2013 – 2014
Research Report to
UKRF Board of Directors

Lisa A. Cassis, PhD
Professor, Department of Pharmacology and Nutritional Sciences
Interim Vice President for Research
Funding Rankings: How are we doing?

- NIH Rank for Academic Medical Centers: 56 ($76,455,807) (possible rank of 50 with new grants)

- Higher Education Research and Development Survey (HERD, 2012), based on expenditures:
  - 64 among all institutions
  - 40 among public institutions
Award Data 2010 – May, 2014

Total awards minus stimulus package grants (ARRA)
UKRF Budget: Breakdown of funding by Federal Agency (FY13)

- NIH: 40% ($84 million)
- Federal Flow Through: 29% ($61 million)
- Other HHS: 8% ($16 million)
- NSF: 5% ($16 million)
- USDA: 4% ($10 million)
- Commerce: 3% ($488K)
- Energy: 2% ($7.3 million)
- Defense: 1% ($3 million)
- Education: 1% ($3.7 million)
- Other Agencies: 8% ($7.7 million)
Selected Agency Awards, FY13-14

Agency

- NIH
- NSF
- USDA
- DOE
- Other DHHS
- Total

Award $ (millions)

- NIH: 23%
- NSF: -15%
- USDA: -57%
- DOE: 206%
- Other DHHS: 15%
- Total: 13%

FY13
FY14
UKRF Budget: Based on F&A Income from Grants and Contracts

• Finance and Administrative (F&A) Costs from grants and contracts are the major source of income for the UKRF budget.
• Research is expensive, F&A income is needed to offset costs of doing research.
• What agencies provide the largest source of F&A income?
NIH provides the largest source of F&A income to UK

FY13

FY14

Agency

Agency

NIH Other NSF USDA DOE

NIH Other NSF USDA DOE

Direct

Direct

Indirect

Indirect

Funding (million)

Funding (million)
NIH: Reputation of Research

• NIH is the primary funding agency for biomedical research in the US
• NIH performs stringent peer review of all submitted grants
• NIH funding is used to establish rankings of academic medical centers
• How are our investigators competing at the NIH?
NIH Stats: FY13 for UK investigators

Grant Type

Source: NIH RePorter
NIH Stats: FY13 for UK investigators

Source: NIH RePorter
NIH Funding by Institute, July 13 – May 14

NCI = National Cancer Institute; Eye = National Eye Institute; HLBI = Heart, Lung and Blood Institute; AI = Allergy and Infectious Diseases; Dev = Child Development, EHS = Environmental Health Sciences; NDS = Neurological Disease/Stroke; Aging, NIDA = National Institutes of Drug Abuse
UK is Experiencing Targeted NIH Success

The chart shows the NIH % Increase 2012-13 and UK % Increase 2013-14 for various institutes. The institutes include NCI, Eye, HLBI, DDK, AI, Dev, EHS, NDS, Aging, and NIDA. The chart indicates significant increases in some institutes, notably Dev and EHS, while others show minimal changes. The institutes listed are indicative of research areas such as cancer, eye health, and development.

Institute

NCI | Eye | HLBI | DDK | AI | Dev | EHS | NDS | Aging | NIDA

NIH % Increase 2012-13

UK % Increase 2013-14
What is Contributing to Success in NIH Funding in Difficult Budget Times?

- Increased proposal submissions

- 73 more proposals submitted from FY13 to 14,
- At the 2013 NIH success rate of 16.8%, this would contribute to 12 new grants funded
- Thus far in 2014, UK’s success rate for NIH is 10% (7 more grants)
What is Contributing to Success in NIH Funding in Difficult Budget Times?

• Targeted recruits in areas of strength:
  – Metabolomics group,
  – Key recruits in areas of strength (cardiovascular, ophthalmology, diabetes, energy, engineering)
2013 – 2014 Highlights in Grant Funding (NIH and others)

- **New grants of significance:**
  - Howard Hughes Retention of STEM Majors (and retention of diverse students in STEM).
  - U24 (R. Higashi), NIH Metabolomics Resource Core ($1.9 million/yr)
  - DOE grant (90% carbon dioxide capture rate) ($2.9 million)
  - USDA grant to study equine arteritis virus (causes foal death) ($2.9 million)
2013 – 2014 Highlights: Grants

• Renewal of 2 NIH Centers of Biomedical Research Excellence ($1.5 million, $750K),
• Renewal of NIEHS Superfund Basic Science Research Program ($11 million)
Intellectual Property

- IP Disclosures
- Patent Applications
- Issued Patents

Number

FY09: 80
FY10: 90
FY11: 60
FY12: 80
FY13: 50
FY14: 70
2. Niadyne Inc, $693,516.
4. ATMI, $199,550.
5. AntiOp Inc, $100,000.
New Major Issues in 2014 Related to Research

- New funding model: President’s initiative to return more generated F&A to programs generating it for targeted investments (this is the transition year),
- Uniform Guidance
- Modern open-format research space: modern laboratory research space that promotes collaborations is 100% occupied. Academic science building will increase modern laboratory space, but more quality space is needed to recruit top researchers.
What are our Guiding Principles for use of F&A income?

• F&A income is used for:
  – Targeted faculty recruits to align with existing and emerging areas of concerted research strength, start-up costs associated with those recruits.
  – Support of the research infrastructure:
    • Core research facilities
    • Sponsored projects administration
    • Compliance and regulatory requirements for human and animal research, including attending veterinarians
    • Intellectual property and technology transfer development
    • Research space fit-up
What is the history of our budgeted versus realized F&A income?

![Graph showing budgeted versus realized F&A income from 2008 to 2014. The budgeted line starts at around 35 million in 2008, peaks at around 52 million in 2011, and then decreases to around 45 million in 2014. The realized line starts at around 30 million in 2008, peaks at around 48 million in 2011, and then decreases to around 40 million in 2014. The 2014 data is estimated.](image-url)
Residual Unrestricted Balance

Unrestricted Fund Balance $30,622,151
(per UKRF Financial Statement)

Estimated Fund Balance Adjustment $ 1,500,000
for 2013/14

Estimated Fund Balance (6/30/14) $32,122,151