

A decorative graphic featuring a network of blue spheres of various sizes connected by thin lines, resembling a molecular or network structure. The background is light blue with a subtle rainbow gradient at the bottom.

# The Office of Sponsored Programs and Research

## Annual Report Academic Year 2012-13



# The Office of Sponsored Programs and Research

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Dear Colleagues,

The Office of Sponsored Programs and Research (OSPR) at Governors State University stands ready to assist you in your grant writing and goals for securing grant funding, and in your ongoing research and sponsored projects. We hope and trust that you have found OSPR to be helpful, and that you will continue to converse and engage with us as we build and refine our resources to best meet your needs.



Please take a few moments to read the OSPR Annual Report. This year's annual report touches on many of your activities and ours during the past academic year (AY 12-13). This past year, just like recent years past, GSU faculty, staff, and students engaged in a diverse range of research and sponsored projects – from student scholarship projects, to Early Head Start and prevention programs for at-risk youth at the Family Development Center, to action research around restorative justice, to media-based training around informed consent in research, to development of resources for Veterans in the GSU Library.

This annual report provides information regarding trends in grant application activity as well as in the awards realized. You will read about work begun, and still underway, to implement improved automated approaches to grant seeking and grant management; you will read about our pragmatic approach to problem-solving and our ongoing efforts to improve professional development opportunities, services and information resources for Principal Investigators and other faculty and staff working on grants and sponsored projects; and you will read about our efforts to revise and develop new research related policies.

We in OSPR enjoy immensely the contact and productive working relationships that we have with faculty, staff, and students in regards to grant seeking and grant management. The collaborative spirit is strong.

We in OSPR are also very appreciative of the support provided for OSPR, and by extension, for faculty research and scholarship university-wide, by the President, Vice-President, Provost, and Deans. As we all know, this support is absolutely critical if we are to achieve our goals of substantially increasing funding from grants and sponsored projects. We trust this support will continue and we will make every effort to achieve our lofty goals.

Please accept our thanks and appreciation for supporting and engaging with OSPR over the past year. Let us certainly carry this momentum forward.

A handwritten signature in black ink that reads "James R. Coldren, Jr." The signature is written in a cursive, flowing style.

James R. "Chip" Coldren, Jr.

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## The Office of Sponsored Programs and Research



## The pragmatic approach ...

Early in the 2012-13 Academic Year, we convened a Grants Planning Committee comprised of representatives from the various collaborating offices and stakeholder groups on campus that work with and depend on OSPR. With support from the University administration, this Committee established a problem-solving agenda. Based on information received from Principal Investigators and others involved in grant work on campus, and on deliberations during its initial meetings, the Committee identified several key areas needing attention (e.g., fiscal and grants management information, personnel and human resources information, instructive "how to ..." information regarding budgeting, hiring, and purchasing, and information systems generally). The Grants Planning Committee met regularly during the Academic Year (see the OSPR website to view the meeting minutes), and it continues to meet, with members rolling their sleeves up and tackling the issues identified as needing attention.

For example, working with the Business Office, the Committee established an agreement regarding the distribution of indirect costs recovered from grants (Principal Investigators receive 10 percent of indirect cost recovery), and established a regular reporting system regarding the Principal Investigator indirect cost recovery accounts. The Committee also developed recommendations for use of recovered indirect costs. Based in part on Committee deliberations, OSPR purchased ITWorks™, a grant application and funded project management system, as well as Grant Forward™, a software application that aids in searching for funding opportunities. OSPR has established several new practices in the Business and Human Resources Offices that have clarified and streamlined grant-related business and transactions.

At least once each semester, the Grants Planning Committee meets with University administration leadership and representatives from the faculty and staff at GSU to discuss issues addressed, progress made, and emerging needs and priorities for OSPR.

The Grants Planning Committee will continue its work in the 2013-14 Academic Year, and plans to shift its attention somewhat to monitor progress on the solutions implemented so far, as well as to serve in a more permanent advisory capacity with OSPR.



### Grants Planning Committee:

From left: Andrea Middleton, Assistant Controller; James R. "Chip" Coldren, Jr., Director, OSPR; Jennifer Morehead, Deputy Director, OSPR; Karen D'Arcy, Interim Dean, College of Education; Melinda Gieseke, Controller; Ebony Jones, Sponsored Programs Specialist, OSPR; Kathleen Gustafson, Program Assistant, College of Education; Carol Morrison, Executive Director, Family Development Center. Not pictured: Catherine Balthazar, Professor and Chair of Department of Communication Disorders; Pulchratia Kinney-Smith, Associate Director, Human Resources



## The Office of Sponsored Programs and Research



# Policies and Procedures Updates

## Update to Disposition of Research/Grant Administration Files

Illinois Application 86-26A on records and retention has been updated. Research and Grant Administration files are to be retained in office for (5) years from the date of the submission of the final expenditure report, and then destroyed in a secure manner provided all audits have been completed, if necessary, and no litigation is pending or anticipated. All special/final reports are to be maintained permanently in the office or University archives.

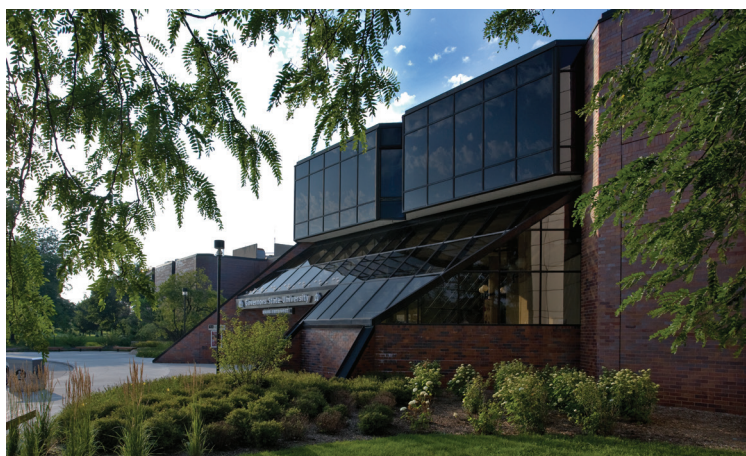
## Revised Policy 46 on Funding Sources has been posted in the online University Policies Manual

Policy 46 has been revised to reflect the current process regarding gifts and grants. It identifies and clarifies that the Development Office should be contacted regarding gifts and that the Office of Sponsored Programs and Research should be contacted regarding grants. Both offices will work together to coordinate efforts. It is important to note that funds obtained from any external source (gift or grant) will be deposited, disbursed, monitored, and reported according to generally accepted accounting principles (GAAP) through the appropriate Governors State University financial offices.

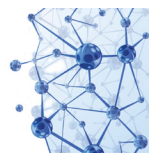
## Policy 68, Financial Conflict of Interest (FCOI) in Externally Sponsored Research and Educational Activities has been posted in the online University Policies Manual

The purpose of Policy 68 is to promote objectivity in externally funded research and educational activities by ensuring that the design, conduct, and reporting of research and educational activities funded under external grants or cooperative agreements will be free from bias resulting from the investigator (and/or the investigator's spouse and/or dependent children) having significant financial conflicts of interest.

A significant financial conflict of interest (FCOI) means a significant financial interest (SFI) that could directly and significantly affect the design, conduct, or reporting of research or educational activities. Faculty and staff of the University have an obligation to maintain the objectivity of their research and educational activities by avoiding any financial conflict of interest. Governors State University developed this policy to protect the integrity of externally sponsored research and educational activities and to comply with federal regulations.



## The Office of Sponsored Programs and Research



# Quick Facts

(as of 9/23/13)

## FY12 Proposal and Award Facts

OSPR supported 34 submitted proposals for a grand total of \$22,370,532.

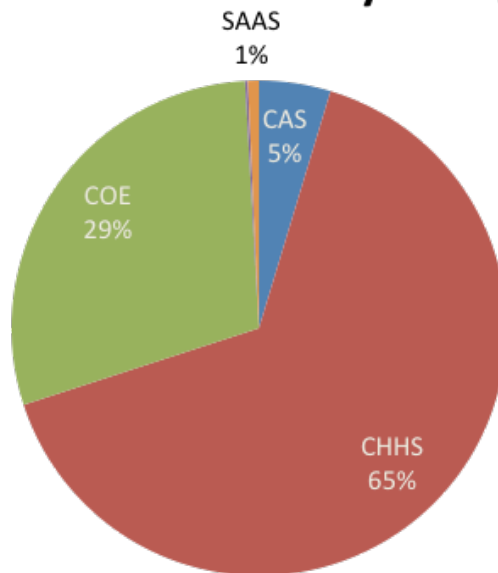
Of the 34 submitted proposals, 32% were awarded.

11 awards were granted for a grand total of \$3,970,224.

Of the 3.9 million dollars awarded, 95% were federal funds and 4% were state funds.

Of the 3 proposals that COE submitted, 2 were awarded  
Of the 16 proposals that CAS submitted, 5 were awarded  
Of the 9 proposals that CHHS submitted, 1 was awarded

## FY12: % of Award Amounts by College/Office



**CAS** - College of Arts and Sciences

**CHHS** - College of Health and Human Services

**COE** - College of Education

**SAAS** - Student Affairs and Academic Support

Of the 3.9 million dollars awarded:  
CHHS received 65%  
COE received 29%  
CAS received 5%



## FY13 Proposal and Award Facts

OSPR supported 29 submitted proposals for a grand total of \$17,232,882.

Of the 29 submitted proposals, 38% were awarded and 17% are still pending.

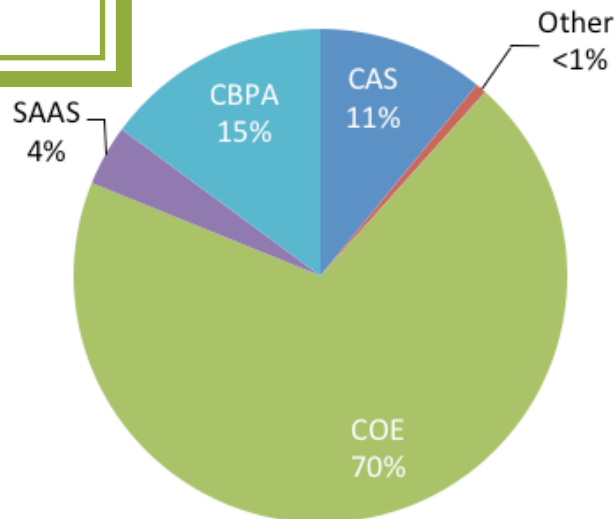
11 awards were granted for a grand total of \$1,276,135.

Of the 1.3 million dollars awarded, 77% were federal funds and 19% were state funds.

Of the 2 proposals that CBPA submitted, 1 was awarded  
Of the 12 proposals that CAS submitted, 5 were awarded  
Of the 6 proposals that COE submitted, 2 were awarded

## FY13: % of Award Amounts by College/Office

Of the 1.3 million dollars awarded:  
COE received 70%  
CBPA received 15%  
CAS received 11%

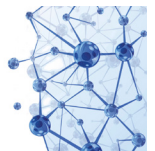


**CAS** - College of Arts and Sciences

**CBPA** - College of Business and Public Administration

**COE** - College of Education

**SAAS** - Student Affairs and Academic Support



## FY12 and FY13 Overall Facts

OSPR supported 63 submitted proposals for a grand total of \$39,603,414.

Of the 63 proposals submitted, 35% were awarded.

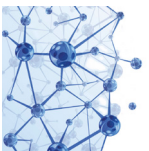
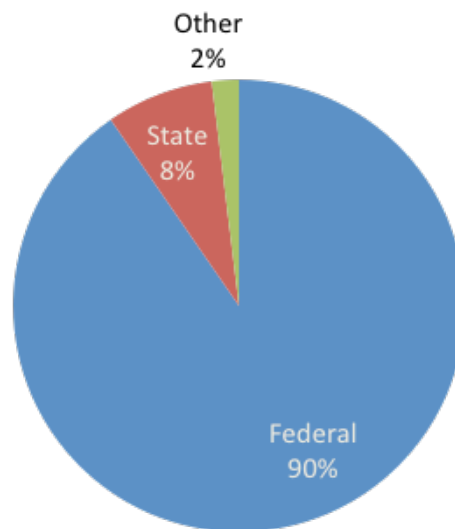
22 awards were awarded for a grand total of \$5,246,359 awarded.

Of the \$5.2 million dollars awarded, 90% were federal funds and 8% were state funds.

Of the 2 proposals that CBPA submitted, 1 was awarded  
Of the 9 proposals that COE submitted, 4 were awarded  
Of the 28 proposals that CAS submitted, 10 were awarded  
Of the 13 proposals that CHHS submitted, 1 was awarded

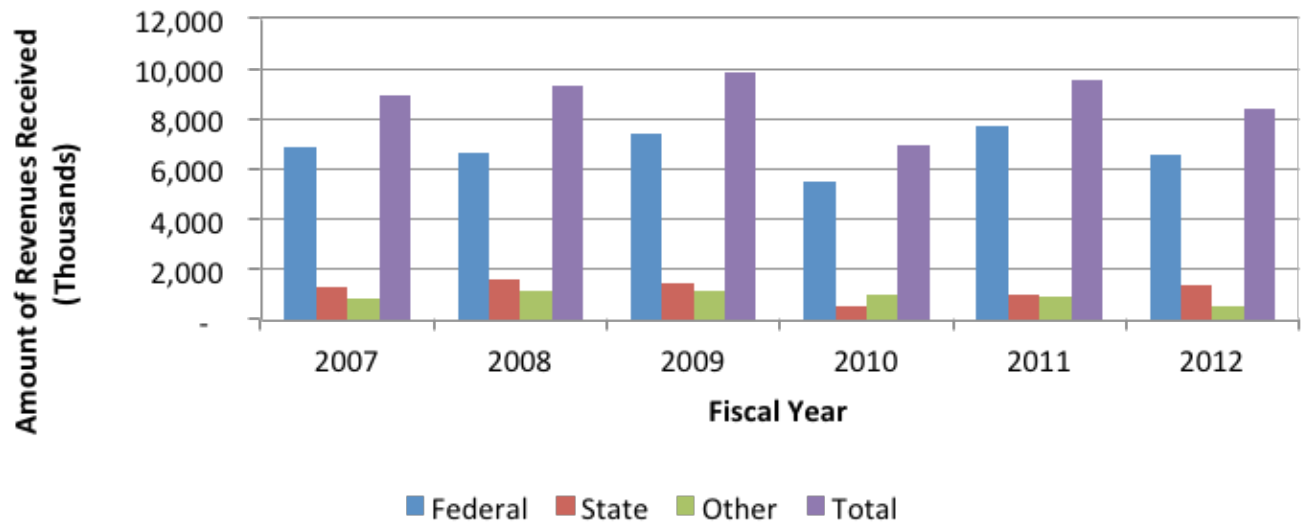
Of the 5.2 million dollars awarded:  
CHHS received 49%  
COE received 39%  
CAS received 6%  
CBPA received 4%

## FY12 & 13: % of Award Amount by Sponsor Type

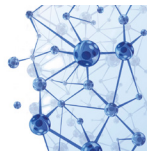




## Revenues for Grants and Contracts



The Office of Sponsored Programs and Research



## Year at a Glance, July 1, 2011 until June 30, 2012

OSPR supported 34 proposals submitted for a grand total of \$22,370,532.

### FY 2012 New Awards

The awards listed below are brand new to the university. They are not continuous from past grants nor are they renewals. All of the funds were secured through new submissions and applications

#### Project Title: Dual Degree Program

Sponsor: Kresge Foundation Grant

College/Department: University

PI: Terry Allison & Linda Uzureau

Award Amount: \$875,000

Dates: 10/1/2011-12/31/2014

Purpose: To enhance the University's innovative Dual Degree Program (DDP).

#### Project Title: After School Special Project Grant

Sponsor: State of Illinois Department of Human Services

College/Department: COE/Family Development Center

PI: Carol Morrison

Award Amount: \$500,000

Dates: 2/1/2012-6/30/13

Purpose: To provide out-of-school time activities and mentoring for at-risk youth, in an effort to provide a positive change in their lives and direct them toward healthy lifestyles.

#### Project Title: Early Head Start

Sponsor: Illinois Early Hearing Detection and Intervention (EHDI) Program and the Illinois Early Head Start (EHS) Program

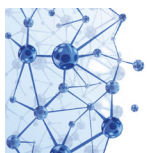
College/Department: COE/Family Development Center

PI: Carol Morrison

Award Amount: \$2,500

Dates: 1/1/2012-2/1/2012

Purpose: To purchasing equipment to assist the Family Development Center with the birth to three year old program in initiating objective hearing screening with otoacoustic emissions (OAEs).



## The Office of Sponsored Programs and Research

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# Year at a Glance, July 1, 2012 until June 30, 2013

(As of 9/23/13)

OSPR supported 29 proposals submitted for a grand total of \$17,232,882.

11 awards were granted for a grand total of \$1,276,135.

## FY 2013 New Awards

The awards listed below are brand new to the university. They are not continuous from past grants nor are they renewals. All of the funds were secured through new submissions and applications.

### **Project Title: Scholarships for Disadvantaged Students (SDS) -- Graduate Social Work Program**

Sponsor: U.S. Department of Health & Human Services

College/Department: CHHS/ Social Work

PI: Elizabeth Cada/Gerri Outlaw

Award Amount: \$2,593,152

Dates: 9/30/2012-6/30/2016

Purpose: To increase diversity in social work professions by awarding scholarships to financially needy students from disadvantaged backgrounds. Many of the students that are eligible are from underrepresented racial and ethnic backgrounds and will help diversify the health workforce.

### **Project Title: Restorative Justice**

Sponsor: Illinois Criminal Justice Information Authority

College/ Department: CAS/Liberal Arts

PI: James R. Coldren, Jr. & Christina Sintic

Award Amount: \$113,155

Dates: 7/15/12-7/14/14

Purpose: Implementation of Restorative Justice Principles training and practices at the Champaign County Juvenile Detention Center will enhance youth-staff interaction, case management, and community re-entry planning such that the missions of the facility and the detention center will be enhanced.

### **Project Title: Center of Excellence in Eliminating Disparities – Media Based Training Program**

Sponsor: National Institutes of Health/University of Illinois at Chicago

College/Department: CAS

PI: Charles Nolley

Award Amount: \$100,000

Dates: 10/1/12-6/30/13

Purpose: To create a media based training program for researchers who recruit participants and obtain informed consent in a variety of community-engaged research projects and provide necessary training for prospective recruiters who may lack formal training in research methods. The content is based upon the research and development work done by Dr. Emily Anderson of Loyola University Chicago and will be developed with her collaboration and direction.

### **Project Title: South Suburban Restorative Justice Project (SSRJP)**

Sponsor: Illinois Balanced and Restorative Justice Project (IBARJP)

College/Department: CAS

PI: Christina Sintic & James R. Coldren, Jr.

Award Amount: \$15,541

Dates: 7/15/12-8/15/13

Purpose: To provide evaluation services including, but not limited to, the creation and/or selection of the evaluation methods and tools, data collection and analysis as well as reporting of all evaluation under the SSRJP. GSU will also provide staff support to coordinate data collection, prepare and administer surveys and interviews and draft quarterly and final reports.

### **Title: Veterans Resource Collection (VRC)**

Sponsor: Illinois State Library

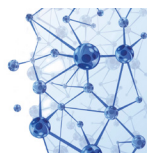
College/Department: Library

PI: Joshua Sopiarcz

Award Amount: \$5,000

Dates: 5/1/13-9/30/13

Purpose: The grant will be used to purchase books, audio books, educational CDs and DVDs, and other library materials that are of importance to veterans with an emphasis on student veterans. VRC will be a stand-alone collection, prominently displayed and easily identifiable benefiting more than 600 student veterans at GSU and other veterans living in the region.



## Staff Professional Development, Networking, and Engagement

The Office of Sponsored Programs and Research staff members are involved in several national organizations that provide professional development and provide information to keep the Office informed and up-to-date.

### NCURA

We belong to the National Council of University Research Administrators (NCURA) which "... serves its members and advances the field of research administration through education and professional development programs, the sharing of knowledge and experience, and by fostering a professional, collegial, and respected community." ([http://www.ncura.edu/content/about\\_us/](http://www.ncura.edu/content/about_us/)).

### SRA

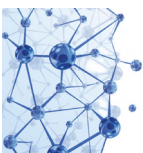
We also belong to the Society for Research Administrators (SRA). "The Society of Research Administrators International is a 501(c)(3) nonprofit founded in 1967 and headquartered in Falls Church, Va. The society has over 4,000 members who work in research administration at hospitals, universities, nonprofits and at the federal government. Most of the membership is U.S. based research administrators; however, approximately 5 percent of the members are from abroad." (<http://www.srainternational.org/sra03/template/tntbAB.cfm?id=1848>)

### FDP

In addition, we attend the Federal Demonstration Partnership meetings as an interested institution in anticipation of them opening membership up again in 2014. "The Federal Demonstration Partnership (FDP) is an association of federal agencies, academic research institutions with administrative, faculty and technical representation, and research policy organizations that work to streamline the administration of federally sponsored research. FDP members of all sectors cooperate in identifying, testing, and implementing new, more effective ways of managing the more than \$15 Billion in federal research grants. The goal of improving the productivity of research without compromising its stewardship has benefits for the entire nation."

The FDP uniquely offers a forum for individuals from universities and nonprofits to work collaboratively with federal agency officials to improve the national research enterprise. At its regular meetings, faculty and administrators talk face-to-face with decision-makers from agencies that sponsor and regulate research. They hold spirited, frank discussions, identify problems, and develop action plans for change. Then — again working jointly — they test the new ways of doing things in the real world before putting them into effect.

FDP is an organization of 10 federal agencies and more than 90 research institutions dedicated to finding efficient and effective ways to support research by maximizing resources available for research and minimizing administrative costs." ([http://sites.nationalacademies.org/PGA/fdp/PGA\\_047939](http://sites.nationalacademies.org/PGA/fdp/PGA_047939))





## OSPR Workshops and Training

OSPR provides workshops and training opportunities for GSU students, faculty, and staff to enhance knowledge and provide tools that will increase the number of funded proposals, and to meet federal compliance requirements.

### Interactive Workshops: Project Development and the Award Process

Workshops are in-person sessions that allow participants to interact with the presenter to ensure a better understanding of the information provided. Participants learn how to find funding, prepare concept papers and proposals, and navigate the award process. Seventy-five people attended the interactive workshops.

#### Demystifying the Grants Process at GSU

Participants learn terms that might be seen in grant announcements. Budgets, fine points of submitting a proposal and getting an award at GSU are discussed. This workshop is for those who are thinking about submitting a proposal.

#### Workshop Dates in AY 12-13:

- Inaugural Faculty Development on April 27, 2012
- Faculty Development on April 19, 2013

#### Finding Funding Opportunities

Participants learn how to use Grant Forward™, a search engine that helps locate funding opportunities for foundations, federal agencies and other sources. Participants learn to search for funding opportunities, find links for state funding sources, and set up email alerts for notification of funding opportunities.

#### Workshop Dates in AY 12-13:

- Presented on February 5, 2013
- Faculty Development on April 19, 2013

#### Writing Successful Grants

“Writing Successful Grants” is for those who are new to the grant game. This introductory workshop presented by Robert Porter from the University of Tennessee, Knoxville covers basic principles of good grant writing, starting with the phrasing of a compelling research theme to the actual construction of the proposal itself. Major differences between traditional “academic prose” and persuasive grant writing are highlighted. Common pitfalls that can lead to early rejection of good ideas are reviewed, matched with practical strategies for better writing. Special attention is paid to the perspectives of grant reviewers and how to write in ways that will meet their expectations.

**Workshop Date in AY 12-13:** Presented on September 13, 2012

#### Strategies for Success in Sponsored Research

Robert Porter from the University of Tennessee, Knoxville will present three key strategies for successful grant writing: 1) how to assess whether a specific research idea matches what the sponsor wants to fund, 2) how to communication with the sponsor agency prior to writing the proposal, 3) mock review panel which includes reading and evaluating a sample grant proposal.

**Workshop Date:** Presented on Friday, September 14, 2012

### Pitching Your Research Ideas: A Practical Workshop on Writing the Concept Note

In two sessions, this workshop presented by Yvonne Chang and Sarah Nerenberg from the University of Notre Dame, demonstrated how to write and successfully use a concept note, from beginning to end. A concept note is a one page document developed to help market your idea to a potential funder when no specific proposal has been solicited. The first session discussed the types of funding agencies, how your research fits into a program, and how to develop a concept note. Participants left the first session ready to write their own concept note, which was critiqued in the second session. The second session consisted of a 30-minute one-on-one meeting with a Proposal Developer. In this meeting, the Developer made suggestions on how to strengthen the concept note, allowing the participant to leave with a finished product that’s ready to send to a potential funder.

#### Workshop Dates:

- First session held on March 6, 2013
- Second session held on March 27, 2013

### Online Training: Human and Animal Protections

Collaborative Institutional Training Initiative (CITI) is a web based program for completing training in the ethical conduct of research with human subjects, conflicts of interest, animal protections, and conducting responsible research. The following courses are available to all members of the Governors State University community.

**Basic Courses in the Protection of Human Research Subjects** — required for all researchers and grant staff who will collect data from human subjects, including surveys. The courses offered:

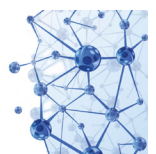
- Biomedical Focus
- Social and Behavioral Focus.
- Refresher Courses
- IRB Member

**Financial Conflict of Interest** — required for all Principal Investigators and Key Personnel who submit proposals and have awarded projects.

**Laboratory Animal Research Courses for Investigators and IACUC Members (Animal Model Specific Courses)** — required for anyone conducting work with animals.

**Responsible Conduct of Research (RCR) Courses** — can be required based on the sponsoring agency. National Science Foundation and National Institutes of Health have RCR requirements.

- Biomedical Research Focus
- Social, Education, Behavioral Research Focus
- Physical Sciences Research Focus
- Scholarly Activities in The Humanities Focus
- Plagiarism



## INSTITUTIONAL REVIEW BOARD

### – promoting scholarly and ethical research

The GSU Institutional Review Board (IRB) is passionate about the ethical conduct of research, and about helping faculty, staff, and students understand the IRB process and work through it as quickly as possible when research opportunities arise. The IRB is also passionate about providing accurate information about research with human subjects to scholars and administrators, to help them in their efforts related to scholarly research. To that end, the IRB Co-Chairs – Dr. David Rhea and Dr. Dale Schuit — frequently attend the all college meetings to remind people of what the IRB does, of the need to complete training, and who to contact with questions about the IRB. They also meet at the request of faculty and scholars to address IRB process and concerns.

Drs. Rhea and Schuit, in collaboration with IRB members, OSPR, and the Office of the Provost, developed a comprehensive Human Research Protection Manual in September 2012. This manual includes research-related policies and procedures for the IRB and Governors State University, and provides unified detailed information to the entire GSU community on the functioning of the IRB as well as tools that can help scholars best prepare their IRB Applications.

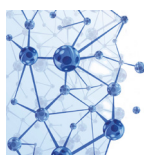
### GSU IRB goals for the near future include ...

1. Ensure there is an active community member on the IRB to enhance our compliance with this federal requirement (45CFR 46.107[c]).
2. Work with the University Faculty Senate and Educational Policy Committee to adopt IRB recommended changes to Policy 53 (Protection of Human Research Subjects). These changes will update the policy so it is in accordance with contemporary law and practice, and eliminate requirements that are not required by federal.
3. The IRB will continue to improve its outreach and education efforts by exploring best practices in human subjects protection, and plans to develop tools like handouts, brochures, FAQ web pages, and interactive simulations to help researchers be more educated about navigating the IRB application process.

## IRB Application Processing Statistical Data

### – August 1, 2011 to July 31, 2013

The IRB experienced a sizeable increase in applications reviewed in 2012-2013 over 2011-2012. The largest increases were in the processing of exempt and expedited applications as well as applications approved in the 2-month off-contract period. We attribute these increases to several factors. First, students in our doctorate programs are encouraged to do research and present findings at scholarly conferences. Second, faculty members are putting more emphasis on the ethics component research and want their students to have a real-world experience with this aspect of the research process. Looking ahead, the IRB anticipates continued growth in application processing.

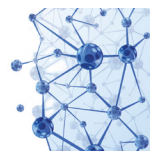
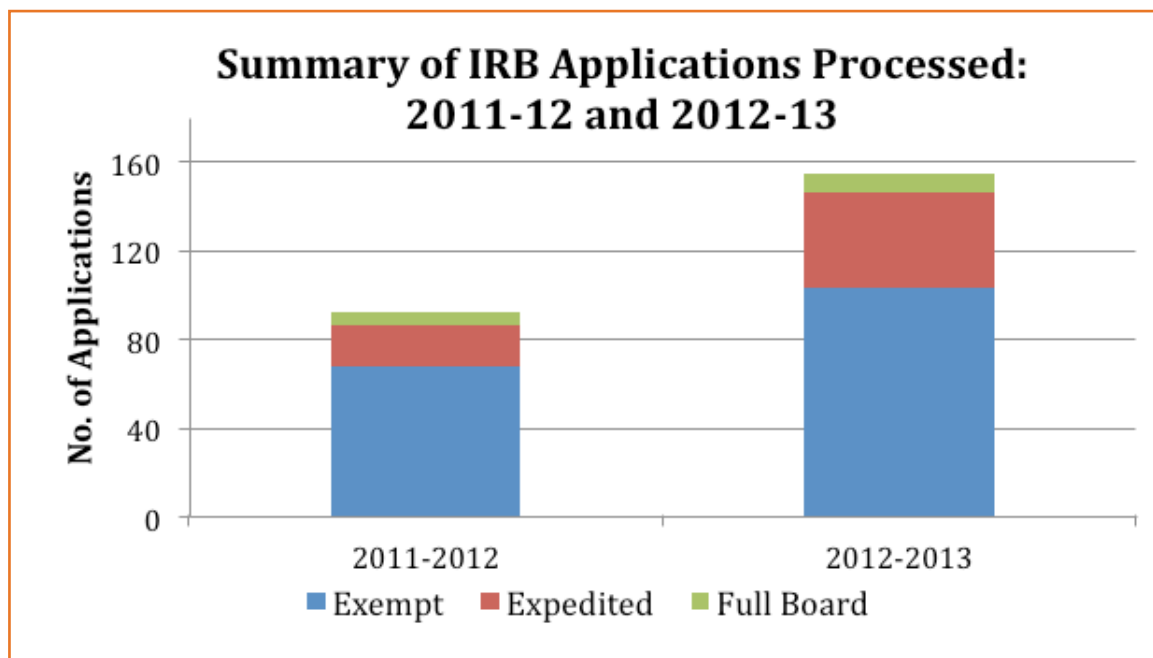




The Table and Chart below summarize the IRB application workload for the past two years.

IRB Reviews for FY12 and FY13			
	FY12	FY13	% Change
<b>Exempt</b>			
Classroom	3	0	-100.0%
New Application Review	68	103	51.5%
<b>Expedited</b>			
New Continuing Review	17	35	105.9%
Annual Application Review	2	8	300.0%
<b>Full Board</b>			
New Continuing Review	4	3	-25.0%
Annual Application Review	2	3	50.0%
Institutional Authorization (IAA)	0	1	100.0%
<b>Total Reviews Processed</b>	<b>96</b>	<b>153</b>	<b>59.4%</b>

Advancing the ethical conduct of research goes hand-in-hand with the University's goals for increasing and improving scholarly research, and student engagement in research. The GSU IRB will continue its efforts to provide excellent educational materials and experiences for university researchers (faculty, staff, and students), will work hard to make its members and processes accessible to all, and appreciates the support it receives from the Administration and the Colleges in pursuing its important work.





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