

COUNCIL ON POSTSECONDARY EDUCATION
(Amended at ARRS Committee)

13 KAR 2:140. Research consortiums.

RELATES TO: KRS 164.038, KRS 273.600~~(2)~~.

STATUTORY AUTHORITY: KRS 164.038~~(6)~~.

CERTIFICATION STATEMENT:

NECESSITY, FUNCTION, AND CONFORMITY: KRS 164.038~~(6)~~ requires the Council on Postsecondary Education to promulgate administrative regulations to administer the provisions of the statute, ~~including~~ KRS 164.038(6) requires the Council to include in administrative regulation the metrics to evaluate joint funding applications submitted by two (2) or more Kentucky public universities to receive funding from a consortium account. This administrative regulation establishes the process by which requests for joint funding proposals will be advertised, what proposals shall include, how proposals will be evaluated, and how funding awards will be made.

Section 1. Definitions.

(1) "Council" is defined by KRS 164.001(8).

(2) "Eligible postsecondary institution" means any public university in Kentucky.

(3) "Endowed research fund" means the endowed research fund as established by KRS 164.038, based on the general fund type, "endowment fund," defined by KRS 273.600(2).

(4) "Peer reviewer" means an individual with demonstrated research expertise who is selected to evaluate joint funding applications.

(5) "Peer review panel" means a panel of three (3) or more peer reviewers convened by council staff to conduct the review , as established in Section 5 of this administrative regulation, of joint funding applications ~~described in Section 5 of this administrative regulation~~ .

~~(6) (4)~~ "Research consortium" means two (2) or more eligible postsecondary institutions to receive joint funding from a consortium account through the endowed research fund administered by the council.

Section 2. Notice of Funding Opportunities.

~~(1)~~ Once funds are available for distribution through the endowed research fund, the council shall publish notice of availability of funding opportunities for research consortia and issue a request for joint funding applications.

~~(2)~~ The notice and request for joint funding applications shall include:

~~(a) (1)~~ The funding period;

~~(b) (2)~~ The date by which to submit a joint funding application;

~~(c) (3)~~ The application evaluation metrics and relative weighting of each metric;

~~(d) (4)~~ How to submit a joint funding application; and

~~(e) (5)~~ The targeted date for making awards.

Section 3. Metrics to Evaluate Joint Funding Applications.

~~(1)~~ The council shall evaluate joint funding applications using the following metrics describing the research consortium's:

~~(1) (a) (1)~~ Planned area of research and its impact on human quality of life advancements;

~~(2) (b) (2)~~ Ability to innovate in the areas of medicine, health, or economic development;

~~(3) (c) (3)~~ Ability to obtain other sources of funding to perform initial research;

~~(4) (d) (4)~~ Potential to seek grant money from other sources in larger amounts;

- ~~(5) ~~(e)~~ ~~(5)~~~~ Potential future funding sources and amounts; and
- ~~(6) ~~(f)~~ ~~(6)~~~~ Implementation plan, including:
 - ~~(a) ~~(1)~~ ~~(a)~~~~ The total proposed budget for the use of funds received through the endowed research fund for the initial five (5) year term;
 - ~~(b) ~~(2)~~ ~~(b)~~~~ The total proposed budget for use of funds from other sources dedicated to the work of the research consortium for the initial five (5) year term; and
 - ~~(c) ~~(3)~~ ~~(c)~~~~ Operations of the consortium, including a description of how the research consortium partners would collaborate to conduct the planned research.

Section 4. Funding Proposals.

- ~~(1) ~~(a)~~ ~~(1)~~~~ To be eligible for funding, a joint funding application proposal shall include:
 - ~~(1) ~~(a)~~ ~~(1)~~~~ The participation in the research consortium certified by the signature of the respective chief executive officers and a designated point of contact and contact information for each participating eligible postsecondary institution;
 - ~~(2) ~~(b)~~ ~~(2)~~~~ A narrative addressing each metric ~~established~~~~set forth~~ in Section 3 of this administrative regulation;~~;~~
 - ~~(3) ~~(c)~~ ~~(3)~~~~ A response to any other funding proposal criteria as determined by the council;
 - ~~(4) ~~(d)~~ ~~(4)~~~~ A statement of assurances that statutory requirements shall be satisfied as ~~established~~~~set forth~~ in KRS 164.038; and
 - ~~(5) ~~(e)~~ ~~(5)~~~~ The names of the key personnel assigned to the proposed research consortium.

Section 5. Evaluation Process.

- ~~(1) Council staff shall convene a peer review panel to conduct a review of each completed and timely submitted joint funding application.~~
- ~~(2) A peer reviewer shall not have a conflict of interest that would impair the reviewer's impartiality for any joint funding application reviewed by the peer review panel.~~
- ~~(3) The peer review panel shall review, score , and rank each joint funding application on the extent to which the joint funding application complies with ~~it meets~~ ~~the metrics established~~ ~~set forth~~ in Section 3 of this administrative regulation.~~
- ~~(4) The peer review panel shall submit to the council the peer review panel's ~~its~~ ranking of the joint funding applications and a narrative to support that ranking.~~
- ~~(5) The council shall :~~
 - ~~(a) Review the submission of the peer review panel ; and~~
- ~~(1) The Council shall review and rank each completed and timely submitted funding application on the extent to which the application meets the metries set forth in Section 3 of this administrative regulation.~~
- ~~(2) Once the funding applications are evaluated and ranked, the Council~~
 - ~~(b) shall~~Select up to five (5) high-quality research consortiums to receive funding from a consortium account.
- ~~(6) ~~(3)~~~~ Once award distributions are finalized and approved by the Council, the Council shall notify the designated points of contact of the award.

Section 6. Awards.

- (1) Upon award, the council and research consortium partners shall enter into an agreement ~~stating~~~~outlining~~ the responsibilities of the parties, including *for example*, ~~but not limited to~~ the estimated funding amount, the permissible uses of funds, and the reporting requirements.
- (2) Once the agreement is finalized, the council shall disburse money from the research consortium's designated consortium account in accordance with KRS 164.038(1)(e) for a term of five (5) years.

(3) The term of eligibility of the research consortium may be renewed for up to five (5) additional years in accordance with KRS 164.038(4).

FILED WITH LRC: September 9, 2026

CONTACT PERSON: Cassie Trueblood, Deputy General Counsel, 100 Airport Road, Second Floor, Frankfort, Kentucky 40601, 502.892.3696, 502.573.1535, and cassie.trueblood@ky.gov.