



**2010  
Research Report  
to  
UKRF Board of Directors**

**James W. Tracy  
Vice President for Research**

**04 May 2010**

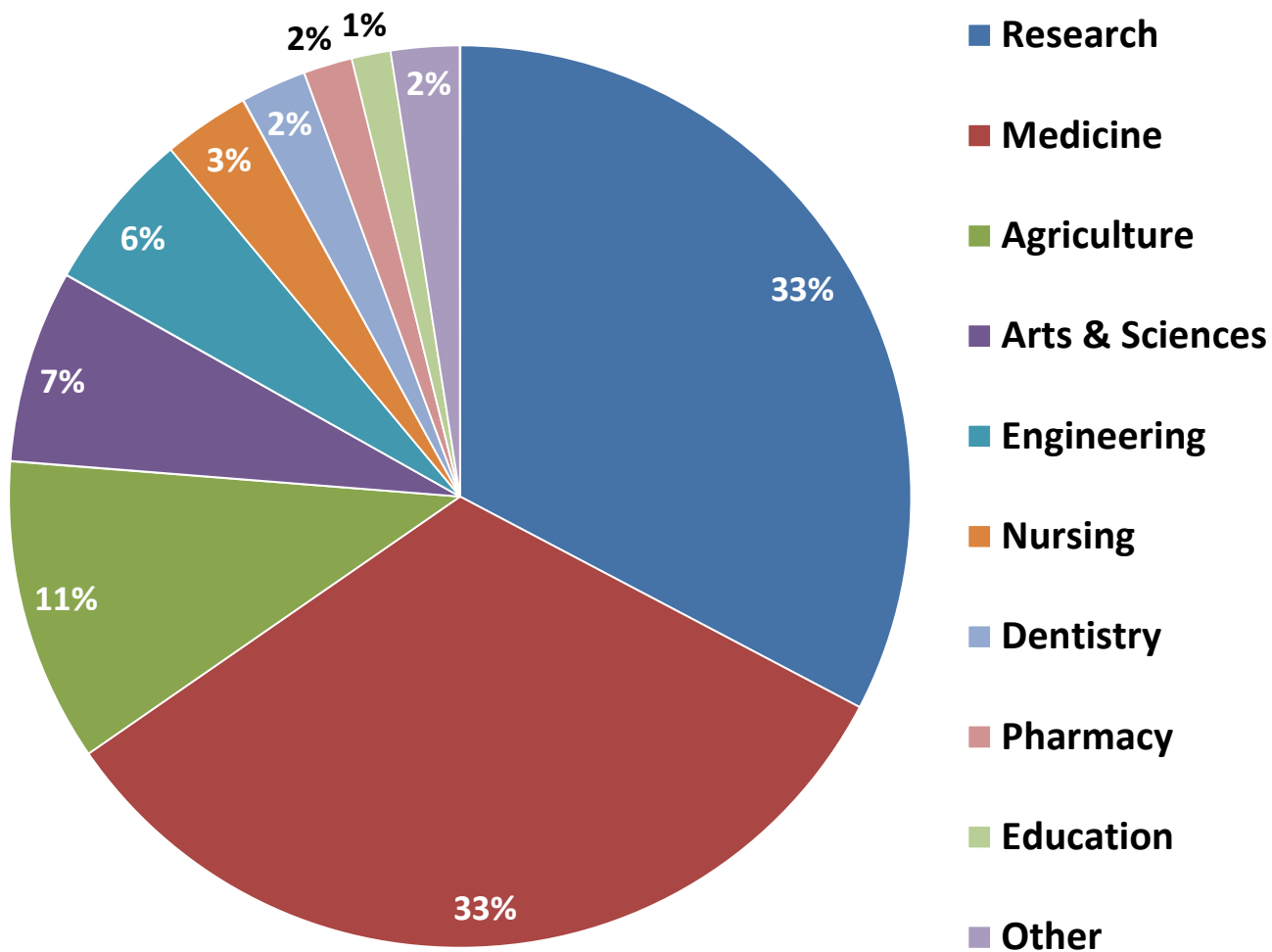


# UK PIs compete successfully for ARRA awards !

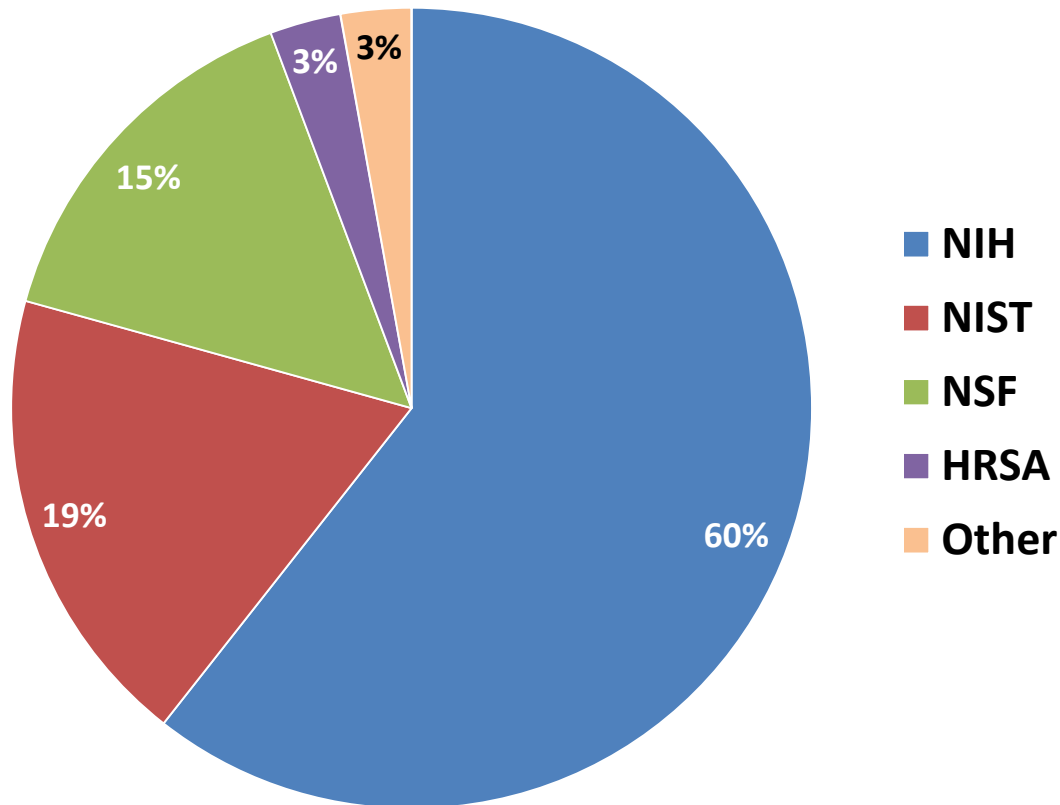
**As of 30 April 2010:**

- **125 competitive awards**
- **\$71,432,472**

# ARRA Funds by Unit



# ARRA Funds by Sponsor



# ARRA Awards

- Five NIH “Research Challenge” (RC1) grants (4 Medicine, 1 Education) Total: ~\$5 million
- Two NIH “Great Opportunity” (RC2) grants (Agriculture, Nursing) Total ~\$5 million
- \$6.4 million NIH G20 grant for a high-tech rodent facility (OVPR)
- NSF grants on (a) lignin as a biofuel (CAER) and (b) water quality (CCS). Total ~\$5 million
- \$1.5 million NIST grant for sustainable manufacturing (Engineering)

# ARRA Awards

- \$11.8 million NIST construction grant to build a 36,000 sq. ft. lab at CAER
- Additional \$3.5 million match from Energy & Environment Cabinet and \$1 million from UKRF.
- New lab will house biomass/biofuels and energy storage research.
- Will be home to the Kentucky-Argonne Battery Manufacturing R&D Center

# 2009 – 2010

## Research Administration

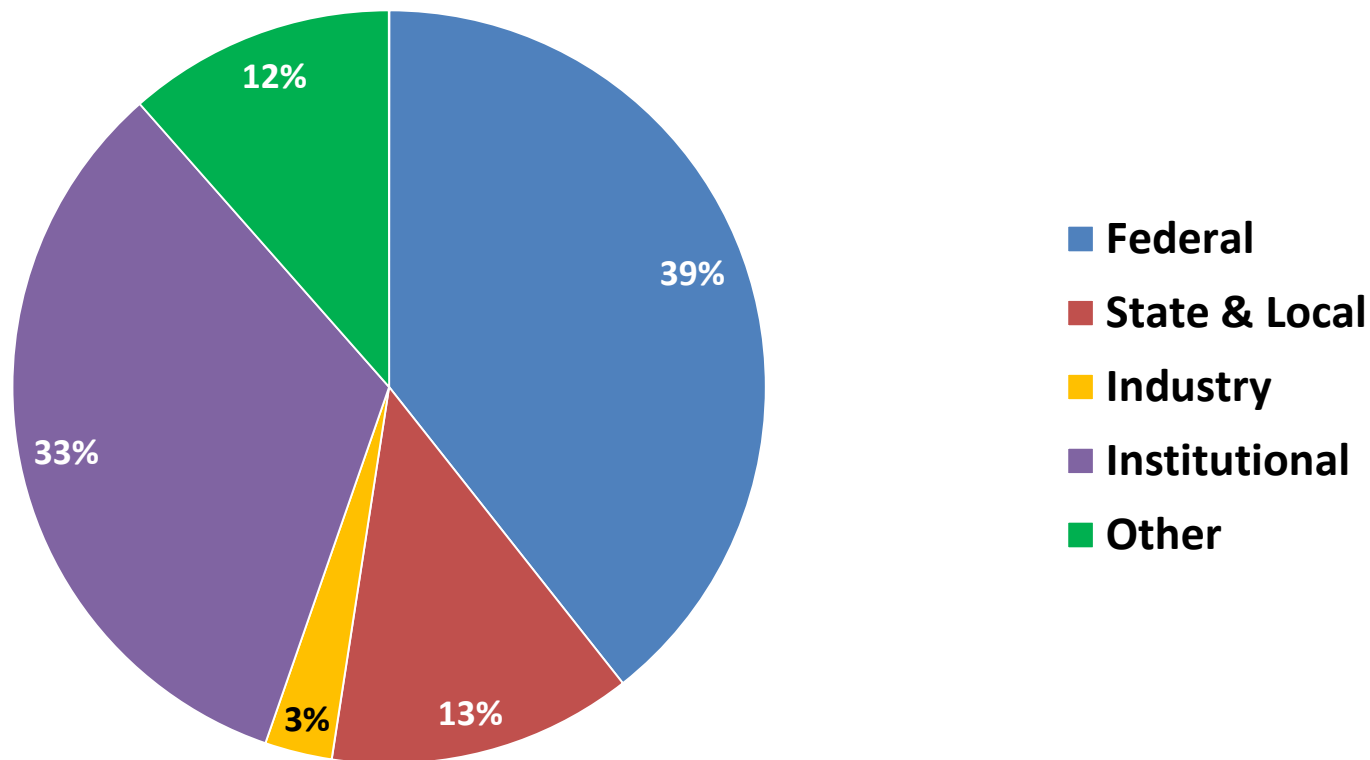
- “Research Enrichment” program: returns more F&A dollars to academic units for collaborative projects
- A web-based electronic Internal Approval Form (e-IAF) is undergoing testing.
  - implements SAP “workflow”
- AAHRPP site visit
- Principal Investigators Council launched
- University-wide research compliance assessment: analysis phase

# Challenges to Research

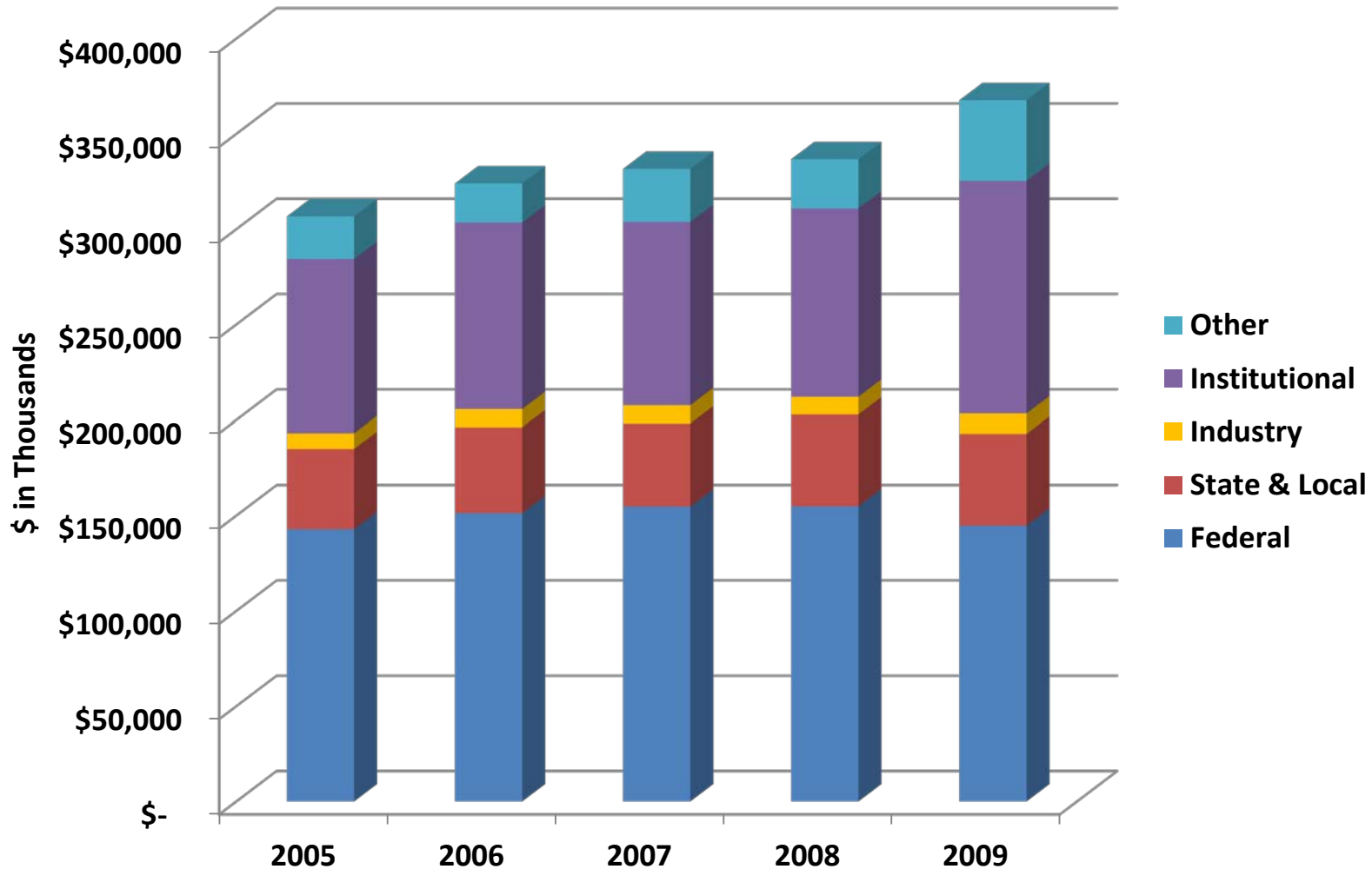
- Research space limitations
- Aging shared research equipment
- Research compliance
  - ARRA audits
- ARRA funding “cliff” in FY2011



# FY09 R&D Expenditures reported to NSF (\$367.6 million)



# NSF Expenditures 2005-2009



# FY 2008 NSF Ranking

## Total R&D expenditures

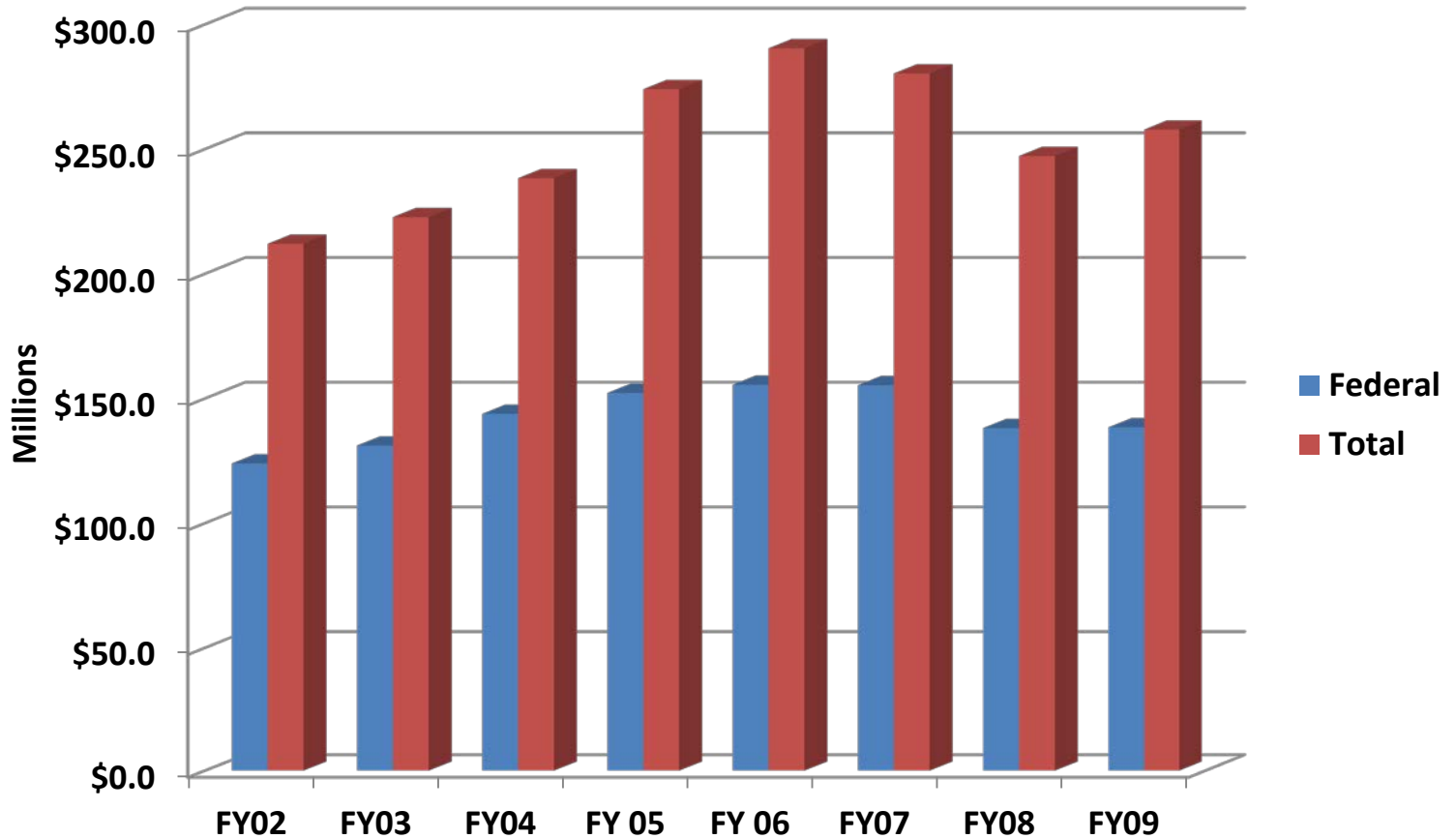
- UK 36<sup>th</sup> \$337 million
- UIUC 20<sup>th</sup> \$501 million

## Federal R&D expenditures

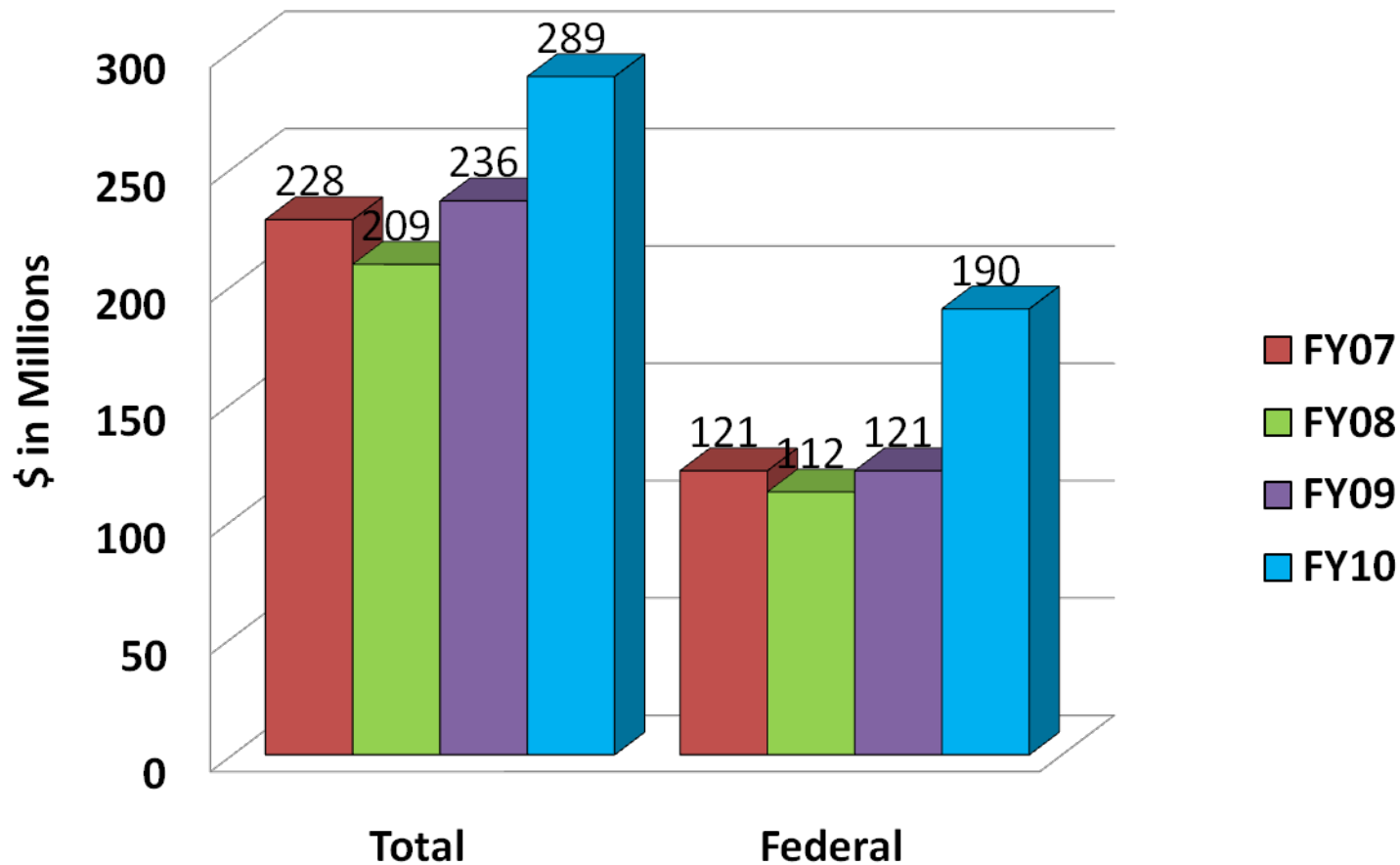
- UK 39<sup>th</sup> \$155 million
- Texas A&M 20<sup>th</sup> \$246 million

UK ranks 16<sup>th</sup> among public land-grant universities and 11<sup>th</sup> among those with a medical school.

# Sponsored Project Awards

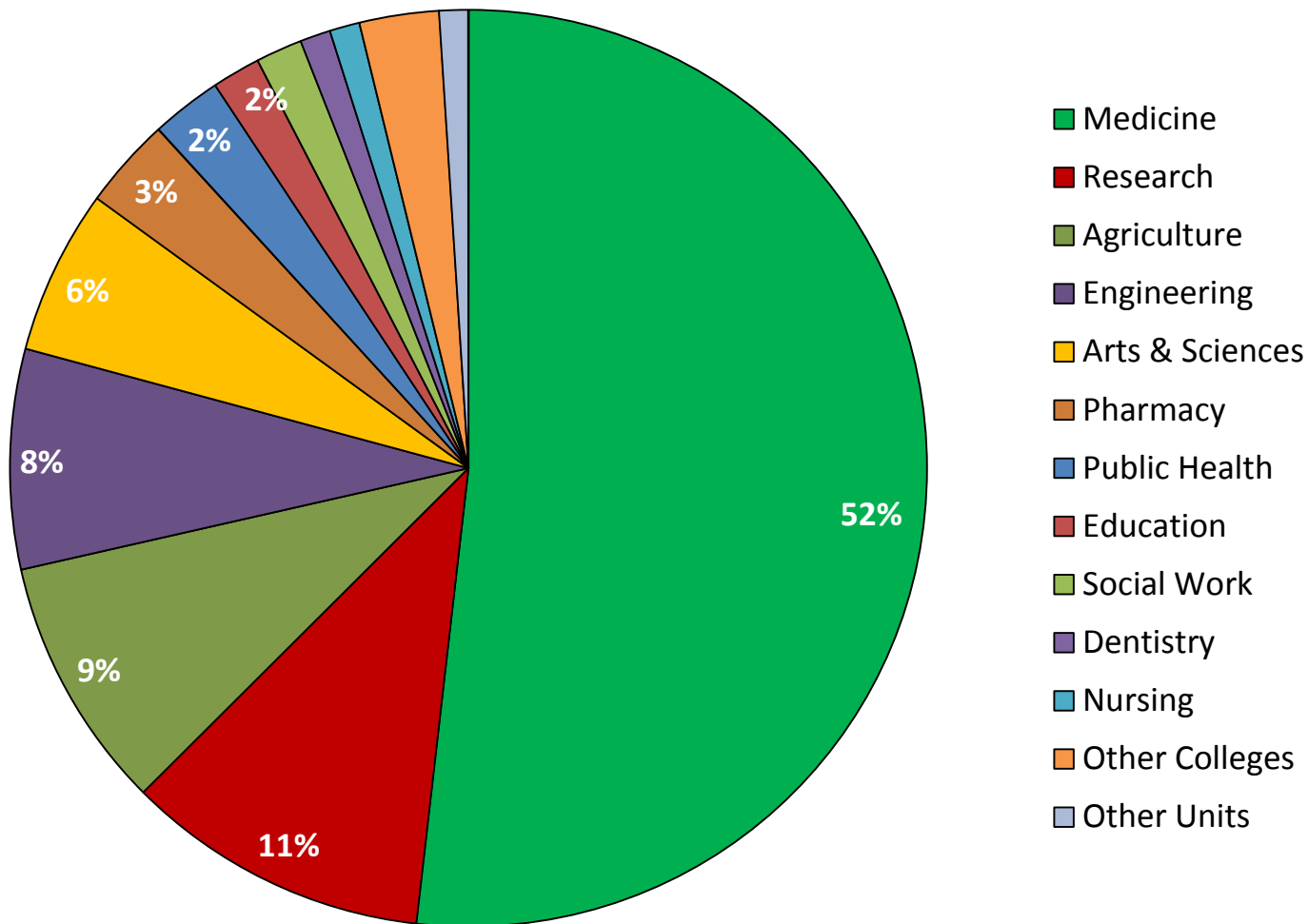


# Awards Year-to-Date (July through April)

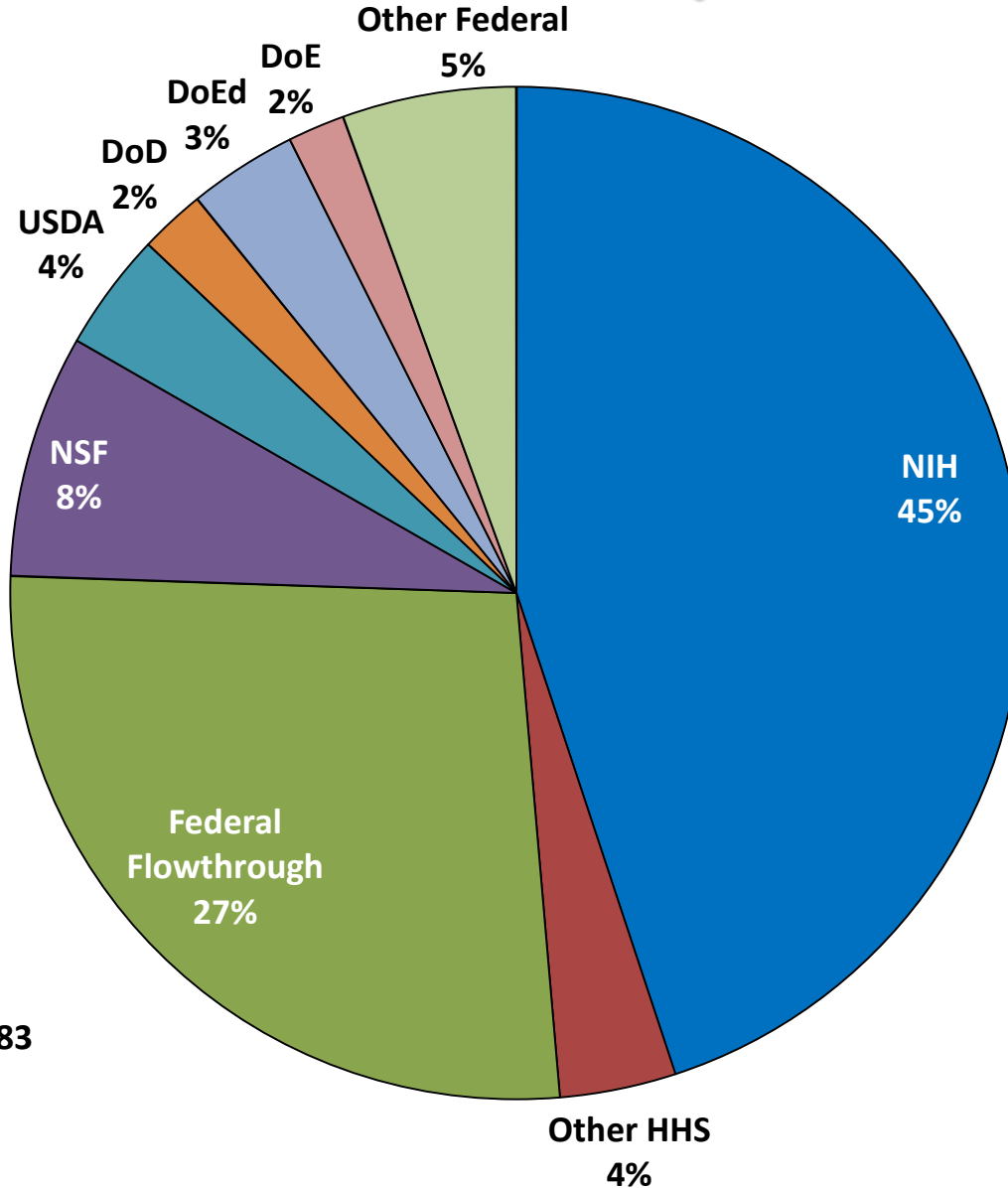


# FY09 Sponsored Expenditures

\$298.7 million

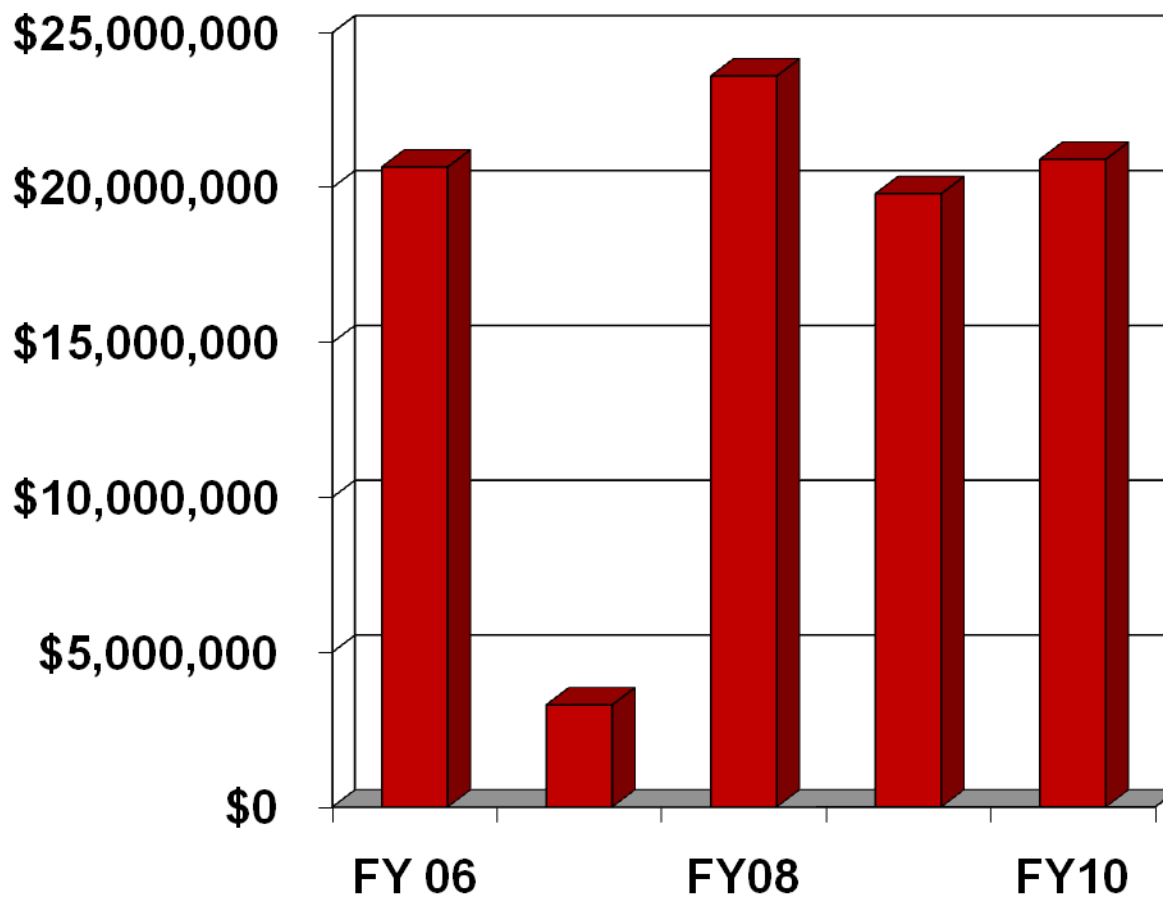


# FY09 Federal Expenditures



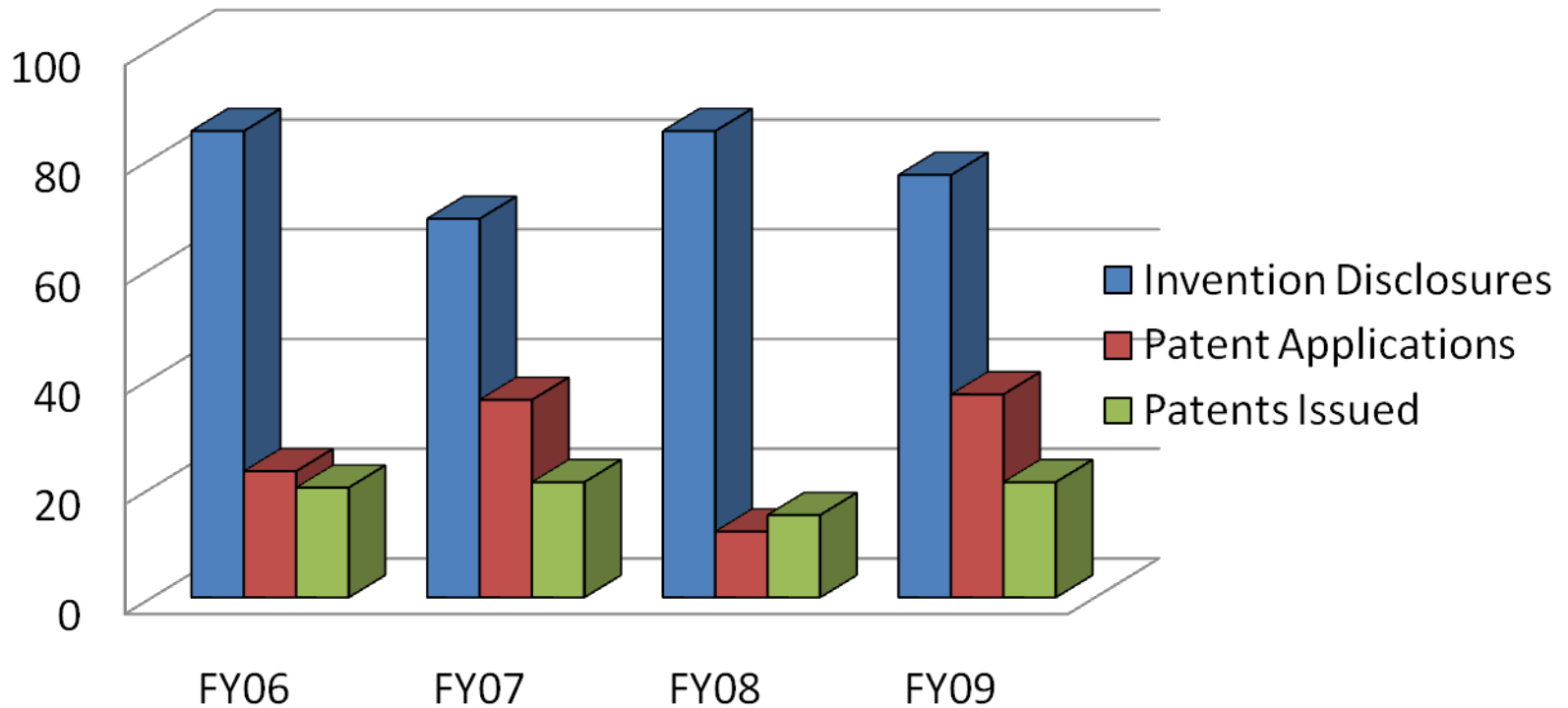
Total: \$145,483

# Directed Appropriations

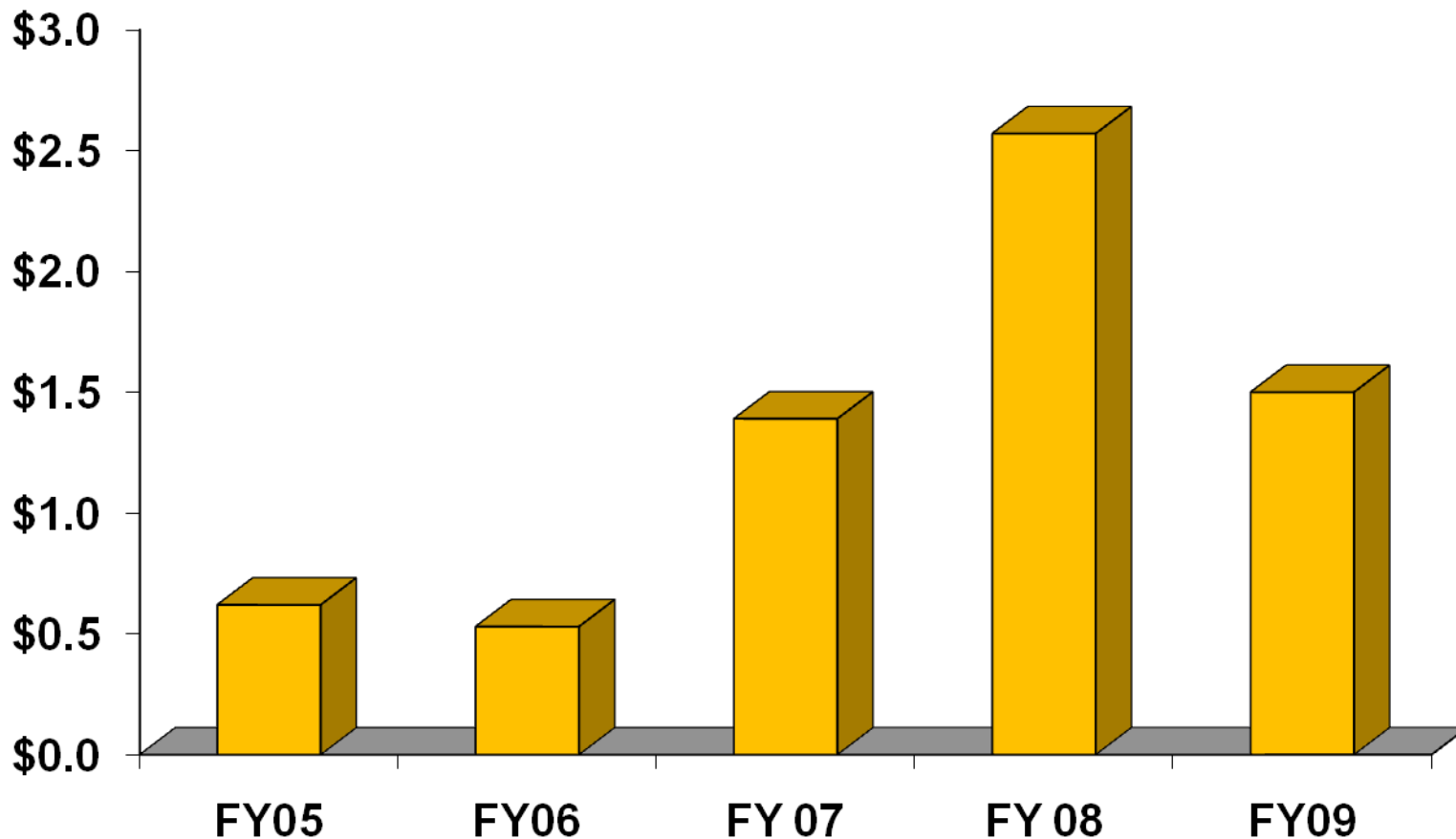




# Intellectual Property Activity

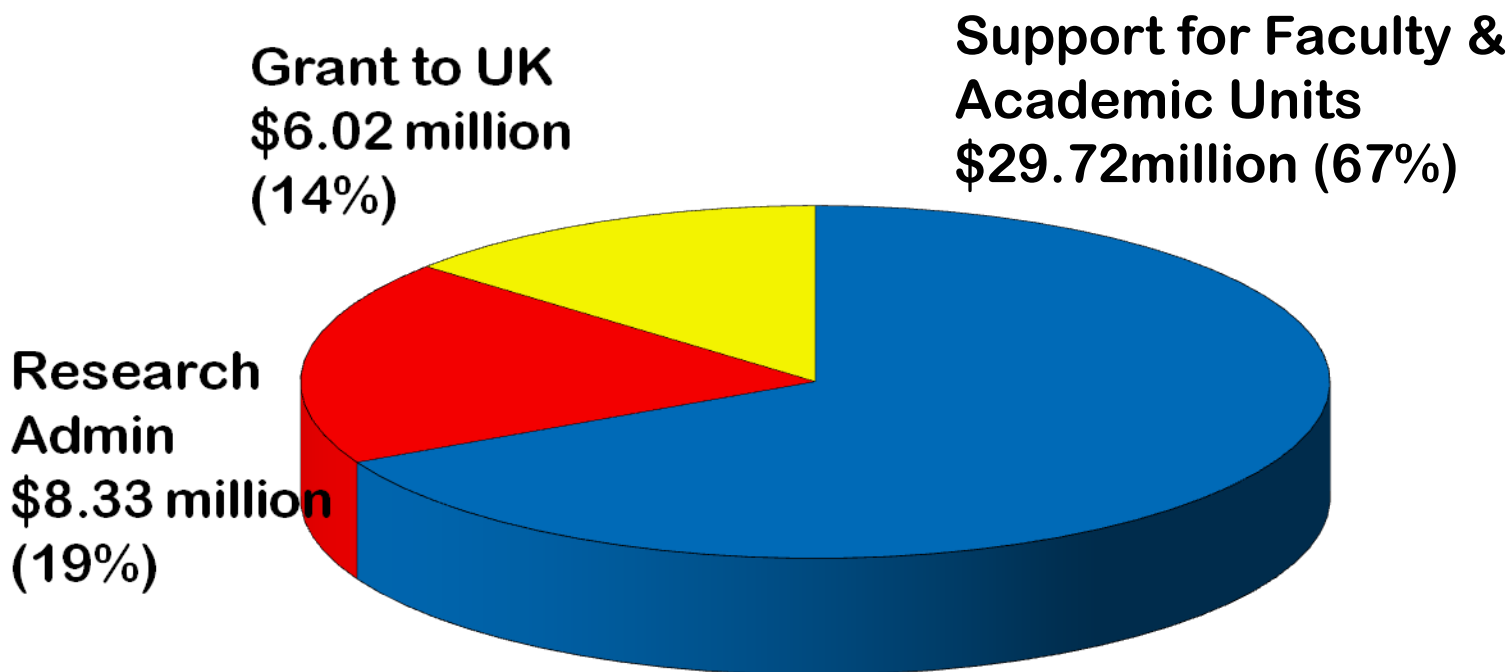


# Licensing Revenue



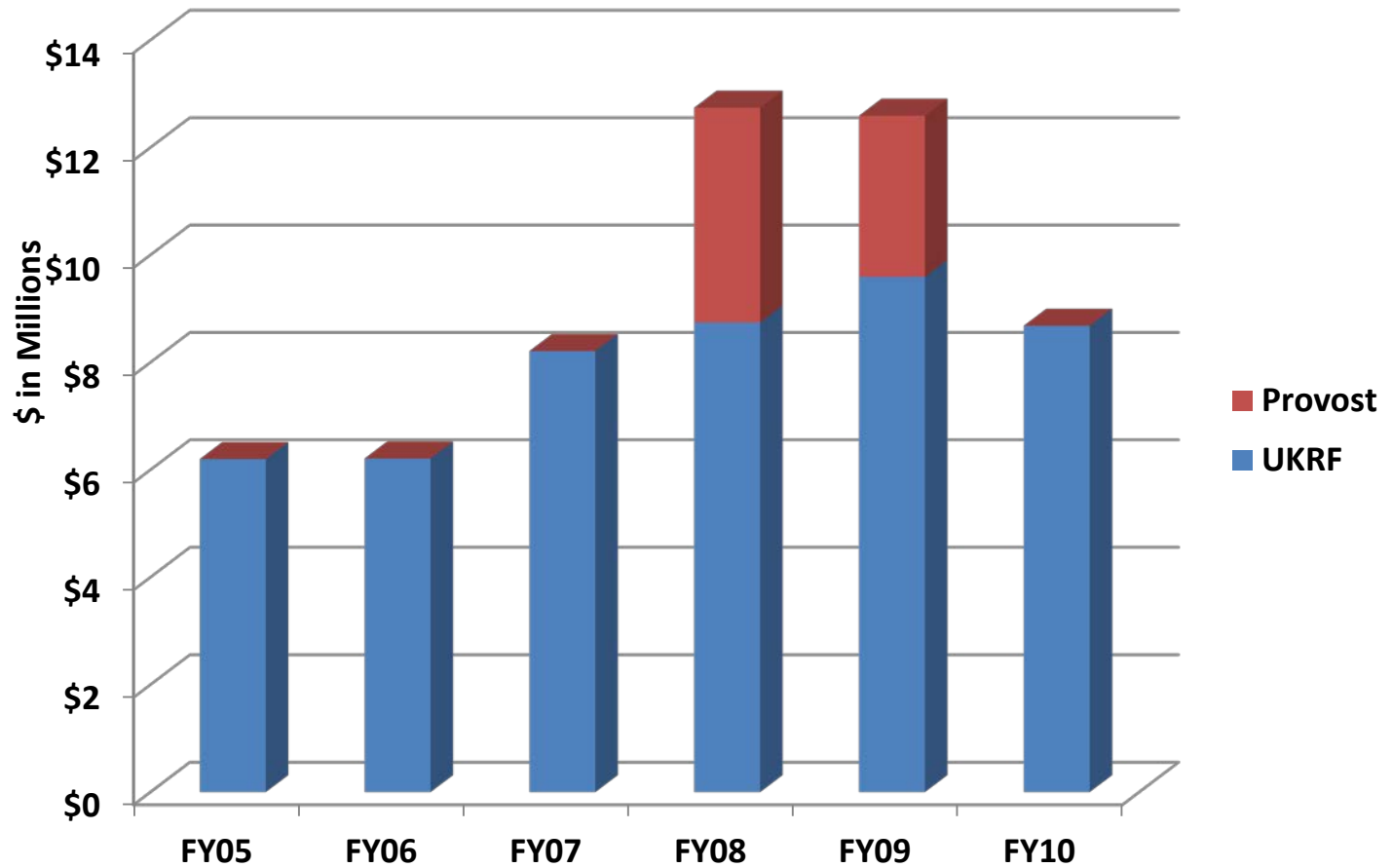
As reported in the UK Financial Statement

# FY2009 UKRF Expenditures (\$44.07 million)

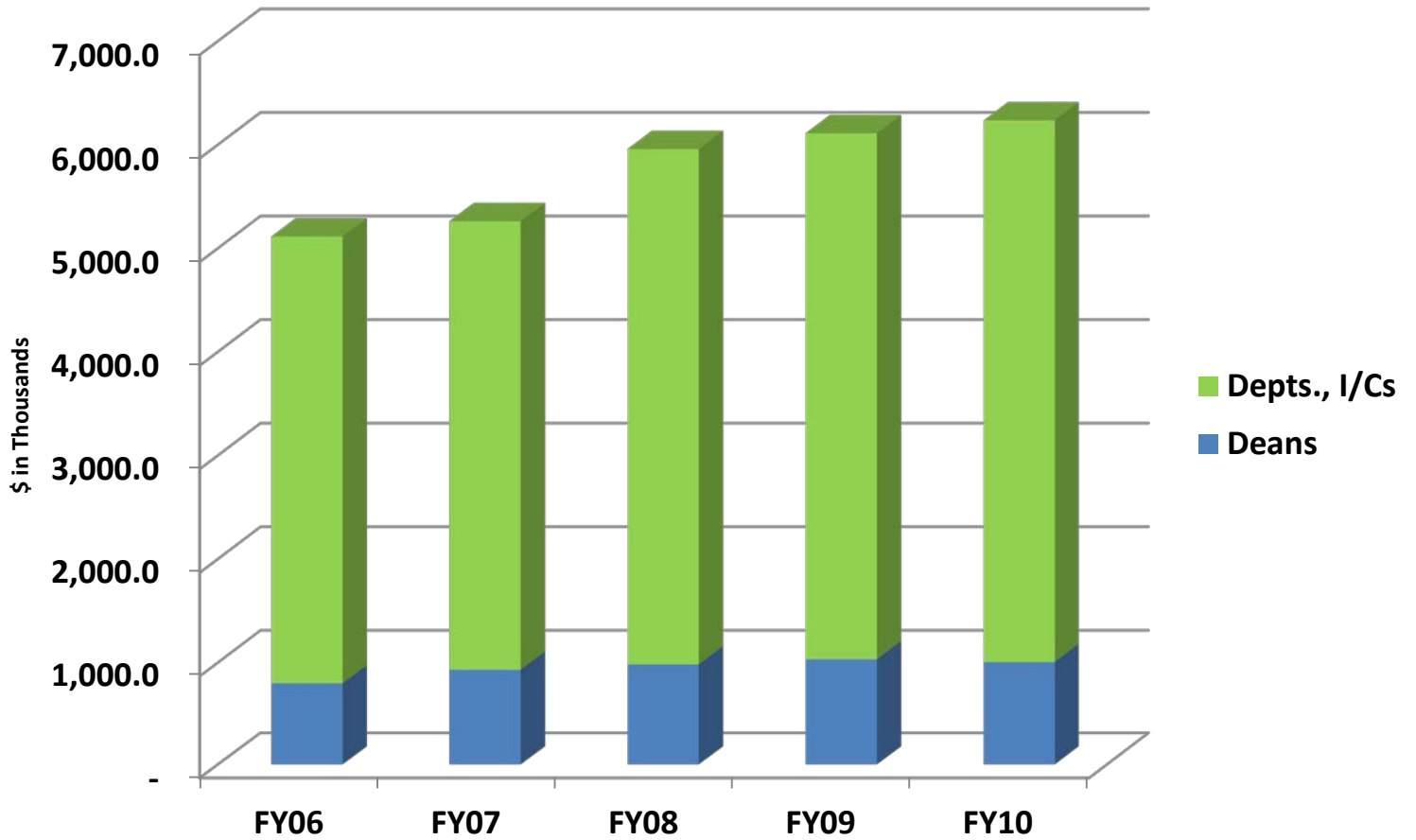




# Faculty Start-up Commitment



# F&A Return



# Realized F&A Income

<b>FY2007</b>	<b>\$43.6 million</b>
<b>FY2008</b>	<b>\$43.8 million</b>
<b>FY2009</b>	<b>\$44.5 million</b>
<b>FY2010</b>	<b>≥\$46 million*</b>
<b>*Projected as of 31 March 2010</b>	
<b>FY2011</b>	<b>\$44 million (projected)</b>



# Proposed FY2011 UKRF Budget

	FY10 Approved Budget	FY11 Proposed Budget	Difference
<b>REVENUE</b>			
I. Sponsored Projects			
Grants & contracts	293,000,000	305,000,000	12,000,000
LESS: Direct costs	252,000,000	261,000,000	9,000,000
<b>Net F&amp;A Recovery</b>	<b>41,000,000</b>	<b>44,000,000</b>	<b>3,000,000</b>
II. General Income			
<b>Subtotal General Income</b>	<b>3,707,000</b>	<b>4,006,825</b>	<b>299,825</b>
III. Fund Balance, NR			
Unexpended Royalty Income	2,500,000	2,400,000	(100,000)
Fund Balance, unrestricted	1,000,000	1,000,000	--
<b>Subtotal Fund Balance, NR</b>	<b>3,500,000</b>	<b>3,400,000</b>	<b>(100,000)</b>



# Proposed FY2011 UKRF Budget

	FY10 Approved Budget	FY11 Proposed Budget	Difference
<b>TOTAL REVENUE</b>	<b>48,207,000</b>	<b>51,406,825</b>	<b>3,199,825</b>
<b>TRANSFERS &amp; EXPENDITURES</b>			
I. Transfers to General Fund			
<b>Subtotal Transfers</b>	<b>20,852,590</b>	<b>21,312,090</b>	<b>459,500</b>
II. Expenditures			
A. Operating & Admin	719,500	734,100	14,600
B. Other Activity	4,639,000	4,838,825	199,825
C. Research Programs	21,995,910	24,521,810	2,525,900
<b>Subtotal Expenditures</b>	<b>25,476,900</b>	<b>27,354,410</b>	<b>1,877,510</b>
<b>Total Transfers &amp; Expenditures</b>	<b>48,207,000</b>	<b>51,406,825</b>	<b>3,199,825</b>