2020-2021 Research Report to
UKRF Board of Directors

Lisa A Cassis, PhD
Professor, Department of Pharmacology and Nutritional Sciences
Vice President for Research
The UKRF Budget

• Facilities and administrative (F&A) costs from external grants and contracts support the UKRF budget.

• These are costs that the university has incurred because of the research within a given grant or contract which took place at UK.

• We follow federal guidelines to negotiate these costs every 3 years with the federal government.

• Our current F&A rate is 53%, meaning for each $1 that comes to the institution for specific research within a grant the institution receives an additional $0.53. Not all expenditures on grants and contracts accrue F&A, so our actual rate is ~$0.24.

• These funds become the UKRF budget and are used to support research across campus.
Research Strategic Plan (coming out of the pandemic and beyond)

• Strategic Initiative 1: Improve the quality of the research infrastructure.

• Strategic Initiative 2: Foster an inclusive culture of research success to retain and develop outstanding faculty, staff and students.

• Strategic Initiative 3: Invest strategically in UK’s existing strengths and areas of growth in selected focus areas that benefit and enrich the lives of those in the Commonwealth.

• Strategic Initiative 4: Strengthen engagement with communities and translate outcomes of research and creative works for the benefit of the citizens of the Commonwealth.
Strategic Initiative 1: Improve the quality of the research infrastructure. Why?

The infrastructure must:
- Keep apace with the growth of research.
- Have modern systems that streamline work of faculty, staff and students while maintaining compliance with funding agencies and guidelines.
- Communicate effectively the impact of our research and creative work.
- Be organized in a manner that facilitates success and is flexible to adapt to emerging areas of research and opportunity, changes in the federal landscape, etc.

Research growth at UK….
UK R&D Grant Expenditures: Strategic Plan Goal = 1.9% increase/year. Prior to 2015, R&D expenditures had declined by -13% (FY13/14) and -4% (FY14/15)

Source: University of Kentucky OSPA database, 06/30/2020
UK Researchers Compete for Federal Peer-Reviewed Funding

R&D Expenditures by Source of Funds

- Federal
- State
- Other

Source: University of Kentucky, OSPA database.
Federal funding, such as funding from the National Institutes of Health (NIH) provides the largest source of F&A to the UKRF Budget (FY 2020)

Source: University of Kentucky, OSPA database.
R&D Expenditures by NIH Institute
Fiscal Year 2020

- Natl. Institute on Drug Abuse: 15.8%, $20 M
- Natl. Cancer Institute: 15.3%, $19 M
- Natl. Institute on Aging: 13.7%, $17 M
- Other NIH Institutes: 10.8%, $13 M
- Natl. Heart Lung and Blood Institute: 10.5%, $13 M
- Natl. Institute of Neurological Disorders & Str: 7.8%, $10 M
- Natl. Institute of General Medical Sciences: 6.8%, $8 M
- Natl. Institute of Environmental Health Science: 6.0%, $7 M
- Natl. Institute of Allergy and Infectious Disea: 5.0%, $6 M
- Natl. Institute Diabetes & Digestive & Kidney: 4.7%, $6 M
- Natl. Center for Advancing Translational Scienc: 3.6%, $4 M

Source: University of Kentucky, OSPA Database
Grant Awards thus far in 2020/21
Extramural funding continues to increase at UK
July – March 28th of Each Year

Source: University of Kentucky, OSPA database.
Increased grant awards thus far in FY20/21

SPONSORED AWARD DOLLARS BY TYPE
Compared to the Same Time Last Year

- Federal Awards + 3.9%
- State Awards + 27.4%
- Industry Awards + 66.7%
- Other Award Sponsors + 1.3%

Source: University of Kentucky, OSPA Database, 3/28/2021
Increased Number of Grant Projects and Diversity of Sponsors

Source: University of Kentucky, OSPA Database
<table>
<thead>
<tr>
<th>Project Title</th>
<th>Sponsor</th>
<th>PI</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>SNAP-Ed 2020-2021</td>
<td>State, KY Dept Community Based Services</td>
<td>Jennifer Hunter</td>
<td>$8,000,000</td>
</tr>
<tr>
<td>Kentucky Overdose Data to Action</td>
<td>Federal, CDC</td>
<td>Terry Bunn</td>
<td>$7,657,148</td>
</tr>
<tr>
<td>Child Care Network Services</td>
<td>State, KY Dept Community Based Services</td>
<td>Mary Howard</td>
<td>$7,079,685</td>
</tr>
<tr>
<td>Substance Abuse and Domestic Violence</td>
<td>State, KY Dept Community Based Services</td>
<td>Carl Leukfeld</td>
<td>$6,942,042</td>
</tr>
<tr>
<td>HKRB</td>
<td>Federal, NIH</td>
<td>Lisa Cassis</td>
<td>$5,429,775</td>
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<tr>
<td>COVID-19 Ensemble Vaccine Trial</td>
<td>Industry, Janssen Vaccines</td>
<td>Richard Greenberg</td>
<td>$4,866,511</td>
</tr>
<tr>
<td>NSF EPSCoR RII Track 1</td>
<td>Federal, NSF</td>
<td>Rodney Andrews</td>
<td>$3,996,361</td>
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<tr>
<td>Development of a long-acting enzyme therapy for cocaine abuse</td>
<td>Federal, NIH</td>
<td>Chang-Guo Zhan</td>
<td>$3,521,165</td>
</tr>
<tr>
<td>Tobacco Settlement: Cancer research</td>
<td>State, KY CPE</td>
<td>Mark Evers</td>
<td>$3,438,050</td>
</tr>
<tr>
<td>Support for Community Living</td>
<td>State, KY Cabinet for Health, Family Services</td>
<td>Kathy Sheppard-Jones</td>
<td>$3,267,000</td>
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<tr>
<td>Cancer Center Support Grant</td>
<td>Federal, NIH</td>
<td>Mark Evers</td>
<td>$3,142,429</td>
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</table>
Strategic Initiative 1: Improve the quality of the research infrastructure. **How?**

- Increase staff within units that are essential for grants administration (I.A.7, I.B.1-2)
- Reorganization of the structure of the Office of the Vice President for Research.
- New software systems to effectively communicate our research and creative work and that streamline operations (II.A.2, II.A.15)
- Completion of the Healthy Kentucky Research Building (I.E.2, II.C.9a)
- Seed support for emerging areas of research (II.C.3)
- Modernization of research facilities in targeted areas (Sanders Brown Center on Aging and Alzheimer’s Disease Center) (II.C.9b)
- Modernization of research facilities that make our researchers competitive for federal funding opportunities (Biosafety Level 3 Facility for COVID-19 research)
Integrating Disconnected Data Sources

Public Searchable Profiles

Research output

Chronic PERK induction promotes Alzheimer-like neuropathology in Down syndrome: Insights for therapeutic intervention
Research output: Contribution to journal - Article - peer-review

Fidelity of the PINK1 knockout rat to oxidative stress and other characteristics of Parkinson disease
Research output: Contribution to journal - Review article - peer-review

What is Scholars@UK?
The tenancy of academic life, committed the past 15 plus years to pursue interdisciplinary research and creative efforts that address challenges and disparities. To date, our scholars have produced more than 100 research output publications, creative work, and sponsored grants and contracts, and a few individual profiles. The database contains a rich set of metrics including citation counts, altmetrics, research impact and collaboration influence. If you have questions about the database please contact: sch@elsevier.com

Collaborations and top research areas from the last five years
Click dots to view details. Select a country from the list.
### Extramural Funding of HKRB Occupants

<table>
<thead>
<tr>
<th>Floor</th>
<th>Completion date</th>
<th>Occupants</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>2022</td>
<td>Wet: Cardiovascular, Alzheimer’s Biomedical Engineering (imaging focus of all groups)</td>
</tr>
<tr>
<td>2</td>
<td>2019</td>
<td>Wet: Diabetes/obesity  Dry: Substance Use Disorder (SUD) Priority Area (including space for HEALing Communities Study)</td>
</tr>
<tr>
<td>3</td>
<td>2019</td>
<td>Wet: Cancer  Dry: Bioinformatics, Center for Innovation in Population Health, Rural and Underserved Health Research Center</td>
</tr>
<tr>
<td>4</td>
<td>2021</td>
<td>Wet: Cancer  Dry: Health Equity Cluster, Cancer Prevention and Control</td>
</tr>
<tr>
<td>5</td>
<td>2021</td>
<td>Wet: Cancer</td>
</tr>
<tr>
<td>6</td>
<td>2022</td>
<td>Wet: Medicinal Chemistry, unassigned</td>
</tr>
</tbody>
</table>

### Phase IV Construction (6th Floor & Conference Center)
- University of Kentucky Research Foundation Budget Revision (II.C.9)

### Thus far in HKRB:
- 33 principal investigators, representing 36% new UK recruits
- 310 occupants, including staff and trainees

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Source: University of Kentucky, Office of Sponsored Projects Administration Database
Impact of Investment in Sanders-Brown Center on Aging

2nd NIH C06 grant application and UKRF support (II.C.9): Kentucky Alzheimer’s Disease Research Center Modernization Project will:

- Renovate ADRC core facilities (Neuropathology, Biomarker, Data Management and Statistics)
- Meet urgent challenges and health disparities posed by Alzheimer’s and related dementias
- Address UK research strategic priorities for neuroscience research expansion
- Benefit multiple colleges/centers/departments
- Facilitate training of the next generation of aging and dementia researchers

Grants & Contracts Awarded to SBCoA

For FY20, this funding was to only 10 faculty!

Source: UK OSPA database
Grants where SBCoA is the responsible unit

BETWEEN 2015 & 2020

15,567 SAMPLES to 50 LABORATORIES
at University of Kentucky.
CURE Alliance Teams – Fighting the COVID-19 Pandemic
Seed Support for COVID-19 related studies

<table>
<thead>
<tr>
<th>Core 1</th>
<th>Core 2</th>
<th>Core 3</th>
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</thead>
<tbody>
<tr>
<td>Health</td>
<td>Materials &amp; Methods</td>
<td>Social Sciences</td>
</tr>
<tr>
<td>28 applications</td>
<td>23 applications</td>
<td>25 applications</td>
</tr>
<tr>
<td>10 funded</td>
<td>10 funded</td>
<td>12 funded</td>
</tr>
<tr>
<td>$197,338 committed</td>
<td>$173,033 committed</td>
<td>$95,996 committed</td>
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</tbody>
</table>

Thirteen colleges submitted 76 applications, and 11 colleges (32 applications) have received funding.
COVID-19 Vaccine Trials: UK involvement

ENSEMBLE 1
- Janssen Protocol 3001
- 6 countries
- 100+ sites
- UK Lead with 2 sub sites in Kentucky
  - Norton – Louisville
  - Baptist – Lexington
- Total enrollment, 890 subjects
  - UK, 430
  - Baptist, 243
  - Norton, 215

ENSEMBLE 2
- Janssen Protocol 3009
- 200 Subjects
- Protocol high points
  - Ad26.COV2-S single shot
  - Ad26.COV2-S single shot + booster
- 89 Subjects enrolled at UK in ~5 weeks
- Sites averaged 200 in 5 mos.

Adolescent
- Janssen Protocol 2001
- Phase II
- 25 Subjects
- Protocol high point
  - Ad26.COV2-S single shot
  - Ad26.COV2-S single shot + booster
  - 12-17 Years of age

Prevent COVID U
- Moderna Protocol 3006
- COVID Prevention Network (CoVPN)
- Will vaccines prevent asymptomatic infection and transmission?
  - 18 – 26 Years of Age
  - 100 Subjects
  - 50 early
  - 50 delayed

Pediatrics
- Moderna
- COVID Prevention Network (CoVPN)
- Trial details pending
  - 2 mos – 12 Years of Age

Number 1 site in the world for enrollment

Office of the Vice President for Research
Is our approach making a difference? COVID-19
Awarded Extramural Projects

UK has been awarded more than $18.5 M in COVID-19-related sponsored projects

- 43 sponsored grants and contracts
- FY 20 = $8.8 M
- FYTD 21 = $9.7 M

Topics include:
- Antiviral materials
- Viral and anti-body testing
- Hospital improvement
- Clinical trials
- Student success
- Food systems
- Business development
- Many other areas

The need:
- A modern Biosafety Level 3 (BSL3) facility so UK researchers can safely handle the SARS-CoV-2 virus and other infectious diseases and compete for research funding that addresses both acute and long-COVID-19
Research Strategic Plan (coming out of the pandemic and beyond)

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Strategic Initiative 2: Foster an inclusive culture of research success to retain and develop outstanding faculty, staff and students. **Why?**

- Research Culture:
  - Is key to recruitment, retention and research success.
  - Should be inclusive in many ways.
  - Should extend from undergraduate research through the continuum to faculty research success and research leadership.
  - Should be grounded in the responsible conduct of research.
  - Should highlight and celebrate research success of faculty, students and staff.
Strategic Investment: Development of an Inclusive Postdoctoral Enrichment Program (IPEP) for URM Postdocs

• Program components:
  • Personal navigation through the University System
  • Enrichment sessions:
    • Weekly lunch and learn sessions
    • Quarterly breakout sessions tailored to fellow’s specific needs
  • Social & educational offerings via the Office of Institutional Diversity, Society for Postdoctoral Scholars, & Office of Faculty Advancement
  • Career development panel with mentor(s), department chair, Associate Dean for Research, relevant faculty
  • Networking opportunities with national leaders through speaker invitations
  • Enhanced mentor training
Supporting Diversity: URM Research Postdoctoral Programs

Postdoctoral Fellowships 2011-2020

- Applicants: 9
- Offers: 22
- Accepted: 6
# Supporting Diversity: URM Research Postdoctoral Programs

## Lyman T Johnson Postdoctoral Fellows

<table>
<thead>
<tr>
<th>Name</th>
<th>Institution</th>
<th>Dates</th>
<th>Research Focus</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dr. Abigail Folberg</td>
<td>UK Psychology</td>
<td>August 2019 – Current</td>
<td>“You Can’t Tell Other People What to Believe”: The role of tolerance of sexism in legitimizing gender inequality</td>
</tr>
<tr>
<td>Dr. Shemeka Thorpe</td>
<td>UK Education</td>
<td>July 2020 – Present</td>
<td>Reducing sexual health disparities among Black women through research, community education, and program development.</td>
</tr>
<tr>
<td>Dr. Brandon Wilson</td>
<td>UK History</td>
<td>August 2020 – Present</td>
<td>The role of public prisons as the fundamental infrastructure in the domestic slave trade</td>
</tr>
<tr>
<td>Dr. Juana Zamora-Reyes</td>
<td>Molecular and Cellular Biochemistry</td>
<td>September 2020 – Present</td>
<td>Low Cholesterol Effects on the Fusion Mechanism of Hendra Virus</td>
</tr>
</tbody>
</table>

## New 2021 In-Coming Post Docs

<table>
<thead>
<tr>
<th>Name</th>
<th>Institution</th>
<th>Dates</th>
<th>Research Focus</th>
</tr>
</thead>
<tbody>
<tr>
<td>Brittany Miller-Roenigk</td>
<td>Educational, Counseling, and School Psychology</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Kelle Dhein</td>
<td>UK Philosophy</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Phyllis Johnson</td>
<td>UK Anthropology</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Allison Young</td>
<td>UK Entomology</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Aurora Santiago-Ortiz</td>
<td>UK Information Sciences</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Leanna Luney</td>
<td>Educational Policy Studies and Evaluation</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
UKFIRST:* Building Inclusive Excellence through Sustained and Transformative Culture Change and Evidence-Based Practices (NIH FIRST Grant Application, U54CA267734)
*FIRST (Faculty Institutional Recruitment for Sustainable Transformation)

Highlights:

• Recruit ten new biomedical and behavioral junior researchers with demonstrated commitments to diversity and inclusive excellence over three years. These faculty will have a research focus that aligns with cancer, neuroscience, or substance use RPAs and all RPAs in the future.

• Regular title series appointment within a health care college department.

• Ensure faculty success by implementing & assessing Research Scholars Program (faculty development programming & multilevel mentorship).

• Drive culture change to be translated to the broader institution.

• $13,728,301, pending review.
Research Scholars Program (RSP)

- **Objective:** To provide preliminary evidence for faculty research success, including group and Individualized enrichment and multilevel mentorship.

- **Development:** Theory & evidence-based, deployed UK data; input through 16-member Faculty Advisory Committee.

- **Competition:** Held in November; received 13 applications; accepted 6 for Cohort 1 and 7 for Cohort 2.

Support provided by Office of the Vice President for Research, Office for Faculty Advancement, Center for Health Equity Transformation, Center for Clinical and Translational Science, and the Colleges of Nursing; Public Health; Health Sciences; Medicine; Education; and Arts and Sciences
## Cohort 1 RSP Faculty

<table>
<thead>
<tr>
<th>Name</th>
<th>Department/College</th>
<th>Research Focus</th>
</tr>
</thead>
<tbody>
<tr>
<td>Adebola Adegboyega</td>
<td>College of Nursing</td>
<td>Cervical cancer among African immigrant women and health disparities</td>
</tr>
<tr>
<td>Joseph Benitez</td>
<td>Health Management and Policy, College of Public Health</td>
<td>Health economics and empirical health policy analysis using applied econometrics techniques focused on Medicaid</td>
</tr>
<tr>
<td>Jean Fry</td>
<td>Athletic Training and Clinical Nutrition, College of Health Sciences</td>
<td>Rehabilitation following ACL tear and reconstruction surgery, rehabilitation nutrition, obesity, Type 2 diabetes, and precision medicine</td>
</tr>
<tr>
<td>Cetewayo Rashid</td>
<td>Pharmacology and Nutritional Sciences, College of Medicine</td>
<td>Environmental factors that contribute to the development of type 2 diabetes</td>
</tr>
<tr>
<td>Michael Samaan</td>
<td>Kinesiology and Health Promotion, College of Education</td>
<td>Use of biomechanics and musculoskeletal imaging to better understand the mechanisms and effects of lower extremity joint diseases</td>
</tr>
<tr>
<td>Lauren Whitehurst</td>
<td>Psychology, College of Arts and Sciences</td>
<td>Body/brain interactions during sleep to produce regulatory effects on cognition and health</td>
</tr>
</tbody>
</table>
Undergraduate Research (UGR): an important part of the continuum for the future of research in the US

• UGR moved to OVPR in September, 2020
• Goals for UGR within OVPR:
  • Provide a transformative, high-impact research experience to every undergraduate who wishes to have one
  • Elevate UGR to the level expected of an R1 institution
  • Seek extramural funding mechanisms to support undergraduates in research
  • Use this as a platform to recruit undergraduates to UK and celebrate their research success
• Using an External Review (2019) of UGR (conducted by Student Academic Life), we evaluated:
  • Central versus college level activities
  • Need for a Faculty Director, central staff needs
  • Structure of program offerings
  • Distribution of funds to support UGR activities within units
Faculty Director of UGR: Chad Risko

• Following an internal search (20 applicants, 4 interviewed candidates), welcome Chad Risko, Faculty Director who will:
  • Work with identified leaders in each college to coordinate central versus unit UGR activities and determine funding allocations
  • Represent UGR within and external to UK
  • Develop new program offerings and structures, in conjunction with units, for UGR activities across campus

Chad Risko, PhD
Associate Professor, Department of Chemistry
Center for Applied Energy Research
Strategic Initiative 2: Foster an inclusive culture of research success to retain and develop outstanding faculty, staff and students. How?

• Support for:
  • Undergraduate research within each College (II.C.6).
  • Research Professors within each College (II.C.3).
  • New training requirements and systems (Electronic Laboratory Notebook, II.A.2) for the responsible conduct of research.
  • Creative Works through formulaic delivery of funds to seven colleges (Fine Arts, Design, Communication and Information, Law, Business and Economics, Arts and Sciences, Education) (II.C.3).
  • Multidisciplinary research (Igniting Research Collaborations)(II.C.3).
  • Faculty research leadership development, programmatic grant support, emerging areas of research within the Research Leadership Academy (II.C.3).
  • IPEP scholars, administrative support to Research Scholars Program, support for Faculty Diversity Start-up Pool (II.C.3).
Responsible Conduct of Research (RCR) Training

RCR Requirements
- All faculty, graduate students, employees on research protocols or paid on a sponsored grant or contract
- Some professional programs are exempt from requirement

Tracking
- Began tracking in early 2021
- Deans and Assoc. Deans for Research receive automated reports monthly on completion rates
- Exemption process exists and is reviewed by a panel of subject matter experts
- **Current Completion Rate = 50%**
- College of Nursing is leading with a completion rate = 89%

Responsible Conduct of Research

**Honesty**: conveying information truthfully and honoring commitments,

**Accuracy**: reporting findings precisely and taking care to avoid errors,

**Efficiency**: using resources wisely and avoiding waste, and

**Objectivity**: letting the facts speak for themselves and avoiding improper bias.
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Strategic Initiative 3: Invest strategically in UK’s existing strengths and areas of growth in selected focus areas that benefit and enrich the lives of those in the Commonwealth. **Why?**

- We are the land-grant, flagship public University *for* Kentucky, our research and creative work should benefit our citizens.
- Strategic research that supports our academic medical center and health care enterprise and that addresses health disparities of our citizens.
- Strategic research that impacts the economy of Kentucky.
- Strategic support of research that fosters racial and social justice, health equity, and best practices to support an inclusive faculty body.
Research Priority Areas (RPAs): Strategic Research that Impacts Kentucky

- Strategically Growing Research Through Designated Areas of Priority
- Added a seventh research priority area focused on diversity and inclusion, United In true racial Equity (UNITE)
- Criteria for Designation as a Research Priority Area:
  - Local relevance
  - Existing Strength
  - Diversity of disciplines
  - Impact on the Commonwealth
  - Sustainable research funding
RPA Offerings to Their Constituencies

- Competitive faculty recruitment & targeted hires in all seven areas
- Seed grant programs
- Creation of bio-banks
- Website development & infrastructure
- Multiple symposia held
- Funded administrative positions (e.g., clinical research coordinators)
- Purchase of specialized equipment for shared use
- Expanding collaboration networks and capacity
Creation of RPAs is having a positive impact on extramural funding

Note: Awarded projects for each thematic area are not mutually exclusive. Projects may be represented in one or more areas. Additionally, projects are based on keyword searches and may not include all related projects and may contain some projects that aren’t specific to that area of research. CAGR = Compound annual growth rate. Source: UK OSPA Database
UNITE RPA: Founding Vision and Mission

• UNITE is synergizing impactful research and scholarship focused on achieving racial equity in the Commonwealth and beyond. This is achieved by fostering new and existing collaborations with multiple relevant, but distinct centers and institutes on campus.

The UNITE RPA mission is to support research and scholarship that:

• Develops innovative solutions and establishes best practices focused on recruitment and retention of racially diverse faculty, staff and students.

• Focuses on racial disparities, racial health equity, social and racial justice that will result in impactful scholarly outputs and extramural funding for sustainability.
UNITE: Current & Projected Activities

Annual Research Day
• Symposia to present racial equity research

Community engagement
• UNITE Listens Panel Discussion

Funding Activities
• Faculty pilot support, diversity incentive/bridge funds

Increasing Pipeline of Underrepresented Scholars

Workshops, training, consultation
• Grant-writing workshops
• Networking events

Recruitment and Retention of Underrepresented Faculty
• Support for new faculty start-up research
• Dedicated support for the grant submission/resubmission process
Strategic Initiative 3: Invest strategically in UK’s existing strengths and areas of growth in selected focus areas that benefit and enrich the lives of those in the Commonwealth. **How?**

- Support for RPA program growth (II.C.7).
- Addition of UNITE RPA and support of its emerging programs (II.C.7).
- Support for emerging areas of research strength (COVID-19-related infectious disease research)(II.C.7).
- Support for professional staff to facilitate nominations of faculty across RPAs or within Colleges for prominent research awards and honors (I.B.1).
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Strategic Initiative 4: Strengthen engagement with communities and translate outcomes of research and creative works for the benefit of the citizens of the Commonwealth. Why?

• As the land-grant, flagship University for Kentucky:
  • Our research and creative work should engage and support the community.
  • We will work with land-grant engagement to support activities across the Commonwealth.
  • We must lead research innovation, commercialization and economic development.
## Research Innovation: Patents, Licenses, and Start-ups: Growing the Opportunity Pipeline

### Capturing More Innovation; Transferring More Technology

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<td>Licenses &amp; Options</td>
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*Source: UK Office of Technology Commercialization*
Strategic Initiative 4: Strengthen engagement with communities and translate outcomes of research and creative works for the benefit of the citizens of the Commonwealth. **How?**

- Associate Vice President for Research, Innovation and Economic Impact (I.B.3, II.A.5)
- Use of the Research Leadership Academy for structuring of community research within an integrated umbrella platform and potential seed support (II,C.3).
Office of the Vice President for Research

GROWING WITH GRANTS

1. NIH NIGMS
   - $10.3M/7 Years* ($3.4M to UK)
   - Phase IIb renewal pending
   - (26 Impact Score; Council meets May 2021)
   - Through 08/2025

2. TEAM KENTUCKY
   - $400k/yr for 3 years
   - ($165k/yr to UK)
   - Through 06/2022

3. TEAM KENTUCKY
   - $1.1M/yr for 3 Years
   - ($200k/yr to UK)
   - Through 06/2022

4. NIH
   - $6.56M/4 Years
   - (~$1M/yr to UK)
   - Through 09/2023

5. EDA
   - $600,000/3 Years
   - Through 09/2023

$21.9 million
$9.015 million to UK

UK Research
Driving Research Innovation, Economic and Social Impact

Innovation & Entrepreneurship. Training
(Commercialization education, product development, entrepreneurship coaching and mentorship)

Innovation Economic Development
(Community engaged research, state economic development alignment, innovation-based industry partnerships)

Social Innovation
(Social impact, technology transfer for social sciences, inclusive innovation programs)
UKRF Budget

• For FY20/21, we budgeted $59M of anticipated F&A income, representing a 14% increase from the previous year because of growth in extramural grants and contracts.
• FY21/22 Proposed Budget: $62M (a 5.1% increase)
Budget Summary

• Total Revenue: $149,938,412, representing an increase of $908,872

• Transfers and Expenditures:
  • Transfer of $29,612,800 to the institution, an increase of $1,289,300
  • Expenditures of $120,325,612
II. Transfers to General Fund (major changes)

- A.2. Service assessment, +$123,900
- A.7. Research Financial Services, +$180,900, replacement staff
- A.8. VP External Affairs, -$235,000, transfer from Public Relations to VPR
- B.1. Research Administration Personnel and Support, +$699,800, increased staff to accommodate growth in grants and contracts
- B.2. College Grant Officers, +$236,100, increased staff at college level handling of grants and contracts
- B.3. Office of Technology Commercialization, +$283,600, Research Innovation and Economic Development Program Offerings, Associate Vice President for Research Innovation and Economic Impact
- E. Debt Service, $6,100 movement from one debt service payment (BBSRB) to another (HKRB)
II. Expenditures
A. Operating expenses

- A. Operating Expenses, Research Administration
  - A.2. Research Information Services: +$246,000 for site license software (e.g., Electronic Lab Notebook, eSirius upgrade, PURE or Scholars@UK, etc)
  - A.3. Office of Sponsored Program Administration: +$4,500, Cayuse software increase
  - A.5. Office of Technology Commercialization: +$60,950, increased staff structure requires more operating costs
  - A.7. Discretionary Accounts, +$1,900, more employees
  - A.10. VPR, -$160,000, moved software costs from VPR to Research Information Services
  - A.15. Research Financial Services, +$119,000, effort certification software and consulting contract for F&A space survey
II. Expenditures, B. Other activity

• II.B.1, Contingency reserve, +$300,000, 10% of estimated budget
• II.B.2, Private gifts/endowments, +$76,010, college estimates
• II.B.3, Intellectual property license expenses, +$500,000, patent costs are increasing
• II.B.4, Intellectual property royalty sharing program, +$295,900, increased royalty sharing fund balances in colleges
II. Expenditures, C. Research Programs

- 1a. Formulaic start-up: +$600,000 (20% of UKRF budget)
- 1b. Other Start-up commitments: +$1,022,000 (Dean’s packages, etc)
- 2a-c. Formulaic incentive return programs to colleges/centers: +$377,500 (45% of overall budget)
- 6a. University Wide Initiatives: +$500,000, support for college-wide Undergraduate Research
- 7a-c. Strategic Investment Fund: +$710,000 (7% of overall budget), RPA program including UNITE
- 8a. Fund Balance Carryforward Estimate: +$6,000,000 (fund balance across departments, colleges and centers)
- 9a. HKRB, -$2,000,000, paid off cost share for NIH C06 grant for part of this, remainder for imaging suite
- 9c. Angliana Avenue: -$8,000,000, purchase not made and under consideration