

University of California, Santa Barbara

Gevirtz Graduate School of Education

Contracts & Grants Office

2014 Fiscal Year End Report

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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 2013-2014 included two Contracts & Grants Analysts with a third added in June 2014. The office continued in a period of flux this year with additional responsibility shifts within the Gevirtz Graduate School of Education staff and a portion of the year spent with the second Analyst in training. 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 2014 fiscal year 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 63 proposals in 2014 totaling \$109,761,959 (see Table 1). Twenty-seven individuals submitted proposals as lead Principal Investigator through the GGSE CGO as follows (see Appendix A, Table A.1 for details).

- 10 Professors
- 4 Associate Professors
- 2 Assistant Professors
- 1 Senior Lecturer with Security of Employment
- 1 Lecturer with Potential Security of Employment
- 1 Associate Researcher
- 1 Academic Coordinator
- 7 graduate students

Table 1: Overview of Proposals Submitted through the GGSE CGO, 2010-2014

Fiscal Year	Number of Proposals Submitted	Total Value of Proposals Submitted
2010	57	\$20,156,165
2011	56	\$18,901,301
2012	66	\$32,841,832
2013	51	\$10,404,572
2014	63	\$9,761,959
5-Year Total	293	\$92,065,829

Sources: UCSB ORBiT reports: run date 7/3/14 (2014 data), 7/1/2013 (2013 data), 10/24/2012 (2012 data), 7/5/2011 (2010, 2011 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 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 2014, 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, 50% were funded, 28% were not funded and 22% are still under review.

III. AWARDS

The GGSE CGO processed 37 awards in 2014 totaling \$3,174,872 (see Table 2). This represents an increase in number and dollar amount from 2013.

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

- 6 Professors
- 3 Associate Professors
- 1 Assistant Professor
- 1 Lecturer with Potential Security of Employment
- 1 Associate Researcher
- 1 Academic Coordinator
- 1 graduate student

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. There were two awards within 2014 that are being administered outside the GGSE CGO.

Table 2: Overview of Awards Received through the GGSE CGO, 2010-2014

Fiscal Year	Number of Awards Received	Total Value of Awards Received
2010	34	\$2,542,434
2011	26	\$1,080,003
2012	31	\$1,434,086
2013	30	\$2,856,668
2014	37	\$3,174,872
5-Year Total	158	\$11,088,063

Sources: UCSB ORBiT reports: run date 7/3/14 (2014 data), 7/1/2013 (2013 data), 6/29/2012 (2012 data), 7/5/2011 (2010, 2011 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 amount of awards represents only the funds that were received during a given fiscal year.

IV. OTHER RESEARCH FUNDING

The number and dollar amount of agreements, campus-based and system-wide research awards received in 2014 are displayed in Table 3.

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

- 6 Professors
- 4 Associate Professors
- 2 Assistant Professors
- 1 Lecturer with Potential Security of Employment
- 1 Associate Researcher
- 1 Academic Coordinator

Table 3: Overview of Other Research Funding Received through the GGSE CGO, 2014

Type	Number Received	Value
Agreements	10	\$123,411
Campus-Based Awards	10	\$130,121
System-wide Awards	1	\$46,950
Total	21	\$300,482

Source: GGSE CGO Office.

INITIATIVE

i. Standardization of Agreement Document Formats

In collaboration with Contracts & Property Office staff, a standardization of Agreement formats project was initiated. The goal is to identify types of Agreements processed by the GGSE and to create templates for ease of processing. An additional goal of this effort was to reduce processing time for Agreements.

ii. Creation of a log to monitor spending under Letters of Agreements

In order to ensure that spending under Letters of Agreement does not exceed the approved amount, a log to track spending was created and is maintained by the GGSE CGO.

V. POST-AWARD ADMINISTRATION

Throughout 2014, the GGSE CGO administered 97 accounts including 56 contract and grant accounts, 23 campus-based award accounts, 10 income accounts, 5 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.

Roll out of the new campus procurement system occurred in 2014. This required transition from the use of low value purchase orders to a new online system.

INITIATIVE

i. Participation on the campus wide project team on the federal Uniform Guidance

A campus wide team was assembled to review, discuss and implement changes across campus to conform to the new Uniform Guidance that goes into effect on December 26, 2014. Additional goals of the project team are to disseminate relevant information to campus units.

VI. HUMAN SUBJECTS

During the 2014 fiscal year, 205 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, helped secure required information, and suggested ways to make their application more competitive, e.g., NSF DRK-12 program, UC Center Bacon Lectureship, training grants, NSF Noyce, Hellman Family Faculty Fellowships.
- Assisted Gevirtz School researchers in linking with research partners across disciplines, e.g., to promote collaborations for efforts such as the NSF Noyce Scholarships Phase II and NSF DRK-12 proposals.
- Provided new faculty orientations to discuss research plans and potential funding sources.
- 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, including presentations by Melissa Morgan Consoli, Hsiu-Zu Ho, Jennifer Flashman, and Yuqin Hei.
- Presented to first year GGSE graduate student ED 200 pro-seminar on strategies for securing extramural grants and fellowships.
- Supported P-20 Council and international scholar and student activities.

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. Implementation of new mandated reporter acknowledgement form under the Child Abuse and Neglect Reporting Act (CANRA)

Under CANRA, all UC employees with regular contact with children or supervision of UC employees with regular contact with children qualify as mandated reporters and must sign an acknowledgement form. New hires in certain categories are automatically required to sign the form while other new hires are treated case by case. In addition, a school wide reminder will be sent out annually.

ii. GGSE Staff Professional Development

GGSE CGO Contracts & Grants Analyst (CCSP):

- Attended various UCSB classes and workshops on topics such as: performance evaluations, Academic Personnel process, Flexcard administration, ALLN02 access system, Kronos, travel reimbursement processing, and gifts processing.

GGSE CGO Contracts & Grants Analyst (Education):

- Attended various UCSB classes and workshops on topics such as: Sponsored Projects, Academic Personnel and purchasing with Flexcard.

IX. CONCLUSION

This Year End Report highlights the activity of the GGSE CGO in 2014. We hope 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 GGSE CGO, 2014*

Adam	Furlong (2)	Koegel, R. (6)
Baharav	Gerber	Morgan Consoli
Baker	Gottfried (8)	Narvaez
Bianchini	Green (2)	Quirk
Brenner (3)	Harkness	Rumberger (2)
Cosden (6)	Harlow (2)	Sharkey (8)
Dewar (3)	Hernandez	Singer
Dowdy (2)	Israel (2)	van Koppen (2)
Felix (2)	Jimerson	Weisman

*Of the 27 PIs submitting proposals, 17 are GGSE Faculty, 1 is Chemistry Faculty, 1 is a Researcher, 1 is an Academic Coordinator, and 7 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, 2014

Federal	State	UC	Foundations	Universities	Other*
\$796,872		\$4,300	\$350,000	\$81,006	\$20,000
\$1,734,898		\$16,000	\$74,770	\$103,000	\$49,582
\$153,437		\$23,000	\$15,000	\$543,202	\$50,650
\$925,573		\$36,500	\$48,743	\$462,716	\$48,288
\$364,241		\$24,000	\$67,608	\$601,861	\$26,992
\$66,861		\$20,000	\$14,973	\$50,000	\$35,000
\$250,350		\$3,490	\$15,000	\$545,120	\$30,000
\$143,213		\$34,450			\$65,000
\$135,595		\$21,000			\$20,000
\$155,217		\$36,000			\$129,999
\$252,312					\$34,055
\$267,322					\$16,145
\$250,000					\$29,500
\$83,367					\$24,677
					\$23,461
					\$5,000
					\$29,759
					\$49,007
					\$50,000
					\$50,000
					\$30,000
					\$25,000
					\$55,141
					\$68,706
					\$25,000
Total	Total	Total	Total	Total	Total
\$5,579,258	\$0	\$218,740	\$586,094	\$2,386,905	\$990,962
57.2%	0%	2.2%	6.0%	24.5%	10.2%

*Other includes: American Educational Research Association, Entertainment Software Association, Good Samaritan Shelter, County of Santa Barbara, National Writing Project Corporation, Pacific Institute for Research and Evaluation, Autism Speaks, Organization for Autism Research, Santa Barbara County Education Office, Community Action Commission of Santa Barbara County, City of Carpinteria.

Source: UCSB ORBiT reports.

Table A.3: Overview of Proposals Submitted based on PI Home Department, 2014

Fiscal Year	Number of Proposals Submitted	Total Value of Proposals Submitted
2014	63	\$9,761,959

Source: UCSB OR report: run date 10/31/2014.

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, 2014*

Brenner (3)	Harlow	Quirk
Cosden (7)	Hernandez	Rumberger
Dewar (4)	Israel	Sharkey (9)
Felix (2)	Kia-Keating, M.	Singer
Green	Koegel, R. (4)	

* Of the 14 PIs receiving awards, 11 are GGSE Faculty, 1 is a Researcher, 1 is an Academic Coordinator and 1 is a graduate student.

* 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, 2014

Federal	State	UC	Foundations	Universities	Other*
76,708		22,500	67,608		50,650
29,996		15,900	3,608		26,660
250,000		25,000	15,420		50,000
		37,035			33,750
		1,482,914			45,000
		24,000			48,288
		20,000			26,992
		34,450			10,000
					130,000
					16,145
					29,759
					119,605
					5,000
					29,500
					49,007
					50,000
					50,000
					30,000
					67,326
					53,204
					25,000
					68,706
					55,141
Total	Total	Total	Total	Total	Total
\$356,704	\$0	\$1,661,799	\$86,636	\$0	\$1,069,733
11.2%	0%	52.3%	2.7%	0%	33.7%

*Other includes: Good Samaritan Shelter, County of Santa Barbara, National Writing Project, Pacific Institute for Research & Evaluation, Organization for Autism Research, Autism Speaks, Community Action Commission of Santa Barbara County, City of Carpinteria.

Source: UCSB ORBiT reports.

Table A.6: Overview of Awards Received based on PI Home Department, 2014

Fiscal Year	Number of Awards Received	Total Value of Awards Received
2014	39	\$3,490,478

Source: UCSB OR report: run date 10/31/2014.

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, 2014*

Dewar (4)	Israel	Nylund-Gibson
Dowdy	Jimerson (2)	Okamoto
Furlong	Kyratzis	Sharkey (2)
Gottfried (2)	Lee	Wang
Ho	Morgan Consoli	Yun

*Of the 15 PIs receiving other research funding, 13 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: GGSE CGO Office.