2023-2024 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, and for which the government reimburses UK.

- We follow federal guidelines to negotiate these costs every 3 years with the federal government. We have submitted (February 2023) our request for the next F&A rate for UK and are in negotiations with the 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, our actual rate last year was approximately $0.19/$1 in direct costs.

Research

Office of the Vice President for Research

Update on Research Progress Across UK

These are the accomplishments of our leaders (President, Provost, Deans, Associate Deans for Research, Chairs) and the Faculty, Staff and Students Doing and Supporting Research.

Our role is to provide the infrastructure and support for the research to be developed, submitted and received in the form of grants and contracts, and that the research is performed in an ethical and compliant manner.
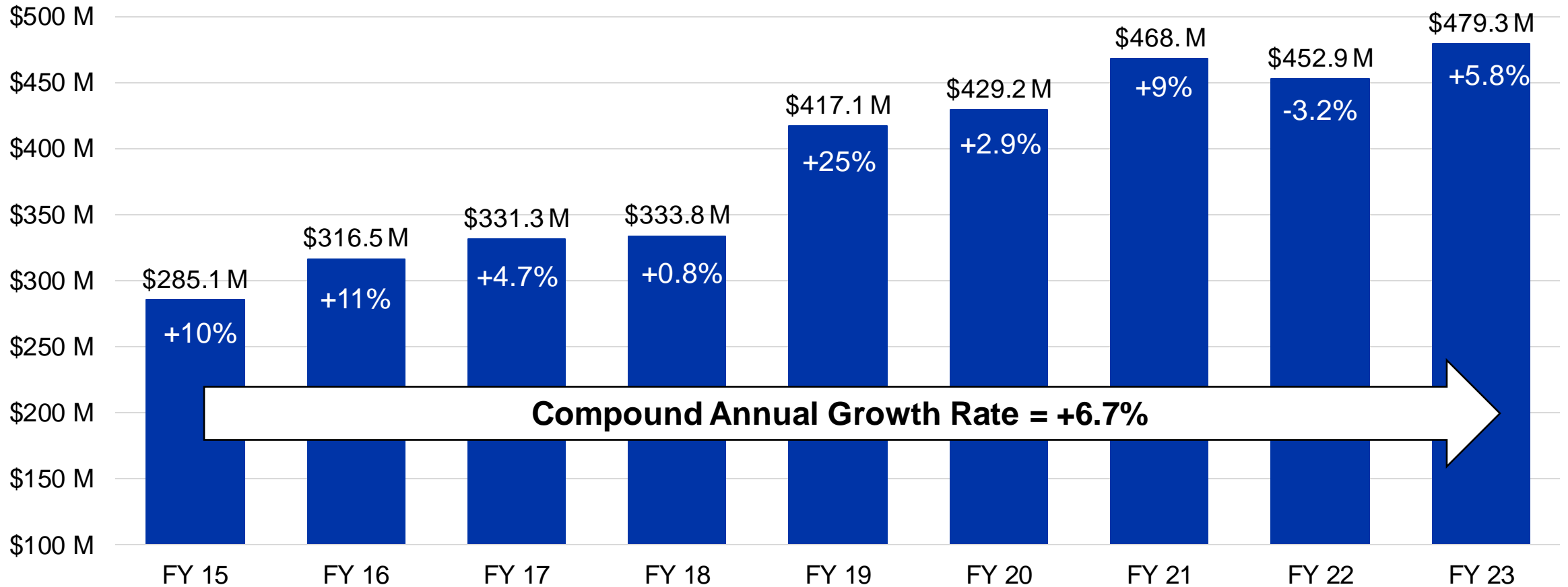
UK Awarded Grants and Contracts

FY23

Progressive Growth in UK External Grant and Contract Awards
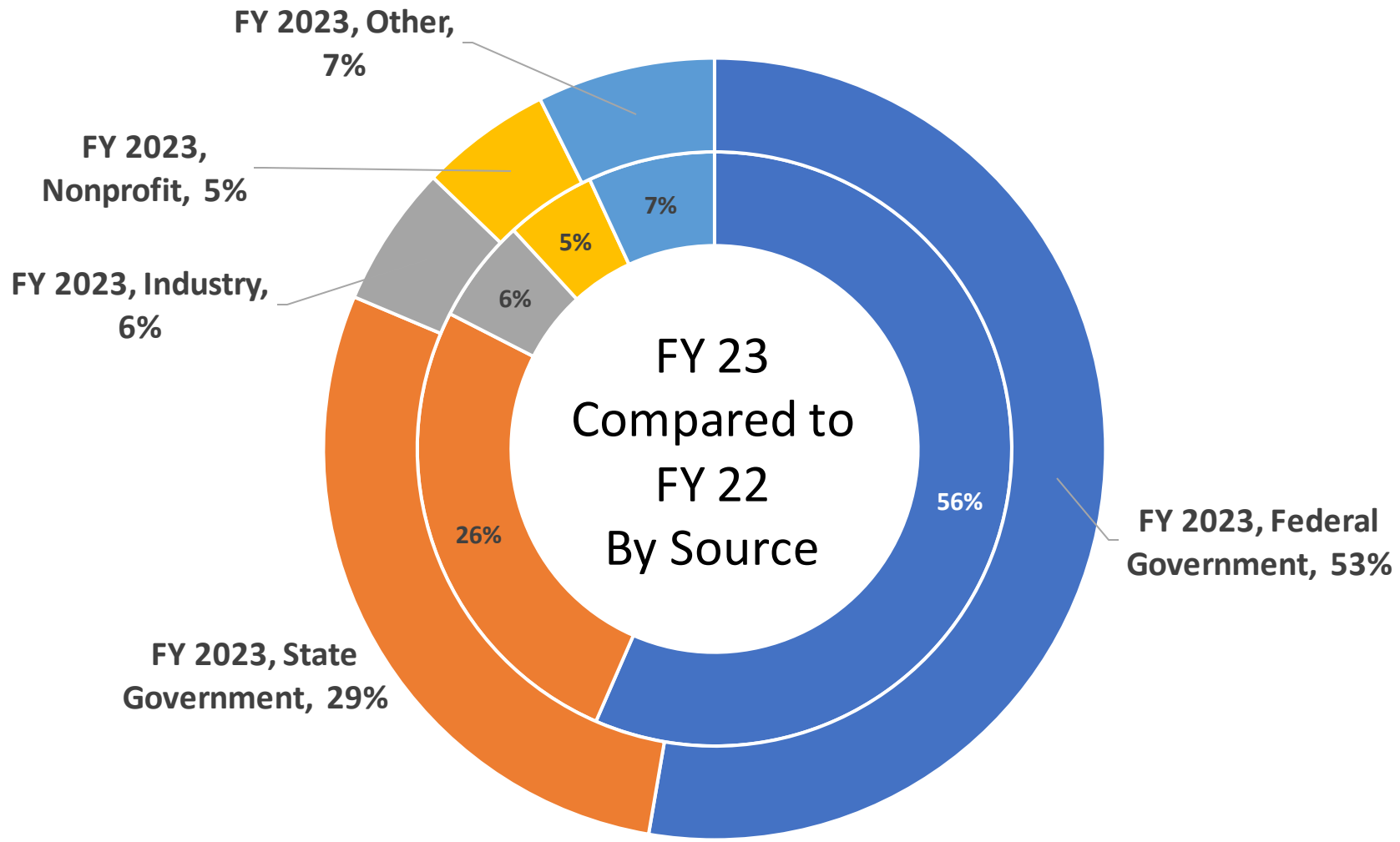
UK Awarded Grants and Contracts

**68% Growth
FY 15 – FY 23**

Compound Annual Growth Rate = +6.7%

FY	Value	Change
FY 15	$285.1 M	+10%
FY 16	$316.5 M	+11%
FY 17	$331.3 M	+4.7%
FY 18	$333.8 M	+0.8%
FY 19	$417.1 M	+25%
FY 20	$429.2 M	+2.9%
FY 21	$468. M	+9%
FY 22	$452.9 M	-3.2%
FY 23	$479.3 M	+5.8%

Source: University of Kentucky, Office of Sponsored Projects Administration Database

UK Research

Office of the Vice President for Research

UK Awarded Grants and Contracts by Source
Federal funding is the largest source of support

FY 2023, Other, 7%

FY 2023, Nonprofit, 5%

FY 2023, Industry, 6%

FY 2023, State Government, 29%

FY 2023, Federal Government, 53%

7%

5%

6%

26%

56%

FY 23 Compared to FY 22 By Source

Source: University of Kentucky, Office of Sponsored Projects Administration Database

Office of the Vice President for Research

UK R&D Expenditures

FY23

Progressive Growth in UK R&D Expenditures

Excludes CARES Act COVID-19 Relief Funding

70% Growth
FY 15 – FY 23

Chart: Bar chart of UK R&D Expenditures by fiscal year.

- FY 2015: $266 M
- FY 2016: $274 M
- FY 2017: $292 M
- FY 2018: $309 M
- FY 2019: $337 M
- FY 2020: $341 M
- FY 2021: $364 M
- FY 2022: $442 M
- FY 2023: $454 M

Compound Annual Growth Rate = +6.9%
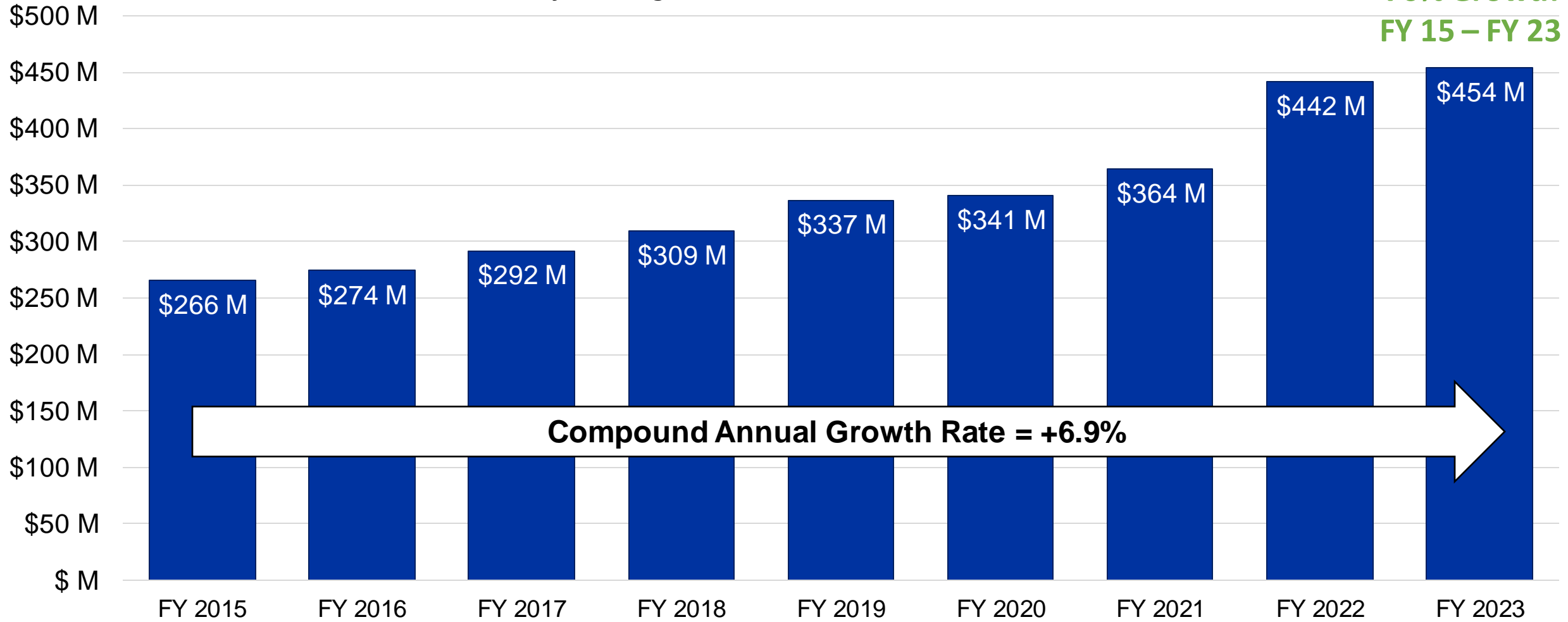
Source: University of Kentucky OSPA database, 06/30/2023

UK Research

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Federal R&D expenditures are the Largest Source for UK Researchers
R&D Expenditures by Source of Funds

Source: University of Kentucky, OSPA database.

Office of the Vice President for Research
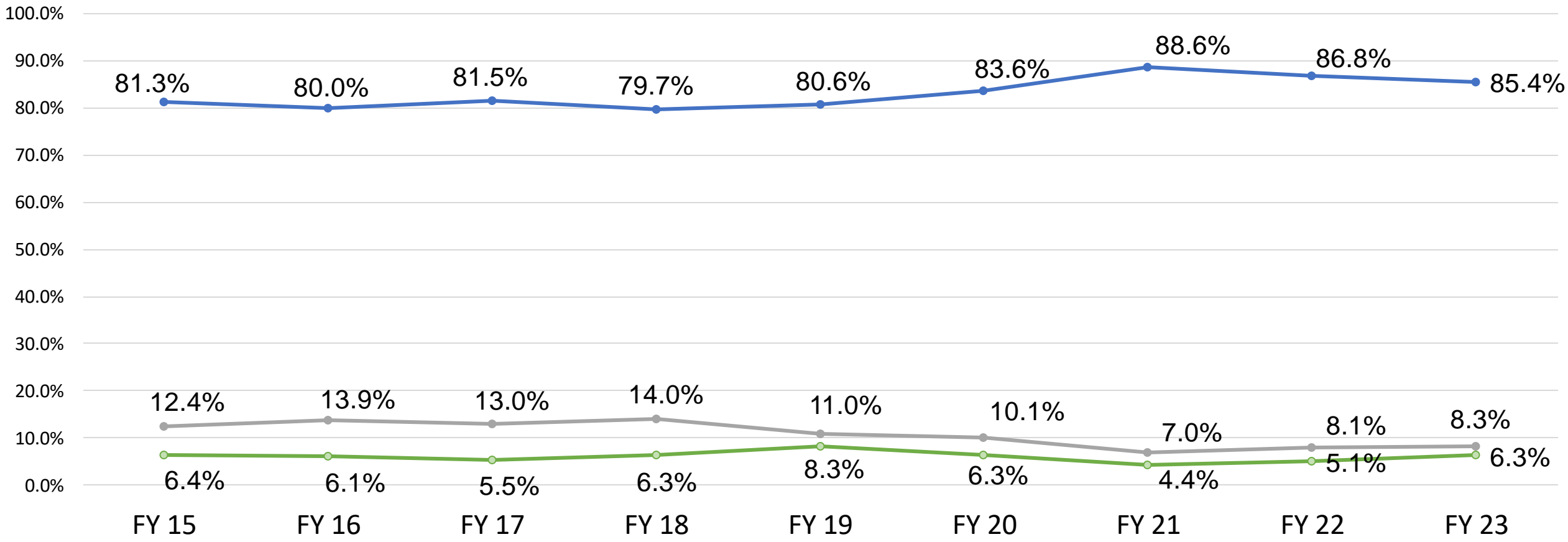
National Institutes of Health (NIH) is the largest source of federal
R&D expenditures by UK researchers (FY23)

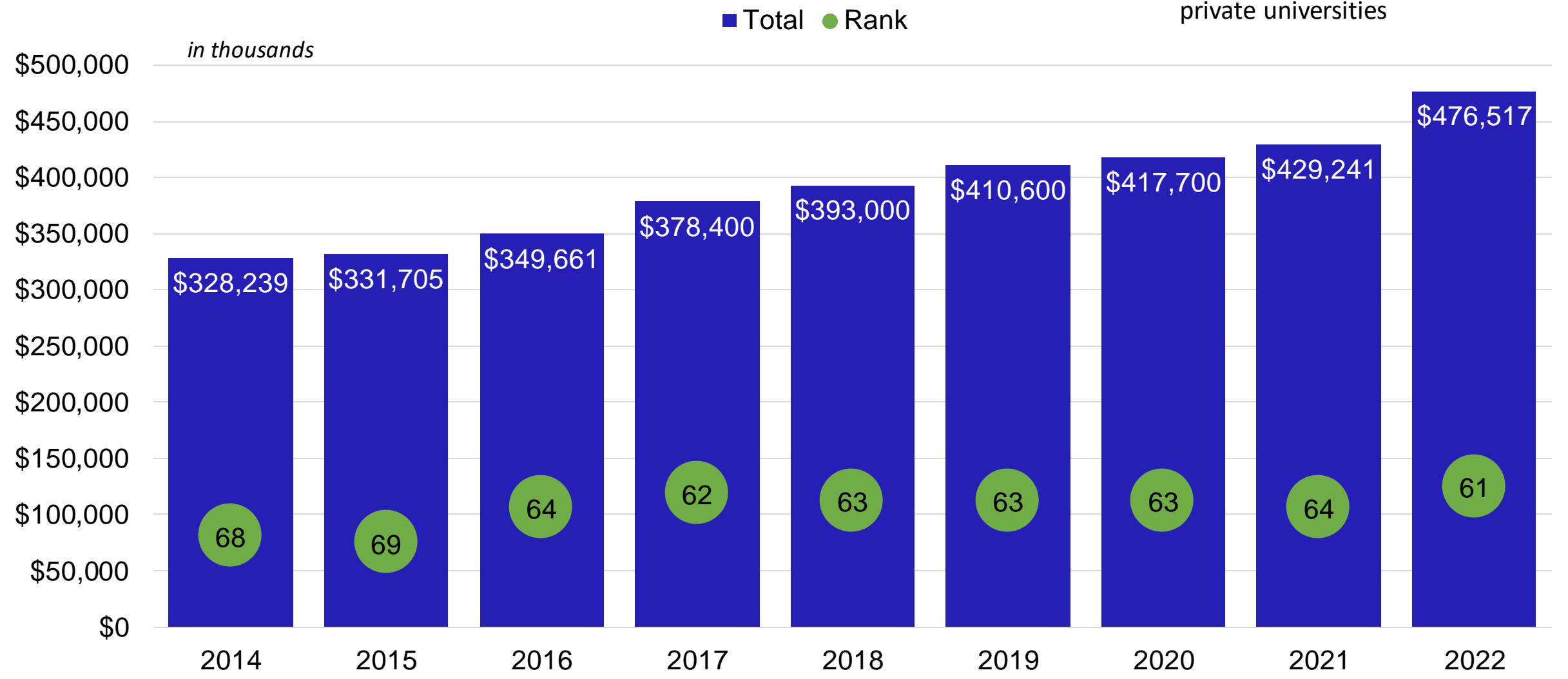Source: University of Kentucky, OSPA database.

Office of the Vice President for Research
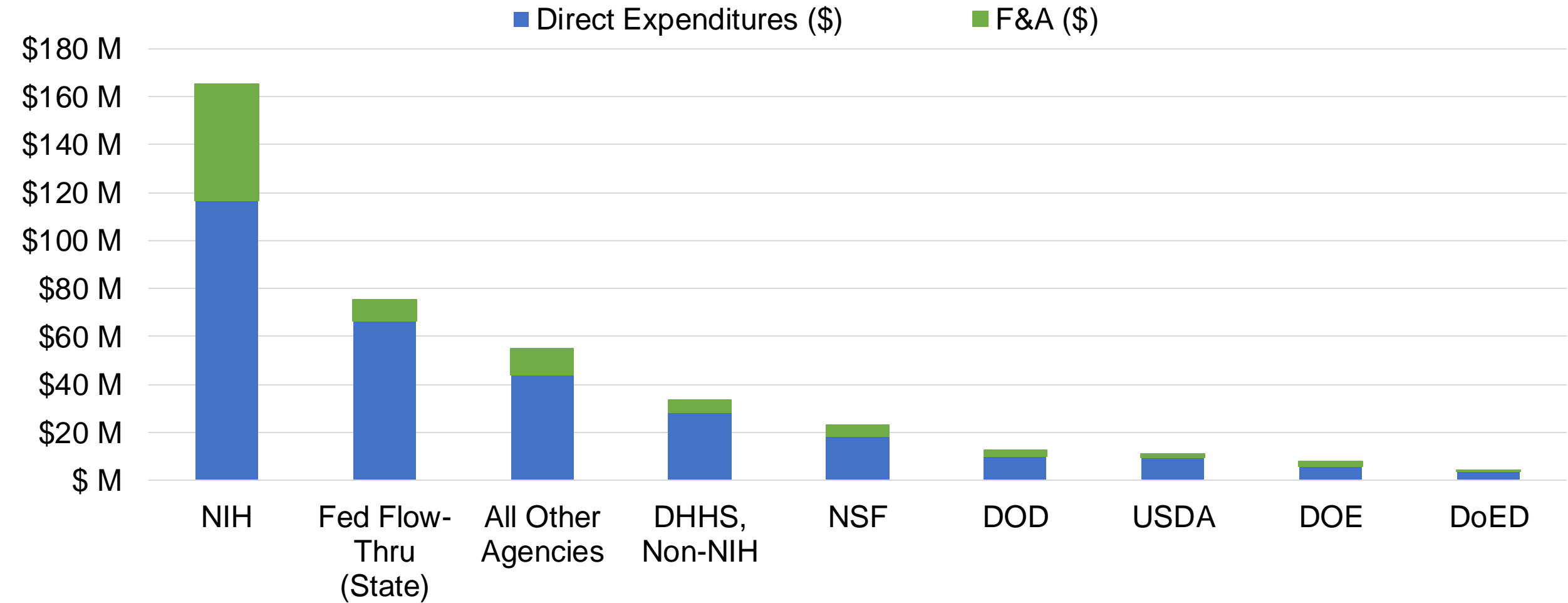
UK R&D Expenditures by NIH Institute FY23

Natl. Institute on Drug Abuse — 25%, $41 M
National Institute on Aging — 14%, $24 M
National Cancer Institute — 13%, $21 M
Natl. Institute of Gen. Medical Sci. — 7%, $12 M
Natl. Heart, Lung, Blood Inst. — 7%, $11 M
Natl. Institute of Neurological Disorders/Stroke — 6%, $11 M
Natl. Institute of Allergy & Infectious Diseases — 5%, $9 M
Natl. Institute of Diabetes, Digestive, & Kidney Diseases — 5%, $8 M
Natl. Institute of Environmental Health Sciences — 4%, $6 M
Natl. Institute on Alcohol Abuse & Alcoholism — 3%, $4 M
Natl. Center for Advancing Translational Sciences — 2%, $4 M

Source: University of Kentucky, OSPA Database

UK Research

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UK National Rankings: NSF Higher Education R&D Expenditure Survey

FY14 to FY22 Growth
+45% Percent Change
+5% Compound Annual Growth Rate
Ranking is top 10% among public and private universities

■ Total ● Rank

in thousands

Year	Total	Rank
2014	$328,239	68
2015	$331,705	69
2016	$349,661	64
2017	$378,400	62
2018	$393,000	63
2019	$410,600	63
2020	$417,700	63
2021	$429,241	64
2022	$476,517	61

UK Research

Office of the Vice President for Research

UK Grant Award Progress Year-to-Date
FY24

UK Grant Awards thus far in FY24
July 1 – April 30 of Each Year

+1.1% ⬆

Legend: ■ Federal ■ Non-Federal ■ Total

	FY 2020	FY 2021	FY 2022	FY 2023	FYTD 2024
Federal	$217. M	$227.6 M	$208.7 M	$208.6 M	$209.2 M
Non-Federal	$141.2 M	$163.1 M	$175.9 M	$203.8 M	$207.7 M
Total	$358.1M	$390.7M	$384.7M	$412.4M	$416.8M

Source: University of Kentucky, OSPA database.

UK Research

Office of the Vice President for Research
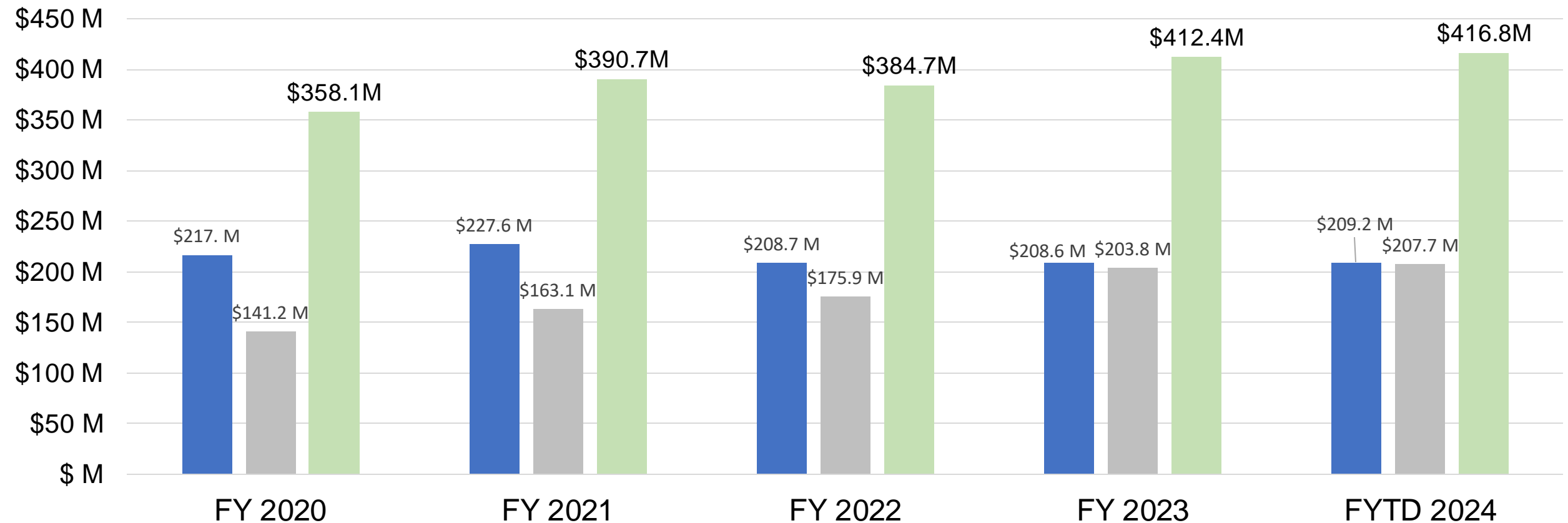
Grant Awards/PI: More productivity and success by UK researchers

Legend: ■ # of Awards ■ # of PIs ■ # of Sponsors

	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	FYTD 2023-24
(Awards/PI)	(2.1)	(2.1)	(2.2)	(2.2)	(2.3)	(2.3)	
# of Awards	1,584	1,670	1,713	1,828	1,810	1,877	1,744
# of PIs	762	801	773	828	800	836	789
# of Sponsors	565	589	581	604	611	621	595
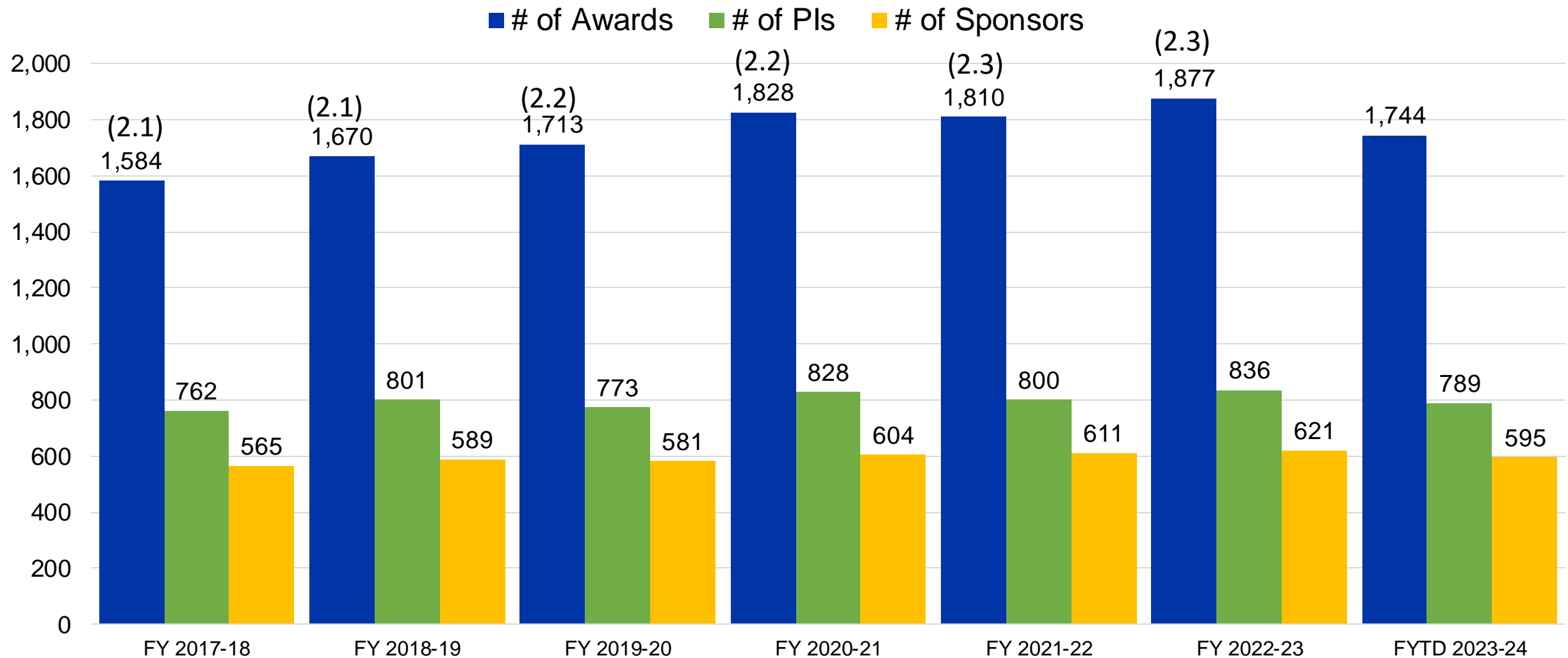
Source: University of Kentucky, OSPA Database; Number in parentheses is # of awards/# of PIs

UK Research

Office of the Vice President for Research

A Select View of New Grant Awards in FY24

- Appalachian Tobacco Regulatory Science Team (AppalTRuST), NIDA, $3.9M, PI: Seth Himelhoch, College of Medicine

- C4Ward@Scale: Scaled-Up Coal Conversion for Carbon Fibers and Graphite, DOE, $3.0M, PI: Rodney Andrews, CAER

- Biomarkers to Track Effective Interventions that Delay Dementia Onset in Participants of the "Risk Reduction for Alzheimer's Disease" Trial, NIA, $2.3M, PI: Anne Stowe, College of Medicine

- Understanding the Association Between Sublingual Buprenorphine and Oral Health Outcomes, NIDC, $1.4M, PI; Marcia Rojas, Douglas Oyler, College of Dentistry, Pharmacy

- Revealing the Influence of Electrolyte Solvents and Ions on Electronic and Ionic Transport in Electrochemically Doped Conjugated Polymers, NSF, $767K, PI: Kenneth Graham, A&S

- The Serotonergic System in Periaortic Fat Regulates Regional Aortopathy Development, NHLBI, $595K, PI: Lisa Cassis, College of Medicine

- Improving the Spatial and Spectral Calibration of Remote Sensing Imagery from Unmanned Aircraft Systems, NIFA, $612K, PI: Michael Sama, CAFE

- The Digital Restoration of Herculaneum Papyri: Data Post-Processing, Andrew Mellon Foundation, $400K, PI; Brent Seales, College of Engineering

- Climate Resilience through Multidisciplinary Big Data Learning, Prediction & Building Response Systems (CLIMBS), NSF EPSCoR Track 1, $20M, PIs: Rodney Andrews, Micheal McGlue, Sebastian Bryson and Edward Woolery

UK PURPOSE, Research and the UKRF Budget

Following our Strategic Plan

Putting Students First: Support for the Graduate School and Students

The Office of Undergraduate Research

Research

Office of the Vice President for Research

Putting Students First: Support of graduate student training

FY24 RA Tuition Differentials by College

Ag, Food & Environment	$1,377,571
Arts & Sciences	$692,035
Business & Economics	$21,129
Communication &Information	$22,308
Education	$200,732
Engineering	$1,459,253
Fine Arts	$21,129
Martin School	$173,738
Health Sciences	$61,047
Medicine	$1,352,369
Nursing	$86,873
Pharmacy	$226,578
Public Health	$145,807
Social Work	$31,694
Non-Academic Units	$98,612
GANN / NRT grants	$49,299
Total	**$6,020,173**

- Research Assistants (RAs) are an important part of our research workforce, and the future of research within our disciplines. Most RAs are supported from external grants and contracts with the Principal Investigators or co-investigators as their mentors.

- The university's policy is that grants that support a RA must cover the Universal Tuition Rate, which is the in-state tuition. The out-of-state tuition is covered by a Tuition Scholarship.

- In FY24, OVPR created an account in UKRF to which the Graduate School would charge the out-of-state tuition costs for RAs. The $6.02M provided within the UKRF budget supported tuition differentials for more than 500 graduate students.

- UKRF also supports a postdoctoral program for those under-represented in their field of study: $300,000

- UKRF provides TA support: $451,000

- The FY24 UKRF budget request is $6.098M for tuition differential, total funds of $6.849M for graduate school-related activities

Putting Students First: Support of Undergraduate Student Researchers

Office of Undergraduate Research (OUR): Chad Risko, Faculty Director

- Supported **171*** 2023-24 academic year undergraduate fellowships for research and travel
  * data still being gathered
  - 30 First-generation students awarded
  - 64 Honors students awarded
  - 16 Parker Scholars awarded
  - 101 Faculty across 15 colleges participated
- Hosted **97** events, including **8** information sessions, **15** workshops, **29** tabling events, **7** drop-in peer advising events, and **17** student organization/class presentations
- Organized and managed the annual 18th Annual Showcase of Undergraduate Scholars: **373** presentations by **459** students, and recognition of **5** Outstanding Faculty Research Mentors
- Organized **59** presentations by undergrad researchers at national undergrad research conferences
- Led **26** OUR Undergraduate Research Ambassadors who gave **989** service hours, **97** outreach events
- Managed undergraduate research fellowship programs: **2** Beckman Scholars, **20** Commonwealth Undergrad Research Experience (CURE) Fellows, **5** UK Sustainability Fellows
- Expanded use of ForagerOne software platform for students to seek out mentors: **1261** students and **236** faculty engaged

UK PURPOSE, Research and the UKRF Budget

Following our Strategic Plan

Taking Care of our People: Completion of Project GATeWAY

Research Leadership Academy Complex Grant and Leadership Development

UK Project GATeWAY: The Case for Change: A Grant Life Cycle

The current structure and processes require seamless and constant coordination across offices and campus.
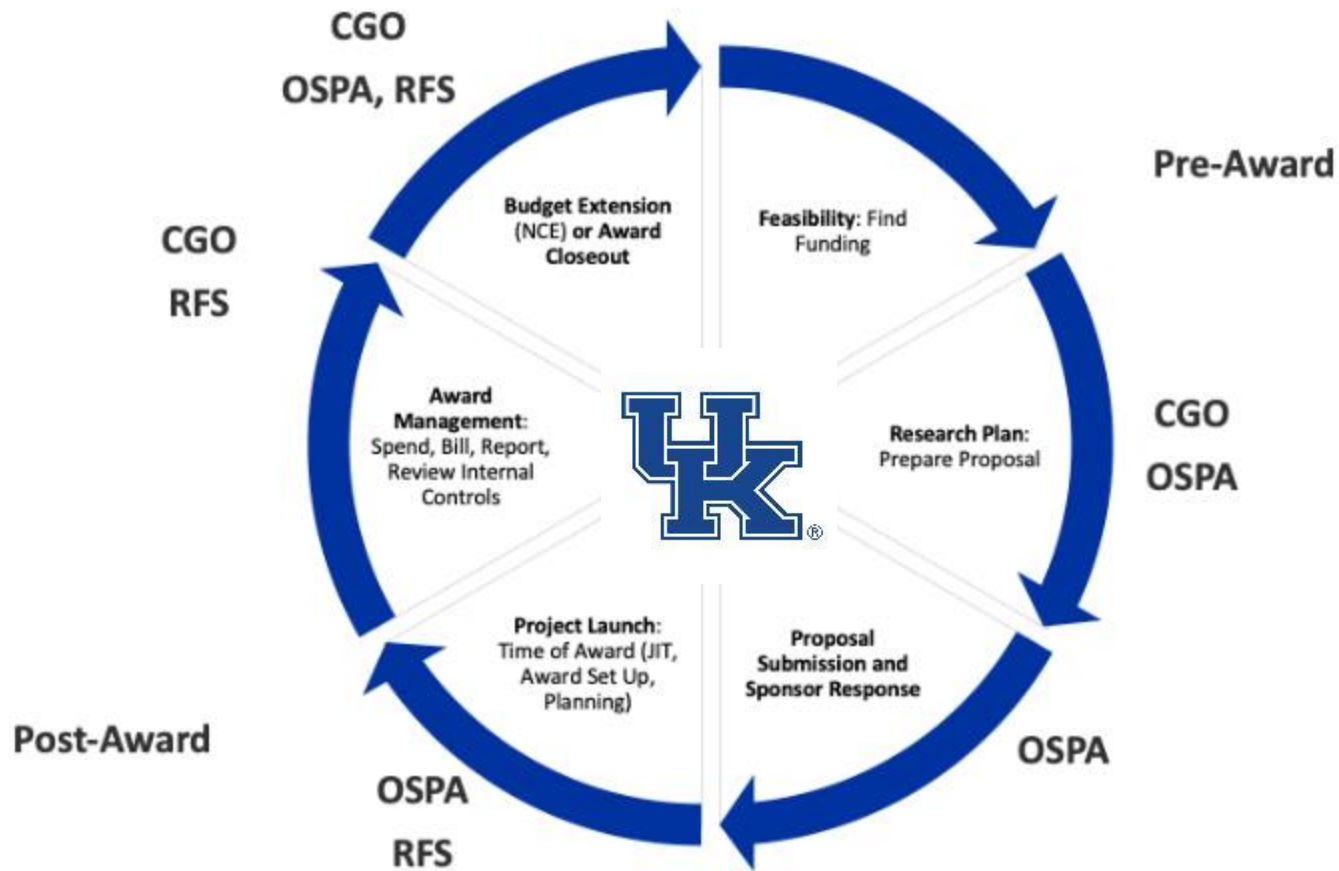
COORDINATION ACROSS CAMPUS

The UK sponsored programs lifecycle spans both pre- and post-award processes and includes research administration support from central [Office of Sponsored Projects Administration (OSPA) and Research Financial Services (RFS)], and College Grant Officers (CGOs).

Throughout the lifecycle of a grant, the process must be efficient, effective, compliant and seamless.

Office of the Vice President for Research

UK Project GATeWAY: The Case for Change: Growth in Grants and Contracts

Over the last decade, UK has nearly doubled its sponsored research which continues to grow. However, staff growth has not kept apace with growth in grants and contracts.

UNEVEN GROWTH

Total Awards ($M) FY12 – FY21

- FY12: $274.1M
- FY13: $265.9M
- FY14: $258.3M
- FY15: $285.1M
- FY16: $316.5M
- FY17: $331.3M
- FY18: $333.8M
- FY19: $417.1
- FY20: $429.2
- FY21: $468.0M

1,828 Awards

828 Principal Investigators

20 Sponsors

Recipient of the **"trifecta of National Institutes of Health Funding"**

Staff Growth vs Awarded Money Growth

Fiscal Year	Percent Change in Staffing	Percent Change in Awarded Grant $
FY 2017		4.7%
FY 2018	4.1%	0.8%
FY 2019	6.6%	25.0%
FY 2020	8.6%	2.9%
FY 2021	1.1%	9.0%

y-axis: Percent Change

■ Percent Change in Staffing   ■ Percent Change in Awarded Grant $

As the institution continues to grow its research portfolio, so must the number of staff who touch every part of a grant lifecycle.

Background: We spent a year assessing ourselves against benchmarks

Given recent growth in sponsored research over the last decade, UK worked with external consultants to conduct a comprehensive assessment of its research administration functions to improve operations and service to faculty.

Assessment included the following in-scope areas for research administration operations and functions at UK:

ORGANIZATIONAL STRUCTURE

Systematic assessment of the University's research administration / sponsored projects organizational structure

POSITIONS & RESPONSIBILITIES

Training, roles, responsibilities, and governance enabling accountability, workforce effectiveness, and change management

BUSINESS PROCESSES

Business Process Review of 20 sponsored project processes, policies, and practices across pre- and post-award functions

ELECTRONIC DATA MANAGEMENT

Assessment of current electronic system used to track proposal & award information to facilitate management of grants & contracts, & integrations with other systems

The goal of this assessment was to provide recommendations that enable to UK to:

1 Drive efficiencies and return on investment

2 Improve administrative operations

3 Improve overall service delivery

4 Foster trust and relationships with faculty

UK Research

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The Assessment led to Three Prioritized Recommendations that Align with UK PURPOSE
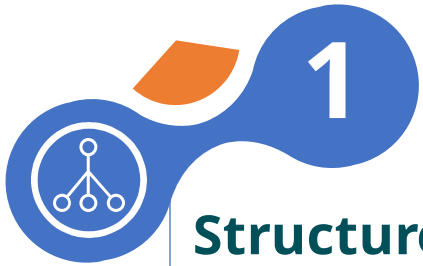
1 Structure

Develop an organizational structure with new job architectures, business processes, appropriate staffing and compensation levels which support growth while providing pathways for career advancement.

Recommendations

- Realign central research administration functions and responsibilities
- Implement a formal job architecture for all key research administration positions
- Reevaluate staffing levels across research administration functions
- Implement highlighted business process improvements

2 Collaboratives

◆ Create a collaborative shared service model for local grants administration, using successful grants administration structures developed in large colleges as a roadmap, including the development of a funding strategy.

Recommendations

- Reimagine local research administration support to improve areas such as:
  - Standardization of services
  - Support to allow for research growth across UK
  - Career growth and progression
  - Interactions with central units
  - Resourcing transparency

3 Technology

Prepare and implement a research technology and systems roadmap for research administration while looking for opportunities to explore Robotic Process Automation (RPA) enhancements.

Recommendations

- Prepare and implement a research technology and systems roadmap
- Explore Robotic Process Automation (RPA) opportunities in process areas such as account setup

UK Research

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Project GATeWAY Governance Structure

Throughout the Design Phase and moving into the Build & Test Phase, decision-making was escalated to different levels of the governance structure based on the framework below.

1 — Project Sponsors

Own final authority on all project decisions and designs, such as:
- Collaboratives designs, staffing models, governance structures, policy changes
- Impacts on stakeholders, project budget and timeline. or changes the scope

2 — Steering Committee

Provides **input, feedback, and makes recommendations** before final project sponsor decision after feedback from the Working Group Champions has been incorporated by the PMO Team

3 — Deloitte and UK PMO Team

Agreement is required for decisions related to business processes within their purview and project management decisions prior to bringing to the Steering Committee

4 — Working Group Champions

React to directional designs created by the Working Groups and **vote on preferences**, providing input to the PMO Team for necessary changed before bringing to the Steering Committee

5 — Working Groups

Help **create and provide input** on initial directional designs for the future state, discussing possible improvements before moving forward

Next Step: We used our Shared Governance Structure to define Project GATeWAY Vision and Guiding Principles

Vision

Handle the business of research so PIs can focus on the research

People

Create and **foster balance and career progression** for all grants administration staff

Teamwork built on **respect**, **civility** and **integrity** for all members of UK

Enhance the highest levels of **holistic wellness** by **taking care of our people**

Process

Provide equal or improved services that have **flexibility and customization** for the uniqueness of a given unit

Streamline and **standardize** processes to provide a **consistent level of service** while **staying compliant**

Ensure that **staff know how and why** they do things critical to the support of faculty

Technology

Maximize use of existing and new technologies to **establish single source of truth** that instills **confidence in the data**

Establish systems that are sustainable through growth while **investing in user-friendly technologies**

Leverage technologies that **increase administrative efficiencies** and **reporting capabilities**

Project GATeWAY Opportunity 1, Structure: Office of Sponsored Projects Administration (OSPA) Reorganization

The cornerstones of OSPA's services and support are 1) Proposal and Award Services, 2) Contracts/Subawards and Research Compliance, and Research Compliance, and 3) Institutional Compliance and Training.

New Organizational Framework	Upcoming New Resources and Services
✓ Revised structure to more closely aligns with Collaborative Grant Services (CGS) to provide a clear path of grant administration support for investigators ✓ Focused proposal and award work assignments to leverage staff expertise and streamline response and service times ✓ Integration of grant administration and compliance training for research administrators across campus ✓ Addition of staff to strengthen OSPA's support of sponsored projects	✓ Create OSPA services catalogue as resource for stakeholders ✓ Develop service level agreements with colleges/units ✓ Revise existing and/or develop new SOPs that align with process flow of proposals from CGS and reflect pre/post award staff assignments ✓ Design a contract tracking portal to enhance transparency for investigators regarding the status of contract negotiations ✓ Execute a training curriculum that aligns with or surpasses industry standards

- Resulted in 7 upgraded existing positions, support of 6 new OSPA positions within the FY24/25 UKRF budget

Office of the Vice President for Research

Project GATeWAY Opportunity 1, Structure: Research Financial Services Reorganization

RFS oversees the financial reporting and compliance requirements of all externally sponsored projects. The primary goal is to facilitate the management of funds provided to the university, in compliance with specific regulations and guidelines and prepare institutional reporting for external entities beyond sponsoring agencies (e.g. HERD/NSF, SEFA, NIH, DHHS, CAS).

RFS's services and support are 1) Monitor compliance with federal, state, and UK policies, as well as sponsors terms and conditions 2) Prepare complex data analytics 3) Provide post-award fiscal compliance training to the University 4) Work with all research administration units and colleges to enhance internal controls 5) Liaise with OSPA Training to incorporate post-award knowledge into training program development.

New Organizational Framework	Upcoming New Resources and Services
✓ Integration of post-award grant administration and compliance for research administration at the enterprise level ✓ Enhanced Award Closeout Team within Research Financial Services (RFS) ✓ Enhanced post-award fiscal compliance function ✓ Revised structure to more closely align with OSPA and CGS to provide post-award grant administration support for investigators ✓ Manage work assignments to leverage staff expertise to streamline response and service times ✓ Added financial administration staff to support compliance and close-out teams for sponsored projects. ✓ Provide accurate real-time invoicing, reporting and financial guidance	✓ Partner with VPR's office in developing and monitoring capacity model to ensure support for planned growth in grant awards ✓ Establish formal service level agreements in partnership with OSPA and CGS research administration support units ✓ Update existing and/or develop new SOPs to align with process flow of proposals from OSPA and CGS ✓ Participate in development of technology enhancements **Resulted in support of one new RFS position within the FY25 budget.**

Opportunity #2: Collaboratives for Grants Services (CGS) Development
6 Easy Steps

The conceptual Collaboratives model was defined during the Design Phase, including the finalization of service offerings and college hub groupings for the model, following the approach below.

1 **Vision & Guiding Principles**

Finalized the vision and guiding principles for Collaboratives across people, process and technology as the foundation of the initiative

2 **Services in Collaboratives**

Aligned on the type of services moving into Collaboratives across pre- and post-award as well as those staying at the college level

3 **College Groupings in Hubs**

Aligned on the number of Collaboratives hubs and which colleges will be in grouped into each of these hubs

4 **Unit Profiles**

Gathered and analyzed relevant metrics to evaluate the size and complexity of each college to inform the future state design of Collaboratives

5 **Portability Matrix**

Documented the feasibility, complexity and adjacency for each service to outline the level of effort to move each process to the Collaboratives organization

6 **Service Catalog**

Created a catalog to detail the responsibilities of each stakeholder group for each service, including PIs, OSPA, RFS, college-level staff

Research

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Our approach to Shared Services Within the CGS Catalog | The RACI Matrix

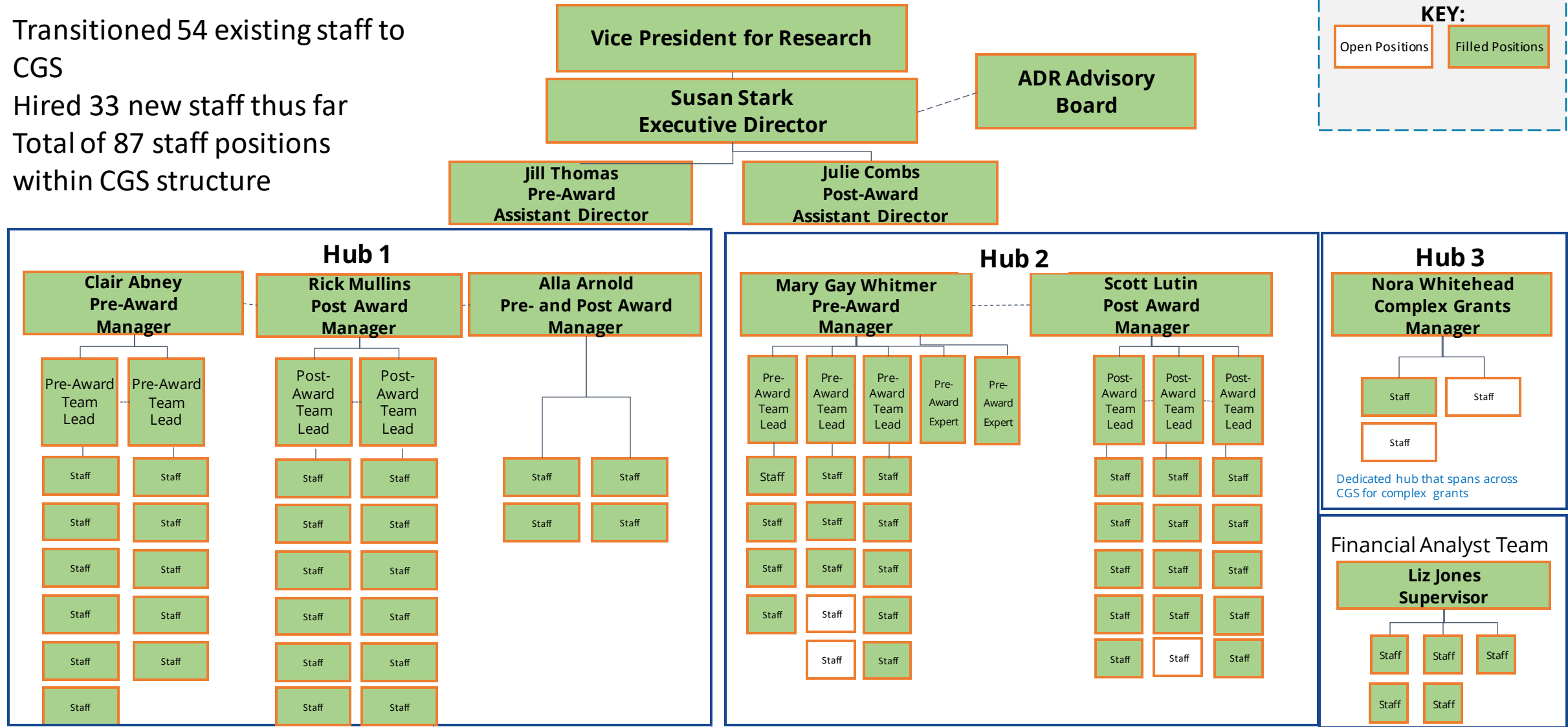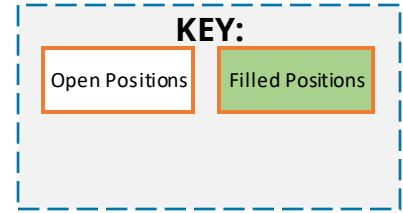| Responsible	Accountable	Consulted	Informed
Who is responsible for doing the actual work for the task.	*Who is accountable for the success of the task and is the decision-maker.*	*Who needs to be consulted for details and additional info on requirements (subject matter expert).*	*Who needs to be kept informed of major updates.*

Example(s)

Task	Responsible	Accountable	Consulted	Informed
Assist in the pre-proposal or LOI process for sponsors that require pre-application submission prior to full proposal	Collaboratives	PI	OSPA	College Staff
Develop budget and budget justification for proposal with guidance from the PI and collaborate with other administrators to obtain salary and other required costing information	Collaboratives	PI	OSPA College Staff	College Staff
Compile all required documents and ensure compliance with institutional and sponsor-specific policies	Collaboratives	PI	OSPA	College Staff

UK Research

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Collaborative Grants Services (CGS) Org Chart

- Transitioned 54 existing staff to CGS
- Hired 33 new staff thus far
- Total of 87 staff positions within CGS structure

KEY:
Open Positions | Filled Positions

Vice President for Research

Susan Stark
Executive Director

ADR Advisory Board

Jill Thomas
Pre-Award
Assistant Director

Julie Combs
Post-Award
Assistant Director

Hub 1

Clair Abney
Pre-Award Manager

Rick Mullins
Post Award Manager

Alla Arnold
Pre- and Post Award Manager

Pre-Award Team Lead | Pre-Award Team Lead

Post-Award Team Lead | Post-Award Team Lead

Staff | Staff | Staff | Staff | Staff | Staff

Hub 2

Mary Gay Whitmer
Pre-Award Manager

Scott Lutin
Post Award Manager

Pre-Award Team Lead | Pre-Award Team Lead | Pre-Award Team Lead | Pre-Award Expert | Pre-Award Expert

Post-Award Team Lead | Post-Award Team Lead | Post-Award Team Lead

Hub 3

Nora Whitehead
Complex Grants Manager

Staff | Staff

Staff

Dedicated hub that spans across CGS for complex grants

Financial Analyst Team

Liz Jones
Supervisor

Staff | Staff | Staff

Staff | Staff

- College of Agriculture, Food, and Environment
- College of Engineering
- College of Arts and Sciences
- C&Is reporting to the VPR

- College of Business and Economics
- College of Communication & Information
- College of Design
- College of Fine Arts
- College of Education

- College of Law
- College of Social Work
- The Honors College
- The Graduate School
- Libraries
- Other academic and non-academic units

College of Medicine
College of Dentistry
College of Health Sciences

College of Nursing
College of Pharmacy
College of Public Health

To go live with CGS, we implemented a series of Training Sessions for each Hub and developed a Collaboratives Training Curriculum

UK's Research Administration Training Program:

UK provided training to prepare faculty and staff for the new operating model, as well as developed a foundational research administration training program that covers the fundamentals of research administration processes and polices to set up each research administration employee for success.

Workforce Transition Curriculum

Trainings to successfully prepare employees for their new roles and responsibilities.

Stakeholders	Delivery
OSPA & RFS	• **1-hour sessions** • Two offered during the first go live • Record and post
PIs & Local College Staff	• **1-hour sessions** • One or two offered for each go live • Record and post
Collaboratives Staff	• **90-minute sessions** with sign ups • Two offered for each go live • Record and post

Continuing Education Curriculum

Trainings for employees in their new roles.

Three **2-hour sessions** that span the entire lifecycle that can be used to onboard future staff. These will be developed and conducted after the Workforce Transition Curriculum and will walk-through real-life situations for Collaboratives staff. This would include a separate session on:

• Proposal Development and Submission
• Handoff from Pre- to Post-Award; Account Setup
• Execute Closeout and Reporting

Office of the Vice President for Research

Training: Project GATeWAY Investigator Resources

An Investigator Transition Document, Quick Reference Guide (QRG), Guidance for Responsibilities, and a Project Checklist with relevant UK stakeholders has been created to support the transition to working with the new CGS.

Transition Document	Quick Reference Guide (QRG)	Guidance for Responsibilities	Project Lifecycle Checklist
Reference guide for the CGS transition. A high-level confirmation of the key changes an investigator will see during the transition, and the expectation of them or the CGS.	A high-level overview of the services provided to Investigators and the additional resources they have access to, to assist with the roles and responsibilities of the Investigator.	Outlines high level overview of Investigator and CGS Staff responsibilities and handoffs within the award lifecycle	Provides step by step checklist on tasks required of the Investigator throughout the sponsored project lifecycle

Training Staff within CGS: Standard Operating Procedures (SOPs)

To train CGS staff, we developed a series of SOPs that have been incorporated into an Operations Manual

Aligned on SOP Sections

SN	Section
1	Overview of Research Administration
2	Develop Sponsored Project Proposal & Review and Submit Application for Sponsored Project Funding
3	Current and Pending Support or Other Support
4	Post-Submission Activities
5	Review, Execute, and Establish Formal Sponsored Project Awards and Agreements
6	Establish Subawards
7	Manage Sponsored Project Spend
8	Maintain Subawards
9	Maintain Sponsored Projects
10	Sponsored Project Reporting
11	Execute Closeout Activities
12	Compliance Reporting

Drafting SOP Content

Contents:

1) Purpose

2) Policy Statement

3) Roles and Responsibilities

4) Procedures

5) RACI Matrix

6) Associated SOPs, Procedures, and QRGs

7) History

Create Operations Manual

Collaborative Grant Services

Operations Manual

Project GATeWAY Funding Model (within the proposed FY24/25 UKRF budget)

The Funding Model was developed through extensive discussions within our Shared Governance Structure, College and Center leadership, and in discussion with the Provost Chief Budget Officer and UK Chief Budget Officer.

INVESTMENT IN RESEARCH

The Funding Model assumes a 50:50 split between Central Administration (UKRF) and units receiving shared services from CGS.

VPR
$1.5 M
23%

CURRENT STATE
$6.4 Million
Grants Admin
23/77 Split

College/Units
$4.9 M
77%

VPR
$4 M
50%

FUTURE STATE
$8.0 Million
Grants Admin
50/50 Split

College/Units
$4 M
50%
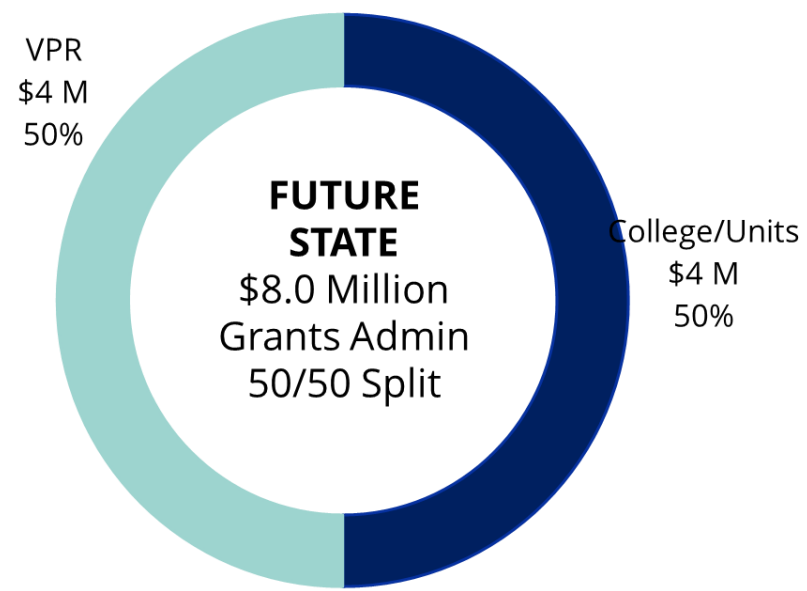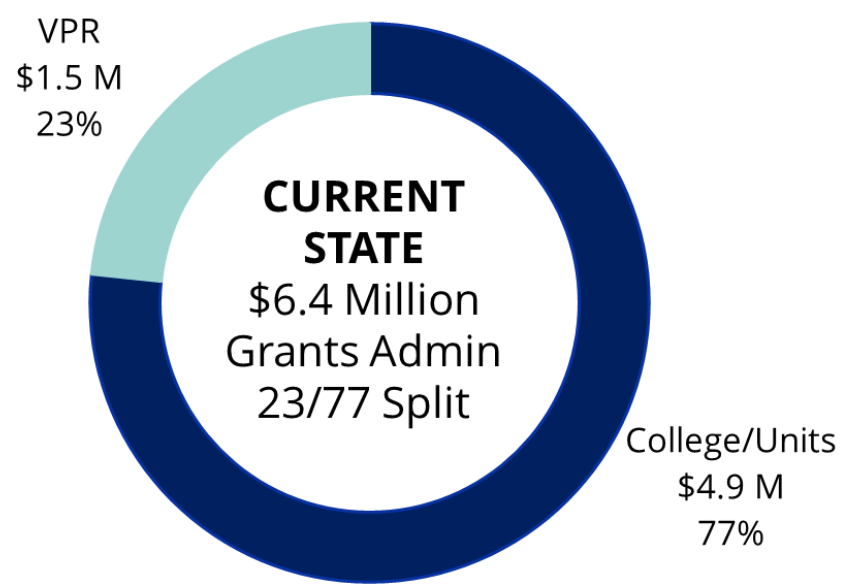
The Funding Model bases the unit's share of the costs of CGS on the unit's percentage of the university's total realized F&A (year prior). That percentage, which is an index of usage of the services, is applied towards 50% of the total cost of the CGS unit, the remainder is within the UKRF budget.

Continued Shared Governance Beyond the Completion of Project GATeWAY

It is important to define the organizational arrangements that determine who drives and participates in governance activities to ensure proper responsibility and accountability for key decisions and activities. This governance structure was defined in the Design Phase and has resulted in a formal Shared Governance Advisory Board that meets each month with leaders of Grants Administration Service Units.

RESPONSIBILITIES

Executive Director of Shared Collaborative Services
Strategic, High-level Decisions
- Sets strategy for shared services with input from the ADR Advisory Board and OSPA/RFS Leadership
- Conducts monthly meetings with Managers and Team Leads
- Provides final resolution for shared services issues

Management*
Program-Level Decisions
- Implements strategy for shared services
- Drives standardization and collaboration between hubs
- Manages hub-level SLAs for processes
- Manages talent and training
- Utilizes tools (listed below) to manage hub performance and service levels

Pre- and Post-Award Team Leads
Day-to-Day Decisions
- Primary point of contact for staff's questions and issues
- Resolves issues within hub purview
- Manages issue escalation and protocols
- Participate in monthly meetings with shared services leadership
- Manages hub to meet SLAs

*Management could be associate director or assistant director

Tools
- Responsibility Matrix: RACI (Responsible, Accountable, Consulted, Informed)
- Escalation and Change Control Process
- Enhancement / Decision Making Approach
- Service Level Agreements (SLAs)

Vice President for Research

Executive Director of Collaborative Grant Services

ADR Advisory Board

OSPA and RFS Leadership

Assistant Directors

Managers

Other Stakeholder Groups (e.g., OSPA, RFS, College DA/BO)

Pre- and Post-Award Team Leads

Pre- and Post-Award Team Staff
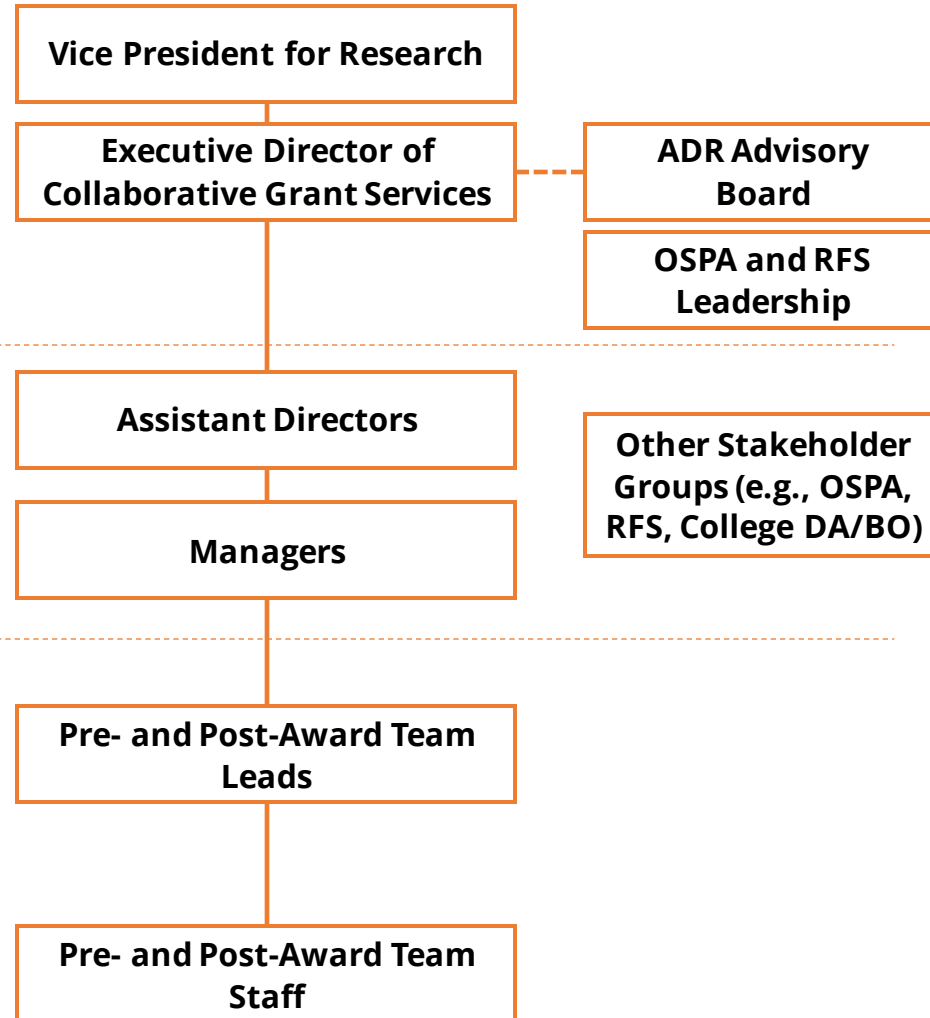
Using our Shared Governance structure, we developed formal Service Level Agreements (SLA) with each unit provided CGS Services

1 **Section I – General Information and Objectives**

Components:
1. SLA purpose and expectation
2. Mission
3. Vision
4. Guiding principles
5. Goals
6. CGS structure

2 **Section II – Service Components**

Components:
1. Location
2. Services
3. Expectations for response
4. Escalation procedures
5. Inappropriate request
6. Tracking effectiveness

3 **Section III – SLA Maintenance**

#	Component	Detail
1	*Conditions Requiring Maintenance*	As processes and policies evolve, changes to services and service levels may be required. Updates and changes to the SLA can be identified, presented, and confirmed through periodic review process.
2	*Periodic Review of SLA*	The CGS Executive Director and ADR Advisory Board will meet semi-annually to review the SLA to determine whether the services and service level commitment are meeting the needs of the departments served.
3	*Ad Hoc Maintenance Requests*	College Department Chairs, Department Administrators and Deans can propose changes to the SLA outside of the regular review process by raising their concern to the appropriate ADR who will meet with the CGS Executive Director.

4 **Section IV – Funding Model and Signatures**

The office of the VPR is committed to supporting and facilitating research, scholarship, and project initiatives, and the funding model is designed to ensure the successful launch and execution of such endeavors.

Beginning July 1, 2024, the new 50/50 funding model will go into effect for fiscal year 25

College/Unit
Name: [Insert Name]
Title: Associate Dean for Research

Signature: _____
Date: _____

Collaboratives Grant Services
Name: Susan Stark
Title: Executive Director of Collaboratives Grant Services

Signature: _____
Date: _____

Research

Office of the Vice President for Research

Project GATeWAY Investments in People, Process and Technology: Transformation of Grants Administration

Throughout the duration and leading up to Project GATeWAY, the university has made significant investments across people, process and technology in the research enterprise.

FISCAL AND TIME INVESTMENTS

PEOPLE	PROCESS	TECHNOLOGY
Since Fiscal Year 2022 ❖ **Additional Staff:** 79 new staff have been hired across CGS, OSPA, and RFS combined. ❖ **Promotions and Pay Equity**: staff have received promotions and pay equity adjustments across CGS*, OSPA, and RFS.	The Project GATeWAY Team held **over 32 hours of business process review sessions** with vested parties to improve current and future state processes.	The Project GATeWAY Team held **over 10 hours of meetings with the Technology Working Group** to improve current and future state technologies across research.

UK Research

Office of the Vice President for Research

We aren't finished, now we will focus on Career Pathing for our Staff

Within the CGS structure, career paths were intentionally designed to provide growth opportunities for staff at all levels, including creating functional subject matter expert roles for those who do not wish to move to a supervisory track.

SUPERVISORY TRACK

Trainee (Grade 43) → **Specialist** (Grade 44) → **Specialist Associate** (Grade 45) → **Specialist Sr** (Grade 46) → **Specialist Principal** (Grade 47) → **Manager** (Grade 48) → **Assistant Director** (Grade 49) → **Executive Director** (Grade 51)
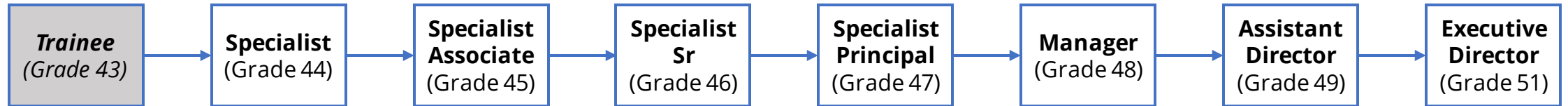
- Staff reporting directly to Managers (e.g., Hub 1 smaller colleges, Hub 3) can move to Team Lead positions within their hub or others

FUNCTIONAL TRACK

Trainee (Grade 43) → **Specialist** (Grade 44) → **Specialist Associate** (Grade 45) → **Specialist Sr** (Grade 46) → **Specialist Principal** (Grade 47) → **Team Lead** (Grade 47)
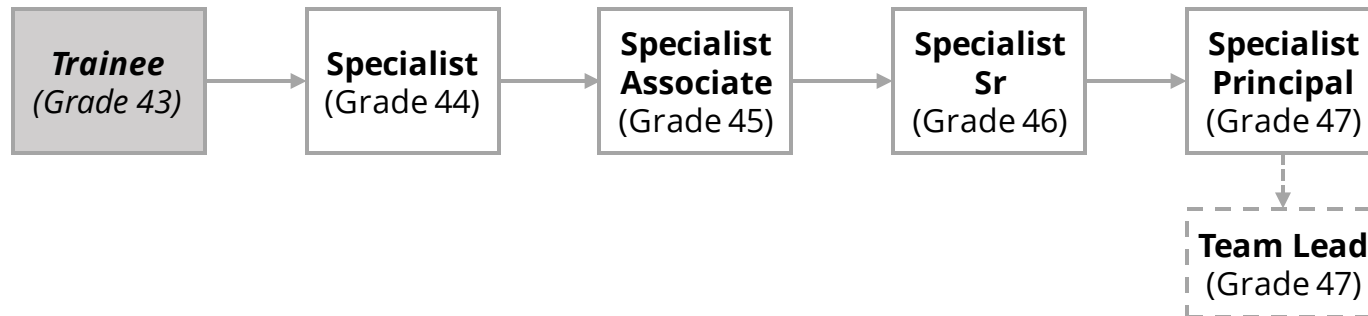
- Specialist Principals report directly to Managers rather than Team Leads
- Functional Track is capped at Grade 47, but Specialist Principals can move laterally to Team Lead if they are later interested in the supervisory roles and exhibit supervisory qualities

Office of the Vice President for Research

Career Pathing Across the Entire Research Administration Domain to Retain Talent

Beginning with our Grants Administration Structure, we will develop transparent career paths based on 3 key competency areas related to leadership and teaming skills, customer service and deliverable management, and research knowledge.

Leadership & Teaming

Service Excellence

Research Acumen
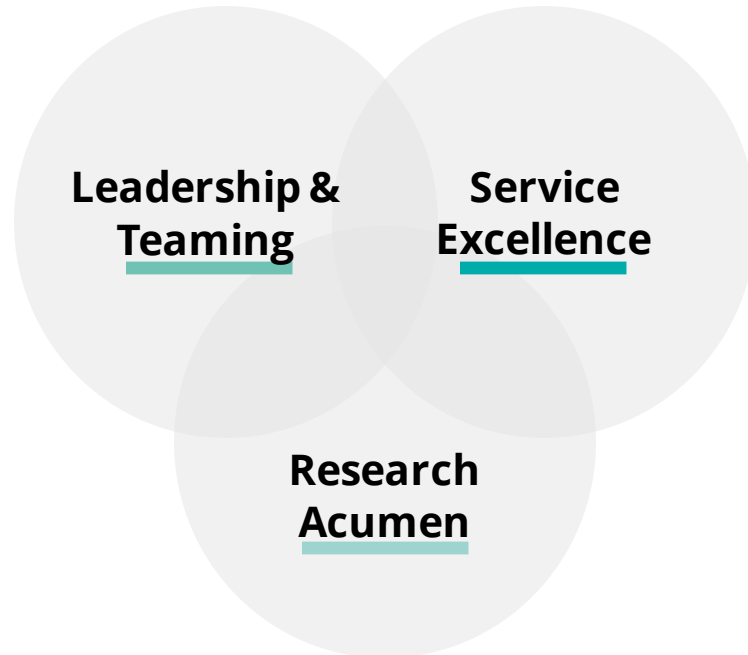
Leadership and Teaming

- Demonstrated collaboration with other research offices
- Communication skills
- Networking and ability to form professional relationships
- Support and mentorship of team and colleagues
- Promotion of UK culture and inclusion

Service Excellence

- Quality of work
- Prioritization of workload
- Ability to meet deadlines and respond to requests within determined timeframes
- Ability to resolve issues / answer PI and faculty questions
- Demonstrated initiative and growth in services provided
- Client relationship management

Research Acumen

- Demonstrated knowledge of SOPs and Business Processes
- Firm understanding of research portfolio
- Use of research tools and systems
- Understanding and experience of research sponsors
- Understanding of compliance requirements
- Participation in professional organizations (not required)

Charged a Workgroup to develop career pathing within the management structure of OVPR administrative units, including a funding model for this program

UK Research

Office of the Vice President for Research

Taking Care of our People, the Research Leadership Academy (RLA): Complex Grant Office (served by Hub 3 of CGS)

- This office provides an array of support for PI's willing to step-up and apply for complex grants that have high impact.

- Support includes grant administration assistance, financial support, program coordination, external review, facilitation of research needs to support the proposed research across realms, etc.

- To date, the Complex Grants Program:
  - Has supported the development and submission of 25 complex grant applications totaling $251M.
  - While many of these grant applications are pending, thus far 6 applications, totaling $57.5M have been funded.
  - These are high-impact grants, covering topics like:
    - Tobacco Regulation
    - Advanced Manufacturing in Kentucky
    - Substance Use Coordinating Center
    - Climate Resilience in Kentucky

Research

Office of the Vice President for Research

Taking Care of our People, RLA Career Development– Cohort 2

Participant	Title	Project	College	Department
Ickes, Melinda, Ph.D.	Professor	PREVENT: Prevention Research to Educate, advocate, and Empower the Next generaTion	College of Education	Kinesiology and Health Promotion
Jung, Yuha, Ph.D.	Associate Professor	Nonprofit Museums and their Tax-exempt Status	College of Fine Arts	Arts Administration
Kachroo, Aardra*, Ph.D.	Professor	ACAIA, a center for Accelerating Convergence of AI and Agriculture	College of Agriculture, Food and Environment	Plant Pathology
Kalliney, Peter, Ph.D.	Professor	Commonwealth Institute for Black Studies	College of Arts and Sciences	English and African American and Africana Studies
Luo, Liang, Ph.D.	Professor	Promoting Public Facing Transdisciplinary Research on Global Asias	College of Arts and Sciences	Modern and Classical Languages, Literatures, and Cultures
Nikolajczyk, Barbara, Ph.D.	Professor	Advancing TRAnslational ResearCh Teams (ATRACT)	College of Medicine	Pharmacology and Nutritional Sciences

* Accepted into the RLA program; deferred participation as invited to join NSF for a two-year period as a rotating program officer.

Research

Office of the Vice President for Research

UK PURPOSE and Research

Following our Strategic Plan
Inspiring Ingenuity: Research Priority Areas, UK Innovate, Emerging Themes for Research, Igniting Research Collaborations, Other Program Offerings to Support Researchers

UK Research

Office of the Vice President for Research

Research Priority Areas (RPA)

Criteria for becoming a RPA:

- **Local relevance** of the research, global impact

- **Existing faculty strength** and research leadership

- Disciplinary **research diversity**

- Potential interconnections of research with **educational opportunities**

- **Impact** of research on UK and the Commonwealth

- **Sustainability** of research
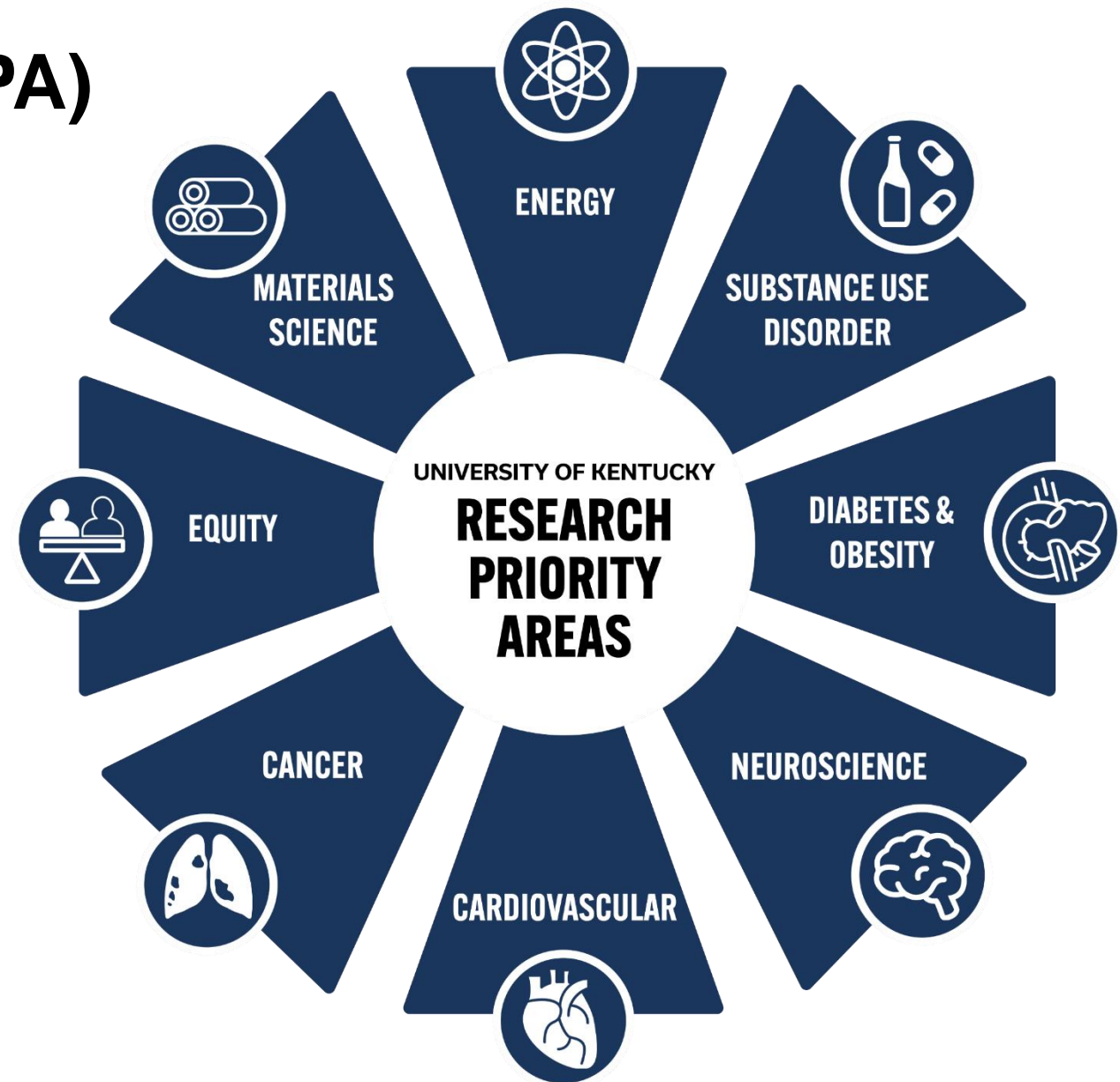
University of Kentucky
Awarded Grants and Contracts by Research Priority Area
Fiscal Year 2015 through 2023

Start of RPA Initiative =

Chart showing awarded grants and contracts by research priority area with dollar values on the y-axis from $M to $100M.

- Cancer: $49M ... $71M — **CAGR = 4.7%**
- Cardiovascular: $32M ... $27M — **CAGR = -1.9%**
- Diabetes & Obesity: $48M ... $49M — **CAGR = 0.4%**
- Equity: $8M ... $63M — **CAGR = 28.9%**
- Energy: $25M ... $34M — **CAGR = 4.0%**
- Materials Science*: $8M ... $29M — **CAGR = 16.4%**
- Neuroscience: $24M ... $75M — **CAGR = 15.6%**
- Substance Use: $30M ... $74M — **CAGR = 11.8%**
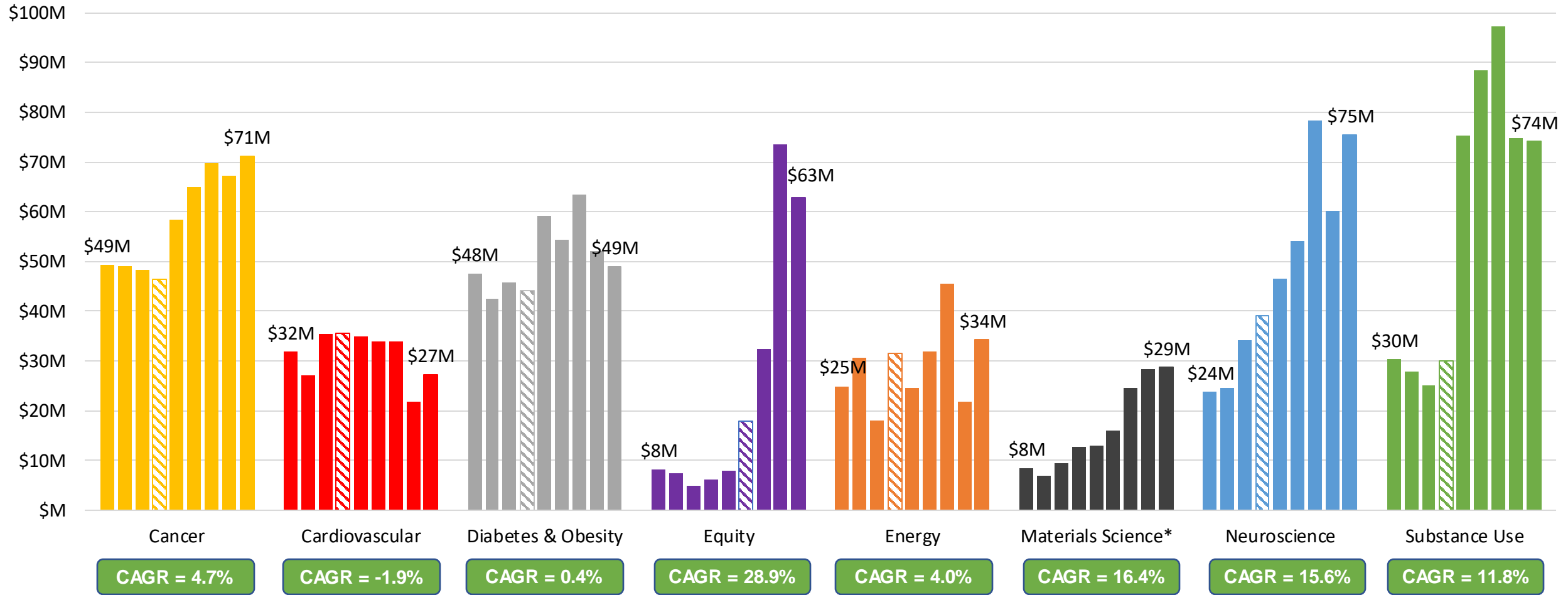
*RPA established with the start of Fiscal Year 2023-24. Note: Awarded projects for each thematic area are not mutually exclusive. Projects may be represented in one or more areas. Additionally, projects are based on keyword searches and may not include all related projects and may contain some projects that aren't specific to that area of research. CAGR = Compound annual growth rate. Source: UK OSPA Database, June 30, 2023

UK Research

Office of the Vice President for Research

RPA Engagement & Impact

RPA Program Impact*

Fiscal Year 2023

- $4.02 million in Expenditures:

  - Recruitment of Six Research-Active Faculty
  - Numerous Research Days & Symposia
  - $1.2M committed to Pilot/Seed projects
  - $440K in committed to research Start-Up Funds
  - $110K Retention Package
  - $518K+ in Equipment & Core Facilities Support
  - $331K in Trainee and Student Research Support
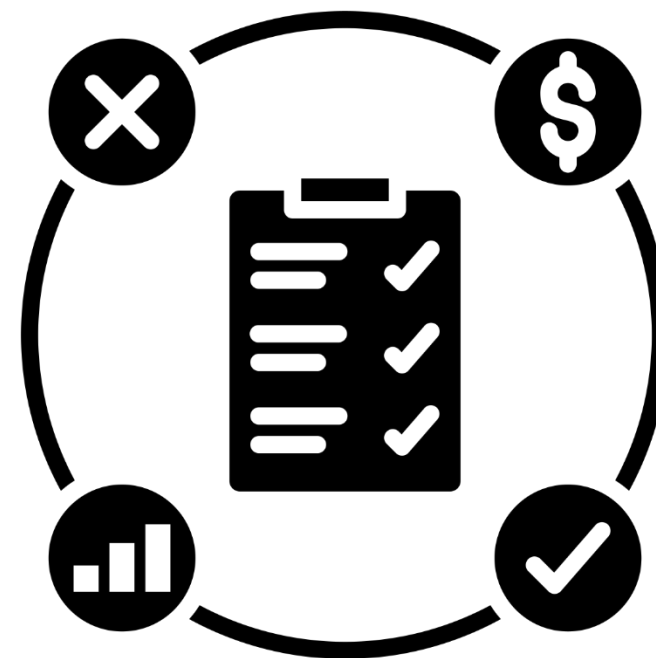
*Estimates based on submitted FY 2023 Annual RPA Reports

Research

Office of the Vice President for Research

UK INNOVATE
UNIVERSITY OF KENTUCKY RESEARCH

New Competitiveness for Extramural Economic Impact Funding Since 2021

University Center						Capital Challenge
$1M	**$3M**	**$15M**	**$1M**	**$1M**	**$8M**	**$750k**
$1M to UK	$1M to UK	$1M to UK	$200K to UK	$1M to UK	$1M to UK	

New Research Grant: NSF ART

Accelerating Research Translation

- Partner: George Mason University

- Inaugural program from NSF TIP, focused on translational research capacity

- $6M award for 4 years, with 10% to a "Mentor Institution"
  - UK is George Mason's "Mentor Institution"

- Commercialization, technology transfer, entrepreneurship and research impact through extension program

Office of the Vice President for Research

KENTUCKY INNOVATOR CHALLENGE
Coming together to solve future-forward problems for Kentucky!

- TED-style talks from regional executives on their unmet research and development needs.

- Federal agencies highlighting collaborative grant opportunities.

- 2023 outcomes include:
  - New research collaborations.
  - New business-2-business and university partnerships.
  - Heightened awareness of regional businesses and unique challenges.

Office of the Vice President for Research

Inspiring Ingenuity: RLA Emerging Themes for Research, a Partnership with the Provost and UKHC

Funding Period	Participants	Degree	Project	College
2024-2025	Gustafson, Alison	Ph.D.	Food as Health Alliance	Medicine
2024-2025	Pendergast, Julie	Ph.D.	Circadian and Sleep Health for a Healthy Kentucky (CASH KY)	Arts & Sciences
2024-2025	Messaoudi Powers, Ilhem	Ph.D.	Consortium for Infectious Disease Research at the University of Kentucky	Medicine
2024-2025	Radtke, Rebekah	MArch	Global x Appalachia	Design
2024-2025	Richards, Christopher	Ph.D.	Nanomedicine and Bioelectronics	Arts & Sciences
2024-2025	Strakovsky, Dmitry	MFA	Creative Gateway for Advancing Digital Health	Fine Arts
2022-2024	Waters, Christopher	Ph.D.	Kentucky Research Alliance for Lung Disease	Medicine

UK Research

Office of the Vice President for Research

Inspiring Ingenuity: Other Research Program Offerings

- **Igniting Research Collaborations:** cross-college transdisciplinary pilot seed support program, networking, grant write-up follow through. This program has supported **103** pilot projects since 2014 costing $3.3M, with a ROI on these dollars of approximately $62M.

- **CURATE Committee:** innovative programs to support social science, fine arts, business/economics, education, design, communication research

- **Lunch and Learn Series:** sharing of information to promote research collaboration

- **Conference Support Grants**: for conferences held at UK that have international impact

Research

Office of the Vice President for Research

UK PURPOSE, Research and the UKRF Budget

Following our Strategic Plan

Trust, transparency and accountability

Trust, transparency and accountability in Research

- Project GATeWAY extensive shared governance structure use throughout the project, career pathing for transparent path to staff promotion

- Monthly meetings of the Research Advisory Group, Associate Deans for Research, Department Chairs and Research Center Directors, OVPR leadership team

- Regular meetings of Research Staff Directors, Center and Institute Directors, Research Priority Area leaders

- Regular reporting within these meetings on staff unit productivity

- Responsible Conduct of Research Training, online and in-person mandatory training for over 14,000 UK researchers

- Electronic Laboratory Data Notebook for data storage

- iThenticate anti-plagiarism software

- Scholars@UK inward and outward facing researcher and unit research profiles

Research

Office of the Vice President for Research

UK PURPOSE, Research and the UKRF Budget

Following our Strategic Plan

Many People, One Community

Many People, One Community of Research

- UNITE program offerings that span from undergrads, graduate students, postdocs, faculty to the community

- Research Scholars Program for junior investigators

- Individual Postdoctoral Enrichment Program for scholars under-represented in their field of study

- UKinSPIRE: international research pilot/seed support, in its second year in partnership with the International Office

- Extensive support of large, programmatic grants that have broad impact = NIH CTSA, NCI designated comprehensive cancer center, NIH HEALing Communities Study, NIH Alzheimer's Disease Center, NIH UK-CARES for environmental impact across the Commonwealth, NIH KYNETIC, NIGMS Innovator Hub, NSF EPSCoR Program, AppalTRuST

UKRF Budget

- For FY23, we budgeted $70M of anticipated F&A income, representing a 5% increase from the previous year because of growth in extramural grants and contracts
- FY24 Proposed Budget: $73M (a 4% increase, based on growth in realized F&A within the previous year)

Research

Office of the Vice President for Research

Tab 5B, Page 1 within your packet Budget Summary

- Total Revenue:
  $176,243,755, representing an increase of $18,674,355

- Transfers and Expenditures:
  - Transfers of $34,461,955 to the institution
  - Expenditures of $141,781,800
  - For a total Transfers and Expenditures of $176,243,755

Tab 5B, Budget Page 2 within packet
II. Transfers to General Fund (major changes)

- A.2. Service assessment, +$139,355

- A.7. Research Financial Services, +$73,500, new position from Project GATeWAY

- A.8. VP University Relations, Research Communications, +$73,200, promotions and shared position

- B.1. Research Administration Personnel and Support, +$1,571,800, Project GATeWAY new positions and restructuring of OSPA, position upgrades, annual salary increases

- B.2. Collaborative Grant Services, +$2,999,200, 50% salary costs for 87 shared service positions

- B.3. Office of Technology Commercialization, +$129,700, salary increases and promotion

- D. Debt Service, Removal of BBSRB debt -$1,786,400, addition of more funds for HKRB debt +$1,719,900, adding renovation debt for Sanders Brown +$276,500

Office of the Vice President for Research

Tab 5B, Budget Page 2 within packet
II. Expenditures, A. Operating expenses

- A. Operating Expenses, Research Administration
  - A.2.b. Research Administration Software: +$68,400, increase in enterprise software costs
  - A.3 OSPA, -$16,900, reduction in operating costs due to increased numbers of remote employees
  - A.4. Federal Relations, +$12,000, increased travel costs
  - A.7. Discretionary Accounts: +$4,000, shared services staff allocation
  - A.11. Research Buildings Facilities Management: -$12,500, reassignment of equipment maintenance costs to colleges
  - A.13, Proposal Development Office: +$7,600, software cost increase
  - A.14, Office of Research Integrity, -$4,000, online IRB meetings reduce operating cost needs
  - A.15, Research Financial Services: +$27,100, new laptops for additional employees, software increases
  - A.17. Collaborative Shared Services, +$45,600, operating costs for Shared Services Collaboratives for grants administration

Tab 5B, Budget Page 3 within packet
II. Expenditures, B. Other activity

- B.1. Contingency reserve: +$300,000, 10% of estimated budget

- B.2. Private gifts/endowments: +$108,700, increase in anticipated gift/endowment expenditures

- B.3. Intellectual property License Expenses: +$400,000, estimates of patent/license costs

- B.4. Intellectual property royalty sharing: +$778,700, increase in royalty sharing program expenses due to fund balances & increase in patent income

- B.5. UK Innovate: -$680,300, salary support elsewhere, reduced travel costs

- II.B.6. Clinical Support Office Fees, +$10,000, increase in Viticulture sales

Tab 5B, Budget Page 3 within packet
II. Expenditures, C. Research Programs

- 1a. Formulaic start-up: +$600,000 (20% of UKRF budget)

- 2a-c. Formulaic incentive return programs to colleges/centers: +$1,150,900, (~45% of overall budget)

- 3b. Research Leadership Academy: -$400,000, not offering career development program in FY25

- 4. Grant Related Support: -$1,000,000, requests for grant support have decreased

- 5. Shared Use Facilities: -$53,600, reductions in service center subsidy needs

- 6. University Wide Initiatives, +$18,900, removal of one service unit, additional support for bioinformatics

- 7a-c. Strategic Investment Fund: -$1,887,000, capping of RPA allocations to $500K/area, no increase in competitive pool for this program

- 8a. Fund Balance Carryforward Estimate: +$14,000,000, fund balance across departments, colleges, centers

Research

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