

**University of California, Santa Barbara**

**Gevirtz Graduate School of Education**

**Contracts & Grants Office**

**2015 Fiscal Year End Report**

**Submitted to:**

**Mary Betsy Brenner, Interim Co-Dean  
Michael Furlong, Interim Co-Dean  
Julie Bianchini, Department Chair, Education  
Shane Jimerson, Department Chair, CCSP  
Dorothy Satomi, Assistant Dean**

**Prepared by:**

**Kelly Hayton, Manager, Finance & Administration  
Everly Manes, Contracts & Grants Analyst**

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## I. INTRODUCTION

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The Gevirtz Graduate School of Education Contracts & Grants Office (GGSE CGO) provides support to the GGSE community in four main areas: proposal preparation, award administration, human subjects administration, and research development. The full-time office staff during 2014-15 included two Contracts & Grants Analysts with a third added in late 2015. The office continued in a period of flux this year with additional responsibility shifts within the Gevirtz Graduate School of Education. Additional support was provided by a Research Development Coordinator on an as needed basis.

This report reflects the accomplishments and actions of the GGSE CGO during the 2015 fiscal year under seven topic areas: proposal preparation, awards, other research funding, post-award administration, human subjects, research development, and general office functions.

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## II. PROPOSAL PREPARATION

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The GGSE CGO processed 68 proposals in 2015 totaling \$10,879,866 (see Table 1). Twenty-six individuals submitted proposals as lead Principal Investigator (PI) through the GGSE CGO as follows (see Appendix A, Table A.1 for details).

- 12 Professors
- 6 Associate Professors
- 4 Assistant Professors
- 3 Lecturers with Security of Employment
- 1 Academic Coordinator

**Table 1: Overview of Proposals Submitted through the GGSE CGO, 2011-2015**

<b>Fiscal Year</b>	<b>Number of Proposals Submitted</b>	<b>Total Value of Proposals Submitted</b>
2011	56	\$18,901,301
2012	66	\$32,841,832
2013	51	\$10,404,572
2014	63	\$9,761,959
<b>2015</b>	<b>68</b>	<b>\$10,879,866</b>
<b>5-Year Total</b>	<b>304</b>	<b>\$82,789,830</b>

Sources: UCSB ORBiT reports: run date 7/1/15 (2015 data), 7/3/14 (2014 data), 7/1/2013 (2013 data), 10/24/2012 (2012 data), 7/5/2011 (2011 data).

Note: Possible discrepancies between this 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. In 2015, two faculty members submitted proposals as lead PI through another administering department on campus.

For proposals submitted this fiscal year, 59% were funded, 28% were not funded and 13% are still under review.

#### **INITIATIVE**

##### **i. Implementation of ORCOI: Office of Research Conflict of Interest Disclosure System**

The Office of Research introduced an online system for Conflict of Interest disclosures to help PIs and staff to reduce the administrative workload due to new federal financial Conflict of Interest requirements. The online system allows PIs to submit one annual disclosure instead of multiple transactional disclosures for proposals submitted to federal sponsors. Transactional disclosures are still required for non-federal proposals when necessary due to California state requirements.

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### **III. AWARDS**

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The GGSE CGO processed 42 new extramural awards in 2015 totaling \$3,019,372 (see Table 2). This represents an increase in number of awards from 2014 but not in total dollars awarded.

Twenty-one PIs had extramural awards processed through the GGSE CGO as follows (see Appendix A, Table A.4 for details). This is an increase from fourteen PIs in 2014.

- 9 Professors
- 4 Associate Professors
- 5 Assistant Professors
- 2 Lecturers with Security of Employment
- 1 Academic Coordinator

Sponsors included federal and UC sources, as well as foundation, local government entities, and other organizations (see Appendix A, Table A.5). There was a substantial increase in the number of awards directly from federal agencies from prior years.

Table A.6 shows an overview of awards received based on lead Principal Investigator home department instead of administering department. One award received during this period is being administered outside the GGSE CGO.

#### **INITIATIVE**

##### **i. Collaboration with Santa Barbara Unified School District**

SBUSD has been working towards streamlining the process for submission of research proposals. GGSE CGO staff, along with representatives from the campus Office of Research, worked with SBUSD staff to ensure that the new SBUSD process will be compatible with UCSB processes. With UCSB researchers' interests in mind, we attempted to minimize the number of administrative steps within SBUSD's new process.

**Table 2: Overview of Awards Received through the GGSE CGO, 2011-2015**

<b>Fiscal Year</b>	<b>Number of Awards Received</b>	<b>Total Value of Awards Received</b>
2011	26	\$1,080,003
2012	31	\$1,434,086
2013	30	\$2,856,668
2014	37	\$3,174,872
<b>2015</b>	<b>42</b>	<b>\$3,019,372</b>
<b>5-Year Total</b>	<b>166</b>	<b>\$11,565,001</b>

Sources: UCSB ORBiT reports: run date 7/1/15 (2015 data), 7/3/14 (2014 data), 7/1/2013 (2013 data), 6/29/2012 (2012 data), 7/5/2011 (2011 data).

Notes: Possible discrepancies between this 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.

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## **IV. OTHER RESEARCH FUNDING**

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The number and dollar amount of agreements, campus-based and system-wide research awards received in 2015 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
- 5 Assistant Professors
- 1 Lecturers with Security of Employment
- 1 Academic Coordinator

**Table 3: Overview of Other Research Funding Received through the GGSE CGO, 2015**

<b>Type</b>	<b>Number Received</b>	<b>Value</b>
Agreements	7	\$92,225
Campus-Based Awards	12	\$81,830
System-wide Awards	2	\$120,000
<b>Total</b>	<b>21</b>	<b>\$294,055</b>

Source: GGSE CGO Office.

## **INITIATIVES**

### **i. Differentiating between Services Agreements and Research Agreements**

Central campus has provided guidelines for distinguishing projects as either Research or Service Agreements. This allows the GGSE CGO to more efficiently route projects to

either the Office of Research or to Procurement Services. Information has been disseminated to GGSE researchers who have previously used the Service Agreement mechanism for their projects.

ii. **Guidance for using Letters of Understanding**

Due to the widespread professional development activities led by GGSE researchers, CGO staff has worked with Procurement Services to clarify and secure the continued use Letters of Understanding as a contractual mechanism.

**GOAL**

i. **Streamline Process for Services Agreements**

With the campus implementation of having Service Agreements processed via the Gateway online procurement system, the GGSE CGO will make efforts to standardize the work flow and record management within the GGSE.

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**V. AWARD ADMINISTRATION**

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Throughout 2015, the GGSE CGO administered 104 accounts including 71 contract and grant accounts, 19 campus-based award accounts, 8 income accounts, 3 general research accounts and 3 operating accounts. This represents a 7% increase from 2014. 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 and other central campus units, subaward set up and monitoring, coordination of summer salary, and report reminders.

**INITIATIVES**

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

We continued to have a voice on the project team for the review and implementation of Uniform Guidance on campus. This year dissemination campus wide was completed. In addition, a subgroup completed updates to the campus Department Costing Guidelines.

ii. **Implementation of Uniform Guidance**

As a result of the release of Uniform Guidance, internal processes were implemented to monitor subawards more diligently. Continued efforts are being made to close awards in a timely manner at the CGO level to allow for Extramural Funds Accounting to complete final billing and close awards.

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## **VI. HUMAN SUBJECTS**

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During the 2015 fiscal year, 202 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 Department Chair's signature must be submitted to the Office of Research prior to beginning data collection. The process of obtaining the Department Chair'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 and new members of the GGSE community 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.

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## **VII. RESEARCH DEVELOPMENT**

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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 providing support to PIs during proposal preparation.

Highlights of research development activities for this year:

- Reviewed funding opportunities with faculty to assess appropriateness for specific projects; critiqued faculty proposals 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, and NSF Noyce.
- Assisted GGSE researchers in linking with research partners across disciplines, e.g., to promote collaborations for efforts such as the NSF Noyce and NSF DRK-12 proposals.
- Provided new faculty orientations to discuss research plans and potential funding sources.

- Consulted with faculty with 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:
  - Michael Gottfried, *Formal versus informal prekindergarten care and school readiness for children in immigrant families: A review of evidence from the U.S.*
  - Sarah Roberts, *Prospective Mathematics Teachers' Conceptions of Equitable Mathematics*
  - Andrés Consoli, *Facilitative factors in mental health care access and utilization by Latin@s: Learning from our clients*
  - Yukari Okamoto, *Spatial reasoning in the early years: Principles, assertions, and speculations*
- Supported P-20 Council and international scholar and student activities.

## GOAL

### i. Increase Student Involvement

During 2014-15, we did not have any students submit a proposal as lead PI. For 2015-16 GGSE CGO will focus on disseminating funding opportunities aimed at students, such as fellowships and dissertation grants, and provide more information and resources.

## 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. Created Action and Activities Log

The log allows GGSE CGO staff to monitor the full portfolio of upcoming proposals, agreements in process, subcontracts, research MOUs and Service Agreements at a glance.

### ii. GGSE Staff Professional Development

GGSE CGO Contracts & Grants Analyst (CCSP):

- Attended various UCSB classes and workshops on topics such as: Sponsored Projects, Research Administration, International Business Risks, Records Retention, Academic Leaves, Family Medical Leave Act.

GGSE CGO Contracts & Grants Analyst (Education):

- Attended various UCSB classes and workshops on topics such as: Sponsored Projects, Research Administration, Academic Personnel, UC Travel Connexus.

## **GOAL**

### **i. CGO Website Expansion**

Update and expand website resources, including FAQs and archive of announcements relevant to PIs.

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## **IX. CONCLUSION**

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This report highlights the activity of the GGSE CGO in 2015. 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 continue to strive to be good stewards of UC funds while supporting the research endeavors of the GGSE community. In addition, we will support and facilitate any goals that are identified throughout the coming year.

## APPENDIX A: Tables

**Table A.1: Lead PIs who Submitted Proposals through the GGSE CGO, 2015\***

Arya (2)	Gerber	Nylund-Gibson (2)
Bazerman	Gottfried (13)	Quirk
Brenner (4)	Harlow (4)	Rumberger
Conoley	Israel	Sharkey (6)
Cosden (3)	Jimerson (3)	Singer
Dewar (3)	Kia-Keating	Sloan
Dowdy (6)	Koegel (2)	van Koppen (2)
Felix (2)	Marcoulides	Vernon
Furlong	Maul (4)	

\*Of the 26 PIs submitting proposals, 25 are GGSE Faculty, 1 is a Chemistry Faculty member, and 1 is an Academic Coordinator.

\* 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, 2015**

Federal	State	UC	Foundations	Universities	Local agencies	Other*
\$499,944	\$300,000	\$16,000	\$8,147	\$132,728	\$50,650	\$55,000
\$74,831		\$51,622	\$172,505	\$351,440	\$35,000	\$10,000
\$192,749		\$23,000	\$49,655	\$103,000	\$65,000	\$31,805
\$289,643		\$25,000	\$49,967	\$103,393	\$44,879	\$55,000
\$52,542		\$1,500	\$60,000	\$118,454	\$6,933	\$39,999
\$151,300		\$37,807	\$40,000	\$58,103	\$9,929	\$55,000
\$281,946		\$22,000	\$39,984	\$40,498	\$12,277	
\$590,187		\$17,419	\$3,000	\$15,910	\$231,493	
\$394,978		\$20,000		\$462,283	\$43,747	
\$29,996		\$30,845		\$21,808	\$74,312	
\$1,464,087		\$299,504		\$38,586	\$31,958	
\$2,729,988		\$36,000			\$74,077	
\$250,000		\$21,000			\$28,658	
					\$68,796	
					\$55,497	
					\$26,507	
<b>Total</b>	<b>Total</b>	<b>Total</b>	<b>Total</b>	<b>Total</b>	<b>Total</b>	<b>Total</b>
\$7,002,191	\$300,000	\$601,697	\$423,258	\$1,446,203	\$859,713	\$246,804
64.4%	2.8%	5.5%	3.9%	13.3%	7.9%	2.2%

\*Other includes: American Educational Research Association,, National Writing Project Corporation, Autism Speaks, Organization for Autism Research.

Source: UCSB ORBiT reports.

**Table A.3: Overview of Proposals Submitted based on PI Home Department, 2015**

<b>Fiscal Year</b>	<b>Number of Proposals Submitted</b>	<b>Total Value of Proposals Submitted</b>
<b>2015</b>	<b>73</b>	<b>\$20,047,494</b>

Source: UCSB OR report: run date 9/3/2015.

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, 2015\***

Bianchini	Gerber	Quirk
Brenner (3)	Gottfried (4)	Rumberger
Conoley	Harlow	Sharkey (4)
Cosden (6)	Jimerson	Singer
Dewar (3)	Kia-Keating	Van Koppen (2)
Dowdy (4)	Koegel (3)	Vernon
Felix	Maul (2)	

\* Of the 21 PIs receiving awards, 20 are GGSE Faculty, 1 is a Chemistry Faculty member, 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, 2015**

<b>Federal</b>	<b>State</b>	<b>UC</b>	<b>Foundations</b>	<b>Universities</b>	<b>Local agencies</b>	<b>Other*</b>
\$796,872	\$300,000	\$16,000	\$60,000	\$40,498	\$35,000	\$10,000
\$74,831		\$23,000	\$40,000	\$50,000	\$30,000	\$34,055
\$250,350		\$25,000	\$19,952		\$65,000	\$24,677
\$151,300		\$1,500	\$3,000		\$35,000	\$23,461
\$52,542		\$24,000			\$62,500	\$55,000
\$29,996		\$36,500			\$50,650	
\$250,000		\$21,000			\$25,000	
		\$36,000			\$44,879	
					\$6,933	
					\$9,929	
					\$43,747	
					\$31,958	
					\$28,658	
					\$26,507	
					\$74,077	
<b>Total</b>	<b>Total</b>	<b>Total</b>	<b>Total</b>	<b>Total</b>	<b>Total</b>	<b>Total</b>
\$1,605,891	\$300,000	\$183,000	\$122,952	\$90,498	\$579,838	\$137,193
53.2%	9.9%	6.1%	4.1%	3.0%	19.2%	4.5%

\*Other includes: National Writing Project, Organization for Autism Research, Autism Speaks.

Source: UCSB ORBiT reports.

**Table A.6: Overview of Awards Received based on PI Home Department, 2015**

<b>Fiscal Year</b>	<b>Number of Awards Received</b>	<b>Total Value of Awards Received</b>
<b>2015</b>	<b>43</b>	<b>\$3,246,798</b>

Source: UCSB OR report: run date 9/3/2015.

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, 2015\***

Bianchini	Harlow (2)	Roberts
Chun	Ho	Sharkey
Consoli	Jimerson	Wang
Dewar (4)	Kyratzis	Vernon
Felix	Maul	
Gottfried (2)	Okamoto	

\*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: GGSE CGO Office.