



# **2008 Research Report UKRF Board of Trustees**

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

**27 May 2008**

# 2007 - 2008 Highlights

## Research Administration

- OVPR leadership change
- AAHRP accreditation (human subjects)
- F&A cost rate analysis & negotiation
- Attending Veterinarian
- Research Advisory Council
- Faculty start-up activity

# 2007 -2008 Highlights

## Research Development

- Center for Clinical & Translational Science (CCTS)
- Energy research at CAER & KGS
- Environmental Institute
  
- Proposal numbers steady
- Awards down (8.4% year-to-date April 30)
- Directed appropriations up

# 2008 – 2009 Initiatives

## Research Administration

- Review research operations
- Increase effective F&A cost recovery
- Review F&A return to academic units
- Classified research initiatives

## Research Development

- National Institute of Hometown Security
- NIH CTSA amended application
- Center for Pharmaceutical Research & Innovation (CPRI)

# 2008 – 2009 Initiatives

## Research Compliance

- AAALAC site visit (Fall 2008)
- Effort reporting
- Export controls
- Responsible Conduct of Research – NSF
- Federal Acquisition Regulations (FAR)  
“ethics code”
- Lobbying Disclosure Act

# Challenges to Research

- Research space limitations
- Aging research equipment
- Federal R&D budget outlook
- Faculty & staff retention

# Top 20 Update FY 2006 NSF Ranking

## All R&D expenditures

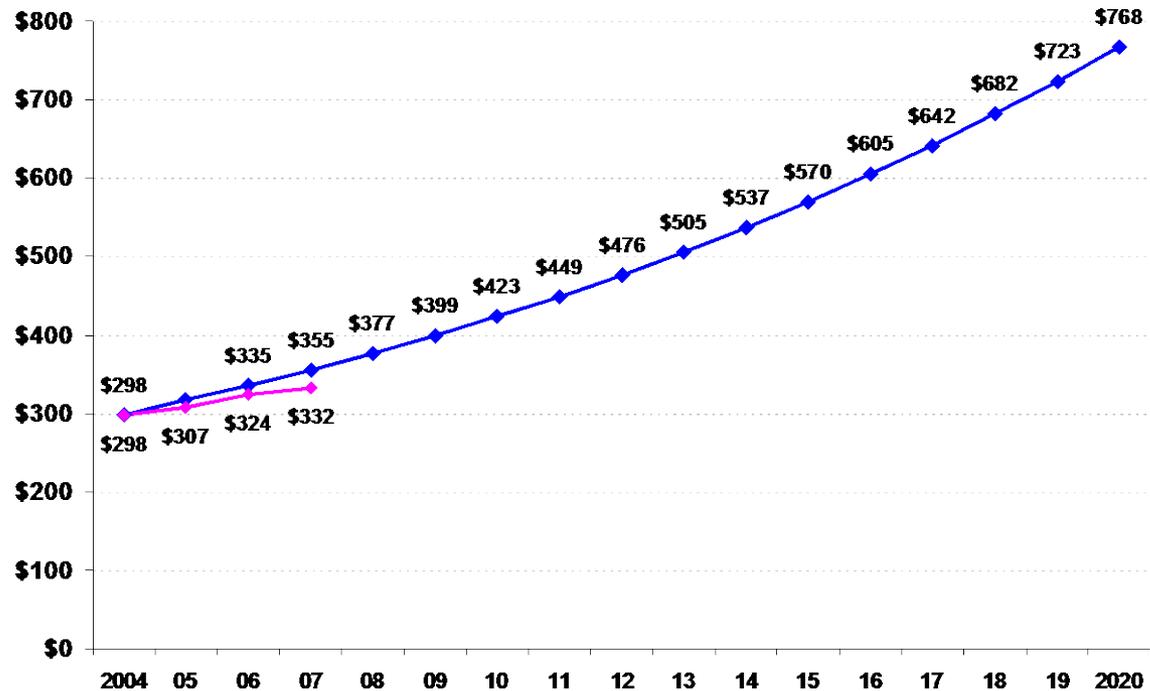
- UK 34<sup>th</sup> \$323.96M (34<sup>th</sup> in FY2005)  
8.9% increase over FY2005
- Georgia Tech 20<sup>th</sup> \$441M

## Federal R&D expenditures

- UK 40<sup>th</sup> \$151.2M (39<sup>th</sup> in FY2005)  
16.4% increase over FY2005
- UC Davis 20<sup>th</sup> \$248.2M

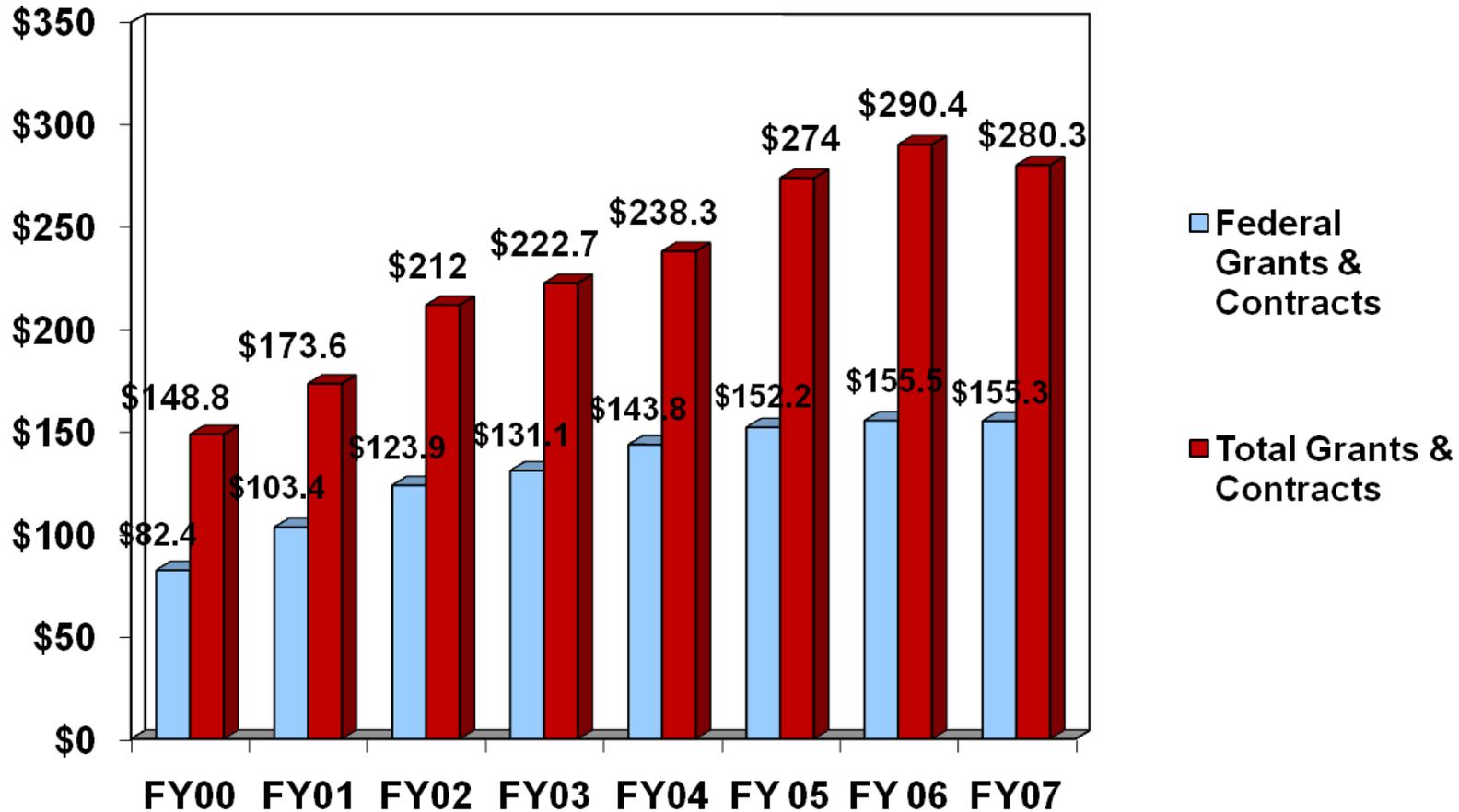
# Top 20 Update

**Total Research Expenditures Growth:  
Recent Trends and Top 20 Projections  
(in millions)**



Based on National Science Foundation Survey of R&D Expenditures at Universities and Colleges in science and engineering fields.

# Grant & Contract Awards

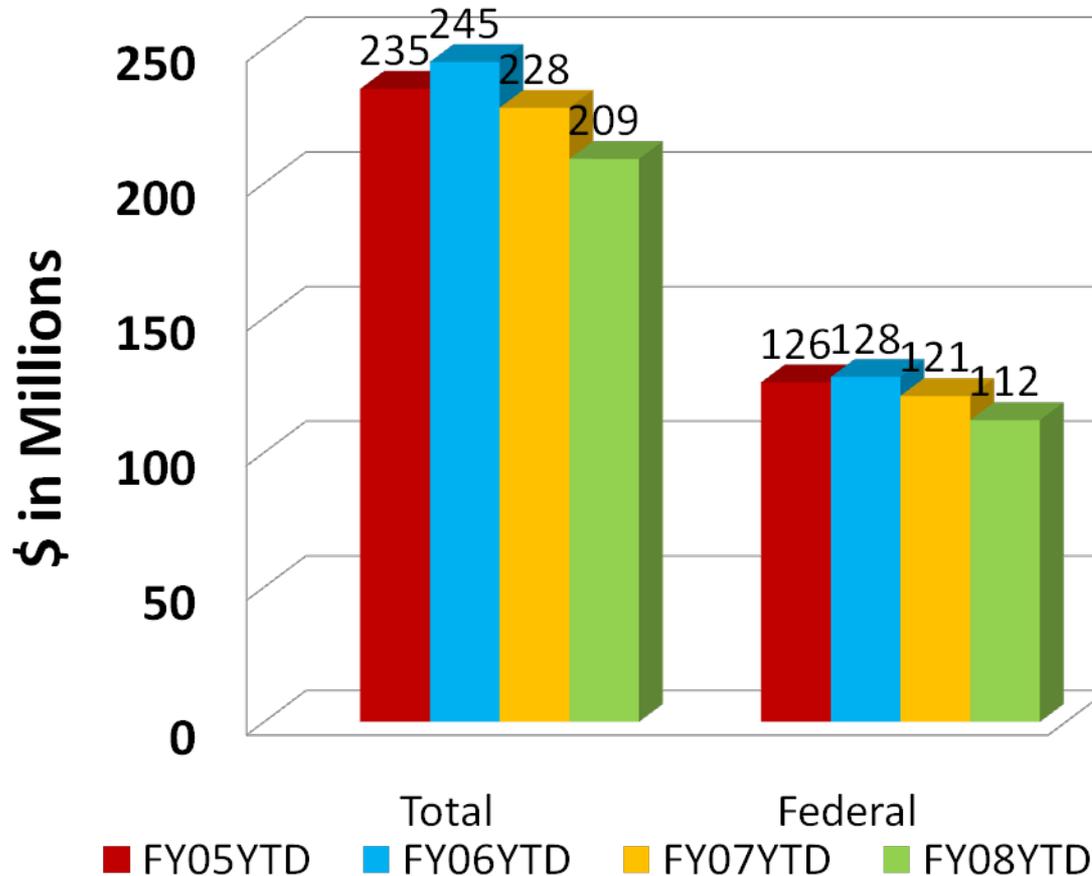




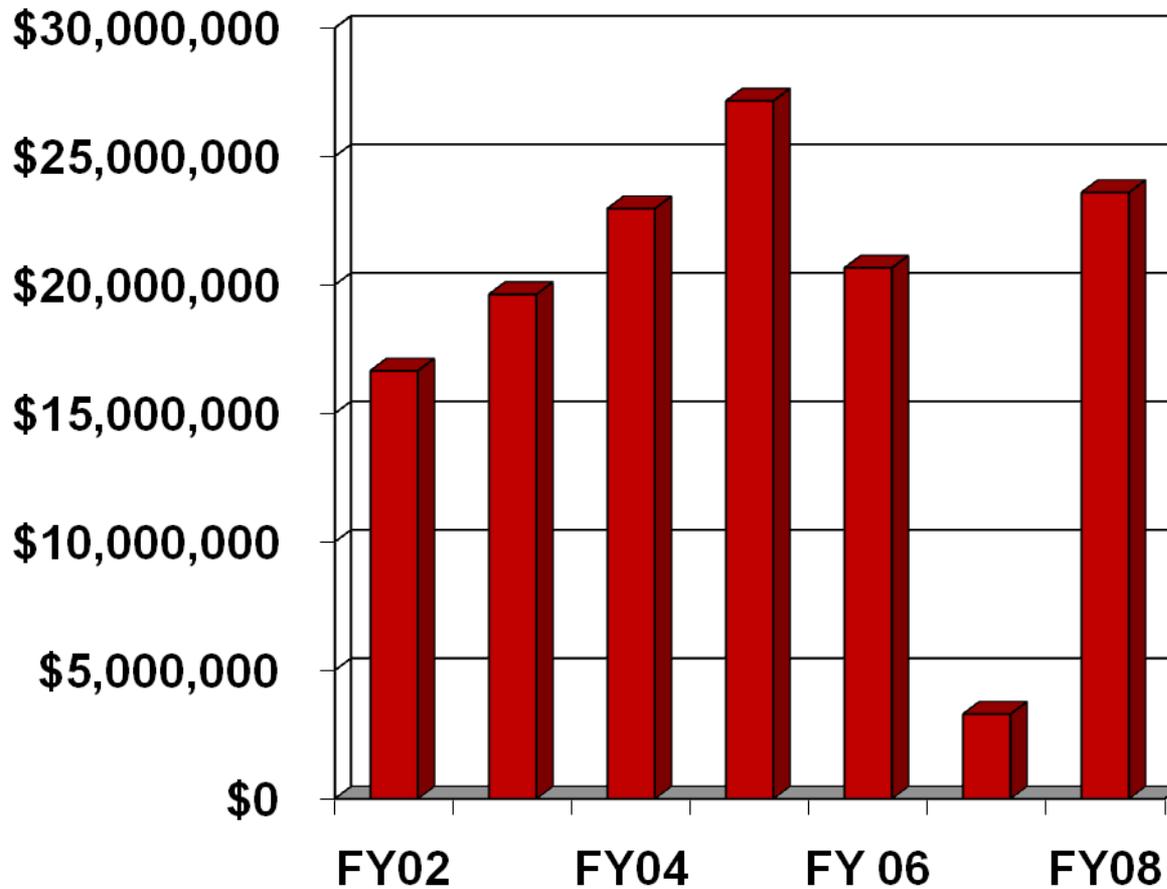
# FY07 Awards & Expenditures

College	Awards 2007	Expenditures	
		Direct 2007	F&A 2007
Medicine	\$115,365,436	\$126,972,138	\$23,323,427
Research C&I	\$36,962,004	\$28,881,322	\$2,952,801
Agriculture	\$31,488,174	\$23,207,776	\$2,310,230
Engineering	\$24,513,633	\$21,448,795	\$3,894,439
A&S	\$20,774,333	\$16,031,715	\$4,101,382
Pharmacy	\$9,716,255	\$7,926,025	\$2,305,269
Public Health	\$7,753,385	\$5,723,176	\$767,393
Education	\$7,143,734	\$4,854,671	\$359,574
Social Work	\$4,946,759	\$4,020,833	\$345,104
Dentistry	\$4,655,518	\$4,000,670	\$997,419
Graduate School	\$2,802,385	\$2,551,271	\$561,364
B&E	\$3,480,415	\$2,883,324	\$361,655
Nursing	\$3,439,076	\$1,801,533	\$421,876
Health Sciences	\$2,395,310	1,259,267	\$327,889
Communications	\$853,174	\$791,754	\$252,587
Design	\$82,900	\$146,820	\$31,977
Libraries	\$765,578	\$336,488	\$50,499
Law	\$1,498,842	\$518,126	\$3,714
Fine Arts	\$20,000	\$2,770	\$0
<b>Other</b>	\$1,608,377	\$1,858,611	\$199,983
<b>TOTAL</b>	<b>\$280,265,288</b>	<b>\$255,217,085</b>	<b>\$43,568,582</b>

# Awards Year-to-Date (July 01 through April 30)



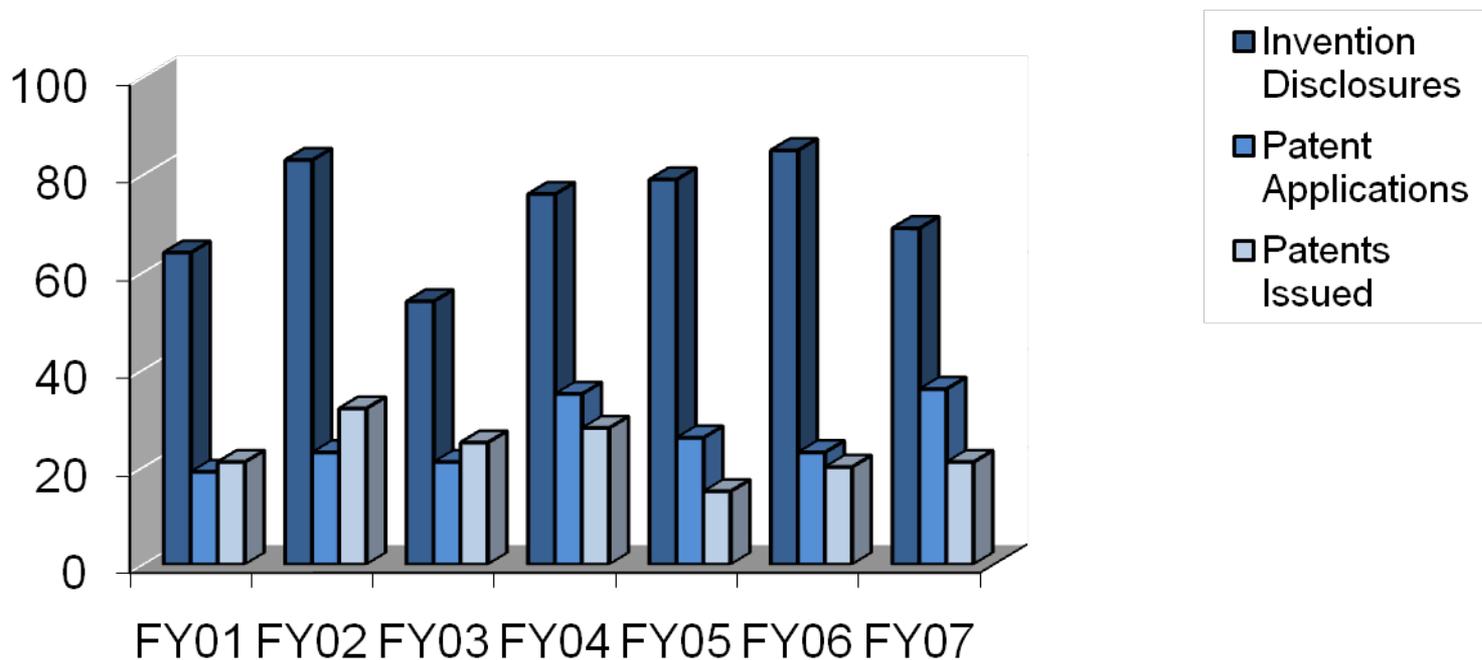
# Directed Appropriations



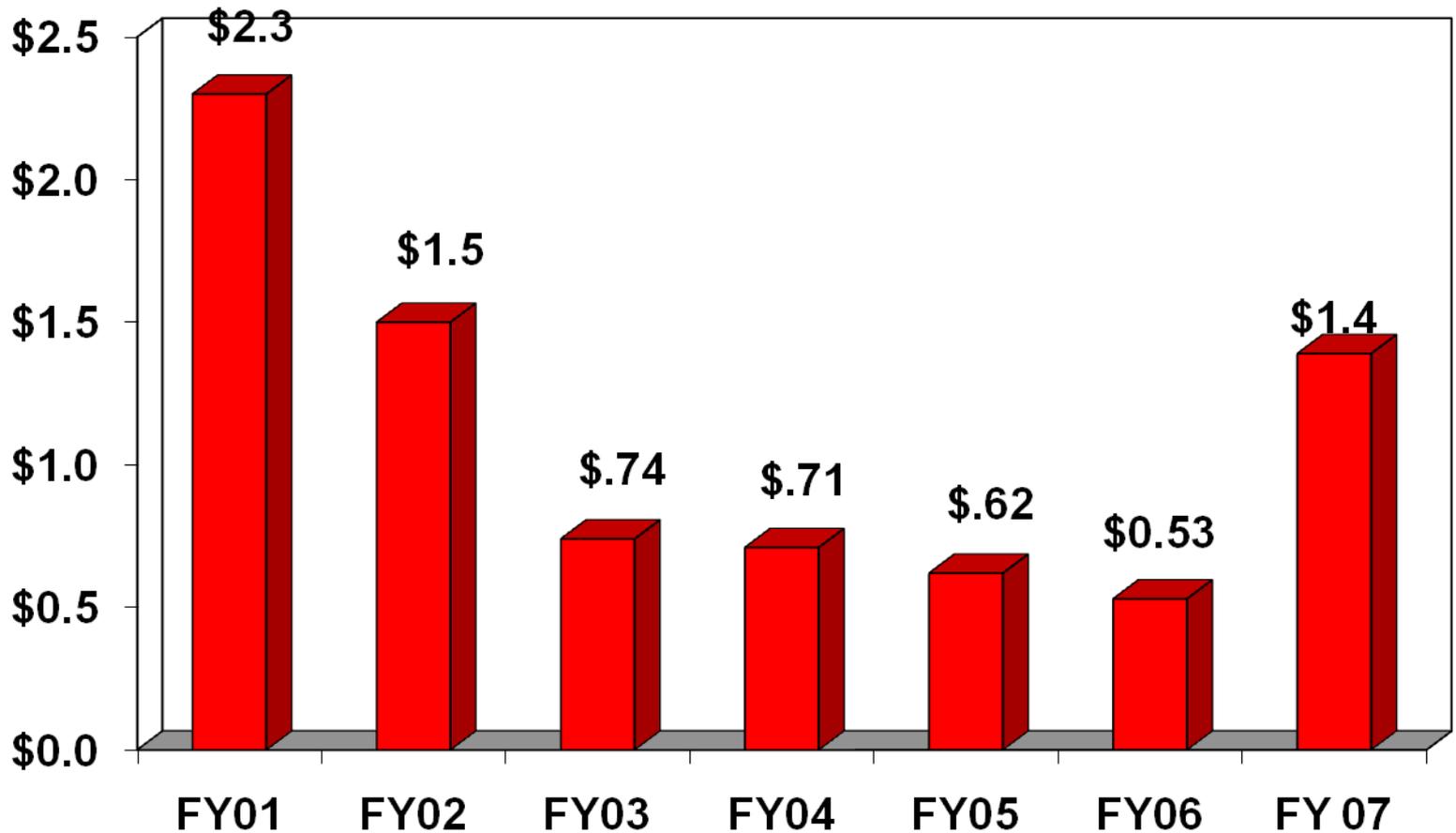
# FY08 Appropriations by Agency

•USDA	\$7.47M
•COMMERCE/JUSTICE	\$1.28M
•DEFENSE	\$7.72M
•ENERGY	\$2.06M
•FOREIGN OPERATIONS	\$2.00M
•LABOR/HHS	\$1.95M
•HOMELAND SECURITY	\$0.20M

# Intellectual Property Activity



# Patent Income

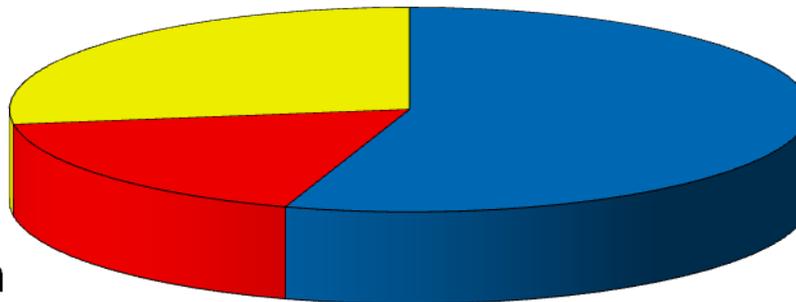


As reported in the UK Financial Statement

# UKRF Expenditures FY2007 (\$42.74M)

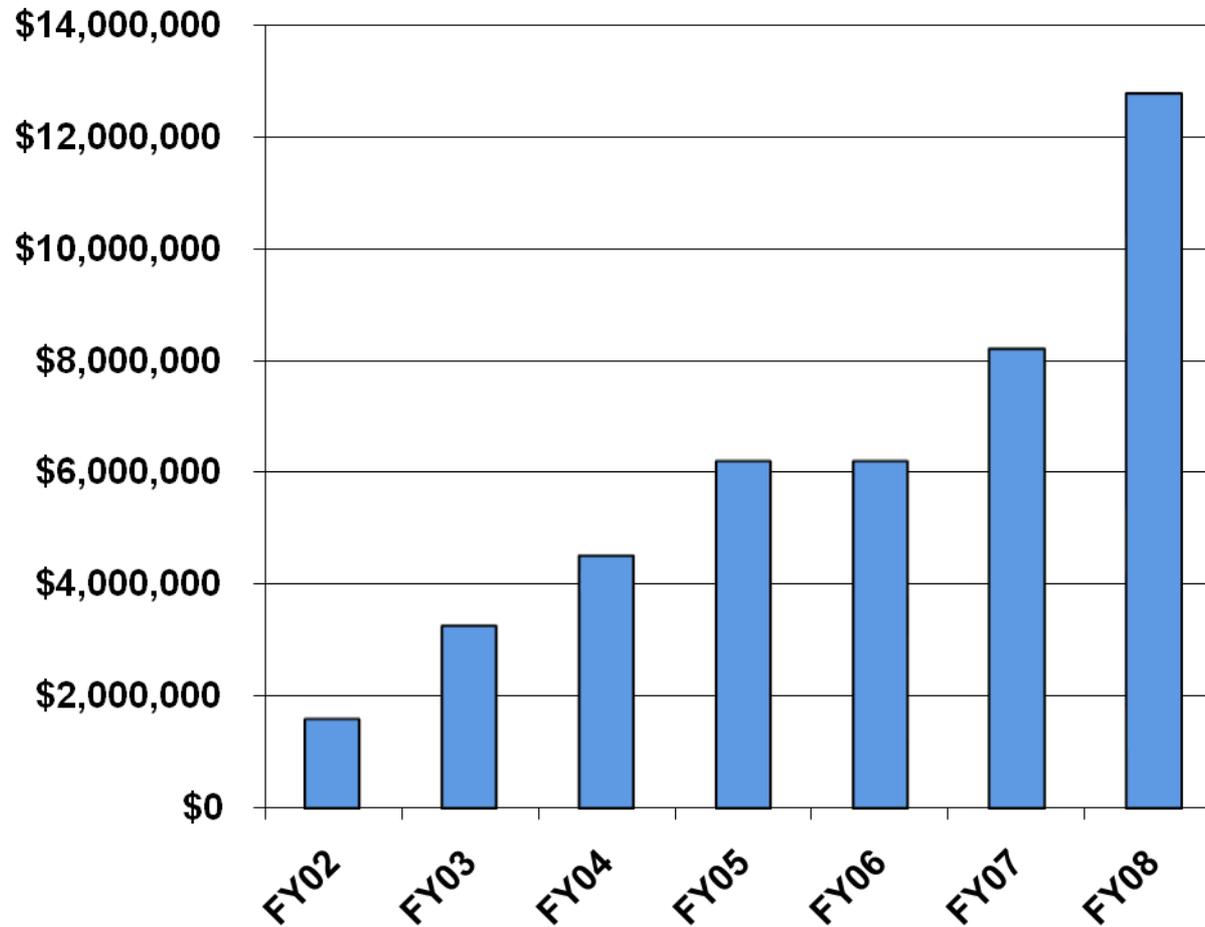
**Grant to UK**  
**\$11.69M**  
**(26.8%)**

**Research  
Admin**  
**\$7.54M**  
**(19.2%)**



**Faculty &  
Academic  
Unit  
support**  
**\$23.51M**  
**(54.0%)**

# Faculty Start-up Expense





# Effective F&A Rate 2006 COGR Survey

Virginia	37.3%	Maryland	24.9%
Ohio State	34.1%	Purdue	24.9%
UCLA	33.3%	Texas A&M	23.0%
Washington	32.8%	Florida	21.4%
UIUC	32.5%	NC State	20.6%
Iowa	31.8%	UW-Madison	14.3%
Michigan	31.6%	<b>Median</b>	<b>28.6%</b>
Penn State	30.4%		
Arizona	30.1%		
Mich. State	27.0%		
Minnesota	25.7%		
<b>Kentucky</b>	<b>25.1%</b>		

UK MTDC \$156.4M

Georgia and UNC did not report.

# Net F&A Recovery

<b>FY2006</b>	<b>\$43.04 million</b>
<b>FY2007</b>	<b>\$43.57 million</b>
<b>FY2008</b>	<b>\$41.10 million*</b>

**\*Projected as of April 30, 2008**

# Federal Funding Outlook

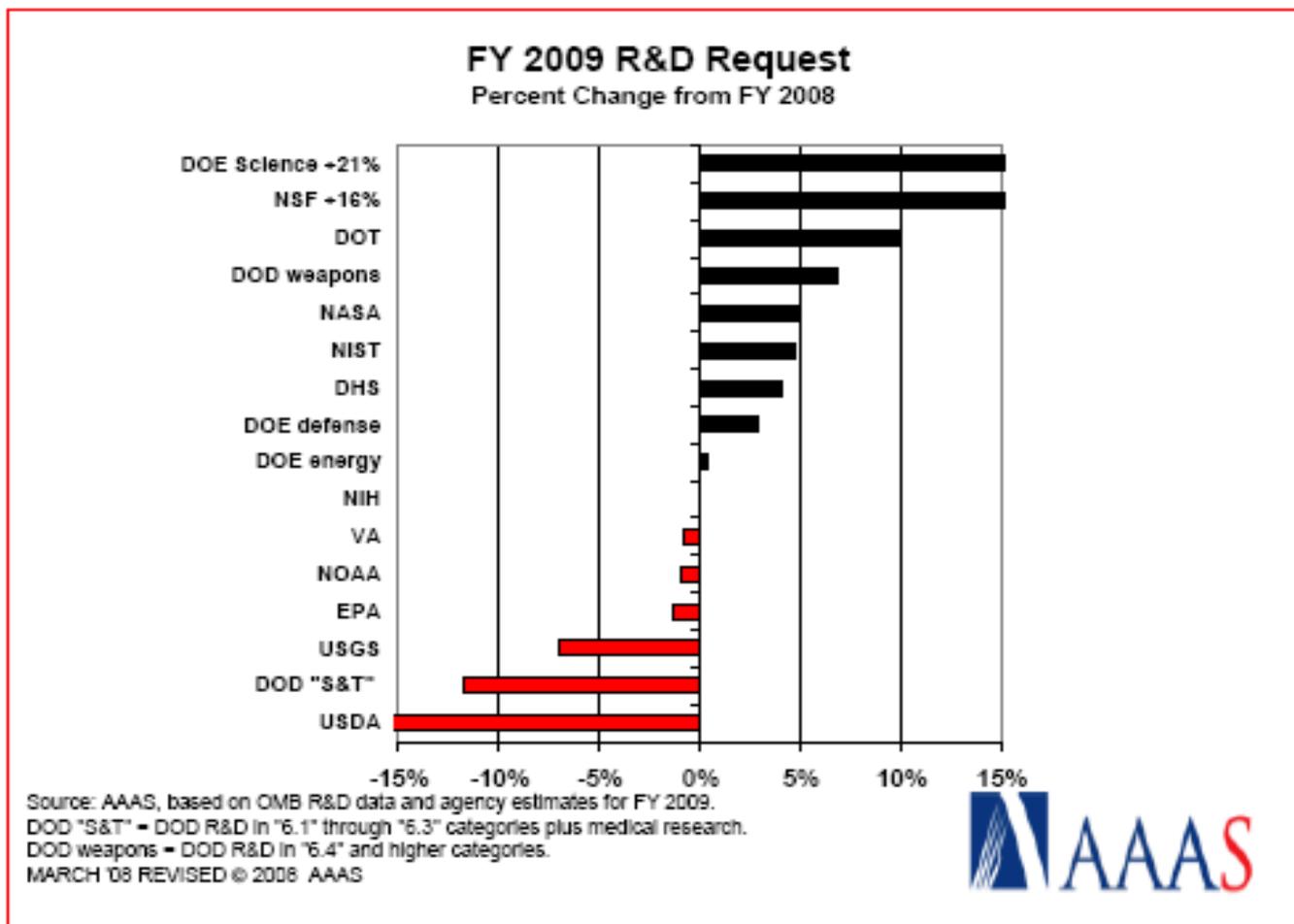


Figure 1.

# Federal Funding Outlook

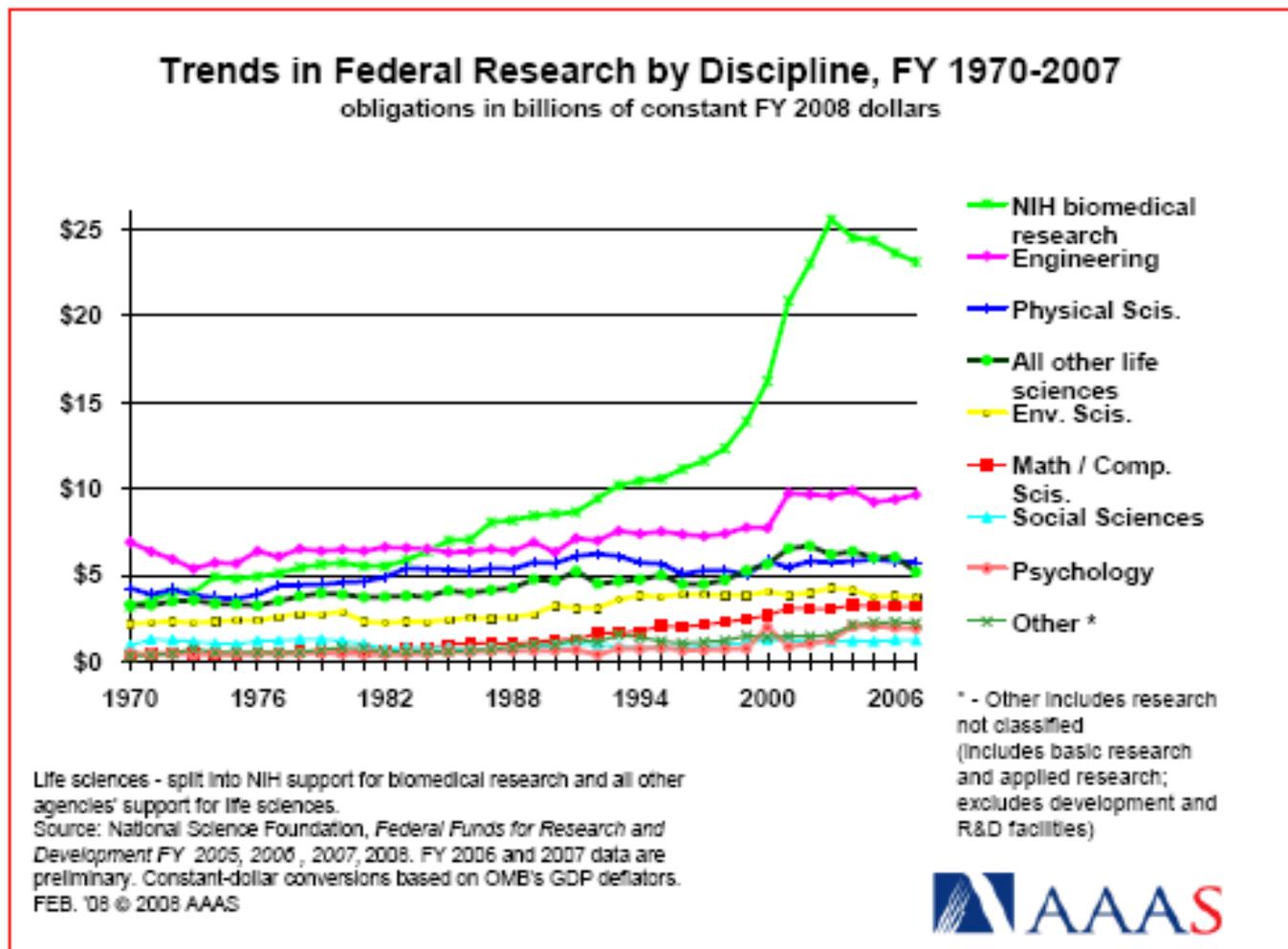


Figure 4.

# Net F&A Recovery

<b>FY2006</b>	<b>\$43.04 million</b>
<b>FY2007</b>	<b>\$43.57 million</b>
<b>FY2008</b>	<b>\$41.10 million*</b>
<b>*Projected as of April 30, 2008</b>	
<b>FY2009</b>	<b>\$39 million (est.)</b>



# FY2009 UKRF Proposed Budget

	FY08 Approved Budget	FY09 Prelim Budget	Difference
<b>REVENUE</b>			
I. Sponsored Projects			
Grants & contracts	273,000,000	280,000,000	7,000,000
LESS: Direct costs	231,000,000	241,000,000	10,000,000
<b>Net F&amp;A Recovery</b>	<b>42,000,000</b>	<b>39,000,000</b>	<b>(3,000,000)</b>
II. General Income			
<b>Subtotal General Income</b>	<b>2,226,000</b>	<b>3,763,000</b>	<b>1,537,000</b>
III. Fund Balance, NR			
Unexpended Royalty Income	800,000	900,000	100,000
Fund Balance, NR	--	2,100,000	2,100,000
<b>Subtotal Fund Balance</b>	<b>800,000</b>	<b>3,000,000</b>	<b>2,200,000</b>



# FY2009 UKRF Proposed Budget

	FY08 Approved Budget	FY09 Prelim Budget	Difference
<b>TOTAL REVENUE</b>	<b>45,026,000</b>	<b>45,763,000</b>	<b>737,000</b>
<b>TRANSFERS &amp; EXPENDITURES</b>			
I. Transfers to General Fund			
<b>Subtotal Transfers</b>	<b>19,332,600</b>	<b>20,286,100</b>	<b>953,500</b>
II. Expenditures			
A. Operating & Admin	727,500	719,500	(8,000)
B. Other Activity	2,108,000	3,095,000	987,000
C. Research Programs	22,857,900	21,662,400	(1,195,500)
<b>Subtotal Expenditures</b>	<b>25,693,400</b>	<b>25,476,900</b>	<b>(216,500)</b>
<b>Total Transfers &amp; Expenditures</b>	<b>45,026,000</b>	<b>45,763,000</b>	<b>737,000</b>