

Office for the Advancement of Research 2012-13 Annual Report

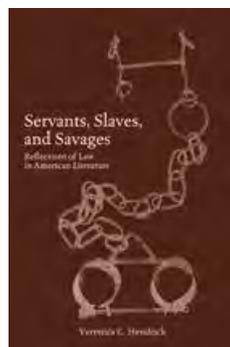
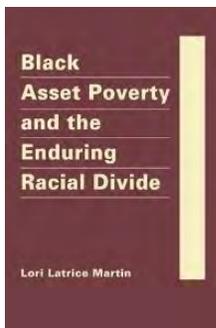


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Introduction

2012-2013 was a year of significant program expansion, policy development, and procedure standardization for the Office for the Advancement of Research. New internal funding programs were created to better support faculty scholarship; policies were developed around a number of existing processes to assure that all constituents at the College have access to these programs; and a number of Office procedures, including communication with the College community, were standardized to promote wider utilization of Office resources.

Specifically, major projects completed or underway by OAR/OSP personnel include:

- Establishing a consistent and purposeful social media presence. We have established an OAR presence on [Facebook](#), [Twitter](#), and [YouTube](#), and use each of these platforms as appropriate to promote faculty accomplishments, publicize events, notify faculty of upcoming funding opportunities, and post content for public consumption.
- Undertaking a major redesign of the [Research web pages](#) on the John Jay website and improving the John Jay Research Consortium's web presence. These efforts have focused on ensuring the timely communication of current information; adding dynamic features (such as a live Twitter feed, [interactive calendar](#), and [searchable faculty expertise database](#)) that automatically integrate the functions of multiple communications platforms; and providing open access to both current and archival data on the Office's major functions (such as internal and external funding awards, faculty publications, and links to materials from OAR-sponsored events).
- Expanding our existing awards programs with new internal funding programs to support faculty research and scholarship. These programs (listed in Appendix A) are regularly reviewed (applications are accepted on a rolling basis, and reviews/decisions returned on a monthly cycle), fairly assessed (each application is peer-reviewed by faculty members of the Research Advisory Committee and OAR senior staff), transparently awarded (both successful and unsuccessful applicants receive anonymized reviewer comments in a timely fashion, awards are published on the OAR website), and evaluated for success (each award carries medium and long-term reporting requirements to allow for precise assessment of the OAR's 'return on investment', or ROI).
- Formalizing an annual series of professional development/training seminars and scholarly events. These include grantsmanship and grant writing workshops, practical post-award workshops for funded PIs, and book talks featuring John Jay authors and external guests of interest.
- Implementing a set of performance metrics to measure the success of the Office for the Advancement of Research and the Office of Sponsored Programs. Among other things, these metrics include better tracking of both awarded and unfunded grant applications towards increasing the number of resubmissions by our faculty.
- Streamlining research compliance operations at the College including applications for Human Subjects approval and Responsible Conduct of Research.
- Transitioning and professionalizing Office staff and operations. The 2012-13 Academic Year was a time of significant transition in the Office for the Advancement of Research and the Office of Sponsored Programs. In addition to a transition in the Associate Provost position, long-time Director of Sponsored Programs Jacob Marini entered retirement, with Susy Mendes taking over

as Interim Director (and leaving the Assistant Director position temporarily vacant); Daniel Stageman was promoted from Manager to Director of Research Operations; and Leonid Lantsman departed the Research Operations Assistant position, to be replaced by Rebecca Hill. Finally, near the close of the Academic Year, both offices transferred their operations to Suite 601 in the BMW Building, physically integrating in this shared space after many years of moving toward the development of a cohesive unit.

The success of these efforts can be gauged by an analysis of both quantitative and qualitative performance metrics as outlined in the sections below.

1. Internal Funding Provided by OAR to John Jay Faculty and Staff

After extensive discussion with faculty over the types of programs that would prove most beneficial, OAR instituted four new formal, targeted internal funding programs and revised one pre-existing program (see descriptions in Appendix A). Applications for these programs are received on a rolling basis and anonymously peer-reviewed on a monthly cycle; successful and unsuccessful applicants alike receive thoughtful review commentary and guidance from OAR senior staff, generally with encouragement to resubmit or more appropriately target their submissions. Faculty feedback on the availability of this funding and the fair and open process by which it is awarded has been highly positive.

TABLE 1. INTERNAL FUNDING PROVIDED TO JOHN JAY FACULTY¹

Funding Program	Applications Submitted		Applications Approved		Total Awarded (Average Award)	
	2012	2013	2012	2013	2012	2013
Special Research Fund²	8	4	8	4	\$12,500 (\$1,563)	\$9,125 (\$2,281)
Seed Funding	0	6	0	4	\$0 (\$0)	\$6,000 (\$1,500)
Emergency Funding (revised)	0	6	0	3	\$0 (\$0)	\$11,090 (\$3,697)
Book Publication	0	1	0	1	\$0 (\$0)	\$1,000 (\$1,000)
Open Access Publication	0	2	0	2	\$0 (\$0)	\$1,900 (\$950)
Proposal Peer Review	0	5	0	5	\$0 (\$0)	\$1,250 (\$250)
Total	8	24	8	19	\$12,500 (\$1,563)	\$30,365 (\$1,598)

¹ Because these programs were formalized in January of 2013, data reflects one semester of awards rather than a full academic year.

² The Special Research Fund was discontinued in January 2013 (halfway through the '12-'13 Academic Year) and replaced by the five internal funding programs listed below in Appendix A.

2. OAR Annual Research Awards

OAR continued the previously established Annual Research Awards program during the 2012-13 year, awarding 18 courses of release time and \$10,000 in direct research funding to John Jay scholars across the disciplines of the humanities, social and natural sciences. We received an unprecedented number of applications for the Faculty Scholarly Excellence and Mid-Career awards, and each application was reviewed by at least 3 members of the Research Advisory Committee. In addition, the OAR has formalized reporting requirements for each of the awards, allowing the Office to track the scholarly outcomes that result from the time and funds provided.

TABLE 2. OAR ANNUAL RESEARCH AWARDS FOR JOHN JAY FACULTY

Award Program	Applications Submitted		Awards Given		Total Awarded	
	2012	2013	2012	2013	2012	2013
Faculty Scholarly Excellence	22	31	7 (32%)	6 (19%)	\$49,000 (14 courses release)	\$42,000 (12 courses release)
Collaborative Research	7	3	4 (57%)	1 (33%)	\$32,000	\$8,000
Mid-Career	6	8	2 (33%)	3 (38%)	\$14,000 (4 courses release)	\$21,000 (6 courses release)
Donal E. MacNamara Award	2	1	1 (50%)	1 (100%)	\$2,000	\$2,000
Total	37	43	14 (38%)	11 (26%)	\$97,000	\$73,000

3. Faculty Travel Support

Travel funding for faculty conferences managed by the OAR and distributed through the academic departments – is the single largest annual expenditure of indirect recovery at the College.

TABLE 3. TRAVEL FUNDS PROVIDED TO JOHN JAY FACULTY

Travel Type	Number of Trips		Average Funding per Trip		Total Funding	
	2012	2013	2012	2013	2012	2013
Domestic Destinations	230	212	\$839.86	\$992.57	\$193,168.60	\$210,425.32
International Destinations	67	48	\$1,260.22	\$1,548.29	\$84,434.97	\$74,318.01
Total	297	260	\$934.69	\$1,095.16	\$277,603.57	\$284,743.33

4. OAR/OSP Sponsored Events

The OAR kept a full calendar of events throughout the 2012-13 Academic Year, maintaining the grants management workshops regularly presented by Office of Sponsored Programs staff, as well as expanding into pre-award professional development offerings (such as grantsmanship and grant writing) and sponsoring scholarly events to promote faculty scholarship and enhance the academic life of the College. In total, these events resulted in close to 500 formal contacts with faculty and students throughout the academic year.

TABLE 4. OAR AND OSP SPONSORED EVENTS

Event Title/Date	Event Sponsor / Description	Staff and Guests	Number and Composition of Attendees
'Grants 101' Workshop (25 Jan '13)	OAR: Intro to essential processes of grantsmanship, presented as part of Faculty Development Day	Carpi, Mendes, Stageman; Margaret Kovera, Jeff Mellow, Jonathan Jacobs	25 attendees over two sessions; primarily full-time faculty unfamiliar with OAR
Federal Funding Opportunities (19 Feb '13)	OAR: Series of 4 information sessions on Federal funding trends and opportunities	John Jay's Washington lobbyist, Keith Morrison of Van Scoyoc Associates	47 attendees over 4 one-hour sessions; primarily active funded researchers
Grantwriting Workshop (7 Mar '13)	OAR: Fundamentals of grantwriting focused on federal funding agencies	Carpi, OAR staff	29 attendees; junior to mid-career faculty and graduate students

Book Talk: Michael Pfeifer's <i>Lynching Beyond Dixie</i> (21 Mar '13)	OAR: Volume edited by JJ History Prof Pfeifer exploring history of lynching outside of American South	Pfeifer and volume contributors William D. Carrigan (Rowan University) and Dennis Downey (Millersville University)	60 attendees; primarily students from invited classes, History faculty and faculty from other departments
Book Talk: Eric Manheimer's <i>12 Patients</i> (23 Apr '13)	OAR: Public health and social-justice focused memoir by former Medical Director of Bellevue Hospital	Manheimer	150 attendees; primarily students from invited classes
PSC CUNY 43 Orientation (13 Sep '12)	OSP: Practical orientation for winners of PSC CUNY funding awards	Mendes, OSP staff	16 attendees; PSC CUNY winners
Client Services Workshop (12 Oct '12)	OSP: Hiring policies and procedures workshop for funded PIs	Mendes, OSP staff	25 attendees; newly funded PIs and administrative staff
Web Reports Training (25 Oct '12)	OSP: Understanding the web reports on budgets and funding provided to PIs by the Research Foundation	Mendes, OSP staff	20 attendees; funded PIs and administrative staff
PSC CUNY 44 Workshop (9 Nov '12)	OSP: Application procedures and general guidance for those interested in applying for the PSC CUNY 44 award cycle	Mendes, OSP staff	12 attendees; prospective PSC CUNY applicants
E-Payment Request Workshop (9 May '13)	OSP: Navigating the Research Foundation's E-Payment system for funded project accounting	Mendes, OSP staff	33 attendees; funded PIs and administrative staff
Research Foundation Human Resources Workshop (17 May '13)	OSP: Managing Research Foundation-related human resources procedures for funded projects	Mendes, OSP staff	30 attendees; funded PIs and administrative staff
Total	11 events (5 OAR, 6 OSP)	8 OAR/OSP Senior Staff; 8 Guests	447 formal contacts w/ faculty & students

In addition to mentoring and training workshops sponsored and organized by the Office for the Advancement of Research and Office of Sponsored Programs, the Office facilitated the organization and implementation of a number of academic conferences and meetings co-sponsored by Departments and faculty at the College. In the 2012-2013 Academic Year, OAR facilitated conferences on diverse subjects, including the inaugural Latino Literature Conference and the Male Survivors Annual Conference. Combined, these events attracted some 600 scholars and attendees throughout the year.

5. External Funding Profile

Despite a funding climate that has been – and remains – difficult at best, John Jay's faculty and staff received over \$18 million in funding during fiscal year 2012-13, up from \$14.6 million last year. It is noteworthy that increased outreach by John Jay faculty to state/local and private funders helped offset the impact of federal sequestration and contributed to a net increase in overall award dollars.

TABLE 5. GRANT AND FUNDING AWARDS TO JOHN JAY FACULTY³

Funding Agency Category	Number of Submissions ⁴		Number of Awards ⁵		Total Value of Awards ⁶	
	2012	2013	2012	2013	2012	2013
Federal	70	60	25	17	\$5,546,505	\$5,666,362
State/Local	2	6	13	15	\$4,587,217	\$7,435,080
Private	43	59	54	52	\$4,469,265	\$5,075,789
PSC CUNY (Traditional A)	36	32	27	23	\$91,977	\$74,826
PSC CUNY (Traditional B)	37	60	25	43	\$122,932	\$227,802
PSC CUNY (Enhanced)	9	11	3	4	\$35,493	\$45,927
Total	197	228	147	154	\$14,853,389	\$18,525,786

³ Please note that because (1) submission and award count columns do not account for multi-year awards, and (2) grants submitted in Fiscal Year 2012-13 may not be awarded until the following fiscal year, and (3) grants awarded in FY 2012-13 may result from submissions made the previous year, each of the columns in this table effectively represents a different data stream. See individual column footnotes for further clarity.

⁴ Submitted during FY 2012-13

⁵ Awarded during FY 2012-13

⁶ Total external funds received during FY 2012-13, regardless of submission or award date

6. Scholarly Productivity

The table below gives a sense of the depth and breadth of ongoing scholarship at the College. This picture was made possible by an OAR communications strategy that dramatically increased faculty productivity reporting rates, from 33.1% in 2011, to the current rate of 92%. Full-time John Jay faculty had particularly strong showings in books, with over 15% of faculty publishing as authors or editors; peer-reviewed journal articles, with an average of nearly one per faculty member; and conferences, with each faculty member presenting on average at two conferences during the calendar year.

TABLE 6. SCHOLARLY PRODUCTIVITY FOR JOHN JAY FACULTY⁷

Category of Work	Full-Time (Mandatory)		Optional		Total	
	2011	2012	2011	2012	2011	2012
Total Reporting	93 (33.7%)	252 (92%)	24 (22.6%)	129 (92.1%)	131 (33.1%)	381 (92%)
Art Exhibits	3 (.01)	8 (.03)	2 (.02)	5 (.04)	5 (.01)	13(.03)
Books	22 (.08)	45 (.16)	5 (.05)	6 (.04)	27 (.07)	51 (.11)
Book Chapters	47 (.17)	98 (.36)	14 (.13)	18 (.13)	61 (.16)	116 (.24)
Conference Presentations/Invited Lectures	238 (.86)	520 (1.90)	48 (.45)	169 (1.21)	286 (.75)	689 (1.45)
Performances/Plays/Musical Compositions	13 (.05)	9 (.03)	0 (0)	5 (.04)	13 (.03)	14 (.03)
Journal Articles	93 (.34)	246 (.90)	26 (.25)	55 (.39)	119 (.31)	301 (.64)
News Articles – Reviews – Commentaries	93 (.34)	157 (.57)	18 (.17)	36 (.26)	111 (.29)	193 (.41)
'No Work to Report'	7 (3%)	56 (20%)	3 (3%)	51 (36%)	10 (.03)	107 (23%)
Total⁸	509 (1.84)	1083 (3.95)	137 (1.29)	294 (2.1)	646 (1.69)	1377 (3.33)

⁷**Table Notes:** Data reported is for Calendar Year 2012, per CUNY reporting requirements. CUNY divides faculty into 'Mandatory Reporting' (full-time faculty) and 'Optional Reporting' (lecturers, substitutes, faculty on leave or sabbatical for any part of the calendar year in question, etc.) categories. In each cell, first number represents the total number of works by category and faculty type, while number in parentheses represents either percentage of faculty reporting, or per capita productivity rate, as indicated.

⁸ Please note that these numbers differ from annual productivity rates reported by CUNY, as CUNY calculates per-capita productivity rates using only Mandatory faculty, and counting only art exhibits (curated or exhibited in a curated show) books (authored and edited), book chapters, conference presentations included in published proceedings, performances/plays/musical compositions, and peer-reviewed journal articles. John Jay's CY2012 per capita productivity using these criteria is 1.3 works per faculty member.

7. Policies, Protocols, and Procedures

Several issues, of both long-term and immediate nature, arose during the 2012-13 Academic Year that required OAR/OSP senior staff to develop or revise policies and procedures to address them. OAR/OSP senior staff approached this process in a collaborative fashion, by consulting with the relevant stakeholders, drafting and disseminating preliminary policies for comment, revising as necessary, and finally, promulgating policies through appropriate communications platforms and implementing them in the most responsive and responsible manner possible. All policies are now available through OAR and are being uploaded to our newly revised website.

TABLE 7. NEWLY DEVELOPED OAR POLICIES, PROTOCOLS, AND PROCEDURES, 2012-13

Policy/Protocol/Procedure	Development Rationale	Outcome
OAR Mission Statement	Need to clarify and foreground client-services oriented approach to faculty support.	Mission drafted, discussed with senior OAR/OSP staff, and posted on OAR homepage. Useful in hiring processes and guiding office operations.
Grant Submission Policy	Need to provide advance notice of intention to submit to organize workload of OSP staff.	Enhanced clarity of communications with funding applicants and better scheduling of OSP staff workloads.
Limited Submissions Policy	Previous incidences of multiple applications to funding agencies with restricted single-institution application policies.	Reduction in aforementioned incidences; enhanced institutional reputation with affected funding agencies.
Budget Certification Form	Previous incidences of funding applications citing expected in-kind support from John Jay that was not approved in advance.	Reduction in aforementioned incidences; potentially significant savings to the College.
Research Use of Student Email	Previous policy restricting use of all-student email to Student Affairs/Student Life staff.	Potential for interested PIs to make appropriate use of student-wide email for approved purposes.
Policy on Research-Related Access to Facilities	Past incidences of confusion between Public Safety and faculty/student researchers regarding off-hours access to research facilities.	Worked with Public Safety and Faculty Senate to establish clear guidelines for access, including preapprovals and oversight by Dean of Research.
Non-Affiliated Researcher Policy	Confusion and lack of clarity on addressing research requests – particularly regarding human subjects research recruitment – from PIs at outside institutions.	Comprehensive approval form and clear protocol for approving requests.

Visiting Scholar Policy	A proliferation of visiting scholar requests not fully vetted or justified by faculty sponsors.	Clear and simple approval process with appropriate rationales for approval and OAR oversight. Expected improvement in visiting scholar quality and involvement with College life.
Academic Travel Chair's Guidelines (and Guidelines for Faculty)	Confusion regarding allocation, approval, and authorization of faculty travel requests, as well as processing of reimbursements.	Streamlined process responsive to departmental and individual faculty needs, under supervision of OAR senior staff.
Revised Event Planning Form	Organization of events by faculty, research centers, and other college-affiliated organizations and individuals without central approval or appropriate exchange/dissemination of information.	Comprehensive form and approval process organized by OAR. Has facilitated dissemination of information and cross-promotion of events, as well as accounting for cost overruns related to event organization and scheduling.
Summary	Ten new policies with accompanying procedures to address research-related issues as they arise.	Streamlining of office operations; centralization of approvals under OAR with clear, fair, and open rationales for decision-making; information sharing and archiving; cross-promotion of opportunities and events; direct and indirect fiscal savings for the College.

Appendix A

OAR Funding Programs – 2013

The Office for the Advancement of Research (OAR) is dedicated to working with faculty in the pursuit of their research and scholarly goals, and is available to assist faculty in grant-seeking and publication activities. Faculty members are encouraged to consult with OAR on any aspect of these processes. OAR promotes faculty success through several funding programs, including:

- ***The Emergency Fund program*** – Limited support is available for research or other scholarly activities that specifically address a need that is urgent and/or time sensitive in nature. This may include support for research on disasters or other unanticipated events for which a rapid response is critical. Emergency funds may also be requested for events that could not be anticipated in the normal course of research, for example, new legislative funding priorities that are time-sensitive in nature, cuts to a grant budget that may severely impact performance, etc. Emergency Funds are not appropriate for needs that could have been anticipated in the normal course of research. Funds are made available on an ongoing and as-available basis. To make a request to the ***Emergency Fund***, faculty must submit a one-page project summary to OAR. This summary should detail the nature of the research planned and the reason the project qualifies for emergency funds. While no explicit limits are set to allow for flexibility, it is anticipated that requests will be in the range of \$4,000-\$6,000 with 2 to 4 requests approved per year. Requests should be submitted in electronic form to OAR (oar@jjay.cuny.edu) with ***Emergency Funds*** clearly indicated in the subject line.
- ***Seed Money Requests*** – Limited funds are available to support pilot or preliminary work necessary to pursue a major grant application to an external funding agency. Funds may be requested to undertake a pilot study to gather background data toward supporting a major proposal. Funds may also be requested to conduct planning activities or support the writing of a major proposal. Funds are expected to be limited to \$1,500 per request, though faculty can request more if special circumstances warrant the request. Faculty requesting ***Seed Money*** will be expected to submit to an external funding program in at least two cycles if the proposal is not funded in the first cycle. Funds are made available on an ongoing and as-available basis, with the anticipation that 3-5 requests will be funded per year. To make a request to the ***Seed Money*** program, faculty must submit a two page project summary to OAR. This summary should detail the funding agency being targeted; the nature of the proposal planned, and details to justify the seed request. Requests should be submitted in electronic form to OAR (oar@jjay.cuny.edu) with ***Seed Money*** clearly indicated in the subject line.
- ***Proposal Peer Review*** – To improve the quality of external grant proposals and their likelihood of success, OAR will make limited funds available for faculty to obtain external reviews of grant proposals prior to their submission to an agency or funding organization. Requests must be made in writing to OAR (oar@jjay.cuny.edu) with ***Proposal Peer Review*** clearly indicated in the email subject line; please include a completed draft of the grant application to be reviewed, along with the reviewer's name, title, affiliation(s), and a brief (one sentence) description of her qualifications. Faculty are responsible for identifying and handling all communications with the peer reviewer, and the request must be ready sent at least 6 weeks before the grant deadline in order to be considered. OAR will provide an honorarium of \$250 (limited to one review per grant application), which will be paid directly to the peer reviewer to incentivize their work.

The PI must submit a copy of the external review to OAR at least two weeks prior to the grant application deadline in order for the honorarium to be paid. Funds are available on a first-come, first-served basis until the annual budget for the program is depleted. Up to 10 requests may be funded in the first year.

- **Open-Access Publication Funding** – Peer-reviewed research journals and other scholarly venues are increasingly moving to an open-access paradigm. In this model, submitting authors are allowed to pay a fee so that their manuscript can be published in open-access mode, providing anyone access to the material regardless of whether they have a subscription to the publication venue. This is a notable effort in that it promotes dissemination of research to a broader audience and provides access to disadvantaged and developing populations. In an effort to broaden the dissemination of research of John Jay scholars, limited funds are available to faculty who wish to publish articles in open-access format in major, peer-reviewed, scholarly journals. Once a manuscript is accepted for publication, faculty must submit a request to OAR with the journal name, a copy of the acceptance letter, and a brief description of the journal quality and reach. Only publication in established, high-caliber venues will be supported at this time. Requests should be submitted in electronic form to OAR (oar@jjay.cuny.edu) with **Open-Access Publication** clearly indicated in the subject line. Total funds are limited to \$5,000 in year one and are available on a first-come, first-served basis, with maximum individual awards of \$1,000, until the budget is depleted.
- **Book Publication Funding** – The Office for the Advancement of Research wishes to support faculty authors who are in the process of publishing books (as a single-author/editor or first-author/editor) with high-quality, reputable presses. In the event that the publication contract requires the author to pay page fees, indexing fees, image rights, etc., the OAR will provide the author up to \$1,000 to pay fees of this nature (please note that this is reimbursement-based funding requiring original receipts, and cannot be used to pay expenses funded through any other source). Once a book proposal is accepted for publication, faculty must submit a request to OAR with the original proposal, the publisher name, a copy of the publication contract, and a brief description of the publisher's quality and reach. Please note that contracts in which the author receives an advance of any amount are not eligible for this funding program. Requests should be submitted in electronic form to OAR (oar@jjay.cuny.edu) with **Book Publication** clearly indicated in the subject line. Total funds are limited to \$5,000 in year one and are available on a first-come, first-served basis, with maximum individual awards of \$1,000, until the budget is depleted.

The above programs are in place on an as-needed basis, and requests may be made at any point in the year. Funds are limited, and available on a first-come, first-serve basis. In addition to these funding programs, OAR also has several competitive Award programs that recognize faculty scholarship and fund competitive research proposals. OAR Award programs include: the Faculty Scholarly Excellence Award Program, the Collaborative Research Award Program, the Faculty Mid-Career Research Support Program, and the Donal EJ MacNamara Junior Faculty Award. To find out more about these Award programs please visit the [Research page](#) on the John Jay College website.