

To: Jane Close Conoley, Dean
Betsy Brenner, Department Chair, Education
Shane Jimerson, Department Chair, CCSP

From: Kelly Hayton, Contracts & Grants Analyst

Date: October 21, 2013

Re: 2013 Fiscal Year End Report, GGSE Contracts & Grants Office

I am pleased to provide the 2013 Fiscal Year End Report of the GGSE Contracts & Grants Office (GGSE CGO). This report documents the efforts and outcomes of the work of the GGSE 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.

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 GGSE 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

Contracts & Grants Office

2013 Fiscal Year End Report

Submitted to:

**Jane Close Conoley, Dean
Betsy Brenner, Department Chair, Education
Shane Jimerson, Department Chair, CCSP**

Prepared by:

Kelly Hayton, Contracts & Grants Analyst

October 21, 2013

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I. INTRODUCTION

The Gevirtz Graduate School of Education Contracts & Grants Office (GGSE CGO) provides support to the Gevirtz Graduate School of Education community in four main areas: proposal preparation, post-award administration, human subjects administration, and research development. The full-time office staff during 2012-2013 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 on an as needed basis.

This Year End Report reflects the accomplishments of the GGSE CGO during the 2013 fiscal 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 GGSE CGO processed 51 proposals in 2013 totaling \$10,404,572 (see Table 1). Twenty-three individuals submitted proposals as lead Principal Investigator through the GGSE CGO as follows (see Appendix A, Table A.1 for details).

- 9 Professors
- 3 Associate Professors
- 3 Assistant Professors
- 1 Lecturer with potential security of employment
- 1 Researcher
- 1 Associate Researcher
- 1 Academic Coordinator
- 4 graduate students

Table 1: Overview of Proposals Submitted through the GGSE CGO, 2009-2013

| Fiscal Year | Number of Proposals Submitted | Total Value of Proposals Submitted |
|---------------------|--------------------------------------|---|
| 2009 | 71 | \$21,077,549 |
| 2010 | 57 | \$20,156,165 |
| 2011 | 56 | \$18,901,301 |
| 2012 | 66 | \$32,841,832 |
| 2013 | 51 | \$10,404,572 |
| 5-Year Total | 301 | \$103,381,419 |

Sources: UCSB ORBiT reports: run date 7/1/2013 (2013 data), 10/24/2012 (2012 data), 7/5/2011 (2010, 2011 data). 2009 GGSE RO Fiscal Year End Report (2009 data)

Note: Possible 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 2013, there was no difference between the number of proposals submitted by administering department versus home department, meaning that no faculty within the GGSE submitted proposals as the lead PI through other administering departments.

For proposals submitted this fiscal year, 44% were funded, 40% were not funded and 16% are still under review.

III. AWARDS

The GGSE CGO processed 30 awards in 2013 totaling \$2,856,668 (see Table 2). This represents nearly double the award dollars from 2012.

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

- 7 Professors
- 2 Associate Professors
- 1 Assistant Professor
- 1 Lecturer with potential security of employment
- 1 Associate Researcher
- 1 Academic Coordinator

Sponsors included federal, state 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 GGSE CGO, 2009-2013

| Fiscal Year | Number of Awards Received | Total Value of Awards Received |
|---------------------|----------------------------------|---------------------------------------|
| 2009 | 37 | \$2,877,450 |
| 2010 | 34 | \$2,542,434 |
| 2011 | 26 | \$1,080,003 |
| 2012 | 31 | \$1,434,086 |
| 2013 | 30 | \$2,856,668 |
| 5-Year Total | 158 | \$10,790,641 |

Sources: UCSB ORBiT reports: run date 7/1/2013 (2013 data) 6/29/2012 (2012 data), 7/5/2011 (2010, 2011 data). 2009 GGSE RO Fiscal Year End Report (2009 data).

Notes: Possible 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 a given fiscal year.

IV. OTHER RESEARCH FUNDING

In 2009, the GGSE 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 GGSE CGO. The total number and dollar value of these funds received in 2013 are displayed in Table 3.

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

- 6 Professors
- 3 Associate Professors
- 4 Assistant Professors
- 2 Lecturer with potential security of employment
- 1 Academic Coordinator

Table 3: Overview of Other Research Funding Received through the GGSE CGO, 2013

| Type | Number Received | Value |
|---------------------------|------------------------|------------------|
| Service Agreements / MOUs | 11 | \$338,174 |
| Campus-Based Awards | 11 | \$87,229 |
| General Research Awards | 1 | \$40,000 |
| Total | 23 | \$465,403 |

Source: GGSE CGO Office.

INITIATIVE

i. Reduction of Service Agreement Processing Time

Ongoing efforts to work with Contracts & Property Office staff to reduce processing time for Agreements are underway.

V. POST-AWARD ADMINISTRATION

Throughout 2013, the GGSE CGO administered 81 accounts including 48 contract and grant accounts, 13 campus-based award accounts, 13 income accounts, 4 general research accounts and 3 operating 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, subaward set up and monitoring, coordination of summer salary, and report reminders.

New in 2013 was the GGSE implementation of the campus mandated Technology Infrastructure Fee (TIF). This has required oversight and monitoring of the fee and what accounts it is allowable to be assessed to on a monthly basis.

VI. HUMAN SUBJECTS

During the 2013 fiscal year, 210 Human Subjects protocol/modification approvals were processed through the GGSE 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 GGSE CGO.

The GGSE 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, 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 GGSE CGO.

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

VII. RESEARCH DEVELOPMENT

The GGSE has continued to support the grantsmanship initiatives available to GGSE faculty and researchers. Ongoing activities include circulating funding notices, coordinating workshops including Conversations on Research in Education (CORE), participating in campus-wide research development activities and meetings and providing support to PIs during proposal preparation.

Highlights of GGSE research development activities for this year:

- Reviewed funding opportunities with faculty to assess appropriateness for specific projects; critiqued faculty proposal for consistency with individual agency emphases and suggested ways to make their application more competitive, e.g., W.T. Grant Scholars program, UC Pacific Rim Program, NSF conference funding.
- Assisted Gevirtz School researchers in linking with research partners across disciplines, e.g., to promote collaborations for efforts such as the NSF Noyce Scholarships award.
- Consulted with faculty of current grant awards about leveraging efforts to build upon and supplement their projects, e.g., to secure funds for project evaluation or dissemination of project outcomes.
- Facilitated the CORE (Conversations on Research in Education) Lunch Series, e.g., Karen Nylund-Gibson’s talk on “Modeling flexibility with mixture models.”
- Presented 2 two-hour Professional Skills Development workshops to GGSE graduate students on securing extramural grants and fellowships, then met, as requested, with graduate students about individual projects and strategies for grant-getting.
- Helped initiate the development and presentation of the well-attended Gevirtz School in the Community lecture at the Faulkner Gallery, Santa Barbara Central Public Library where Laura Romo discussed her research on Latina mother-daughter communication about sexual issues.

VIII. GENERAL OFFICE FUNCTIONS

In addition to the functions described in the previous sections, the GGSE CGO also maintains general office functions including but not limited to: providing backup for other Dean’s Suite staff, posting transactions to financial recaps, collecting annual space requests, monitoring

telephone service and bills funded by the GGSE CGO, maintaining office equipment, ordering supplies, and maintaining the GGSE CGO website.

INITIATIVES

i. GGSE Staff Professional Development

GGSE CGO Contracts & Grants Analyst (CCSP):

- Attended various UCSB classes and workshops on topics such as: Technology Infrastructure Fee (TIF), biweekly payroll process and implementation, financial management, Gateway procurement system, researcher appointments, fiscal close process, leadership skills, and supervisor institute.

IX. CONCLUSION

This Year End Report highlights the activity of the GGSE CGO in 2013. 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 GGSE CGO activities.

APPENDIX A: Tables

Table A.1: Lead PIs who Submitted Proposals through the GGSECGO, 2013*

| | | |
|--------------|-----------------|---------------|
| Baharav | Furlong (2) | Quirk |
| Bazerman (2) | Green | Rumberger (3) |
| Bradshaw | Harlow (2) | Sharkey (3) |
| Brenner (5) | Israel | Singer (2) |
| Conoley, J. | Kia-Keating, M. | Wang |
| Cosden (5) | Koegel, L. | Weisman |
| Dewar (3) | Koegel, R. (6) | Yun (4) |
| Felix (3) | Llamas | |

*Of the 23 PIs submitting proposals, 16 are GGSE Faculty, 2 are Researchers, 1 is an Academic Coordinator, and 4 are graduate students

* 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, 2013

| Federal | State | UC | Foundations | Universities | Other* |
|-------------|-----------|-------------|-------------|--------------|-------------|
| 82,401 | 150,000 | 67,552 | 19,600 | 511,599 | 20,000 |
| 703,659 | | 2,000 | 60,000 | 60,000 | 9,970 |
| 153,250 | | 22,500 | 162,007 | | 156,555 |
| 1,460,649 | | 15,900 | 3,607 | | 26,660 |
| 256,573 | | 20,000 | 48,000 | | 50,000 |
| 89,991 | | 34,535 | 150,000 | | 33,750 |
| 1,242,482 | | 24,000 | 15,420 | | 45,000 |
| 74,685 | | 1,485,963 | 34,829 | | 141,935 |
| 250,000 | | 50,000 | | | 16,124 |
| 1,243,263 | | 23,651 | | | 166,619 |
| 125,883 | | | | | 59,000 |
| 399,990 | | | | | 5,000 |
| | | | | | 29,985 |
| | | | | | 119,605 |
| | | | | | 67,326 |
| | | | | | 53,204 |
| | | | | | 135,037 |
| | | | | | 224,813 |
| Total | Total | Total | Total | Total | Total |
| \$6,082,826 | \$150,000 | \$1,746,101 | \$493,463 | \$571,599 | \$1,360,583 |
| 58.5% | 1.4% | 16.8% | 4.7% | 5.5% | 13.1% |

*Other includes: Association for Institutional Research, National Council of Teachers of English, Good Samaritan Shelter, County of Santa Barbara, Pacific Institute for Research and Evaluation, New York Collaborates for Autism, Autism Speaks, Organization for Autism Research, National Council for Science and the Environment, and WestEd.

Source: UCSB ORBiT reports.

Table A.3: Overview of Proposals Submitted based on PI Home Department, 2013

| Fiscal Year | Number of Proposals Submitted | Total Value of Proposals Submitted |
|--------------------|--------------------------------------|---|
| 2013 | 51 | \$10,404,572 |

Source: UCSB OR report: run date 10/7/2013.

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 GGSE CGO, 2013*

| | | |
|--------------|----------------|---------------|
| Bazerman (2) | Dewar (4) | Rumberger (2) |
| Bianchini | Felix | Sharkey (2) |
| Brenner (5) | Israel | Singer |
| Conoley | Koegel, R. (3) | |
| Cosden (5) | Quirk (2) | |

* Of the 13 PIs receiving awards, 11 are GGSE Faculty, 1 is a Researcher, and 1 is an Academic Coordinator.

* 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, 2013

| Federal | State | UC | Foundations | Universities | Other* |
|----------------|--------------|--------------|--------------------|---------------------|---------------|
| 1,199,920 | 150,000 | 43,000 | 19,600 | | 9,970 |
| 250,000 | 150,000 | 22,500 | 40,000 | | 50,650 |
| | | 15,900 | 63,842 | | 26,660 |
| | | 20,000 | 48,000 | | 45,000 |
| | | 2,000 | 150,000 | | 50,000 |
| | | 34,535 | | | 45,000 |
| | | 22,000 | | | 20,000 |
| | | 50,000 | | | 20,000 |
| | | | | | 141,935 |
| | | | | | 16,124 |
| | | | | | 29,500 |
| | | | | | 67,328 |
| | | | | | 53,204 |
| Total | Total | Total | Total | Total | Total |
| \$1,449,920 | \$300,000 | \$209,935 | \$321,442 | \$0 | \$575,371 |
| 50.8% | 10.5% | 7.3% | 11.3% | 0% | 20.1% |

*Other includes: National Council of Teachers of English, Good Samaritan Shelter, County of Santa Barbara, National Writing Project, Pacific Institute for Research & Evaluation, and Autism Speaks.

Source: UCSB ORBiT reports.

Table A.6: Overview of Awards Received based on PI Home Department, 2013

| Fiscal Year | Number of Awards Received | Total Value of Awards Received |
|--------------------|----------------------------------|---------------------------------------|
| 2013 | 31 | \$3,121,722 |

Source: UCSB OR report: run date 10/7/2013.

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 GGSE CGO, 2013*

| | | |
|-----------|-----------------|-------------|
| Chun | Ho | Sharkey (3) |
| Dewar | Israel | Wang |
| Dowdy (2) | Jimerson | Yun (4) |
| Furlong | Kia-Keating, M. | Zetzer |
| Gerber | Kyratzis | |
| Harlow | Quirk (2) | |

*Of the 16 PIs receiving other research funding, 15 are GGSE Faculty 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.