

University of California, Santa Barbara

Gevirtz Graduate School of Education

Gevirtz Research Institute Contracts & Grants Office

2011 Fiscal Year End Report

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I. INTRODUCTION

The Gevirtz Research Institute Contracts & Grants Office (GRI CGO) provides support to the Gevirtz Graduate School of Education (GGSE) community on proposal preparation, post-award administration, human subjects, and research development. The full-time office staff during 2010-2011 has included two Contracts & Grants Analysts. Additional support for the GRI CGO has included a half-time Research Development Administrator and a Research Consultant (providing approximately 8 hours of support/week).

This Year End Report reflects the accomplishments of the GRI CGO during the 2011 fiscal year, as well as the GRI CGO staff's goals for the upcoming year. Specifically, we highlight initiatives and goals under seven topic areas: proposal preparation, awards, other research funding, post-award administration, human subjects, research development, and general office functions.

II. PROPOSAL PREPARATION

The GRI CGO processed 56 proposals in 2011 totaling \$18,901,301 (see Table 1). Thirty-one individuals submitted proposals as Lead Principal Investigators through the GRI CGO including 26 faculty members, 4 professional researchers, and 1 Director (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).

Table A.3 shows an overview of proposals submitted based on Principal Investigator home department instead of administering department.

Table 1: Overview of Proposals Submitted, 2007-2011

Fiscal Year	Number of Proposals Submitted	Total Value of Proposals Submitted
2007	66	\$16,019,412
2008	63	\$8,534,989
2009	71	\$21,077,549
2010	57	\$20,156,165
2011	56	\$18,901,301
5-Year Total	326	\$84,689,416

Sources: UCSB ORBiT reports: run date 7/5/2011 (2010, 2011 data). 2009 GGSE RO Fiscal Year End Report (2009 data). 2008 GGSR RO Fiscal Year End Report (2008 data). 2006-2007 GGSE RO Year End Summary (2007 data).

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

INITIATIVES

i. **Stock Text and Sample Documents**

The GRI CGO has begun to develop stock text that can be used by PIs in their proposal narratives and budget justifications. The GRI CGO added to the list of Education Facilities on the ITG WIKI site to enable PIs to quickly include this information in their proposal narratives.

ii. **GGSE Faculty and Researcher Skills and Strengths Data**

Data was collected from GGSE faculty regarding their specializations and skills. This information has been entered into the GGSE faculty database. Faculty specializations will appear on faculty members' biobibs. Faculty skills will inform the 'Find a Faculty Expert' search engine.

iii. **'Find a Faculty Expert'**

GRI CGO suggested adding a 'Find a Faculty Expert' search engine and is working with ITG to develop this for the GRI CGO website. This search engine will search the skills, specializations, research interests and publication titles of the faculty database to generate a listing of GGSE experts.

III. AWARDS

The GRI CGO processed 26 new awards in 2011 totaling \$1,080,003 (see Table 2). This represents a decrease of \$1,462,431 from 2010.

Twelve PIs had extramural awards processed through the GRI CGO, including 9 faculty members, 2 professional researchers, and 1 Director (see Appendix A, Table A.4).

Sponsors included federal and UC sources, as well as a foundation, local government entities, and other educational institutions (see Appendix A, Table A.5).

Table A.6 shows an overview of awards received based on Principal Investigator home department instead of administering department.

Table 2: Overview of Awards Received, 2007-2011

Fiscal Year	Number of Awards Received	Total Value of Awards Received
2007	33	\$2,419,324
2008	39	\$2,038,130
2009	37	\$2,877,450
2010	34	\$2,542,434
2011	26	\$1,080,003
5-Year Total	169	\$10,957,341

Sources: UCSB ORBiT reports: run date 7/5/2011 (2010, 2011 data). 2009 GGSE RO Fiscal Year End Report (2009 data). 2008 GGSR RO Fiscal Year End Report (2008 data). 2006-2007 GGSE RO Year End Summary (2007 data).

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

IV. OTHER RESEARCH FUNDING

In late fall of 2009, the GRI CGO took over the administration of memoranda of understanding (MOUs & Service Agreements), campus-based research awards, and general research accounts. The task of establishing and processing new MOUs was also transferred to the GRI CGO. The total number and dollar value of these funds are presented in Table 3.

Fifteen PIs received other research funding processed through the GRI CGO, including 13 faculty members, 1 professional researcher, and 1 Academic Coordinator (see Appendix A, Table A.7).

Table 3: Overview of Other Research Funding Received, 2010-2011

Type	Number Received	Value
MOUs	16	\$330,871
Campus-Based Awards	8	\$82,645
General Research Awards	2	\$516,301
Total	26	\$929,817

Source: GRI CGO Office.

INITIATIVES

i. MOU Information Form

An information gathering form was created to assist PIs in providing all the necessary information to set up a new MOU. This practice facilitates the MOU preparation process ensuring that all the relevant and required information is included.

V. POST-AWARD ADMINISTRATION

Throughout 2011, the GRI CGO administered 71 accounts. These include 44 contract and grant accounts, 14 campus-based award accounts, 9 income accounts, and 4 general research accounts. Ongoing administration activities include, but are not limited to, expense processing, coordination of employment, monitoring of financial progress, set up of new awards, processing of modifications/amendments, invoicing, acting as liaison between PIs and OR, subawards' set up and monitoring, coordination of summer salary, and report reminders.

VI. HUMAN SUBJECTS

During the 2011 fiscal year, 188 Human Subjects protocol/modification approvals were processed through the GRI CGO. Once protocols are reviewed and approved by the Human Subjects Committee (via ORahs; Office of Research Application for use of Human Subjects), hard copies of protocols with investigator, faculty advisor (if applicable), and the Dean's signatures must be submitted to the Office of Research prior to beginning data collection. The process of obtaining the Dean's signature is facilitated by the GRI CGO.

The GRI CGO will continue to retain protocols that were approved in hard copy for 3 years after expiration or 7 years from the date the youngest subject turns 18, as per the UCOP Contracts & Grants Retention Policy. Signature pages for protocols approved via ORahs are available within the online system and as such are not kept in hard copy by the GRI CGO.

INITIATIVE

i. Created Memo Outlining Procedures for Paying Human Subjects

A memo was prepared, with input from other relevant offices on campus, and circulated to GGSE faculty and researchers that outlines the options and procedures for making payments to human subjects. This memo was also provided to GGSE students in response to questions about options for paying human subjects.

VII. RESEARCH DEVELOPMENT

The GRI has continued to support the grantsmanship initiatives available to GGSE faculty and researchers. In addition to the initiatives listed below, ongoing activities include circulation of funding notices, coordinating workshops including CORE, participating in campus-wide research development activities & meetings and providing support to PIs during proposal preparation.

INITIATIVES

i. **COS Workshop**

The GRI coordinated a hands-on workshop to train faculty, researchers, staff, and students to use the COS database—a Proquest resource that allows individuals to search for funding opportunities. Whitney Winn, Research Development Analyst in the UCSB Research Development Office, conducted this well-attended workshop. Faculty was also offered the opportunity to meet one-on-one with Ms. Winn to discuss and personalize their funding searches. Two faculty members took advantage of this opportunity.

ii. **Create a Council of PIs**

A council of PIs has been created to advise the GRI Director on the needs of the faculty and researchers from the GRI CGO.

POTENTIAL GOALS

The goals listed below are activities that the GGSE would like to pursue in the future.

i. **Facilitate Nomination of Reviewers**

Information was collected from faculty and researchers who have served on review panels, as well as from those interested in serving on such panels. We hope to use this information, and gather additional information, in efforts to increase GGSE nominations to serve on national review panels.

ii. **Mentoring of Junior Faculty by Senior Faculty**

We hope to develop mentoring opportunities for junior faculty/researchers by senior faculty. These efforts will be developed with further consultation of GGSE faculty and researchers to identify practical and beneficial grantsmanship initiatives based on the needs of junior faculty and the availability of their senior colleagues. This could include pairing a junior faculty member with a senior faculty member to discuss a particular proposal submission or around proposal writing in general.

iii. **Tracking Awards**

It may be useful to begin tracking additional information regarding proposals and awards such as the rank of the faculty members submitting proposals and receiving awards and the success rate of proposals submitted to the various types of sponsors. We would likely need to track this information for at least 2 years before useful statistics could be compiled as it is

common for proposals to be submitted in one fiscal year and notice regarding funding received in the next.

VIII. GENERAL OFFICE FUNCTIONS

In addition to the functions described in the previous sections, the GRI CGO also maintains general office functions including but not limited to: providing backup for other Dean's Suite staff, posting to recaps, monitoring telephone service and bills funded by the GRI CGO, maintaining office equipment, ordering supplies, and maintaining the GRI CGO website.

INITIATIVES

i. Reorganize the Research Shared Drive

Due to several structural and staffing changes within the GRI over the years, the research shared drive had become cluttered and. We sorted through each folder and subfolder within the drive, purged outdated and unnecessary documents, and reorganized current folders and resources.

ii. GRI Staff Professional Development

GRI CGO Contracts & Grants Analyst (CCSP):

- Attended various UCSB classes and workshops on topics such as: international student and scholar visas, postdoctoral scholars, subawards, additional compensation, effort reporting, employee hiring and classification.
- Attended the University of California Business Officer Institute
- Attended the National Council on University Research Administrators (NCURA) Regional Meeting

GOALS

i. Continue GRI CGO Staff Professional Development

During the next year, the GRI staff will attend trainings/workshops, as appropriate.

ii. Routine Housecleaning

As part of our regular summer activities, we intend to update the GRI CGO desk manual, update all checklists & handouts, and purge grant, human subjects and expense files and maintain organization of the research shared drive.

IX. CONCLUSION

This Year End Report highlights the activity of the GRI CGO in 2011. We believe we have been successful with the majority of the initiatives we have implemented. We look forward to continuing

and building on our efforts in the coming year. We trust that the continuation of activities geared to improve the grantsmanship of GGSE faculty, researchers, and students will ultimately result in an increase in awards and award dollars. In the meantime we will build upon our efforts to meet the needs of the GGSE community with regard to proposal preparation, other research funding, post-award administration, human subjects, and research development. We will also support and facilitate any goals that the GRI team identifies throughout the coming year.

In 2011 the GRI CGO will require a re-organization as a result of the loss of the Research Development Administrator. This will require changes to the GRI CGO website and identifying individuals responsible for the various research development initiatives.

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

APPENDIX A: Tables

Table A.1: Lead PIs who Submitted Proposals through the GRI CG, 2011*

Bazerman	Duran	Israel	Okamoto
Bianchini	Felix	Kia-Keating, M.	Romo
Brenner	Furlong	Koegel, R.	Singer
Conoley, J.	Gerber	Marin	Wang
Cosden	Green	Martinez	Weissglass
D'Antonio	Harlow	Morgan	Yeager
Dewar	Ho	Morrison	Yun
Dowdy	Hudley	Nyborg	

*Of the 31 PIs submitting proposals, 26 are GGSE Faculty, 4 are Researchers, and 1 is a Director.
Source: UCSB ORBiT reports.

Table A.2: Proposals, by Sponsor Type in Dollars, 2011

Federal	State	UC	Foundations	Corporations	Other*
1,443,738	7,000	54,174	39,677	600,882	45,000
4,770,681		20,000	186,963	22,710	29,000
75,750		2,500	22,516	15,000	45,000
778,565		28,000	30,000		45,000
72,715		15,900	9,985		49,999
321,056		25,000	600,000		26,660
1,352,380		42,468			31,211
1,331,768		615,618			35,539
1,250,000		55,882			30,749
1,193,177		26,310			47,000
1,345,647		9,211			281,655
		24,997			520,318
		50,000			280,252
		9,884			479,049
		21,520			47,251
		24,010			9,744
					23,279
					202,077
					176,834
Total	Total	Total	Total	Total	Total
\$13,935,477	\$7,000	\$1,025,474	\$889,141	\$638,592	\$2,405,617
73.73%	>1%	5.43%	4.70%	3.38%	12.73%

*Other includes: National Writing Project, Santa Barbara County, Gay and Lesbian Medical Association, WestEd, Pacific Institute for Research & Evaluation and other educational institution.
Source: UCSB ORBiT reports.

Table A.3: Overview of Proposals Submitted based on PI Home Department, 2011

Fiscal Year	Number of Proposals Submitted	Total Value of Proposals Submitted
2011	66	\$20,266,4231

Source: UCSB ORBiT report: run date 8/2/2011.

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

Table A.4: Lead PIs who Received Awards through the GRI CG, 2011*

Brenner	Felix	Koegel, R.	Rumberger
Cosden	Gerber	Martinez	Wang
Dewar	Koegel, L.	Morrison	Weissglass

* Of the 12 PIs receiving awards, 9 are GGSE Faculty, 2 are Researchers, and 1 is a Director from outside of the GGSE.
Source: UCSB ORBiT reports.

Table A.5: Awards, by Sponsor Type in Dollars, 2011

Federal	State	UC	Foundations	Corporations	Other*
75,750		20,000	100,000	9,925	50,000
321,056		2,500		785	50,000
		27,000			10,750
		43,482			26,660
		50,000			22,904
		21,520			26,504
		20,000			24,247
		25,000			55,882
					26,310
					19,743
					2,000
					23,975
					24,010
Total	Total	Total	Total	Total	Total
\$396,806	\$0	\$209,502	\$100,000	10,710	\$362,985
36.74%	0%	19.40%	9.26%	.99%	33.61%

*Other includes: Santa Barbara County, Autism Speaks, Organization Autism Research, Isla Vista Youth Projects and other educational institutions.

Source: UCSB ORBiT reports.

Table A.6: Overview of Awards Received based on PI Home Department, 2011

Fiscal Year	Number of Awards Received	Total Value of Awards Received
2011	34	\$2,288,549

Source: UCSB ORBiT report: run date 8/2/2011.

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

Table A.7: Lead PIs who Received Other Research Funding through the GRI CG, 2011*

Bazerman	Ho	Morgan	Wang
Conoley, J.	Jimerson	Nylund-Gibson	Yeager
Dowdy	Kia-Keating, M.	Quirk	Yun
Furlong	Kyratzis	Sharkey	

*Of the 15 PIs receiving other research funding, 13 are GGSE Faculty, 1 is a Researcher, and 1 is an Academic Coordinator.
Source: GRI CGO Office.