

Gevirtz Graduate School of Education

Research Office

2008 Fiscal Year End Report

Submitted to:

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I. INTRODUCTION

The Gevirtz Graduate School of Education Research Office (GGSE RO) provides support to faculty, researchers, and students on research development, human subjects, proposal preparation, and award administration. The full-time office staff includes a Contracts & Grants Analyst and a Contracts & Grants Assistant. In addition, the Faculty Liaison contributes 10% of her full-time researcher appointment to the GGSE RO.

This Year End Report reflects the accomplishments of the GGSE RO during the 2008 fiscal year, as well as the GGSE RO staff's goals for the upcoming year. Specifically, we highlight initiatives and goals under six topic areas: proposal preparation, awards, award administration, human subjects, research development, and general office functions.

II. PROPOSAL PREPARATION

A. GENERAL INFORMATION

The GGSE RO processed 63 proposals in 2008 totaling \$8,534,989 (see Table 1). Thirty-five Principal Investigators (PIs) submitted proposals through the GGSE RO including 23 faculty members, 7 graduate students, 4 professional researchers, and 1 Academic Coordinator (see Appendix A, Table A.1). Proposals were submitted to federal, state, and UC sponsors, as well as foundations, local government entities, professional organizations, and other educational institutions (see Appendix A, Table A.2). There are several important points to note regarding the proposals tables.

- Tables are not inclusive of proposals that GGSE faculty/staff/students may have submitted through other departments or organized research units.
- Tables do not reflect individuals with Co-PI status.
- Although most proposals are submitted to sponsors categorized as 'Other,' most funding, in terms of dollars, is sought from federal sources.
- Although the GGSE has witnessed a significant drop in the total value of proposals submitted, the number of proposals submitted has been relatively constant in recent years.

Table 1: Overview of Proposal Submissions by the GGSE, 2004-2008

Fiscal Year	Number of Proposals Submitted	Total Value of Proposals Submitted
2004	86	\$39,109,409
2005	69	\$32,617,655
2006	69	\$16,846,265
2007	66	\$16,019,412
2008	63	\$8,534,989
5-Year Total	353	\$113,127,730

Source: UCSB OR Orbit reports (2008 data). 2006-2007 GGSE RO Year End Summary (2004-2007 data).

Note: Discrepancies between these data and UCSB reports are a result of differences in the timing of calculation.

B. INITIATIVES

i. Research Development Activities

Various research development activities have set out to facilitate the proposal preparation process. They include: expanding GGSE RO website resources, increasing opportunity notifications via the researchers' listserv, the GGSE RO workshop series, and collaboration meetings (see section VI. Research Development for more information).

ii. Proposal Preparation Checklist

The Proposal Preparation Checklist has been substantially revised. It outlines important points that must be addressed during the proposal preparation process. Using the new checklist standardizes the proposal preparation process and prevents details from being missed during the processing of 'rush' proposals. In addition, the new checklist helps ensure consistent follow up with the PI on the status of the proposal at key stages of proposal preparation. It is currently in use and will continue to be refined.

C. GOAL

i. Increase the Number of On-Time Submissions to UCSB Office of Research (UCSB OR)

Per the UCSB Sponsored Projects Policy Research Circular A.1., "*In the event that a proposal is not submitted to OR for review at least three (3) full working days in advance of the submission deadline, the proposal may not receive a full review. With respect to such proposal, OR reserves the right to refuse to submit the proposal or to withdraw the proposal after submission if a later review of the proposal reveals a deviation from policy or procedure.*"

In light of this policy, the GGSE RO requests that the PI submit a complete copy of the proposal to the GGSE RO four (4) full working days in advance of the submission deadline so that a departmental review of the proposal can be done before the proposal is submitted to the UCSB OR.

Based on UCSB OR Orbit reports, in 2008 about half of the proposals submitted by GGSE did not meet the UCSB OR deadline of 3 full working days prior to the submission date and were susceptible to being pulled from consideration.

In order to encourage on-time submissions to UCSB OR, the GGSE RO will:

- Improve communication with the PIs at key intervals of proposal processing and provide status checks and timeline reminders.
- Track the success rates of on-time and late submissions. We suspect that on-time submissions have a higher rate of being awarded and hope that verification and dissemination of this information will encourage PIs to meet deadlines.
- Create a proposal processing flow chart outlining the steps a proposal goes through between submission to the GGSE RO and submission to the sponsor to post on the GGSE RO website. We hope that disseminating this information will increase the overall understanding of what goes on ‘behind the scenes’ and why it is important for campus Research Administrators to have sufficient time to complete proposal reviews.
- Disseminate information on the proposal preparation process via workshops, the GGSE RO website, the GGSE RO brochure, and new faculty and student orientations to familiarize PIs with timelines.

III. AWARDS

A. GENERAL INFORMATION

The GGSE RO processed 39 new awards in 2008 totaling \$2,038,130 (see Table 2). Twenty-two PIs had extramural awards processed through the GGSE RO, including 16 faculty members, 4 professional researchers, and 2 graduate students (see Appendix A, Table A.3). Sponsors included federal and UC sources, as well as foundations, local government entities, and other educational institutions (see Appendix A, Table A.4). There are several important points to note regarding the awards tables.

- Because there is frequently an interim of up to 6 months or more between proposal submission and award receipt, the awards noted in this section are not necessarily reflective of proposals submitted during the same fiscal year.
- While the dollar amount of proposals represents the entire amount requested, the dollar amounts of awards represent only the funds that were received during that fiscal year. For example: A \$500,000 proposal is submitted. The proposal is funded and money dispersed in \$100,000 annual increments over a 5-year time period. The proposal will be represented as one \$500,000 proposal. The award will be represented as one award per year for 5 years at \$100,000 each.
- Tables do not include those with Co-PI status.
- Many of the awards listed in the ‘Other’ sponsor category are subcontracts and, therefore, flow through from various sources such as state or federal government. Similarly, some GGSE awards include subawards to subcontractors and/or other UC campuses.

- Although the GGSE witnessed a 5-year low in the total dollar value of awards received, it saw a simultaneous 5-year high in the number of awards received. Further, the decline in the total dollar value of proposals submitted did not result in a similar decline in the total dollar value of awards received. Overall, we believe that this suggests higher quality proposals are being submitted, resulting in a better success rate.

Table 2: Overview of Awards Received by the GGSE, 2004-2008

Fiscal Year	Number of Awards Received	Value of Awards Received
2004	31	\$2,296,818
2005	35	\$2,203,903
2006	32	\$2,329,099
2007	33	\$2,419,324
2008	39	\$2,038,130
5-Year Total	170	\$11,287,274

Source: UCSB OR Orbit reports (2008 data). 2006-2007 GGSE RO Year End Summary (2004-2007 data).

B. GOAL

i. Increase the Number of Awards Received by the GGSE

The GGSE RO's strategy for increasing the number of grants awarded has been to focus on research development activities (see section VI. Research Development for more information).

IV. AWARD ADMINISTRATION

A. GENERAL INFORMATION

Throughout 2008, the GGSE RO administered 62 contracts and grants. On-going award administration activities for these awards conducted by the GGSE RO include, but are not limited to:

- departmental review of all actions requiring endorsement by UCSB OR
- preparing and/or reviewing all expense transactions (approximately 500+ per year)
- continually monitoring the financial progress of research projects
- preparing and processing approximately 22 requests for no-cost extensions
- preparing and processing budget revisions
- advising PIs on hiring
- advising PIs on participant incentive payment options
- analyzing the allowability of expenses
- posting expense transactions to financial recap excel files
- preparing quarterly PARs (Personnel Activity Reports)
- maintaining a contracts & grants database
- preparing and processing signature authorizations for awards
- preparing and processing requests for changes in PIs/Co-PIs
- processing changes in scope of work
- coordinating the emergency release of university funds (RAS)

B. INITIATIVES

i. Expanding Knowledge of Award Administration Policy

All extramural funding is subject to terms, conditions, and policies set by UCSB, UC, and the sponsor. One of the primary responsibilities of the GGSE RO is to ensure that award expenses are in compliance with these regulations to ensure the auditability of the GGSE. Therefore, we have set out to expand our knowledge of the various layers of award administration regulations by participating in professional development activities (see VII.B.vi).

In addition to applying new award administration information to daily practice, we have made efforts to disseminate relevant information to PIs and staff to increase the overall understanding of award administration policies and procedures in the GGSE. This has taken the form of e-mailing notices to the researchers' listserv regarding policy changes, conducting workshops for faculty, staff, and students, and identifying and addressing problems as they arise.

Also, we are now more closely monitoring expense processing on extramural awards throughout the GGSE to ensure consistency across the school.

ii. Monitoring of Subawards

Payments made on Professional Service Agreements (PSAs) are tracked in an effort to avoid the need for extensions and head off the possibility of over payment. Spreadsheets are used to log payment amounts and dates and ensure that PSAs are not overpaid and that all invoices are received from the subawardee before the PSA's expiration date.

iii. Monitoring of Project Report Submission (i.e., progress reports & final reports)

Reports due to the sponsor from the PI such as progress reports and final reports are now tracked and e-mail reminders sent to PIs one month prior to the report deadline.

iv. Standardization of Administrative Procedures

The New Award Checklist has been revised and expanded. It now includes notations on award specific requirements such as spending restrictions, sponsor pre-approval requirements, sponsor contacts, provisions for carry forward of funds, and provisions for no-cost extensions. Having these details consistently noted in the same location within the award file ensures a quick point of reference when questions arise, saving considerable time.

The 3 Month Prior to Closeout Checklist has also been developed. It is completed for each award and prompts a check of the financial progress of the project. If necessary, a notice is then sent to the PI regarding any concerns as the end date of the award draws near. It also serves as a reminder to the GGSE RO staff to close out low value numbers, move phone lines, etc.

C. GOALS

i. Tracking Installments

The GGSE RO will develop a systematic routine for monitoring the receipt of award payment. This will allow us to follow up immediately if funds are not received in accordance to the awards' payment schedules.

ii. Minimize the Need for Re-Budgeting and Budget Adjustments at the Post-Award Stage

Careful preparation of proposal budgets that reflect, as much as possible, how awards will actually be spent will reduce the need for subsequent sponsor prior approval and budget revisions at the post-award stage. We will work toward producing more accurate proposal budgets by attentiveness to things such as applying actual benefits rates for individuals, allowability of expenses, and application of appropriate payment methods to individuals for line items such as stipends and participant support.

iii. Continue to Expand Knowledge, Refine Monitoring Procedures, and Standardize Administrative Procedures

The GGSE RO will continue to stay abreast of changes in research administration policy, keep PIs and staff informed of information relevant to their work, and refine award administration procedures to ensure efficiency and thoroughness.

V. HUMAN SUBJECTS

A. GENERAL INFORMATION

During the 2008 fiscal year, 99 Human Subjects protocols were submitted via the GGSE RO. Protocols submitted through the GGSE RO are logged into our database to allow for tracking and follow up with the Campus Human Subjects Coordinator regarding status, as needed. The GGSE RO sends e-mail reminders regarding protocol expiry to investigators 3 months prior to expiration.

The GGSE RO retains approved protocols for 3 years after expiration or 3 years from the date the youngest subject turns 18, as per UC Retention Policy.

B. INITIATIVES

i. Increasing communication with the Campus Human Subjects Coordinator

Communication with the campus Human Subjects Coordinator has been increased in order to monitor pending protocols, increase the timely receipt of protocol approvals, and follow up on issues.

ii. Participation in the UCSB Human Subjects Focus Group

The GGSE RO Assistant participated in the UCSB Human Subjects focus group that began meeting in January 2008 to develop a web-based Human Subjects submission portal.

iii. **Encouraging the Flow of Protocols through the GGSE RO**

We have requested that all GGSE protocols be submitted for review via our office and that all approvals from the Human Subjects Review Committee be sent to the GGSE RO (rather than to individual departments) to allow them to be logged into our database prior to circulation back to the investigators. This allows the GGSE RO to provide reminders regarding protocol expiry to the investigators.

iv. **Disseminating Information to GGSE Faculty/Researchers/Students**

At the beginning of each quarter, an e-mail is sent to all students to supply information about the services provided by the GGSE RO, specifically highlighting Human Subjects information. Human Subjects information is also included on the GGSE RO website, in the GGSE RO brochure, and in a handout circulated at various workshops and made available through the GGSE Student Affairs Office.

C. GOAL

i. **Facilitate the Transition to the New Online Human Subjects Portal**

As appropriate, the GGSE RO will assist investigators in navigating the online Human Subjects submission portal which is expected to launch in Fall 2008. Given the GGSE RO Assistant's involvement in the focus group, the GGSE will likely be one of the first schools on campus to have access to the submission portal prior to campus-wide release. This submission portal should alleviate communication issues as well as delays in receiving notice of approval as investigators and GGSE RO staff will have access to view the status of protocols online and will be sent automatic e-mail reminders at various stages in the lifecycle of a protocol.

VI. RESEARCH DEVELOPMENT

A. GENERAL INFORMATION

This year the GGSE RO began a strategic planning process aimed at improving and increasing the services offered by the office. As part of this endeavor, two documents were developed ("Strategic Plan: First Steps" and "Summary of Barriers and Recommendations") as a result of weekly meetings of the GGSE RO staff, discussions with the Dean, and interviews with several GGSE early career faculty and researchers. The goals of these documents were to 1) review the current responsibilities of the GGSE RO staff, 2) identify challenges and barriers to successful grantsmanship, and 3) pinpoint GGSE RO priorities and next steps.

The barriers to grantsmanship identified include:

- Time constraints
- Inexperience identifying appropriate grant funding
- Inexperience with proposal writing
- Inexperience linking grants and publications
- Lack of networks and name recognition
- Lack of information coordination within the GGSE
- Lack of adequate research lab space

In this section we discuss the accomplishments of the GGSE RO with respect to research development initiatives geared to address the barriers and prioritize several goals for the upcoming year.

B. INITIATIVES

i. Enhancement of Existing Research Development Activities

- a. The GGSE RO identifies and circulates funding and grantsmanship opportunities for our faculty, researchers, and students. This year the GGSE RO worked with the Dean to identify “priority topics” to search and track. These included:
 - Math and science education pipeline and research work
 - Early childhood education
 - NIH/NIMH opportunities on autism/special education issues
 - Second language learning/teacher quality
 - Alcohol and drug prevention

The GGSE RO has conducted searches on these particular topics. In addition, the GGSE RO tracked particular opportunities of interest so that the call details were obtained and circulated as soon as they were released. On several occasions, this also led to collaboration meetings (see VI.B.iii). This year we have also been more proactive at seeking and disseminating information about early career training opportunities and grant writing training opportunities.

- b. The GGSE RO has established regular contact with Dr. Carla Whitacre, UCSB’s Director of Research Development. This has served as a great resource for the GGSE’s research development activities as Dr. Whitacre has served as an ongoing consultant to the GGSE RO, has conducted a presentation in our workshop series (see Appendix B: Workshop Series Flyer), and has attended several of our collaboration meetings (see VI.B.iii).
- c. The GGSE RO maintains a “researchers’ listserv” to send out electronic communications, as necessary. This year we reviewed the listserv, added GGSE members who were missing, purged invalid e-mail addresses, and invited potential collaborators from other departments to join the listserv. The GGSE RO also contacted all UCSB departments and Organized Research Units on campus to invite faculty with an interest in education research to join the listserv.
- d. The GGSE RO maintains a website as part of the school’s overall site. This year the GGSE RO focused on expanding website content. (See VII.B.ii for more information).

ii. **Workshop Series**

The GGSE RO coordinated a Workshop Series to provide support to faculty, researchers, and students in the grant-seeking process (see Appendix B: Workshop Series Flyer). The four-part series included:

- Increasing your Grant Productivity: Strategies for Early Career Success,
- Search Strategies to Help you Find Grant Funding,
- Timelines, Guidelines, and Line Items: Proposal Preparation and the Administrative Details, and
- Proposal Writing: The Good, the Bad, and the Ugly.

Topics were selected to address particular barriers to grantsmanship identified by the GGSE RO (see section VI.A for more details). Overall these sessions were very successful, with attendance steadily increasing with each workshop (drawing 9-21 individuals at each session).

As part of our continuous efforts to improve the services offered by the GGSE RO, we asked participants in each workshop to complete an evaluation. Evaluation responses will provide guidance for initiatives in the coming year (see Appendix C: Workshop Series Evaluations).

iii. **Collaboration Meetings**

To provide support to faculty and researchers on major grant opportunities, the GGSE RO convened 6 meetings of individuals interested in collaborating to respond to particular proposal calls or to work on particular research topics. These meetings, which began in Winter quarter, were successful in terms of attendance at each, as well as some interest from other departments across the University. As part of the upcoming year's goals we will work to improve the productivity of future collaboration meetings (see VI.C.ii for further discussion).

iv. **Development of a Centralized Evaluation/Assessment Center**

In efforts to maximize the GGSE's ability to respond to community needs for assistance with program evaluation/assessment, the GGSE RO convened a meeting of individuals interested in developing an idea for a centralized center or group. There was significant response across the GGSE for such an entity, especially if that entity could assist in providing opportunities for student involvement. Currently discussions are underway to determine the appropriate location for such a center.

v. **Development of a "Successful Proposals" Library**

The GGSE RO developed a "successful proposals" library. All faculty/researchers with current successful proposals were contacted for permission to make their proposals available to interested GGSE colleagues. The GGSE RO also established a process by which GGSE faculty and researchers can borrow copies of the proposals to review. As new awards are received, PIs are encouraged to provide permission to make their proposals available.

vi. **Facilitating Nomination of Reviewers (Part 1)**

To allow faculty and researchers to obtain greater insight into the proposal review process, we have identified those interested in being nominated to serve on review panels. In addition, we have identified those who do or have served on review panels. This second group will serve as resources to the GGSE (via future workshops, for example) and will be asked to nominate GGSE members interested in participating in review panels. Part 2 of this initiative will be coordinated in 2008-2009 (see VI.C.vii below).

C. GOALS

i. **Conversations on Research in Education (CORE) Lunch Series**

The CORE Lunch Series will take the place of the workshops offered this past year. These monthly meetings will provide the GGSE community with an opportunity to discuss research ideas and questions. Specifically, the meetings will provide a forum for faculty/researchers to present studies or projects in progress and receive/offer feedback. An extension of CORE will be to develop a mechanism for faculty/researchers to e-mail proposal excerpts to colleagues for review and comment.

The CORE Lunch Series will also serve as a venue to provide information about research development, proposal preparation, and award administration. Already underway, these gatherings seem to be of interest to members of the GGSE community. The GGSE RO will focus efforts on identifying speakers/presenters/topics for each month, advertising (both via the researchers' listserv and flyers in mailboxes), and generating participation.

ii. **Improved Collaboration Meetings**

The GGSE RO aims to increase the productivity of the collaboration meetings. Currently we are hopeful that a collaboration meeting held to discuss an IES training grant opportunity will be submitted in October. We will capitalize on this, letting folks know of the success and encourage other collaborations. Further, we will be more selective in the opportunities around which we convene meetings and encourage individuals to request the assistance of the GGSE RO in hosting such meetings. We also hope to increase senior/junior partnerships through these meetings. Finally, we have also begun to host collaboration meetings that are not in response to a specific call but are on particular topics (such as alcohol/drug prevention) in efforts to identify mutual interests across departments upon which we can build.

iii. **Professional Copy Editing Service**

The GGSE RO will follow up on the idea to have professional copy editing available for grant proposals. This differs from the substantive proposal review/feedback to be included as part of the CORE lunch series in that it will focus only on copy editing not content. The success of this goal will hinge both on available funding to cover the cost of copy editors, as well as on the ability of PIs to complete their proposals with enough time for such a review.

- iv. **Writing Workshop**
The GGSE RO is organizing a 2-day writing workshop for GGSE faculty, researchers, and students. This will be offered in the fall and designed to assist individuals with proposal writing.
- v. **Development of a Centralized Evaluation/Assessment Center**
In the coming year, the GGSE RO will encourage the continuation of conversations about establishing a centralized evaluation/assessment center.
- vi. **Facilitating Nomination of Reviewers (Part 2)**
During the past year we collected information from faculty and researchers who have served on review panels, as well as from those interested in serving on such panels. This year we will use this information to 1) increase GGSE nominations to serve, and 2) host a session regarding people's experiences on review panels (possibly through CORE).
- vii. **Survey of Faculty, Researchers, and Students**
The GGSE RO will develop a survey to gather information from faculty, researchers, and students to continue to assess the needs of the GGSE community regarding grantsmanship and the services offered by the GGSE RO. This will be done via Survey Monkey, a free online survey service.
- viii. **Investigating other Research Office/Center Models**
The GGSE RO will continue to investigate other models used for research offices and centers across the country, such as WISCAPE at the University of Wisconsin. This will also allow us to determine additional initiatives that will be helpful to the GGSE community.
- ix. **Ideas to Further Explore/Develop**
The list below documents additional ideas raised during the course of the year. The GGSE RO is interested in pursuing these but is limited due to time constraints and other priorities. They all will require significant effort on the part of the GGSE RO, as well as input from others within the school and possibly the UCSB OR.
- Bring program officers to campus for visits/presentations.
 - Establish a 'clearinghouse' for opportunities that GGSE faculty/researchers may pass on, but that others may find of interest.
 - Address the need of students to have sufficient resources and assistance to secure extramural funding (may include Collaboration Meetings and departmental resources for training grants, series of workshops or class for students, etc.).

VII. GENERAL OFFICE FUNCTIONS

A. GENERAL INFORMATION

In addition to the functions described in the previous sections, the GGSE RO also maintains general office functions including providing backup for other Dean's Suite staff, monitoring telephone service and bills funded by the GGSE RO, maintaining office equipment, ordering supplies, and maintaining the GGSE RO website.

B. INITIATIVES

i. Regular GGSE RO Staff Meetings

As part of efforts to improve the services offered by the GGSE RO, the Analyst, Assistant, and Faculty Liaison meet on a regular basis to discuss the status of the office's goals and initiatives, plan future projects, and strategize solutions to problems. This increase in communication among the GGSE RO staff has contributed to the effectiveness of the office.

ii. Creating a GGSE RO Desk Manual

A desk manual was created to serve as a guide of the duties completed by the GGSE RO staff. Appendices of relevant forms are also included. This has served as a general reference as well as to standardize procedures and minimize work delays when staff is out. It will be revised annually.

iii. Expanding the GGSE RO Web Resources

In conjunction with the new GGSE website, we have revised our web pages and added new content including an outline of services provided, links to forms, a calendar of events, proposal writing resources, and a list of frequently asked questions.

iv. Revision of the GGSE RO Mission Document and Brochure

The GGSE RO mission document and brochure (see Appendix D: GGSE RO Brochure) was revised. The brochure has been circulated to new faculty and at workshops to advertise the GGSE RO's services and is available at the GGSE Research Centers and in the Dean's Suite.

v. Streamlining Record Retention Processes

In planning for the upcoming move to the new building, we started an effort to purge expense and proposal files. Files are now being clearly labeled by destroy date so that when the time comes (5 years after the end of the award) files do not have to be reviewed and sorted again. The process of sorting through the storage trailer files has been started and will be completed this year.

vi. Reducing Monthly Telephone Expenses

The GGSE RO staff reviewed monthly telephone bills and discovered several lines that were no longer in use. Disconnection of these unused lines resulted in approximately \$100 of savings each month. Careful monitoring of these monthly expenses will continue.

vii. **GGSE RO Staff Professional Development**

During the year, the GGSE RO Analyst participated in the following professional development activities:

- UC Business Officer Institute
- National Council on University Research Administrators' (NCURA) Annual Meeting
- NCURA Regional Meeting
- UCSB Sponsored Projects Training for Administrators in Research certificate program
- UCSB Financial Management certificate program

During the year, the GGSE RO Assistant participated in the following professional development activities:

- NCURA Fundamentals of Sponsored Project Administration 3-day Workshop
- UCSB Sponsored Projects Training for Administrators in Research certificate program
- UCSB Payroll/Personnel System (PPS) training series
- Academic Personnel certificate program series

viii. **New Faculty Orientation**

The GGSE RO coordinated a New Faculty Orientation. In addition to presentations by GGSE RO staff, we invited other GGSE staff/offices to participate including: GGSE central administrative staff, the Student Affairs Office, ITG, the Communications Office, and Development. There were also presentations by two current GGSE faculty—one pre- and one post-tenure.

We also offered to meet with each of the new faculty to provide information on the services we offer and to find out about each new faculty's research interests to assist with funding opportunity distribution. To date, 4 of the new faculty accepted this offer to meet and 3 others interacted with the GGSE RO while working on grant proposals.

ix. **Student Orientations**

The GGSE RO staff attended the Education and CCSP student fall orientations to advertise the GGSE RO's services. In addition, we presented a workshop about the GGSE RO's services for the School Psychology students.

C. GOALS

i. **Continuing to Add New Content to GGSE RO Web pages**

New links and information will be added to the GGSE RO web pages, as appropriate, to increase the resources available to GGSE faculty, researchers, and students. Specific ideas include:

a. **Award Recipients Matrix by Sponsor**

A goal for the coming year is to post the GGSE award recipients by sponsor. This would serve as a resource to those currently seeking funding, allowing them to establish ties/get suggestions from those who have been successful securing funding from these sponsors.

VIII. CONCLUSION

This Year End Report highlights the increased activity of the GGSE RO in 2008. We believe we have been successful with the majority of the initiatives we have implemented. This success is likely due to the effective strategic planning we undertook at the beginning of the year, identifying the needs of the constituency we specifically wanted to target: early career scholars. We look forward to building on this success in the coming year as we continue to build upon our faculty's existing skills and increase their probability of success. We trust that the continuation of activities geared to improve the grantsmanship of GGSE faculty, researchers, and students will ultimately result in a higher number of successful proposals. Of course, it takes time for new initiatives to have their ultimate desired effect. In the meantime we will continue our efforts to meet the needs of the GGSE community with regard to research development, human subjects, proposal preparation, and award administration.

We look forward to receiving any comments and/or feedback you may have regarding this report and prioritization of future GGSE RO activities.

APPENDIX A: Tables

Table A.1: PIs who Submitted Proposals through the GGSE, 2008*

Blau	Gerber	Kobayashi**	Singer
Brenner	Gillispie**	Lager	Smith
Conoley, C.	Griffiths**	Lee	Wang
Conoley, J.	Harlow	Morrison	Weissglass
Copeland	Herrity	Nyborg	Yeager
Cosden	Hill-Bonnet**	Okomoto	You
Duran	Israel	Romo	Yun
Felix	Kang, E.**	Rumberger	Zwick
Furlong	Kang, P.**	Samura**	

*Of the 35 PI's submitting proposals, 23 are GGSE Faculty, 7 Graduate Students, 4 Researchers, and 1 an Academic Coordinator.

**Indicates Extramural Dissertation Proposal.

Source: UCSB OR Orbit reports.

Table A.2: Proposals, by Sponsor Type in Dollars, 2008

Federal	State	UC	Foundations	Corporations	Other*
49,911	41,722	19,163	250,000		28,000
60,000	112,500	19,163	20,869		55,000
207,439		10,000	374,307		20,000
151,500		14,991	150,000		53,000
130,018		20,000	2,223		4,000
2,529,881		15,000			46,511
198,160		20,000			53,450
1,082,517		15,000			55,000
270,526		50,000			14,999
		25,000			20,000
		213,750			10,800
		650,000			149,072
		144,528			43,709
		25,000			29,999
		20,000			74,082
		14,333			295,558
		28,000			12,500
		18,000			110,000
		20,000			58,206
		9,998			60,395
					17,918
					89,290
					87,007
					6,155
					6,155
					35,000
					115,684
Total	Total	Total	Total	Total	Total
\$4,679,952	\$154,222	\$1,351,926	\$797,399	\$0	\$1,551,490
54.8%	1.8%	15.8%	9.3%	0%	18.2%

*Other includes: National Writing Project, Santa Barbara County, Lompoc Valley Healthcare Organization, Cottage Hospital, AERA, The College Board, and other educational institutions.

Source: UCSB OR Orbit reports.

Table A.3: PIs who Received Awards through the GGSE, 2008*

Blau	Felix	Morrison	Weissglass
Brenner	Furlong	Nyborg	Yeager
Conoley, J.	Hill-Bonnet**	Rumberger	You
Copeland	Koegel, R.	Samura**	Zwick
Cosden	Kyratzis	Singer	
Duran	Lee	Smith	

* Of the 22 PIs receiving awards, 16 are GGSE Faculty, 4 Researchers, and 2 Graduate Students.

** Indicates Extramural Dissertation Award

Source: UCSB OR Orbit reports.

Table A.4: Awards, by Sponsor Type in Dollars, 2008

Federal	State	UC	Foundations	Corporations	Other*
60,000		19,163	75,000		72,500
50,000		10,000	40,000		20,000
130,018		15,000	2,223		55,000
198,773		20,000	10,000		53,000
		213,750			4,000
		20,000			43,000
		25,200			46,511
		20,000			15,000
		20,000			10,800
					20,000
					149,072
					7,000
					25,000
					12,500
					124,010
					106,360
					87,571
					76,445
					79,191
					6,155
					6,155
					89,733
Total	Total	Total	Total	Total	Total
\$438,791	\$0	\$363,113	\$127,223	\$0	1,109,003
21.5%	0%	17.8%	6.2%	0%	54.4%

*Other includes: National Writing Project, Santa Barbara County, Lompoc Valley Healthcare Organization, Cottage Hospital, The College Board, and other educational institutions.

Source: UCSB OR Orbit reports.

GGSE Research Office Workshop Series

The following workshops are being offered to support GGSE faculty and researchers in the grant-seeking process.

12:00 – 1:00pm, 1172 Phelps
Brown bag lunch

Monday, January 28

“Increasing Your Grant Productivity: Strategies for Early Career Success”

Presentation by Associate Professor Laura Romo

Wednesday, February 20

“Search Strategies to Help You Find Grant Funding”

Presentation by Carla Whitacre, Director of Research Development and Jackie Hunt, Research Development Officer, UCSB Office of Research

Monday, March 17

“Timelines, Guidelines, and Line Items:

Proposal Preparation and the Administrative Details”

Presentation by Heather Philips, Contracts & Grants Analyst and Kelly Hayton, Contracts & Grants Assistant, GGSE Research Office

Wednesday, April 23

“Proposal Writing: The Good, the Bad, and the Ugly”

*Panel presentation including Dean Jane Close Conoley, Professor Michael Furlong, and Professor Michael Gerber, GGSE
Moderated by Carla Whitacre, Director of Research Development, UCSB Office of Research*

If you have any questions or are interested in more details, please contact Heather Philips at x5922.

APPENDIX C: Workshop Series Evaluations

“Increasing Your Grant Productivity: Strategies for Early Career Success”

GGSE Research Office Workshop Series - January 28, 2008

Presentation by Associate Professor Laura Romo

Feedback (n=7)

Please rate the relevance of session to my professional needs (1=excellent, 2=good, 3=fair, 4=poor)

Six people rated 1

One person rated 2

Please rate the overall workshop (1=excellent, 2=good, 3=fair, 4=poor)

Seven people rated 1

What material did you find useful?

- Tips, advice, info
- Everything
- Laura’s advice and discussions about the topics with people at different levels of experience.
- Powerpoint and follow-up discussions.
- Laura’s presentation, the Q&A with colleagues in years 4-6.

What material did you not find useful?

- Nothing.

Suggestions for improvement?

- Maybe have a summary sheet of tips to take away, maybe list some helpful websites.

Comments:

- Thank you – excellent. Laura’s very helpful!
- More workshops, grant support teams sound great. Getting senior faculty involved would be helpful – they need to be on our grants.
- Thank you for pulling this together. All very useful info.
- This was very useful and thought provoking.
- More dialogue, peer reviewing, peer writing, connecting with successful grant writers on specific grants.

“Search Strategies to Help You Find Grant Funding”

GGSE Research Office Workshop Series - February 20, 2008

Presentation by Carla Whitacre, Director of Research Development and Jackie Hunt, Research Development Officer, UCSB Office of Research

Feedback (n=6)

Please rate the relevance of session to my professional needs (1=excellent, 2=good, 3=fair, 4=poor)

Five people rated 1

One person rated 2

Please rate the overall workshop (1=excellent, 2=good, 3=fair, 4=poor)

Four people rated 1

Two people rated 2

What material did you find useful?

- The powerpoint handout was good, but many slides very small (hard to read)
- How to use COS, IRIS
- It was great to see the different search engines
- Handouts of slides! Lots of helpful information – thanks!

What material did you not find useful?

- The screen shots in powerpoint (and on the handout) were too small to read.

Suggestions for improvement?

- The info was good but a “hands on” element would have made this much more beneficial. For example, if we actually did searches during the workshop on our own projects, topic, etc. we could come away with more.
- Information on “non-traditional” funding -> prevention, eval. work, etc. and funding sources.
- Trying the search engines in the computer lab.
- Next time, lets do this in workshop style, so we can be in computer lab, all doing the searches. For example, all the details of what to click on in COS search may be hard to remember when we actually get a chance to try it ourselves.

Comments:

- Thank You!
- Let us know what alerts you subscribe to and forward. How to access Foundation Center database? Could GGSE subscribe and allow access by faculty and staff?
- Workshop on writing a concept paper and writing solid research aims and objectives would be a useful topic.

“Timelines, Guidelines, and Line Items: Proposal Preparation and the Administrative Details”
GGSE Research Office Workshop Series – March 17, 2008

*Presentation by Heather Philips, Contracts & Grants Analyst and
Kelly Hayton, Contracts & Grants Assistant, GGSE Research Office*

Feedback (n=8)

Please rate the relevance of session to my professional needs (1=excellent, 2=good, 3=fair, 4=poor)

Six people rated 1

Two person rated 2

Please rate the overall workshop (1=excellent, 2=good, 3=fair, 4=poor)

Five people rated 1

Two people rated 2

One person rated 3

What material did you find useful?

- The handouts outlining specific details re: costs, etc.
- Timelines, % of GSR breakdown, human subjects, OR vs RO
- The handouts and presentation
- The timelines and IRB was helpful

What material did you not find useful?

Suggestions for improvement?

- Cheat sheet with acronym definitions
- Sample budgets
- Maybe sample budget to show...

Comments:

- Thanks – you were very knowledgeable and helpful
- I think students would benefit. Often faculty do not inform students of procedures and the students don't know the breakdown of %, # hours, etc.
- Very helpful.

“Proposal Writing: The Good, the Bad, and the Ugly”

GGSE Research Office Workshop Series – April 23, 2008

*Panel presentation: Dean Jane Close Conoley, Professors Michael Furlong, and Michael Gerber, GGSE
Moderated by Carla Whitacre, Director of Research Development, UCSB Office of Research*

Feedback (n=11)

Please rate the relevance of session to my professional needs (1=excellent, 2=good, 3=fair, 4=poor)

Eleven people rated 1

Please rate the overall workshop (1=excellent, 2=good, 3=fair, 4=poor)

Eleven people rated 1

What material did you find useful?

- Specific grant writing tips
- Q&A style, writing tips
- The ‘meat and bones’ advice on what to do and not do
- I really appreciated that seasoned faculty were available to discuss the issue and answer questions.
- The pink sheet and questions
- The practical, detailed advice and suggestions
- Hearing things from the proposal reviewer’s perspective
- Frank advice
- Panel candidly sharing insights, handouts
- Realism -> what to do and not do; proposed strategies
- Great panelists
- Great to have predetermined questions with some prep by panel members

What material did you not find useful?

- Info about OR and RO offices was redundant (but review probably helpful for new attendees)

Suggestions for improvement?

- Have someone take notes and e-mail out to attendees
- Online access to successful proposals in Ed field

Comments:

- I enjoyed having the panel answer questions.
- At some point it’d be helpful to actually see a successful proposal and how they mapped their aims to the RFP
- Thank you!
- Good!
- Time for audience to ask questions would have been helpful
- More handouts/resources

Ideas for future workshops:

- Human Subjects process, guidelines workshop
- IRB/Human Subjects
- Have proposal writing workshops/review sessions
- Grants available to grad students

APPENDIX D: GGSE Research Office Brochure

Things to know about student research assistant appointments:

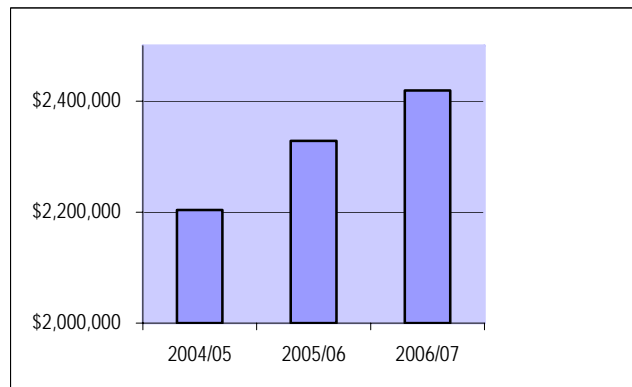
- If a student is doing research, the GSR series must be used.
- Appointment percentage will determine whether or not a grant is responsible for fees and/or health benefits.
- A 25-34% of full time appointment results in partial remission of tuition, fees, and GSHIP. A 35-49% of full time appointment results in full remission of tuition, fees, and GSHIP. An appointment in excess of 49% of full time requires special approval.
- Student appointments on two or more grants do accrue and grants will share fees/benefits proportionally.
- Grants will pay fees and benefits even if student has fellowship or stipend unless the fellowship or stipend agreement specifies otherwise.

For more information, visit:
www.graddiv.ucsb.edu

During the past decade the GGSE Research Office has assisted in the development, preparation, and administration of an increasing number of awards from county, state, federal, private foundation, and other funding sources.

Currently the GGSE Research Office administers over 2.4 million dollars of grants and contracts awarded to GGSE faculty and students. A list and description of funded projects is available on the GGSE Research Office website.

The GGSE Research Office works with the UCSB Office of Research to enhance the opportunities for GGSE faculty, researchers and students to access, apply for, secure, and maintain funding.



*Analysis of grants and contracts awarded to the Gevirtz Graduate School of Education from the academic year 2004/05 through 2006/07.
(Source: UCSB Office of Research ORBIT reports)*

Gevirtz Graduate School of Education

Research Office

(Phelps Hall Room 1180)

Providing support to faculty, researchers
and students



**Research Development
Human Subjects
Proposal Preparation
Award Administration**

CONTACTS:

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Patricia Marin, Ph.D.
Faculty Liaison
pmarin@education.ucsb.edu

<http://education.ucsb.edu/Faculty-Research/Research-Office/home.htm>

Updated 4/09/2008

RESEARCH DEVELOPMENT

Goal: To assist GGSE researchers in finding sources for research funding.

Support Provided:

- Updates the Research Office website which includes current and ongoing funding opportunities.
- Provides e-mail notification of available funding in faculty areas of interest.
- Offers individualized funding searches, by request, in specific areas of interest.
- Circulates announcements of grantsmanship activities to enhance the skills and knowledge of GGSE researchers.



HUMAN SUBJECTS

Goal: To assist with the submission and management of Human Subject protocols/forms.

Support Provided:

- Acquires Department Head's signature, makes copies, and submits copies to the UCSB Office of Research for review.
- Maintains records of submitted and approved protocols/forms.
- Provides reminders to investigators when annual renewals are required.

PROPOSAL PREPARATION

Goal: To assist in the submission and receipt of extramural and UC-funded awards.

Please notify the GGSE Research Office of your intent to submit a proposal ASAP or a minimum of one month before the sponsor's deadline for federal submissions and a minimum of two weeks prior to the deadline for all other submissions.

E-mail Heather Philips (heather@education.ucsb.edu), Contracts & Grants Analyst, to set up time to discuss proposal and budget preparation and provide a copy of the call for proposals.

Support Provided:

- Consults on RFP specifics.
- Develops timeline for proposal preparation.
- Advises on budget architecture.
- Assists in preparation of university and departmental forms.
- UCSB Office of Research will require the following of all proposals for funding: a Statement of Work, a detailed budget and a budget justification.
- Consults on matching funds and cost-sharing arrangements.
- Advises on research compliance issues.

*"Back-in proposals" (when an award has been received without GGSE Research Office processing) are **strongly discouraged**. Please contact us **BEFORE** the award application and involve us in processing.*

AWARD ADMINISTRATION

Goal: To facilitate the administrative functions of extramural and UC-funded awards.

Please inform the GGSE Research Office of any notice you receive regarding submitted proposals.

Support Provided:

- Oversees the set up of new awards. The following will be required by the UCSB Office of Research: award letter, human subjects approval (if applicable), and finalization of all cost sharing/matching agreements.
- Processes subawards and consulting agreements.
- Processes all grant related expenses, including reimbursements.
- Provides financial projections and reconciliations.
- Advises on the applicability of no-cost extensions, carry-forward management.

Auxiliary Contacts:

Payroll – Kristen Lingwood
kristen@education.ucsb.edu
Financial Reports – Amy Mayhall
amy@education.ucsb.edu

