

To: Jane Close Conoley, Dean
Arlis Markel, Assistant Dean
Betsy Brenner, Department Chair, Education
Merith Cosden, Department Chair, CCSP

From: Kelly Hayton, Contracts & Grants Analyst

Date: October 29, 2012

Re: 2012 Fiscal Year End Report, GRI Contracts & Grants Office

I am pleased to provide the 2012 Fiscal Year End Report of the GRI Contracts & Grants Office (GRI CGO). This report documents the efforts and outcomes of the work of the GRI CGO staff on proposal preparation, post-award administration, other research funding, human subjects administration, research development, and general office functions.

Due to a staffing shortage over the past year, minimal time was available for new initiatives and research development projects.

The report highlights some potential goals for the coming year. As always, constraints such as staff time, workload, and budget will ultimately determine whether or not the identified goals can realistically be accomplished. I look forward to your reactions to see if you agree with these plans and/or have other priorities to add.

You will note that the data included in this report, as well as overall findings, may differ from that of other University publications. This report focuses on the proposals and awards administered through the GRI CGO (the administering unit) not by faculty home department.

I am happy to answer any questions you may have and/or meet to discuss the report.

University of California, Santa Barbara

Gevirtz Graduate School of Education

Gevirtz Research Institute Contracts & Grants Office

2012 Fiscal Year End Report

Submitted to:

Jane Close Conoley, Dean
Arlis Markel, Assistant Dean
Betsy Brenner, Department Chair, Education
Merith Cosden, Department Chair, CCSP

Prepared by:

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October 29, 2012

TABLE OF CONTENTS

I. INTRODUCTION	3
II. PROPOSAL PREPARATION	3
TABLE 1: OVERVIEW OF PROPOSALS SUBMITTED THROUGH THE GRI CGO, 2008-2012.....	3
III. AWARDS	4
TABLE 2: OVERVIEW OF AWARDS RECEIVED THROUGH THE GRI CGO, 2008-2012	5
IV. OTHER RESEARCH FUNDING	5
TABLE 3: OVERVIEW OF OTHER RESEARCH FUNDING RECEIVED THROUGH THE GRI CGO, 2012	5
V. POST-AWARD ADMINISTRATION	6
VI. HUMAN SUBJECTS	6
VII. RESEARCH DEVELOPMENT	7
VIII. GENERAL OFFICE FUNCTIONS	8
IX. CONCLUSION	8
APPENDIX A: TABLES	9
TABLE A.1: LEAD PIS WHO SUBMITTED PROPOSALS THROUGH THE GRI CGO, 2012*	9
TABLE A.2: PROPOSALS, BY SPONSOR TYPE IN DOLLARS, 2012.....	9
TABLE A.3: OVERVIEW OF PROPOSALS SUBMITTED BASED ON PI HOME DEPARTMENT, 2012.....	10
TABLE A.4: LEAD PIS WHO RECEIVED AWARDS THROUGH THE GRI CGO, 2012*.....	10
TABLE A.5: AWARDS, BY SPONSOR TYPE IN DOLLARS, 2012.....	10
TABLE A.6: OVERVIEW OF AWARDS RECEIVED BASED ON PI HOME DEPARTMENT, 2012	11
TABLE A.7: LEAD PIS WHO RECEIVED OTHER RESEARCH FUNDING THROUGH THE GRI CGO, 2012*	11

I. INTRODUCTION

The Gevirtz Research Institute Contracts & Grants Office (GRI CGO) provides support to the Gevirtz Graduate School of Education (GGSE) community in four main areas: proposal preparation, post-award administration, human subjects administration, and research development. The full-time office staff during 2011-2012 included two Contracts & Grants Analysts although the office was staffed by one Analyst or with a second Analyst in training for most of the year. Additional support was provided by a Research Development Coordinator (approximately 8 hours of support/week).

This Year End Report reflects the accomplishments of the GRI CGO during the 2012 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 66 proposals in 2012 totaling \$32,841,832 (see Table 1). Twenty-four individuals submitted proposals as lead Principal Investigator through the GRI CGO as follows (see Appendix A, Table A.1 for details).

- 10 Professors
- 4 Associate Professors
- 5 Assistant Professors
- 1 Researcher
- 1 Associate Researcher
- 1 Assistant Researcher
- 2 Academic Coordinators

Table 1: Overview of Proposals Submitted through the GRI CGO, 2008-2012

Fiscal Year	Number of Proposals Submitted	Total Value of Proposals Submitted
2008	63	\$8,534,989
2009	71	\$21,077,549
2010	57	\$20,156,165
2011	56	\$18,901,301
2012	66	\$32,841,832
5-Year Total	313	\$101,511,836

Sources: UCSB ORBiT reports: run date 10/24/2012 (2012 data), 7/5/2011 (2010, 2011 data). 2009 GGSE RO Fiscal Year End Report (2009 data). 2008 GGSE RO Fiscal Year End Report (2008 data).

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

Proposals were submitted to federal, state, and UC sponsors, as well as foundations, other educational institutions, local government entities, and professional organizations (see Appendix A, Table A.2).

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

For proposals submitted this fiscal year, 42% were funded, 43% were not funded and 15% are still under review.

INITIATIVES

i. 'Find a Faculty Expert'

The 'Find a Faculty Expert' search engine has been developed and added to the GGSE website. ITG staff members were instrumental in completing this project. The search engine will search the skills, specializations and publication titles of the faculty database to generate a listing of GGSE experts.

ii. Tracking Success Rates

Based on a suggested initiative from last year's report, the GRI CGO has started to track the success rate of proposals submitted in FY 2012. Results are reported above.

III. AWARDS

The GRI CGO processed 31 awards in 2012 totaling \$1,434,086 (see Table 2). This represents an increase of \$354,083 in funding from 2011.

Thirteen PIs had extramural awards processed through the GRI CGO as follows (see Appendix A, Table A.4 for details).

- | | |
|--------------------------|---------------------------|
| · 5 Professors | · 1 Associate Researcher |
| · 2 Associate Professors | · 1 Assistant Researcher |
| · 2 Assistant Professors | · 2 Academic Coordinators |

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

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

Table 2: Overview of Awards Received through the GRI CGO, 2008-2012

Fiscal Year	Number of Awards Received	Total Value of Awards Received
2008	39	\$2,038,130
2009	37	\$2,877,450
2010	34	\$2,542,434
2011	26	\$1,080,003
2012	31	\$1,434,086
5-Year Total	169	\$9,972,103

Sources: UCSB ORBiT reports: run date 6/29/2012 (2012 data), 7/5/2011 (2010, 2011 data). 2009 GGSE RO Fiscal Year End Report (2009 data). 2008 GGSR RO Fiscal Year End Report (2008 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 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 Agreements was also transferred to the GRI CGO. The total number and dollar value of these funds received in 2012 are displayed in Table 3 and represent an increase of \$780,396 from 2011.

Fifteen PIs received other research funding processed through the GRI CGO as follows (see Appendix A, Table A.7 for details).

- 8 Professors
- 2 Associate Professors
- 3 Assistant Professors
- 1 Associate Researcher
- 1 Academic Coordinator

Table 3: Overview of Other Research Funding Received through the GRI CGO, 2012

Type	Number Received	Value
Service Agreements /MOUs	15	\$515,876
Campus-Based Awards	9	\$56,167
General Research Awards	3	\$1,138,170
Total	27	\$1,710,213

Source: GRI CGO Office.

INITIATIVE

i. Service Agreement Template

In collaboration with the Contracts & Property Office and in order to reduce the processing time for Service Agreements, a template was created. This has resulted in some Agreements being processed more quickly. Ongoing efforts to work with Contracts & Property Office staff to reduce processing time for Agreements are underway.

V. POST-AWARD ADMINISTRATION

Throughout 2012, the GRI CGO administered 88 accounts including 48 contract and grant accounts, 18 campus-based award accounts, 13 income accounts, 7 general research accounts and 2 operating accounts. This reflects an increase of 17 accounts from 2011. 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, subaward set up and monitoring, coordination of summer salary, and report reminders.

VI. HUMAN SUBJECTS

During the 2012 fiscal year, 210 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 signature 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 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.

Efforts to educate students regarding the need for Human Subjects approval and the submission and approval process are ongoing. In addition, the GRI CGO serves as the point of contact within the GGSE to assist students and faculty with navigating the process.

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 circulating of funding notices, coordinating workshops including CORE, participating in campus-wide research development activities & meetings and providing support to PIs during proposal preparation.

Conversations on Research in Education (CORE) events held this year were:

October 19

Ty Vernon, CCSP

Why learning how to make friends might be the most important lesson taught in school

November 16

Steve Smith, CCSP

Specialization is for Insects: How Young is Too Young in Youth Sports?

November 28

Sharon Tettegah, National Science Foundation

Cutting a Path for NSF Funding Opportunities: Thinking Differently

January 20

Russ Rumberger, Education

Dropping Out: Why Students Drop Out of High School and What Can Be Done About it

April 18

Sherry Barnes and Janet Martorana, Davidson Library

UC California Digital Library Resources

POTENTIAL GOALS

The goals listed below are activities that the GGSE has considered pursuing 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.

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, collecting annual space requests, monitoring telephone service and bills funded by the GRI CGO, maintaining office equipment, ordering supplies, and maintaining the GRI CGO website.

INITIATIVES

i. GRI Staff Professional Development

GRI CGO Contracts & Grants Analyst (CCSP):

- Attended various UCSB classes and workshops on topics such as: effort reporting, travel and entertainment, contracts, and financial management.

GOALS

i. Continue GRI CGO Staff Professional Development

During the next year, the GRI staff will continue to attend classes and 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 2012. 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 in four main areas: proposal preparation, post-award administration, human subjects administration, and research development. We will also support and facilitate any goals that are identified throughout the coming year.

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 CGO, 2012*

Bazerman	Cosden (5)	Gibson	Koegel, R. (7)
Bianchini	Dewar (8)	Green	Quirk
Brenner (5)	Dowdy (3)	Harlow	Sharkey (5)
Chun	Duran (2)	Israel	Wang (2)
Conoley, C.	Felix (2)	Kia-Keating, M. (3)	Yeager (7)
Conoley, J.	Furlong	Koegel, L.	Yun (5)

*Of the 24 PIs submitting proposals, 19 are GGSE Faculty, 3 are Researchers, and 2 are Academic Coordinators.

* Numbers in parentheses reflect number of proposals submitted as lead PI if more than 1.

Source: UCSB ORBiT reports.

Table A.2: Proposals, by Sponsor Type in Dollars, 2012

Federal	State	UC	Foundations	Universities	Other*
1,190,710	101,885	3,000	268,208	22,642	26,660
1,740,000		5,600	73,785	75,000	45,000
1,399,998		27,950	144,785	1,845,770	50,000
367,419		15,900	332,916	299,316	45,000
17,999		15,903	350,000	58,693	29,999
380,299		7,900	37,000	526,317	5,000
89,997		42,362	124,272	212,327	20,000
9,821,506		22,000	75,000	571,538	20,000
998,261			74,931	212,308	16,997
1,203,144			64,183	81,000	30,300
4,971,222				61,011	141,935
1,349,953					172,827
					57,200
					119,517
					29,296
					67,328
					53,204
					19,845
					36,370
					5,000
					15,838
					35,234
					1,060,028
					1,455,244
Total	Total	Total	Total	Total	Total
\$23,530,508	\$101,885	\$140,615	\$1,545,080	\$3,965,922	\$3,557,822
71.6%	>1%	>1%	4.7%	12.1%	10.8%

*Other includes: National Writing Project, Santa Barbara County, WestEd, Society for the Study of School Psychology, Child Abuse Listening Mediation, Autism Speaks, Organization for Autism Research, Junior League of Santa Barbara, Center for Cultural Judaism, and Learning, Enrichment & Academic Resources.

Source: UCSB ORBiT reports.

Table A.3: Overview of Proposals Submitted based on PI Home Department, 2012

Fiscal Year	Number of Proposals Submitted	Total Value of Proposals Submitted
2012	73	\$34,673,583

Source: UCSB OR report: run date 10/24/2012.

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 CGO, 2012*

Brenner (4)	Duran	Israel	Singer
Cosden (7)	Felix (3)	Koegel, R. (2)	Wang
Dewar (4)	Harlow	Sharkey (2)	Yeager (3)
Dowdy			

* Of the 13 PIs receiving awards, 9 are GGSE Faculty, 2 are Researchers, and 2 are Academic Coordinators.

* Numbers in parentheses reflect number of awards received as lead PI if more than 1.

Source: UCSB ORBiT reports.

Table A.5: Awards, by Sponsor Type in Dollars, 2012

Federal	State	UC	Foundations	Universities	Other*
250,000		20,000	144,785		30,000
		28,000	22,850		45,000
		15,900	25,000		29,000
		3,000	58,580		45,000
		25,000			45,000
		42,468			50,000
					26,660
					35,000
					5,000
					16,997
					30,300
					141,935
					130,667
					29,561
					29,296
					19,845
					36,370
					1,800
					15,838
					35,234
Total	Total	Total	Total	Total	Total
\$250,000	\$0	\$134,368	\$251,215	\$0	\$798,503
17.43%	0%	9.37%	17.52%	0%	55.68%

*Other includes: Santa Barbara County, National Writing Project, Society for the Study of School Psychology, WestEd, Pacific Institute for Research & Evaluation, Organization for Autism Research, Junior League of Santa Barbara, and Center for Cultural Judaism.

Source: UCSB ORBiT reports.

Table A.6: Overview of Awards Received based on PI Home Department, 2012

Fiscal Year	Number of Awards Received	Total Value of Awards Received
2012	35	\$2,188,293

Source: UCSB OR report: run date 10/24/2012.

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 CGO, 2012*

Bazerman	Cosden	Jimerson (3)	Sharkey
Brenner	Dowdy (3)	Kia-Keating, M.	Smith
Conoley, J.	Furlong (2)	Marin	Yun (7)
Consoli	Ho (2)	Okamoto	

*Of the 15 PIs receiving other research funding, 13 are GGSE Faculty, 1 is a professional researcher and 1 is an Academic Coordinator.

* Numbers in parentheses reflect number of awards received as lead PI if more than 1.

Source: GRI CGO Office.