovation & Research Institute	\$21,371
Dr Sharon Olson	HHS – National Institutes of Health	\$7,857
Dr Sharon Olson & Dr Mohamed Sabbahi	The Saudi Arabian Cultural Mission to the USA	\$10,200
<b>SUBTOTAL PT – HOUSTON</b>		<b>\$39,428</b>
<b>TOTAL HEALTH SCIENCES</b>		<b>\$1,830,487</b>

<b>NURSING</b>		
<b>NURSING – DALLAS</b>		
Dr Susan Chaney & Dr Susan Sheriff	HHS - Health Resources & Services Administration	\$284,121
Dr Stephanie Woods	Hospital Corporation of America (HCA)	\$25,000
<b>SUBTOTAL NURSING – DALLAS</b>		<b>\$309,121</b>
<b>NURSING – DENTON</b>		
Dr Patricia Holden-Huchton	HHS - Health Resources & Services Administration	\$113,418
Dr Anne Stiles	Medical City Dallas Hospital	\$1,275
<b>SUBTOTAL NURSING – DENTON</b>		<b>\$114,693</b>
<b>NURSING – HOUSTON</b>		
Dr Sandra Cesario & Ms Wynona Freysteinson	Susan G. Komen Breast Cancer Foundation	\$2,490
Dr Karen Lyon	St. Luke’s Episcopal Health Charities	\$5,000
Dr Judith McFarlane	Houston Endowment	\$300,000
<b>SUBTOTAL NURSING – HOUSTON</b>		<b>\$307,490</b>
<b>TOTAL NURSING</b>		<b>\$731,304</b>

<b>Principal Investigator</b>	<b>Agency</b>	<b>Amount Awarded</b>
<b>PROFESSIONAL EDUCATION</b>		
<b>FAMILY SCIENCES</b>		
Dr Larry LeFlore	HHS - Administration for Children & Families	\$26,116
<b>SUBTOTAL FAMILY SCIENCES</b>		<b>\$26,116</b>
<b>READING</b>		
Dr Anne Simpson	U.S. Department of Education	\$575,526
<b>SUBTOTAL READING</b>		<b>\$575,526</b>
<b>TEACHER EDUCATION</b>		
Dr Holly Hansen-Thomas & Dr Karen Dunlap	U.S. Department of Education	\$219,450
Dr Jane Pemberton	U.S. Department of Education	\$36,097
Dr Claudia Sanchez & Dr Winifred Mallam (Mathematics & Computer Science)	U.S. Department of Education	\$49,613
<b>SUBTOTAL TEACHER EDUCATION</b>		<b>\$305,160</b>
<b>TOTAL PROFESSIONAL EDUCATION</b>		<b>\$906,802</b>

<b>OTHER</b>		
<b>ACADEMIC AFFAIRS</b>		
Dr Barbara Lerner	Texas Higher Education Coordinating Board	\$308,910
Dr Barbara Lerner & Dr Robert Neely	Texas Higher Education Coordinating Board	\$60,000
<b>SUBTOTAL ACADEMIC AFFAIRS</b>		<b>\$368,910</b>
<b>STUDENT HEALTH SERVICES</b>		
Ms Lea Coakley & Ms Elizabeth Pauley (Public Safety)	U.S. Department of Justice	\$15,000
<b>SUBTOTAL STUDENT HEALTH SERVICES</b>		<b>\$15,000</b>
<b>STUDENT LIFE</b>		
Dr. Richard Nicholas	HHS – Health Resources & Services Administration	\$968,220
<b>SUBTOTAL STUDENT LIFE</b>		<b>\$968,220</b>
<b>TOTAL OTHER</b>		<b>\$1,352,130</b>
<b>TOTAL OF ALL AWARDS</b>		<b>\$6,910,870</b>

**Table 4  
Comparison of Funding by Campus**

<b>Location</b>	<b>2009-2010</b>	<b>2010-2011</b>
Dallas – Parkland Campus	\$ 755,678	\$ 309,121
Dallas – Presbyterian Campus	24,450	19,113
Denton Campus	4,069,881	6,180,044
Houston Campus	866,090	402,592
<b>TOTAL</b>	<b>\$ 5,716,099</b>	<b>\$ 6,910,870</b>

**B. Distribution by Funding Source**

Tables 5 and 6 provide a breakdown of funding by agency type.

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

	<b>2009-2010</b>		<b>2010-2011</b>	
Federal	\$ 3,781,571	66.2%	\$ 4,841,300	70.0%
Private	738,109	12.9%	460,295	6.7%
State	1,196,419	20.9%	1,609,275	23.3%
<b>TOTAL</b>	<b>\$ 5,716,099</b>	<b>100.0%</b>	<b>\$ 6,910,870</b>	<b>100.0%</b>

**Table 6  
List of External Funding Agencies Supporting Research & Sponsored Projects at TWU during FY 2010**

<b>Agency</b>	<b># of awards</b>	<b>Total Amount</b>
<b><i>FEDERAL FUNDING</i></b>		
HHS - Administration for Children & Families	2	\$240,995
HHS – Centers for Disease Control	1	3,500
HHS - Health Resources & Services Administration	6	1,413,933
HHS - National Institutes of Health	6	871,509
HHS - Substance Abuse and Mental Health Services Administration (SAMHSA)	1	14,625
National Science Foundation	2	40,000
U.S. Department of Agriculture (USDA)	5	1,161,085
U.S. Department of Education	6	1,080,653
U.S. Department of Justice	1	15,000
<b>TOTAL FEDERAL FUNDING</b>	<b>30</b>	<b>\$4,841,300</b>

<b>Agency</b>	<b># of awards</b>	<b>Total Amount</b>
<b><i>PRIVATE FUNDING</i></b>		
Albert and Ethel Herzstein Charitable Foundation	1	\$4,000
American Heart Association	1	19,859
Corporate Funding	7	11,800
Flow Healthcare Foundation	1	20,000
Hospital Corporation of America (HCA)	1	25,000
Houston Endowment	1	300,000
Medical City Dallas Hospital	5	1,275
Memorial Hermann Clinical Innovation & Research Institute	1	21,371
St. Luke's Episcopal Health Charities	1	5,000
Susan G. Komen Breast Cancer Foundation	1	2,490
Texas Physical Therapy Foundation	1	2,800
Texas Society of Allied Health Professions	1	1,500
The Saudi Arabian Cultural Mission to the U.S.A.	1	10,200
Welch Foundation	1	35,000
<b>TOTAL PRIVATE FUNDING</b>	<b>24</b>	<b>\$460,295</b>
<b><i>STATE FUNDING</i></b>		
Joint Medical and Dental Schools Application Service	1	\$14,821
State of Texas	1	505,193
Texas Department of Agriculture	8	221,607
Texas Department of Family and Protective Services	1	374,539
Texas Education Agency	1	114,359
Texas Higher Education Coordinating Board	6	378,756
<b>TOTAL STATE FUNDING</b>	<b>18</b>	<b>\$1,609,275</b>
<b><i>TOTAL</i></b>	<b>72</b>	<b>\$6,910,870</b>

**C. Distribution by Project Type**

Table 7 provides a breakdown of funding by project type. State accountability measures focus on research funding and related expenditures.

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

	2009-2010		2010-2011	
	Number of Awards	Amount of Awards	Number of Awards	Amount of Awards
Instruction	16	\$ 2,190,856	16	\$1,354,481
Research	37	1,801,316	47	3,329,109
Scholarship or Fellowship	4	1,050,984	2	1,078,638
Service	5	672,943	7	1,148,642
<b>TOTAL</b>	<b>62</b>	<b>\$ 5,716,099</b>	<b>72</b>	<b>\$ 6,910,870</b>

**II. Proposals Submitted for External Funding**

**Total Proposals Submitted (All Types)**

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  
 FY 2008: \$ 25,667,696 105 Submitted  
 FY 2009: \$ 19,392,149 86 Submitted  
 FY 2010: \$ 43,671,403 113 Submitted  
 FY 2011: \$ 42,001,561 113 Submitted

**Research Proposals 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  
 FY 2008: \$ 11,139,365 72 Submitted  
 FY 2009: \$ 13,331,114 58 Submitted  
 FY 2010: \$ 26,775,091 78 Submitted  
 FY 2011: \$ 31,839,279 87 Submitted

Following is a more detailed breakdown of proposals submitted in FY 2010 compared with the previous fiscal year.

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

	2009-2010		2010-2011	
	Number of Proposals	Amount Requested	Number of Proposals	Amount Requested
Federal	67	\$39,200,965	53	\$37,120,599
State	18	2,652,110	30	3,335,737
Private	28	1,818,328	30	1,545,225
<b>TOTAL</b>	<b>113</b>	<b>\$43,671,403</b>	<b>113</b>	<b>\$42,001,561</b>

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

	2009-2010		2010-2011	
	Number of Proposals	Amount Requested	Number of Proposals	Amount Requested
Instruction	19	\$13,795,915	15	\$5,564,664
Research	78	26,775,091	87	31,839,279
Scholarship or Fellowship	3	1,200,000	3	2,699,864
Service	13	1,900,397	8	1,897,754
<b>TOTAL</b>	<b>113</b>	<b>\$43,671,403</b>	<b>113</b>	<b>\$42,001,561</b>

**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. Four state accountability measures relate to the 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. Data for FY 2011 will be available in late fall.

**Total Research Expenditures**

FY 2004: \$ 2,233,085  
 FY 2005: \$ 1,927,385  
 FY 2006: \$ 2,078,736  
 FY 2007: \$ 1,931,001  
 FY 2008: \$ 2,322,190  
 FY 2009: \$ 2,379,587  
 FY 2010: \$ 2,039,739  
 FY 2011: TBD

**Federal Research Expenditures**

FY 2004: \$ 1,238,556  
 FY 2005: \$ 940,048  
 FY 2006: \$ 637,390  
 FY 2007: \$ 754,692  
 FY 2008: \$ 1,145,531  
 FY 2009: \$ 981,627  
 FY 2010: \$ 822,302  
 FY 2011: TBD

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

TWU’s on-campus federally-negotiated facilities and administrative (F&A) rate during FY 2011 was 56.1% of salaries and wages. The amount of F&A recovered for FY 2004 – FY 2010 is listed below. Data for FY 2011 will be available in late fall.

FY 2004: \$ 298,201.21  
 FY 2005: \$ 218,303.73  
 FY 2006: \$ 194,887.91  
 FY 2007: \$ 241,386.70  
 FY 2008: \$ 359,591.24  
 FY 2009: \$ 315,472.99  
 FY 2010: \$ 281,199.23  
 FY 2011: TBD