

**University of Kentucky**  
**Office of the Vice President for Research**  
**Request for Applications for the Creation of New Multidisciplinary Centers and Institutes**  
**that cross College and Departmental Boundaries**

**Background:** On October 18, 2014, the Board of Trustees of the University of Kentucky (UK) passed Resolution CR 1 recognizing that “the University’s mission and the current financial environment compel a focus on research areas that meet the most pressing needs of Kentuckians and the Commonwealth and in which the University can compete successfully for external support”. To address this mandate, the University of Kentucky Strategic Plan for Research includes an implementation strategy to leverage problem-oriented centers and institutes as focal points for interdisciplinary research teams in areas of strength and growth.

**Description:** To meet the objectives of the Strategic Plan, the Office of Research will hold an inaugural competition for creation of new Centers and Institutes that:

- Align with areas of emerging or existing research strength that address challenges in the Commonwealth.
- Are multidisciplinary endeavors that cross departmental and college boundaries.
- Will be consistent with Administrative Regulations (AR 1:3; [www.uky.edu/regs/files/ar/ar1-3.pdf](http://www.uky.edu/regs/files/ar/ar1-3.pdf)) for creation, policies, review and termination of research centers and institutes.
- Will be supported through cost-share by multiple units.
- Have the potential to provide new research and educational opportunities for undergraduate and/or graduate students. Educational program development will require future approval through administrative and governing bodies.

**Support mechanisms provided by the Office of Research to Centers and Institutes that are initiated through this program:**

a) Enrichment Program. Centers and Institutes will be eligible for return of facilities and administrative costs (F&A) through the enrichment program. This program returns 10% of F&A to a designated unit for a single investigator proposal or 16% for proposals with faculty participating from multiple academic units. Centers and Institutes can be designated on the eIAF for return of F&A, which will automatically place the total return at 16%, with the split to be negotiated between faculty, unit leadership, and Center Directors.

b) Administrative Assistance. Centralized staff support for administrative assistance at a negotiated level.

c) Financial Support. Partial support for start-up activities of the Center/Institute that are of direct relevance to the mission of the unit. Annual support must be cost-matched by at least 50% through other sources (Department Chairs, Deans of multiple participating units). The maximum contribution from the Office of Research is \$100,000/year.

**Duration of support:**

- Three years of support, contingent upon approval of annual progress reports.

**Submission Process:** All proposals should follow UK Administration Regulations (AR1:3) for creation, policies, evaluation and sun-setting of research centers and institutes.

1. Title of Center.
2. Excel spreadsheet listing Center members, academic title, department, college. Biosketches of Center members are suggested for inclusion.

3. Purpose of the Center (up to 3 pages). This section should provide the following:
  - Rationale for creation of the Center/Institute and the advantage of working as this type of unit rather than a “working group” or some other title.
  - Relationship to UK Strategic Plan.
  - Relationship to Existing Units at UK (Departments, other Centers, Colleges).
4. Business plan for sustainability of the Center/Institute beyond the three years of this start-up funding (up to 2 pages). This should include discussion of current extramural funding of members (an attached spreadsheet is recommended), future funding opportunities with timelines and funding sources identified, service programs, patents/inventions, or any other mechanisms of potential future support. If extramural funding is not an avenue for sustainability, then other mechanisms (e.g., philanthropy) should be discussed and/or described.
5. Detailed three-year annual budget with justification. Allowed budget requests include partial salary and benefits of personnel (e.g., Director, technical support), seminar programs or symposia, pilot projects, trainees, essential and unique equipment. Staff assistance will be provided through central resources and is not an allowable cost. The maximum annual contribution from Research is \$100,000 and this requires at least a 50% cost-share from participating units (e.g., Departments, Colleges).
6. Administrative staff support needs (% effort with justification).
7. Letters of support (indicating cost-share amounts and durations) from leadership in participating units. Letters should also address how the proposed Center/Institute will further the research and education missions of that unit.

**Review Process:** The VPR will convene a panel of reviewers to evaluate proposals based on their alignment with the criteria described above. Review criteria may also include (a) potential for long-term sustainability of the unit, (b) potential to increase extramural funding at UK, (c) potential to lead to development of new undergraduate, graduate or professional education programs, (d) potential to develop into an area of strength in research or creative work.

**Annual Review:** Annual Reports from C&I Directors are due May 1<sup>st</sup> of each year to the Office of Research. Progress reports should describe success in establishing the unit and its membership, and if relevant should provide information on current and pending extramural grants, publications/citations or other outputs, trainees, programs of relevance (conferences, workshops) or other items relevant to the unit’s progress (e.g., presentations, inventions, patents, etc). While program support is anticipated to continue for a total of 3 years, the Office of Research, or any of the participating units, can determine whether support should continue based on progress.

**Due date:** Proposals should be submitted electronically to [vprgrants@uky.edu](mailto:vprgrants@uky.edu) by April 1, 2017.

For questions regarding proposal preparation or aspects of support, please contact Dr. Allan Butterfield, Associate Vice President for Research for Centers and Institutes, [dabcns@uky.edu](mailto:dabcns@uky.edu).