

GRADUATE

STUDIES &

RESEARCH

Annual Report
FISCAL YEAR 1996-1997

UNIVERSITY OF NORTH CAROLINA
AT CHAPEL HILL

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FROM THE VICE PROVOST

I am pleased to present to the University community this report for 1996-1997 from the Office of the Vice Provost for Graduate Studies and Research at UNC-Chapel Hill. It is a pleasure because much has been accomplished in the past year, and I look forward to even more in the future.

The Vice Provost's Office takes as its charge to act as an agent to ensure excellence and to help the University reach for its future. The main focus is on research and the graduate programs that sustain it. This includes helping individual faculty members, undertaking special projects, and assessing new interdisciplinary initiatives. In addition, we have an increasing role in brokering and outreach to foundations, federal agencies, corporations, and the State and Federal governments for partnering and funding opportunities.

In order to maximize our effectiveness, we have made significant changes in the structure of the organization during the past year. Basic business functions have been centralized and new units created from the old in order to focus on such key areas as research interactions with corporations and institutional support for large-scale projects and interdisciplinary initiatives.

In addition, the Office of the Vice Provost for Graduate Studies and Research has provided almost 50 grants to faculty, departments, and schools to help provide bridging and startup funds, to support special faculty initiatives, and to help trigger new programs. Continuing support has been provided for such interdisciplinary units as the Center for the Study of the American South, the Program for Molecular Biology and Biophysics, and Cultural Studies.

The Office of the Vice Provost for Graduate Studies and Research has acted as a primary facilitator in sponsoring campus-wide conversations in areas ranging from environmental sciences, which led to the Carolina Environmental Program, to public affairs, to the creative and performing arts.

The next pages feature some of the highlights from the 1996-1997 academic year. Following it are reports from individual units. They make for interesting reading. Progress has been made, but much remains to be done. The future of the University depends on it.

Thomas J. Meyer
*Kenan Professor of Chemistry and
Vice Provost for Graduate Studies and Research
Office of the Vice Provost*

HIGHLIGHTS

Graduate School

- The Graduate School increased money for fellowships and direct financial support of Graduate Students. Stipend levels for almost all Graduate School fellowships increased, graduate students received health insurance for the first time, and academic enhancement moneys were allocated for dissertation fellowships.
- An electronic web interface allows students to apply to graduate school at Carolina using an electronic application available to them through our web site.
- The Graduate School surveyed approximately 2035 individuals across the country who received their PhDs from Carolina in order to seek their input regarding the type of training they find most useful in their current occupations.
- The Graduate School organized a workshop for students interested in applying for fellowships from the National Science Foundation.
- The Graduate School developed several new initiatives for helping students in their efforts to obtain North Carolina residency for tuition purposes.
- The Graduate School continues to play a major role in recruiting minority students to UNC-CH—with 472 African American and American Indian graduate students enrolled in 1996-97.
- The Graduate School established a Student Advisory Committee to identify areas of need and consider ways in which to better serve students.

Institute for Research in Social Science

- The IRSS Data Archive now contains 285 billion bytes of data or the approximate equivalent of a 450,000 book library.
- The IRSS data searching system's new "point and click" interface is Internet accessible and, in its first six months has resulted in 2,500 searches per month.

- IRSS sponsors fifteen Interdisciplinary Faculty Working Groups which involve approximately 300 faculty members.
- Eighty-five percent of UNC-CH faculty members surveyed say that IRSS services are important to them and their students.
- IRSS is currently preparing a proposal on qualitative research, an increasingly important direction in social science research.
- During the past year, 68 short courses were offered on topics such as Internet data archives for social scientists and access to the IRSS computerized data holdings.
- Jointly with the School of Journalism and Mass Communication, IRSS sponsors the Carolina Poll, a public opinion survey of 600 adult North Carolinians conducted each semester since 1978.

Office of Information and Communications

- Using a new World Wide Web interface, UNC researchers logged into the GrantSource[®] Service at twice the rate of last year, and logins now average over 500 per month.
- From September 1996 to March 1997, the GrantSource Library's staff has conducted a total of 50 training and consultation sessions, reaching 34 different units, 135 graduate students, 130 faculty members, and 72 staff.
- Between August 21, 1996 and February 28, 1997 the GrantSource Library assisted 251 graduate students with two-part searches of the Stanford funding-opportunities database.
- Without increasing costs, OIC staff redesigned *Endeavors* magazine and improved its graphics to better illustrate research activities and compete with peer institutions.
- OIC helped expand the University's presence on the Internet, creating new World Wide Web versions of *Endeavors*, *Research Support* newsletter, and the *Annual Report on Sponsored Funding*.

HIGHLIGHTS

Office of Research Services

- In cooperation with Contracts and Grants, Technology Development, and Information and Communications, ORS trained 140 grants managers in research administration skills in three “Nuts and Bolts” workshops offered in October and February.
- ORS continued the highly successful program that pays up to \$400 of travel expenses for a faculty member to visit with a potential sponsor. In the past 30 months, about two-thirds of recipients received extramural funding following their visits, with funding exceeding \$3 million.
- Through January 1997, the University had received more than \$200 million in extramural awards, up more than \$44 million or 28 percent from last year. July 1996 was the first month ever at UNC-CH to exceed \$40 million in awards.
- In cooperation with the Contracts and Grants Office, the Office of Technology Development, and the Office of University Legal Counsel, the University secured acceptable publication, confidentiality and intellectual property provisions in every sponsored research agreement signed by the University. Not one dollar was lost in negotiation over any issue related to academic freedom or the rights of the faculty.
- The office continued to handle more human subject protocols through the Academic Affairs Institutional Review Board (IRB) with no increase in time to approval. Since fiscal year 1992, with no increase in staff, protocols have increased in number by 72 percent.

Office of Technology Development

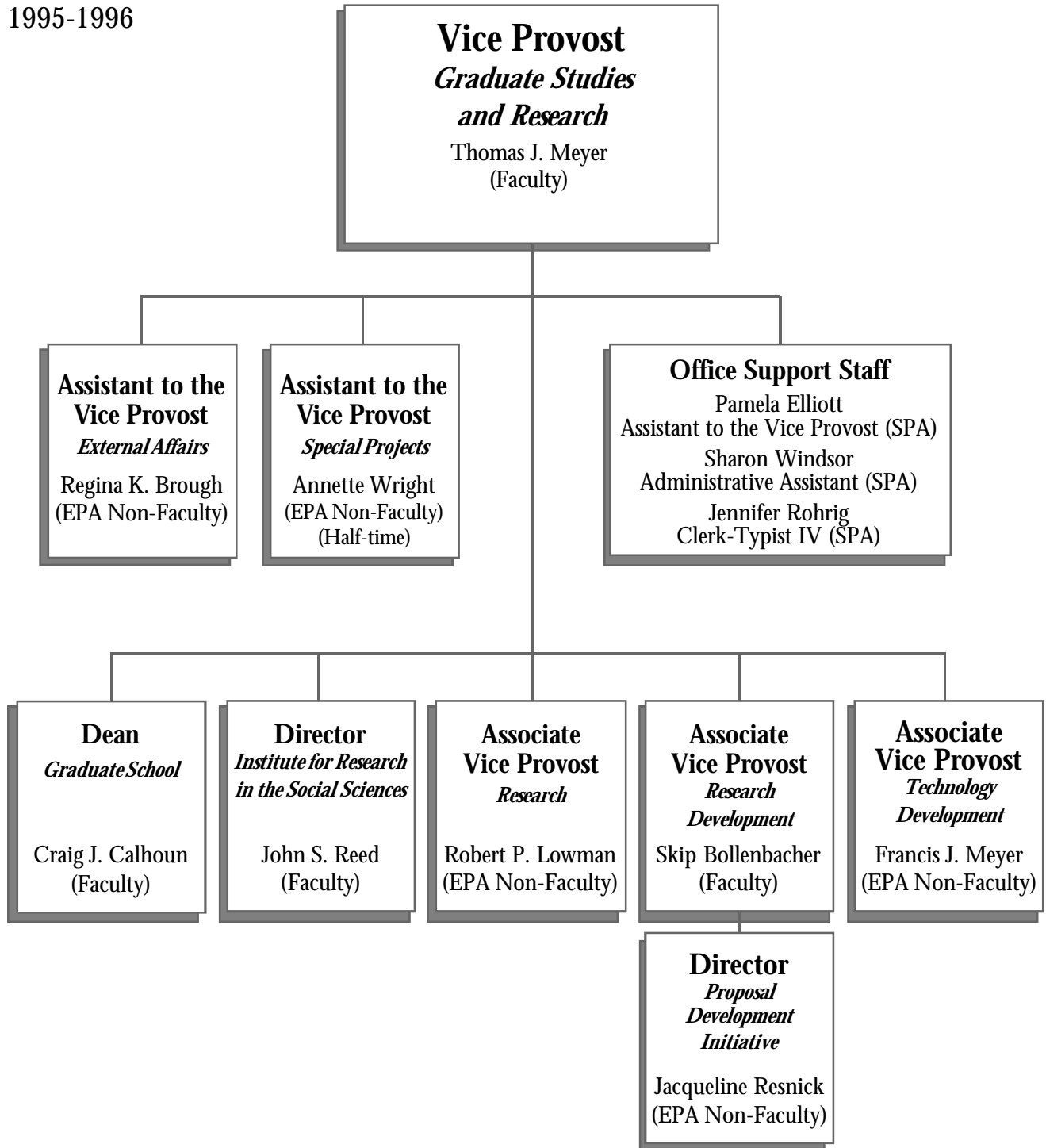
- The addition of three new staff members dedicated to licensing technologies resulted in an 83 percent increase in the number of inventions licensed.
- OTD generated 43 percent more royalty income from license agreements in this fiscal year as compared to the same period last year.
- By the end of February, OTD had negotiated and executed 140 material transfer agreements, enabling faculty to share their research materials with colleagues or companies seeking to evaluate the material.
- OTD helped launch two new companies dedicated to developing products based on University inventions. The companies, Xanthon Inc. and MiCELL Technologies Inc., have already contributed 16 new jobs to the local economy

Proposal Development Initiative

- This year, PDI focused on skill development services for graduate and postdoctoral students by organizing and participating in 12 workshops involving 250 students from diverse disciplines.
- PDI provided facilitation to a statewide faculty workshop on instructional technology.
- PDI has facilitated or had involvement in the development of over 30 proposals consisting of more than \$20 million in total funds sought.
- The chancellor chose PDI as the central support program for a \$2 million Initiative for Instructional Technology.
- PDI introduced a systematic process for identifying peer-nominated research faculty to compete for limited grants and awards.

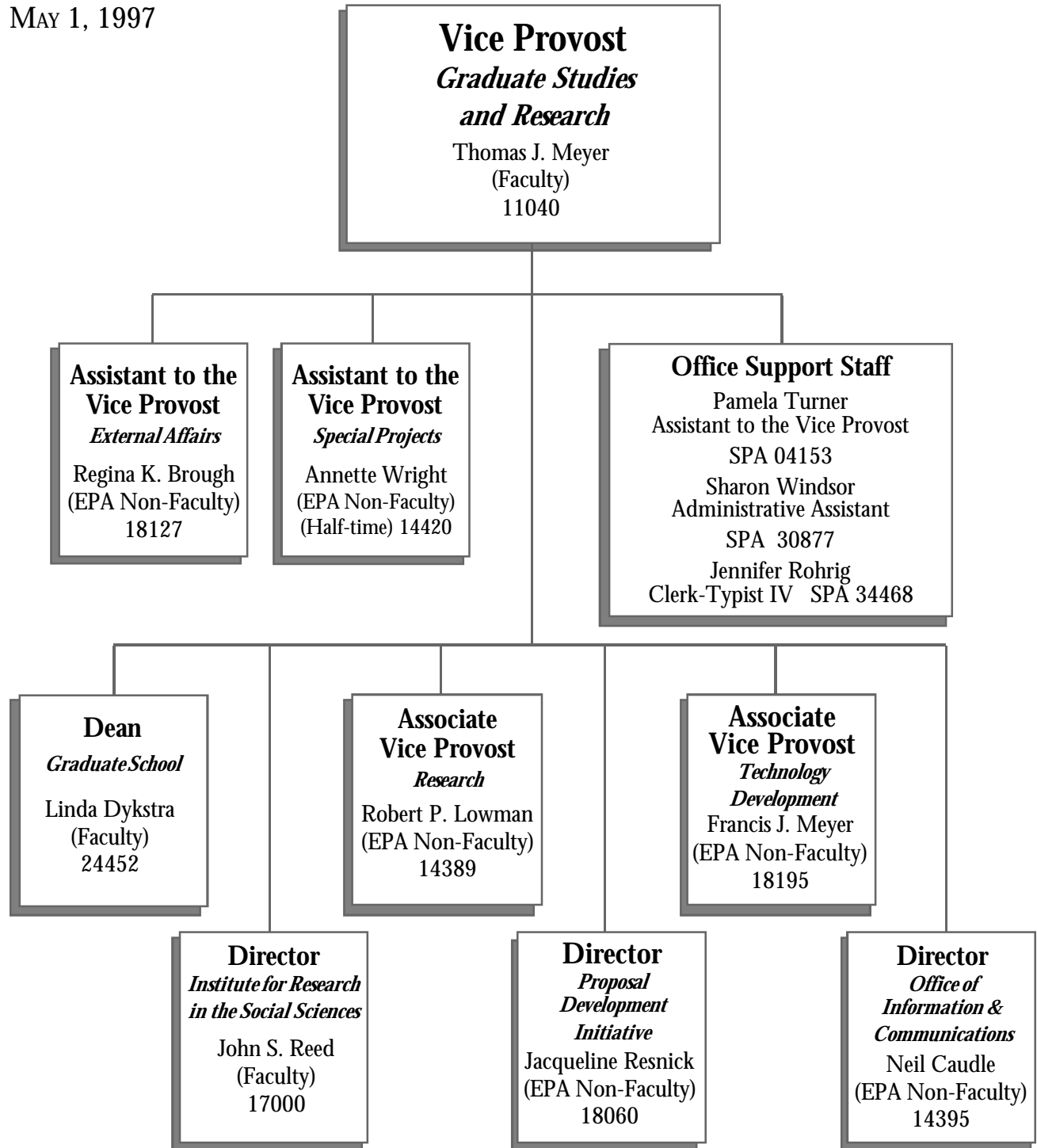
ORGANIZATION

1995-1996



ORGANIZATION

MAY 1, 1997



OFFICE *of*

the VICE

PROVOST

OFFICE OF THE VICE PROVOST

MISSION

UNC-Chapel Hill is a research university characterized by its excellence in research, its strong commitment to undergraduate teaching, its training of graduate and professional students, its public service, and its research. The vice provost for Graduate Studies and Research oversees the graduate program and fund-raising for graduate students, promotes research by providing support services, facilitates internal projects and forms external alliances, and shares new discoveries having commercial potential through its technology development and transfer program. The vice provost represents these interests at the highest levels of the University and to others outside the University community.

ORGANIZATION

Office of the Vice Provost

In the VPGSR's immediate office, four staff members assist in meeting the internal and external performance goals of the office. In the fall of 1996, the University hired a special assistant to support research planning and performance enhancement initiatives. In addition to other duties, a second assistant administers the Carolina Minority Post-Doctoral Program, a high-profile and long-term activity of the office. The senior special assistant serves as financial manager for the division.

Graduate Studies and Research

The dean of the Graduate School, the director of the Institute for Research in Social Science, the associate vice provost for Technology Development, the associate vice provost for Research Services, the director of the Office of Information and Communication, and the director of the Proposal Development Initiative report to the vice provost. He oversees their many activities, which include a full graduate program, patents and start-up companies, research relations with industries, research infrastructure, and facilitation of new projects. Detailed annual reports follow. In them the program directors describe the organization's many accomplishments and their professional commitment to excellence at Carolina.

RESEARCH PLANNING

Performance enhancement at UNC-CH

Promoting excellence in graduate education and research for North Carolina and the United States is the mission of Graduate Studies and Research. They form a "circle of mutuality that cannot be broken," nor should it be. This guiding philosophy influences all the activities directly undertaken by the VPGSR and his colleagues.

PRIORITIES

Facilitation of interdisciplinary research

The VPGSR serves as the entry point for consideration of interdisciplinary, pan-university initiatives and as a facilitator for new interdisciplinary projects. Interested groups of faculty are encouraged to develop ideas appropriate to the University's mission and which have realistic expectation for permanent funding once a program is in place. Facilitation and support of appropriate short-term projects are also provided. Once a proposal has been approved by the Provost and funding sought from the University Budget Committee, the VPGSR assists in identifying additional support in partnership with the UNC-CH Development Office and the Office of Technology Development.

New centers, which are currently in the development stage or continue to benefit from input by the VPGSR include The Center for the Study of the American South, The Carolina Environmental Program, and new initiatives in cognitive sciences and public affairs.

Research funding

The VPGSR has funds available from the University overhead pool to support research and research infrastructure. These are matching funds for external funding which assist deans and chairs with startup packages, and support individual faculty and groups of faculty in their research.

Facilitation of funding

Working closely with the Proposal Development Initiative and appropriate deans and department heads, the VPGSR helps to identify and promote large scale research initiatives and research infrastructure.

OFFICE OF THE VICE PROVOST

Graduate student support

The VPGSR has worked closely with the dean of the Graduate School to design and implement a forceful and effective strategy for raising money for graduate education. A development professional, who is a permanent employee in the Arts and Sciences Foundation, is working on behalf of graduate education. In April, The Dean and VPGSR hosted the first meeting of the Graduate Education Advancement Board, an external advisory group of distinguished individuals committed to helping with graduate fund-raising and advising on the future of graduate education.

Evaluation, facilitation, and enhancement of existing programs

The VPGSR oversees the evaluation of new interdisciplinary initiatives and with the provost and dean of the Graduate School, oversees the periodic evaluation of individual academic units. The VPGSR also conducts an internal evaluation of the separate units of GSR on a biennial basis.

The status of several interdisciplinary projects is shown in the diagram on the next page.

PERSONNEL

Thomas J. Meyer, Vice Provost, Graduate Studies and Research (Faculty)
Regina K. Brough, Assistant to the Vice Provost, External Affairs (EPA Non-Faculty)
Annette Wright, Assistant to the Vice Provost, Special Projects (EPA Non-Faculty, half-time)
Pamela Turner, Assistant to the Vice Provost (SPA, half-time)
Sharon Windsor, Administrative Assistant (SPA)
Jennifer Rohrig, Clerk-Typist IV (SPA)

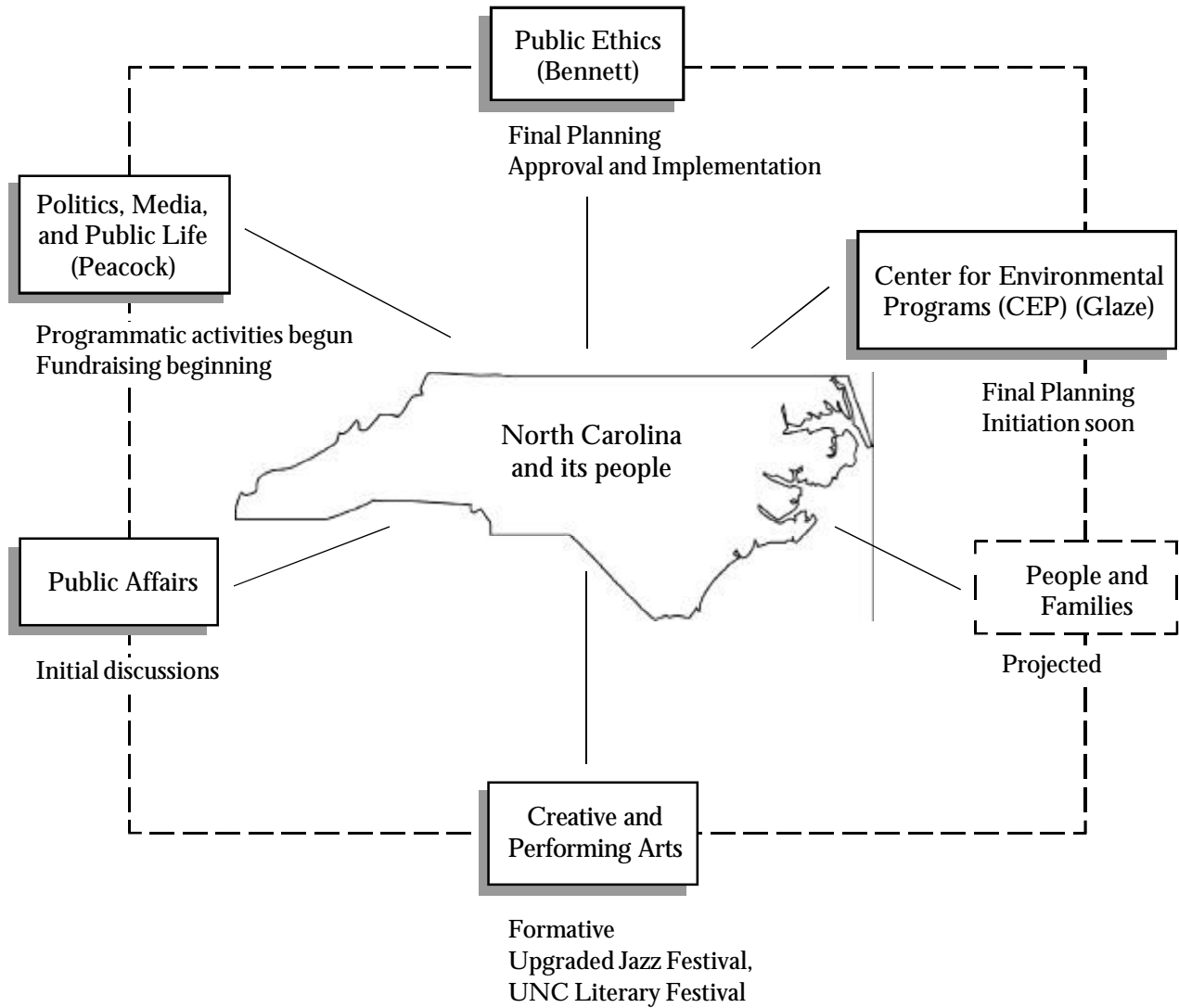
PLANS

Helping the departments, changing the environment

- assist faculty recruiting
- assist graduate student recruiting
- work with the General Assembly to obtain matching research support funding
- create a set of Kenan Institute clones
- develop special research initiatives in response to opportunities
- plan strategically for research needs including laboratories and other research buildings
- anticipate and chart national trends

CAROLINA INTERFACE

Status of Selected Interdisciplinary Projects, May 1997



Other Projects

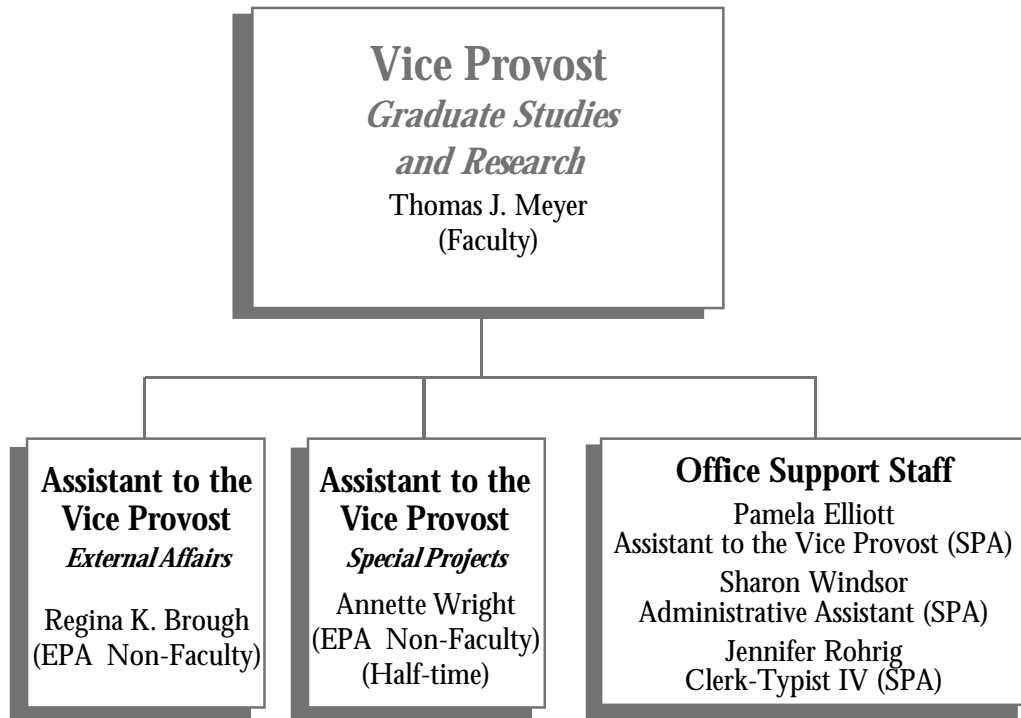
Networking — Jeffay

Cognitive Sciences — Halstrom

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ORGANIZATION

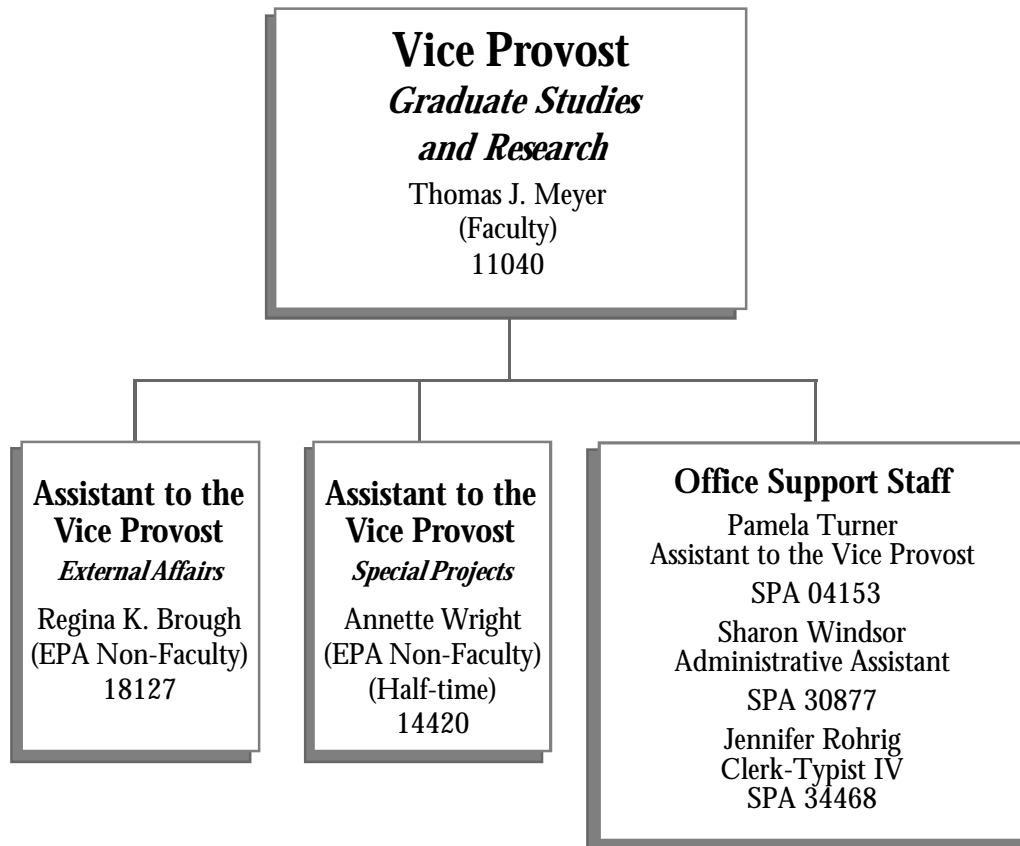
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OFFICE OF THE VICE PROVOST

ORGANIZATION

1996-1997



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GRADUATE

SCHOOL

GRADUATE SCHOOL

INTRODUCTION

The Graduate School's mission is to support and enhance the quality of graduate education at Carolina. It seeks to ensure the highest standard of excellence in all of UNC's graduate programs, and through its Dean to articulate the overall role of graduate education in the life of the University. Towards this end, the Graduate School has

- increased its involvement in the academic/intellectual activities of individual departments and interdisciplinary programs,
- increased financial support for graduate students,
- increased the services provided for graduate students,
- reorganized minority recruitment and retention efforts,
- introduced new technologies,
- increased service to departments in support of their individual graduate programs, and
- energized the activities of the Administrative Board of the Graduate School.

Our working partners include graduate faculty, departmental administrators and managers across campus, and graduate students themselves. Our external partners include alumni and friends of the Graduate School, the North Carolina Legislature and the Graduate Education Advancement Board.

ACCOMPLISHMENTS

Involvement in academic activities

The overall mission of the Graduate School is to work with academic units on campus in order to enhance the quality of graduate education at Carolina. In order to carry out this mission, the Graduate School conducts reviews (program reviews) of all academic units within the University. In the current year, the Graduate School reviewed eight different units—the graduate program in Business and the graduate and undergraduate programs in Journalism, Marine Sciences, Nutrition, Comparative Literature, Operations Research, Maternal and Child Development, and English. In order to improve the outcome of these reviews, the Graduate School developed a protocol whereby follow-up letters were prepared on the basis of the outside review and the department's response

to the review. These follow-up letters, developed in cooperation with the Office of the Provost and the Dean of the respective school, outlined specific actions to be taken in order to improve the department. Departments are then asked to provide a one-year follow-up outlining the steps taken in responding to the recommendations.

The Graduate School provided financial support for several academic conferences (e.g., Carolina Conference on Romance Literatures, the Byzantine Studies Conference). The Graduate School also encouraged the School of Education to consider the combination of its seven different Ph.D. programs into one Ph.D. and provided financial support for a retreat to consider this initiative.

The Graduate School surveyed approximately 2035 individuals across the country who received their Ph.D. from Carolina over a five-year period (1985-1990) in order to assess the experiences of our alumni as graduate students and seek their input regarding the type of training they find most useful in their current occupations. Survey response data will be used to enhance graduate education at Carolina as well as help us to articulate the importance of graduate education to the State of North Carolina. (Appendix A).

Financial support for graduate students

High-quality graduate programs depend on high-quality students and a recruitment package that will attract those students. In 1996-97, the Graduate School oversaw the award and distribution of over \$2,350,000 to 273 graduate students; 191 students received tuition remission or tuition fee scholarships. In the current year, stipend levels for almost all Graduate School fellowships were increased. For the first time, graduate students also received health insurance. Moreover, Assistant Dean Paul Ilecki became chair of the Student Health Advisory Board, charged with improving the availability and quality of health insurance for graduate students.

The Graduate School was successful in its development efforts. This year we received a major gift from the Royster family of \$2 million which will enable us to launch the Society of Fellows as a recruitment fellowship, starting in the 1998-99 academic year. (Appendix B).

Our new assistant dean for public information and special projects, Sandra Hoeflich, worked with Peggy Myers (half-time development officer) and Vice Provost

GRADUATE SCHOOL

Tom Meyer in developing a plan for raising additional funds for graduate education. The Graduate Education Advancement Board was established to provide advice and assistance in this process. Several workshops were held with individual departments in both Academic Affairs and Health Affairs to assist departments in their own efforts to raise outside funds to support their individual graduate programs.

In order to enhance financial support for students already enrolled at Carolina, the Graduate School requested \$.5 million from the university's Academic Enhancement Fund. This money was used to provide supplements to teaching assistants for introducing instructional and communication technology into the classroom. Academic enhancement moneys also were allocated for fellowships for students in the final years of their graduate training (dissertation fellowships). (Appendix C).

The Graduate School organized a workshop for students interested in applying for fellowships from the National Science Foundation. Recently, NSF announced the fellowship winners from this competition. Table 1 shows the dramatic increase in the number of currently enrolled students winning NSF fellowships. In addition to the 11 first-year student award winners for 1997, 13 current students received an honorable mention. It is clear that this experiment was successful; we are following up to better understand the factors involved.

This table also highlights the relatively small number of matriculating students (those who win the NSF while seniors in college and subsequently choose to attend UNC-CH). We need to devise ways to successfully recruit NSF fellowship winners to Chapel Hill.

We are now taking steps to better understand what

GRADUATE SCHOOL

the recommendations put forth by that study, including workshops to help students understand the application process, simplification and clarification of the application itself, reduction of the number and better training of the individuals involved in residency decisions. (Appendix D).

Minority recruitment and retention

The Graduate School continues to play a major role in recruiting minority students to UNC-CH—with 472 African American and American Indian graduate students enrolled in 1996-97. We also continue our support of the Summer Pregraduate Research Experience Program, which brings prospective undergraduates to Carolina for the summer, provides them with research experience, and encourages them to return to Carolina for their graduate studies. Last summer, 40 students took part in this program, and of those 14 have applied for admission to Carolina. Dr. Henry Frierson and several of our own graduate students from underrepresented groups receive summer support from the Graduate School to direct this program.

In addition, the Graduate School assessed its activities related to recruitment within the state of North Carolina along with its partnership efforts with NC A&T and NC Central. We have worked with several professional schools—Nursing, Education, Social Work—to develop partnership efforts with some of the HBCUs within North Carolina. We made administrative visits to seven HBCUs in North Carolina and are currently reorganizing the PMAAD program in consultation with individuals at NC A&T and NC Central.

The Graduate School provided support to the Alliance of Graduate and Professional Students at Carolina in organizing a national conference. This conference was held May, 1997 in the Triangle area and provided publicity regarding our own commitment to the professional advancement of African American graduate and professional students. (Appendix E).

Operations and new technology

Over the past year, Peggy Berryhill, our information systems liaison, brought our application process on line. As of March 1, 1997 students can apply to graduate school at Carolina using an electronic application available to them through our web site. We anticipate receiving approximately one third of our applications in

this form, which promises to decrease expenses related to mailing and processing applications. (Appendix F).

The Graduate School continues to update and expand the information available on its homepage. Assistant Dean Sandra Hoeflich worked with Judy Lewter, fellowship manager, and Peggy Berryhill to simplify our fellowship application process and placing it on-line. (Appendix G).

We also are developing a graduate-student database and information system to coordinate data (academic, financial, demographic, benefits) on all graduate students in conjunction with the new human resources information system. Assistant Dean Ilecki is chairing the committee charged with this task, and the Graduate School has hired a graduate student from the School of Information and Library Science to provide the technology backup.

Service to graduate programs

In an effort to improve the service the Graduate School provides to over 68 academic programs, Associate Dean Laurel Files conducted a customer survey in the fall semester of 1996. The response we received indicated that our “customers” are pleased with the service they receive; nevertheless, there is always room for improvement and we are currently considering the recommendations we received and making plans to implement many of them. (Appendix H).

In December, Assistant Dean Sandra Hoeflich organized a workshop for all directors of graduate studies to assist them in their recruitment efforts and provide information about our new policies for fellowships. One particularly interesting aspect of the workshop was a presentation by each of three different departments on their procedures from bringing potential students to campus in order to evaluate them as potential graduate students and recruit them to Carolina.

Governance

The Graduate School receives advice from its Administrative Board, a group of 21 individuals with representation from humanities and fine arts, social sciences, basic and applied sciences, health affairs, and various professional schools in both Academic Affairs and Health Affairs.

In the fall of 1996, the Administrative Board of the Graduate School and other interested directors of gradu-

GRADUATE SCHOOL

ate studies across campus held a retreat to examine the role of the Graduate School in shaping graduate education at Carolina. In addition, the format of our board meetings was changed to allow more time for open discussion. The board used this open format to develop several new initiatives for improving graduate education (e.g., TA supplements). (Appendix I).

The Educational Policy Committee of the Administrative Board of the Graduate School (chair, Associate Dean Laurel Files) continues to review and revise existing Graduate School policies and procedures, including calculations for academic residency, transfer of credit, development of interdisciplinary programs and practices and admissions, standards and credentials.

PERSONNEL

UNC-CH faculty

Linda A. Dykstra, Dean

Laurel A. Files, Associate Dean for Academic Affairs

Henry T. Frierson, Jr., Director, SPGRE

EPA non-faculty

Paul J. Ilecki, Assistant Dean for Academic and Student Affairs

Sandra Hoefflich, Assistant Dean for Fellowships, Public Information and Special Projects

Margaret C. Myers, Director of Development for Graduate Alumni & Programs, .50 FTE

SPA employees

Myrna L. Bower, Administrative Officer

Peggy O. Berryhill, Information Systems Liaison

Kelly T. Gallagher, Administrative Assistant

Judy K. Lewter, Student Services Manager, Fellowships Office

Rhonda B. Mitchell, Administration Assistant, Student Records

Agnes W. Lashley, Students Services Assistant, Student Records

Mary H. Freeland, Students Services Assistant, Student Records

Carolyn H. McMillan, Student Services Assistant, Recruitment

Jennifer Diane Davis, Student Services Assistant,

Admissions

Jessica K. Rechtschaffer, Student Services Assistant,

Information

L. Gail Bundy, Administrative Secretary, Dean's Office

Clydie C. Lewter, Students Services Assistant, Admissions

Ruth W. Haynie, Student Services Assistant, Admissions

Bonnie D. Andrews, Student Services Assistant, Admissions

G. Marie Sturdivant, Student Services Assistant, Admissions

Diane Faucette, Student Services Assistant, Admissions

Etta L. Daniel, Processing Assistant, Information

Graduate students

Keith Cogdill

Ramone Givens

Stephanie Jennings

Willie McKinney

Kristin Oakley

LaShandra Price

Jawana Ready

Tim Spaulding

State funds support all graduate school positions.

PLANS AND RESOURCES

The Graduate School plans to expand its activities in the five areas described below. For clarity, these plans are tied to the resources needed to carry them forward. In addition, a plan for identifying the needed resources through reallocation of existing resources is outlined.

Physical space for expanded program-review activities and technology innovations

The Graduate School organizes and provides follow-up for all graduate and undergraduate program reviews conducted at Carolina. In developing a system to improve the outcomes of this process, program reviews will involve extensive collaboration with the provost's office and the respective deans of the various schools as well as incorporate broader faculty input. These expanded responsibilities require additional office space. At the same time, the electronic application process allows us to reduce staff in offices working with admissions and enrolled students. Therefore, we plan to renovate the admissions office so that it can accommodate work sta-

GRADUATE SCHOOL

tions suitable for the new technology and also accommodate employees from both the admissions and the student services office. These changes will provide additional space for our expanded program review function as well as free one large room on the second floor of Bynum (room 201) for general-purpose use. Total renovations are estimated at \$70,000-\$100,00. Additional renovations to make the conference room a multi-purpose break room/conference room are also planned.

Staff support for technology initiatives

Resources are needed to support an electronic technician. Expertise in this area will allow us to update our electronic application process and the web site that supports it, move towards establishing a system for electronic theses and dissertations, and develop a database for our graduate students. We propose to fund this position from personnel resources available from one resignation and one admissions staff retirement planned for the next year.

Staff support for expanded development efforts

The Graduate School needs a large and flexible base of fellowships and tuition support in order to assist departments in recruitment of the best graduate students. Expanded efforts in this direction requires staff to articulate these needs both to the legislature as well as to alumni and other friends

of graduate education. It also requires a considerable amount of staff time for stewardship of prospective donors. Staff are also required to carry out research examining the level of graduate-student support at Carolina and compare it to our peer institutions. The Graduate School employs graduate students to support us in these activities and hopes to continue this plan in the next year. Resources should be available by consolidating two current positions, our administrative officer and administrative assistant into one administrative assistant.

Growth in student-services operations

In order to expand the services we provide for our students, we hope to employ a graduate research assistant who will serve as a liaison between the Graduate School and the campus-wide Office of Student Services. We have not identified resources to support this position.

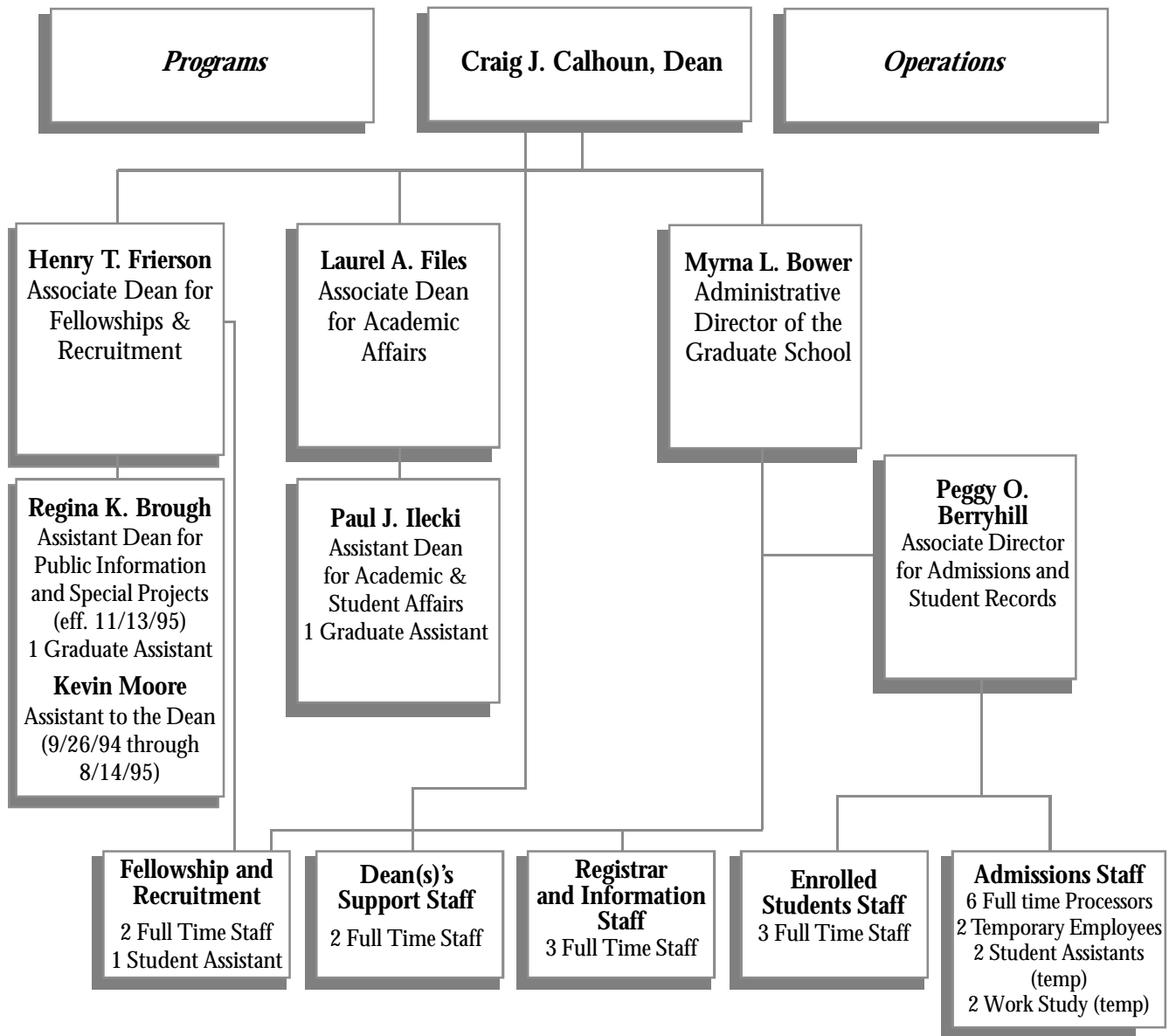
Expansion of minority recruitment efforts

The Graduate School plans to expand its minority recruitment efforts and establish stronger working partnerships with NC Central and NC A&T. We intend to hire an associate dean to oversee these activities. This individual will have responsibility for all of our recruitment and retention efforts in this area, except for the SPGRE program, which will continue to be directed by Dr. Frierson. Resources should be available through the consolidation of current positions and planned retirements.

GRADUATE SCHOOL

ORGANIZATION

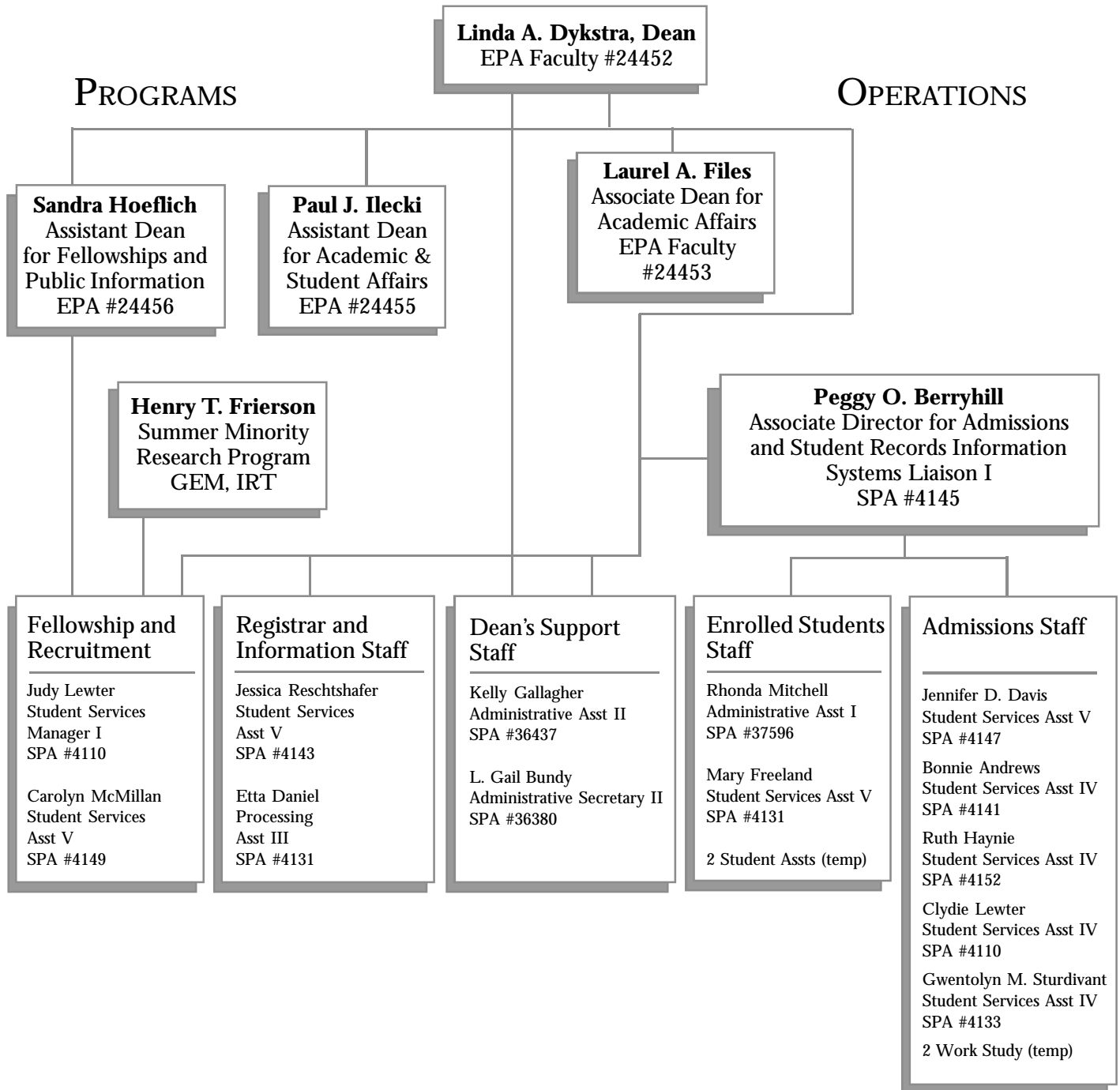
JULY 1, 1996



GRADUATE SCHOOL

ORGANIZATION

MAY 1, 1997



INSTITUTE *for*

RESEARCH

in SOCIAL

SCIENCE

INSTITUTE FOR RESEARCH IN SOCIAL SCIENCE

INTRODUCTION

The Institute for Research in Social Science, founded in 1924, is the oldest facility of its kind in the world and one of the best known. Its mission is threefold: (1) to offer essential scholarly services not provided on a departmental level; (2) to support innovative research empirically, methodologically or theoretically; and (3) to foster interdisciplinary communication among the social sciences. It provides the following services to faculty members, advanced undergraduate students, graduate and professional school students, research staff, and campus support units in both Academic Affairs and Health Affairs:

Scholarly services

- statistical computing assistance through its Statistical Consulting Service
- assistance in research design
- consultation in complex statistical methods
- a wide array of 60+ short courses
- editorial support for faculty publications
- assistance in the development of grant proposals and grant management
- support for qualitative methods
- promotion of the use of microcomputers in social science research

Innovative research

- acquires and maintains an extensive collection of social science data
- develops and maintains an on-line catalog of data holdings
- participates in the North Carolina State Data Center, assisting academic research users in the state
- initiates interdisciplinary faculty research groups
- provides seed money for faculty research projects
- administers the Southern Focus Poll, a public

INSTITUTE FOR RESEARCH IN SOCIAL SCIENCE

Since October 1996, IRSS has implemented a new "point and click" searching system for its catalog of data holdings and its database of public opinion questions and responses. Users with access to the Internet can now search our holdings and, increasingly, download data to their own computers. Approximately 2,500 searches per month have been performed since the new searching system was implemented.

Louis Harris Data Center

Louis Harris, the national public opinion pollster, is a graduate of UNC. In his honor, the Harris Data Center was established on campus in 1966. The Harris Polls are available for faculty and student use in the Harris Data Center. Currently, 1,151 Harris Polls have been archived. 69,949 questions and responses from 1,166,392 respondents are available through a computerized information system easily accessed via the Internet.

Interdisciplinary faculty working groups

IRSS sponsors 15 faculty working groups which involve approximately 300 faculty members. During the 1996-97 academic year, two new groups were added: early Mediterranean studies and post-critical ethnography. They join groups on the African Diaspora, applied statistics, documentary studies, Latin American data, North Carolina data, political economy, print culture in the American South, qualitative research, religion and American culture, scholarly communication, social theory and cross-cultural studies, Southern studies, and sport in the South.

Summer research stipends

Each year, IRSS awards faculty stipends to support research, especially for the development of new research projects that may lead to external funding. Due to funding cutbacks, only six awards of \$4,000 each (\$3,000 to the faculty member and \$1,000 for a graduate research assistant) and eight \$1,000 graduate research assistantships were given for the summer of 1996. Awards went to the following faculty members:

- Marisol de la Cadena (anthropology), "Elite and Grassroots Intellectuals: Ethnicity and Popular Culture in Cuzco, Peru (1919-1991)"
- Iris Carlton-LaNey (social work), "The Nursing Assistant in Rural Areas: Life Beyond the Long-

Term Care Facilities"

- Rosa Haritos (sociology), "Syndrome Construction and its Consequences: Knowledge Diffusion and Professional Ideologies regarding Attention Deficit Disorder (ADD)"
- Arne Kalleberg (sociology), "Flexibility and Employment Relations in the United States and Norway"
- Beth Kurtz-Costes (psychology), "Family Influences on Children's Academic Achievement"
- Peter A. Ornstein (psychology), "Children's Memory, Suggestibility, and Testimony: A Survey of the Beliefs of Psychologists, Lawyers, and Preschool Educators"

Statistical consulting service

Our primary contact with students is through the IRSS Short Courses (see below) and the IRSS Statistical Consulting Service. The Consulting Service is staffed by advanced graduate students and is directed by a PhD staff member. It is open seven days a week for a total of 72 hours per week.

Short courses

During the past year, 68 short courses were offered on (a) Internet data archives for social scientists, (b) access to the IRSS computerized data holdings, including demographic, economic, educational, health, public opinion, and social psychological information on North Carolina, the American South, the United States, and many other nations, (c) statistical analysis of these data, (d) writing grant proposals and locating sources of funding, (e) the collection of data through surveys and public opinion polls, (f) the analysis of textual data through specialized computer-based methods, (g) book publishing, (h) geographical information systems, (i) research in minority communities, and (j) the use of qualitative methods.

Grants

IRSS staff, with assistance from a faculty member from the School of Education and a staff member from the Office of Information and Communications, offered several short courses in grantsmanship and grant administration. A new short course in social science proposal processing was presented in the spring semester. IRSS

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administered eight faculty and doctoral dissertation grants with a value of \$558,384.

Communications

IRSS publishes the *Social Science Newsletter*, a calendar of events of interest to social scientists in North Carolina which is distributed to all private and public colleges and universities in the state, the *North Carolina DataNet newsletter*, which publishes the empirical findings of university, government, and media researchers working on state issues, and the *National Network of State Polls Newsletter*. IRSS assists with the publication of the journal *Social Forces*, and, as a coordinating agency of the N.C. State Data Center, distributes the *State Planning Newsletter* to community colleges and universities throughout North Carolina. In addition, IRSS maintains eight Internet listservs with a total of 2,460 subscribers: POR for persons interested in public opinion research, SOS-DATA for researchers who need help in locating social science data, North Carolina Data Network, National Network of State Polls, Southern Sociological Society Announcements, Southern Cultures Discussion, IRSS Announcements, and the Southern Sociological Society Executive Committee.

Carolina Poll

Jointly with the School of Journalism and Mass Communication, IRSS sponsors the Carolina Poll, a public opinion survey of 600 adult North Carolinians conducted each semester since 1978. Poll topics during the past year included: the 1996 elections, attitudes about developmental disabilities, sex education, sex discrimination, state lottery, sexual harassment, community involvement, and attitudes toward Hispanics. Six stories prepared by IRSS staff were released through UNC News Services: "Tobacco Issues Divide North Carolinians," "Women Make Better Friends," "Most North Carolinians Look Forward to Upcoming National Election," "Computers are Now a Way of Life," "Channel Surfing—America's Pastime," and "Perfect Vacation."

Southern Focus Poll

Begun in 1992, the Southern Focus Poll is a national public opinion survey with a Southern oversample. The poll is conducted twice annually with a sample of 800

respondents from the South and 400 from the rest of the nation. It is supported by the *Atlanta Journal Constitution* and the vice provost for graduate studies and research. Poll results have received wide attention in the national and regional news media. Topics during the past year included: religion, sports knowledge and participation, attitudes about boys' and girls' participation in sports, interracial dating, funerals and death, trust in government involvement in Black community with regard to AIDS, attitudes about divorce, Bible reading, revival attendance, and origin of life. Two articles based on poll results appeared in *Southern Cultures*: "Will the South Do It Again?" and "Happy New Year!" (welcoming the new year with fireworks or gunfire).

Visiting scholars

IRSS provided desk space for six visiting scholars from Norway, Japan, Switzerland, and the U.S. The visitors worked with faculty members in political science and sociology.

EVALUATION

Three types of evaluation have been used during the past year: an objective set of measures of our data holdings and their usage, a survey of faculty members in our core user departments in the social sciences (anthropology, communication studies, economics, geography, political science, psychology, and sociology), and a survey of IRSS staff members.

Public opinion data holdings and usage

As of January 1, 1997, we had archived 1,798 public opinion surveys. The surveys included 132,666 questions which had been asked of 1,912,759 respondents. Our major holdings are the Harris Surveys, of which we now have 1,151 dating back to 1966. Other public opinion holdings include the national Gallup Polls, the National Election Surveys, the General Social Surveys, the Southern Focus Polls, the Carolina Polls, and other state polls. Over the past five years, we have added an average of 300 studies to our archive each year. Approximately 2,500 searches of our public opinion database are conducted each month.

Faculty evaluation

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Questionnaires were sent to 200 faculty members in the seven social science departments listed above. At the time of this report, 28 percent of the faculty had responded.

Asked how important our services are to them and their students, 61 percent of the faculty members who responded indicated *very important*, 24 percent indicated *moderately important*, 11 percent indicated *somewhat important*, and 4 percent indicated *not important*. Comments include "IRSS provides invaluable and non-duplicative services that are indispensable," "In general, remarkably efficient, supportive, and even handed," "You offer terrific service," "You provide an *indispensable* set of services," and praise for specific members of the staff.

Asked to indicate which services are *especially valuable* to faculty and their students, 59 percent cited our statistical consulting service, 43 percent cited our short courses, and 28 percent cited our data holdings. The IRSS budget also provides small amounts of "seed" money for faculty and student summer stipends and faculty working groups. These also are seen as *especially valuable* services, with 41 percent of the faculty members citing summer stipends and 30 percent citing our faculty working groups.

In sum, we were extremely gratified by the high level of importance that faculty members in the social sciences place on our core services.

IRSS staff evaluation

All staff members were asked to address the following questions: How might we better carry out our research and instructional support services? Are we offering the right services or do we need to offer new ones? Is our current management structure appropriate for carrying out our services?

Staff members have several suggestions for improving the delivery of our services and our management structure: better communication between administrators and staff, better communication among staff, development of back-up staff for key functions, additional staff training, more staff coordination and integration, and alternative uses of existing space.

Staff members suggested three new directions: (1) deliver data to faculty desktops and departmental and campus instructional labs using the World Wide Web as

a searching and delivery mechanism, (2) use the IRSS homepage as the major means of informing users of our resources and services, and as a continuing means of soliciting user suggestions or complaints, and (3) instead of our current "book" model of cataloging our data holdings, build a database that uses the full text search capabilities of modern search and retrieval software.

PARTNERSHIPS

IRSS is involved in a number of working partnerships, both on and off-campus.

On-campus partnerships

- Conducts the Southern Focus Poll each semester for the Center for the Study of the American South.
- Participates with the School of Journalism and Mass Communication each semester in the conduct of the Carolina Poll.
- With the UNC-CH Office of Information Technology, jointly maintains the IRSS Statistical Laboratory: OIT provides the personal computers and statistical software and IRSS administers the lab and provides the statistical staffing.
- With the Office of Information and Communications, offers a short course on finding funding for social science research.
- With the UNC Press, publishes the journal *Social Forces*.
- Consults with the Office of Research Services and the Office of Technology Development on surveys of their clients.
- Consults with faculty committees and campus support units such as human resources and housing on University surveys.
- In cooperation with the UNC News Services, provides information and articles for dissemination to news media in North Carolina.

Off-campus partnerships

- IRSS serves as the home base of a network of faculty and state government researchers interested in data on North Carolina (NC DataNet).

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- As a member of the State Data Center in the North Carolina Office of State Planning, provides assistance to faculty researchers throughout the state working with data from the U.S. Census of Population and Housing.
- As the home base of the National Network of State Polls, works with representatives from other state polling organizations in exchanging information and publishing a quarterly newsletter.
- In a financial arrangement with the *Atlanta Journal-Constitution*, develops questions and provides results from the Southern Focus Poll.
- In conjunction with the Southern Sociological Society, provides an electronic messaging system for their executive committee and members.

PERSONNEL

(All staff are supported by State funds.)

Part-time: PT; Full-time: FT; Graduate Student: GS

John Shelton Reed, Director (PT)

Angell Beza, Senior Associate Director (FT)

Kenneth Hardy, Associate Director for Information Systems (FT)

Edward Bachmann, Census Data Specialist (FT)

James Cassell, Economic and International Data Specialist (FT)

Walter Davis, Health Data Specialist (FT)

David Sheaves, Public Opinion Data Specialist (FT)

Diane Ramsey, Programmer (FT)

Carole Terrell, Programmer (FT)

Jose Sandoval, Data Librarian (FT)

Jonathon Crabtree, Network Manager (FT)

Michael Crane, Network Administrator (FT)

Gary Gaddy, Director, IRSS Statistical Consulting Service (FT)

Xuguang Guo, Statistical Computing Consultant (GS)

Ritch Milby, Statistical Computing Consultant (GS)

Lisa Pellerin, Statistical Computing Consultant (GS)

Rob Kozar, Statistical Computing Consultant (GS)

Ruby Massey, Business Manager (FT)

Lisa Edwards, Editorial Assistant (PT)

Jennifer Drolet, Editorial Assistant (FT)

Paul Mihas, Publications Coordinator (FT)

Beverly Wiggins, Associate Director for Research Development (FT)

David Sikkink, Southern Focus Poll staff (GS)

Marianne Cutler, Southern Focus Poll staff (GS)

Alleen Barber, Southern Focus Poll staff (GS)

Nina Liou, Southern Focus Poll staff (GS)

RESOURCES NEEDED

Technology

We need a workstation to make our data archive holdings available to faculty, students, and research staff on campus and to academic users, businesses, government agencies, and interested citizens throughout North Carolina. Users with Internet access can now search our catalog of data holdings (34,470 files) and our public opinion database, but cannot download the data to their own computers. To perform these and other tasks, we need a medium-sized workstation (cost: \$55,000).

Economic data

The use of economic data in teaching and research on this campus goes beyond the field of economics. As evidenced by the membership in our faculty working group in political economy, it includes economics, political science, sociology, public policy analysis, and business. We already obtain general economic data through our membership in the Inter-University Consortium for Political and Social Research at the University of Michigan and through acquisition with our limited funds. The major economic data series, however, are primarily available only through direct purchase, are annually recurring, and are generally more expensive than other types of social science data. For example, requests from faculty members in recent years include the *International Statistical Yearbook* (ISY) which includes data from European Union's CRONOS database, REGIO from Eurostat, OECD's main economic indicators, international financial statistics, industrial statistics, and national accounts statistics; the *OECD Statistical Yearbook* which includes data from 20 OECD databases (only three of which are included in the IS database above); and *United Nations Statistics* which puts the full data of the UN Statistical Yearbook in electronic form. Estimated cost of these data series: \$8,000 per year.

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Southern Focus Poll

Conducted each semester since 1992, the Southern Focus Poll has proven itself as an important tool for gathering information on the changing South. Each semester the Poll reaches 800 households in the 13 states in the South by telephone and an additional 400 households in the rest of the nation in order to make comparisons. Topics have included religious beliefs and practice, food habits, manners now and then, regional stereotypes, images of Southern women, leisure-time activities, and television programs about the South. The Poll has been the subject of a great many interviews and articles in a wide array of Southern newspapers and radio programs, the *New York Times*, the *Chronicle of Higher Education*, National Public Radio's *Weekend Edition*, and the Voice of America.

In order to continue these reports on the cultural, political, and social development in the changing South, we need more stable funding. Initial funding has come from the *Atlanta Journal Constitution*, to whom we are grateful, but their primary interest was in the period leading up to the past summer Olympics, and we do not expect them to continue to be our major source of funding. Furthermore, journalistic interests change very rapidly and do not allow us to establish a consistent set of indicators in the Poll to measure important changes in our region. Annual cost: \$66,000.

PLANS

Qualitative research

Although IRSS staff teach a variety of software packages for the analysis of qualitative data, we mainly approach it as a technical task since we do not have anyone on the staff who has been trained in the conduct of qualitative research. Some of the major universities in the United States, Great Britain, and Germany have established text analysis centers. The major suppliers of qualitative data would come from the disciplines of

anthropology, communication studies, human geography, political science, social and economic history, and social psychology. The data would consist of interview transcripts and tape recordings of interviews, diaries, field notes, and other texts (non-copyrighted). The major users would be faculty members and students, government and policy makers, and the media. The processing of qualitative data can be more expensive than quantitative data. Transcriptions, scanning, and editing processes are very labor intensive. Our estimated annual cost for a qualitative or text data archive is \$225,000, of which \$150,000 would be needed for staff and student wages and \$75,000 for processing costs.

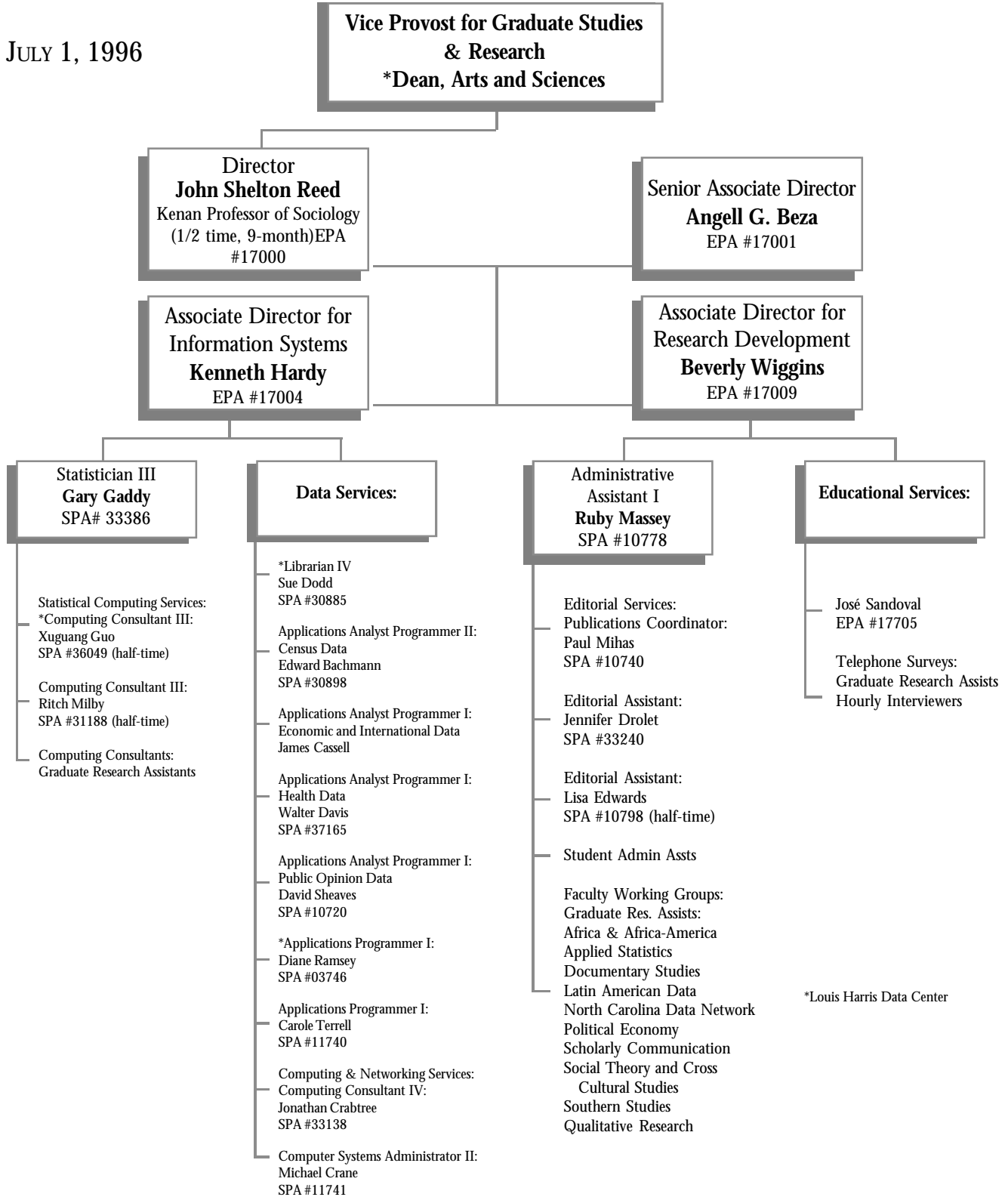
Interdisciplinary research

The January 1997 faculty council report on the stimulation of interdisciplinary research on this campus is based, in part, on the success of the IRSS interdisciplinary faculty working groups. The faculty committee recommends that seed money (\$15,000-\$20,000) be made available to interdisciplinary working groups of faculty who address complex problems and are willing to commit to (1) a research proposal to a federal, state, or private agency, or (2) a product such as a report or book which has merit in its own right in dealing with the problem in question. (These are the identical criteria for the IRSS Faculty Summer Research Stipend program for individual faculty members.) In addition to summer stipends to advance planning activities, the faculty committee suggests organizing symposia or colloquia around a topic area, semester or mini leaves for faculty to allow for continued planning, and providing graduate student support for the efforts of the working group. We are currently surveying the chairs of the 15 IRSS interdisciplinary faculty working groups (each funded by IRSS with an annual grant of \$2,000) to elicit their interest and suggestions for this larger campus effort to promote interdisciplinary research.

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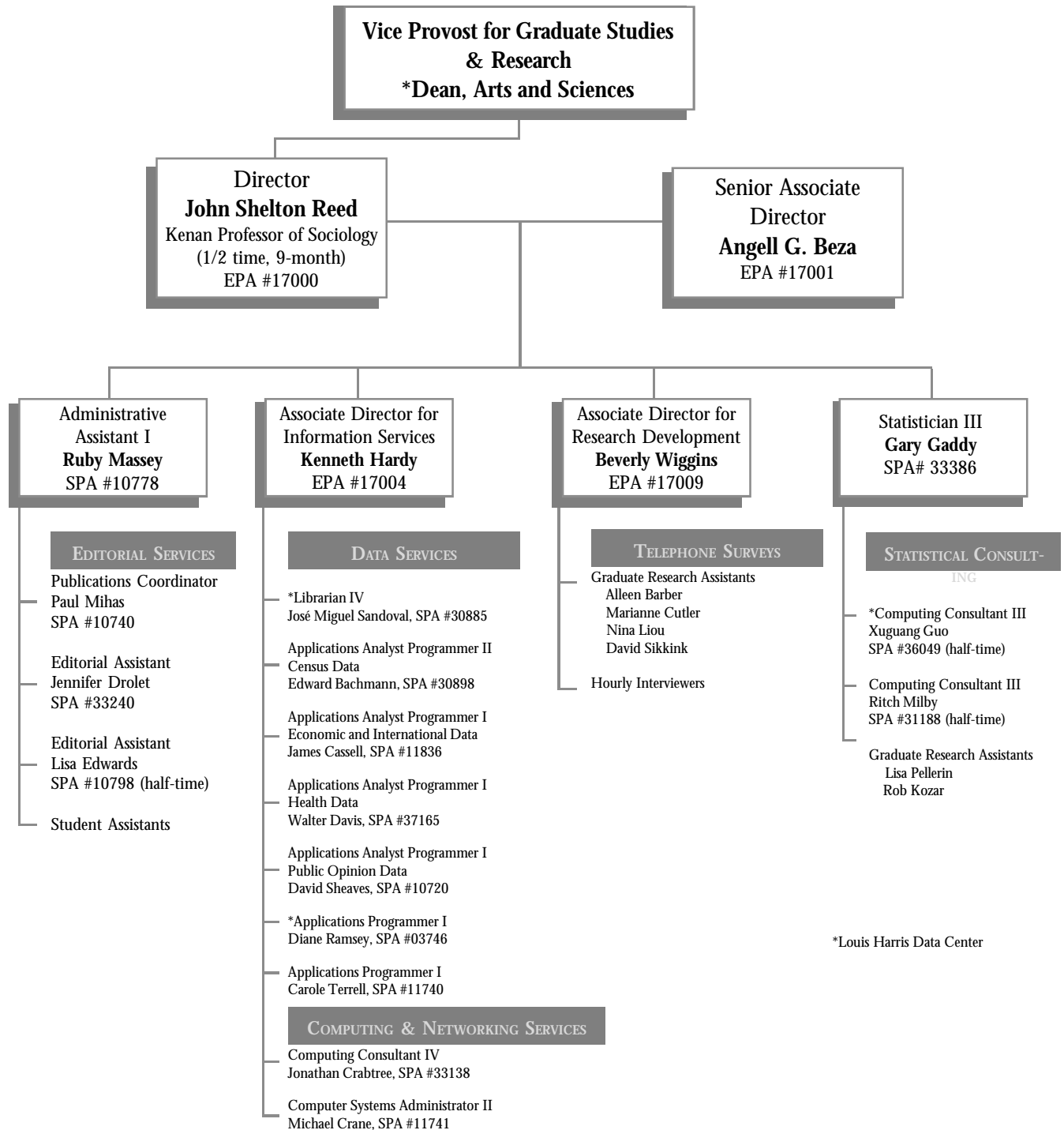
JULY 1, 1996



INSTITUTE FOR RESEARCH
IN SOCIAL SCIENCE

ORGANIZATION

MAY 1, 1997



OFFICE *of*
INFORMATION &
COMMUNICATIONS

INFORMATION & COMMUNICATIONS

INTRODUCTION

The mission of the Office of Information and Communications (OIC) is to promote graduate education and research at UNC-Chapel Hill by reporting the university's achievements and by helping researchers and students find opportunities for funding.

On October 1, 1997, OIC was created to provide support services to all of the units within Graduate Studies and Research (GSR). Staff and resources for this new office were drawn primarily from the Office of Research Services (ORS), which previously had included the GrantSource Library and research publications. During its first six months of existence, OIC has maintained these activities and assumed a variety of new responsibilities. This report summarizes accomplishments for the period July 1, 1996 through February 28, 1997.

ACCOMPLISHMENTS

GrantSource® Service

The GrantSource® Service enables UNC faculty, students, and staff to search databases of information about funding opportunities. From their own computers, users can search the full text of nearly 20,000 documents. The GrantSource® Service is jointly funded by OIC, by UNC General Administration, and by several universities in the UNC system.

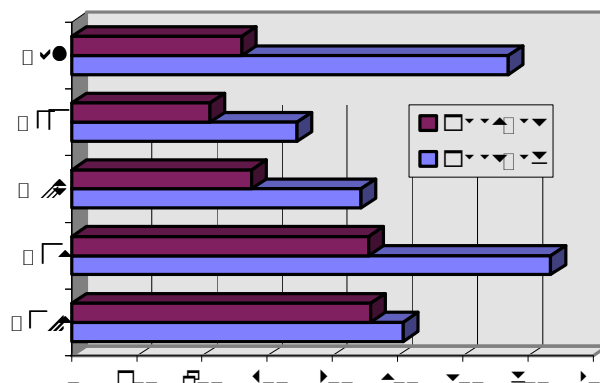
During the eight-month period, logins on the GrantSource® Service doubled compared to the same period last year, and now average over 500 per month (Fig. 1).

This increase can be attributed to several factors—strong interest by faculty and staff; outreach by OIC, the Proposal Development Initiative (PDI), and ORS; a new web interface that makes searching more efficient; and increased publicity about the GrantSource® Service.

Outreach and customer service

In September of 1996, OIC began promoting its workshops, demonstrations, and consultations campus-wide. In the six-month period, the GrantSource staff conducted a total of 50 training and consultation sessions, reaching 34 different units, 135 graduate students, 130 faculty members, and 72 staff. Several of these sessions

Figure 1. GrantSource® Service logins, 1995-96 vs. 1996-97.



were conducted jointly with PDI, IRSS, or other campus units. The primary purpose of this effort is to help people find funding opportunities, especially by using on-line search tools. Participants' responses on evaluation forms, along with recent increases in the use of GrantSource, indicate that the outreach is having its intended effect.

During the same period, OIC began asking each of its library patrons to complete a brief customer-service evaluation card. Table 1 presents a summary of results, averaged from 121 responses. Most of the patrons who responded strongly agreed that they would use the information they received to apply for a grant and would recommend the library to others. OIC uses patrons' comments and responses to improve services.

Table 1. Summary of responses from GrantSource Library users.

Question #	Question Topic	8-Month Avg* (1=Best 5=Worst)
Q1	Prompt and professional	1.19
Q2	Courteous	1.07
Q3	Clear review of services	1.32
Q4	Was informed about GS	1.34
Q5	Received good service	1.13
Q6	Info was helpful	1.32
Q7	Will use info for grant	1.28
Q8	Will use GS again	1.19
Q9	Would recommend GS	1.13

*Average of 121 responses, 7/1/96-2/28/97 using 5-Point Likert scale

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Faculty Profile System

During the eight-month period, the library staff added 1,079 new records to the Faculty Profile System, an on-line collection of abstracts drawn from proposals submitted to ORS. There are now 2,734 records in the database, 1,509 of which have been released by faculty members and are accessible via the OIC web page. The library staff and others regularly use the database to match funding opportunities with faculty members' interests.

Community of Science

Jim Rosinia in the GrantSource Library is UNC-CH's official liaison with Community of Science, Inc. (COS), a Baltimore-based company that manages databases of funding opportunities and faculty expertise for a global network of universities and companies. With matching funds from UNC General Administration, OIC pays COS dues, promotes the use of COS on campus, helps faculty members use the databases, and reviews and approves new records. During the eight-month period, OIC added or updated 128 records, for a total of 657 in the UNC-CH faculty-profile database.

Stanford Database services to graduate students

In August, OIC and the Graduate School resumed the Stanford search service. The service, offered under a contract with Stanford University, provides information about funding opportunities for graduate students. Under the contract with Stanford, each search must be conducted by a library staff member. Between August 21, 1996 and February 28, 1997 the library staff provided 251 searches, more than 40 per month. Table 2 shows the use by college. The greatest number of requests for searches came from the College of Arts and Sciences (53 percent) followed by the School of Public Health (13.5 percent) and the School of Medicine (8 percent). These percentages roughly agree with the percentage of enrolled graduate students during the fall of 1996 (42 percent, 15 percent, and 11.4 percent respectively). Based on an annual cost of about \$12,000 per year in Stanford fees and student salaries, it costs about five dollars per search to provide the free service to graduate students.

Table 2. Number of Stanford searches by school, 8-21-96 through 2-28-97.

College of Arts and Sciences	133
School of Public Health	34
School of Medicine	20
School of Education	12
School of Information and Library Science	11
School of Pharmacy	8
School of Business	5
School of Social Work	4
School of Journalism	3
School of Dentistry	2
School of Law	1
Other	18
Total	251

Endeavors magazine

Endeavors' mission is to increase support for the University by presenting examples of outstanding research and creative work. *Endeavors* also promotes intellectual exchange on campus. During the eight-month period, the staff produced and distributed three issues of *Endeavors*.

Using results from focus groups and a benchmarking study, the *Endeavors* staff redesigned the magazine, selecting new typography, layout grids, and headline styles. By mid-April, 1997, three issues of the magazine will have appeared in the new format. The staff now handles all aspects of the magazine except printing. To compete with upgraded magazines at peer universities, OIC introduced improved graphics and color printing on the magazine's inside pages for the first time in the Spring 1997 issue. Because color adds information as well as visual appeal, the change enables us to better illustrate research activities.

Despite these improvements, the actual cost of the magazine decreased from the previous year (Table 3). This was possible because OIC now handles all of the design internally, eliminating the expense of an outside designer. Handling design in-house is efficient and cost-effective because the magazine's artwork and editorial content must be closely coordinated. Even when staff time is included (about 40 additional hours per issue), the total cost of the magazine is now less per issue than it was in 1995-96.

Table 3. Non-salary costs for two issues of *Endeavors*.

	April 1996	April 1997
Design and production	\$5,592.45	(in-house)
Photography	750.66	995.15
Printing	9,168.34	10,243.50
Totals	15,511.45	11,238.65

published by ORS. During the eigW

Service to Public Schools. Because service to public schools is a UNC-CH priority, the staff used focus groups to explore the potential of *Endeavors* to assist high schools. All of the teachers said they would like to use the magazine in their courses. OIC is working with the School of Education to plan ways to incorporate *Endeavors* into the LEARN NC project, which serves the public schools.

On-line publishing and the World Wide Web

During the eight-month period, OIC expanded the presence of Graduate Studies and Research (GSR) on the World Wide Web. OIC staff

- created a web version of *Endeavors*, complete with an interactive graphic format designed especially for the web, and marketed it nationally
- developed and presented a set of guidelines for web magazine production for the University Research Magazine Association
- created and maintained a new web version of the *Research Support* newsletter
- created the first on-line version of the *Annual Report on Sponsored Funding*
- designed homepage templates for units within GSR
- created a homepage for OIC

Research Support newsletter

Research Support informs UNC-CH faculty and grants administrators about funding sources, policy changes, and other news of interest to researchers. The newsletter is published monthly in four editions: Arts & Humanities (297 subscribers), Biological & Health Sciences (1,355 subscribers), Physical & Mathematical Sciences (348 subscribers), and Social & Behavioral Sciences (774 subscribers). OIC provides editorial and production services for the newsletter, which is

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notifications with e-mail notices. Total annual savings in printing, copying and paper costs: \$2,755.

- Canceled hard-copy and on-line subscriptions to the Federal Register, which is now available through Community of Science. Total savings in subscription fees: \$1,194.
- Produced a self-mailer card to replace first-class letters mailed to request information from hundreds of funding agencies and foundations each year. Total annual savings in paper, envelopes, and postage: \$521.

These savings, totaling about \$4,500, helped OIC offset rising subscription and database costs.

PERSONNEL

Full-time, permanent staff

Neil Caudle, Director. EPA/non-faculty.¹

Jim Rosinia, GrantSource Librarian (Social Research Assistant II). SPA.¹

Brenda Earhart, GrantSource Librarian (Social Research Assistant II). SPA.¹

Angela Spivey, Assistant Editor, *Endeavors* (Information and Communications Specialist I). SPA.¹

Graduate students

Marcia Agness, Editor, *Research Support* (part-time).¹ (Hired)

Julia Bryan, Web Page Editor (full-time temporary).¹ (Hired)

Susan Colaric, Library Assistant (part-time).² (Hired)

Mary Dalrymple, *Endeavors* writer (part-time).¹

Eileen Doyle, Library Assistant (part-time).² (Hired)

Jennifer Fox, Editor, *Research Support* (part-time).¹ (Resigned)

Paul Hespelt, Library Assistant (part-time).¹ (Resigned)

Marissa Melton, Editorial Assistant (part-time).¹ (Resigned)

Zoe Parker, Library Assistant (part-time undergraduate).¹

Constance Humphries Weiland, Library Assistant (part-time).¹ (Resigned)

Elizabeth Zubritsky, *Endeavors* writer (part-time).¹

¹Permanent OIC budget, overhead funds

²Graduate School budget, enhancement funds; prior to January, permanent OIC budget

RESOURCES NEEDED

Computing

Computing in OIC has increased in complexity as we perform a greater variety of tasks using digital technologies. To continue our expansion into on-line information systems, OIC must upgrade its systems. Our priority needs for 1997 include

- three new computers and two graphics workstations
- a networked PostScript printer
- upgrades to Windows 95 and Microsoft Office 97
- additional server capacity
- a slide-and-negative scanner
- assistance setting up relational databases of text and images
- service on a disabled Unix workstation and installation of mirror disks to protect server data
- upgrading the WAIS search engine for GrantSource

In general, OIC will need more computing support than it has previously received. Specifically, this support should include adequate LAN administration, along with the installation and maintenance of systems and software (estimated at about 5-7 hours per week in needed support). In addition, OIC will need occasional programming and higher-order services, amounting to an estimated 150 hours over the course of the next year.

Space

The OIC library is severely overcrowded, and patrons complain that they cannot find space to use the collections without disruption. It is essential that other accommodations be found for PDI staff temporarily occupying the library. Also, unused computer equipment stacked on the library's tables and in the aisles represents a hazard.

Staff

Currently, OIC operates at a lower staffing level than when its groups were serving only ORS. (An SPA position has been taken and replaced with a temporary graduate assistant.) It will be very difficult to adequately serve all of the units within GSR with present staff. While two additional positions have been approved for OIC, budget limitations and red tape have so far prevented their being filled.

INFORMATION & COMMUNICATIONS

Budget

The operating budget for OIC is not adequate to support current services. First-year operating costs will be covered using carry-forward funds and one-time assistance provided by several units. To plan activities and commit resources to complete them, OIC must have a known, reliable operating budget.

PLANS

Assuming adequate support, OIC will continue the rapid expansion of its services, including the following new products and activities:

- increased public-relations assistance for the Office of the Vice Provost and its units
- dissemination of information about federal funding and policy via listservs previously managed by the Washington Project in ORS
- development of a marketing plan for GSR

- on-line databases of the University's research assets
- on-line "tool kits" of resources for researchers, including images, text, and data
- *Endeavors* features for the public schools (in conjunction with N.C. Learn)
- increased support for publications, presentations, and web pages

In addition, OIC would like to begin providing fee-based services selectively to units outside GSR. This will require additional permanent staff to handle business transactions and to provide high-quality services.

Appendices

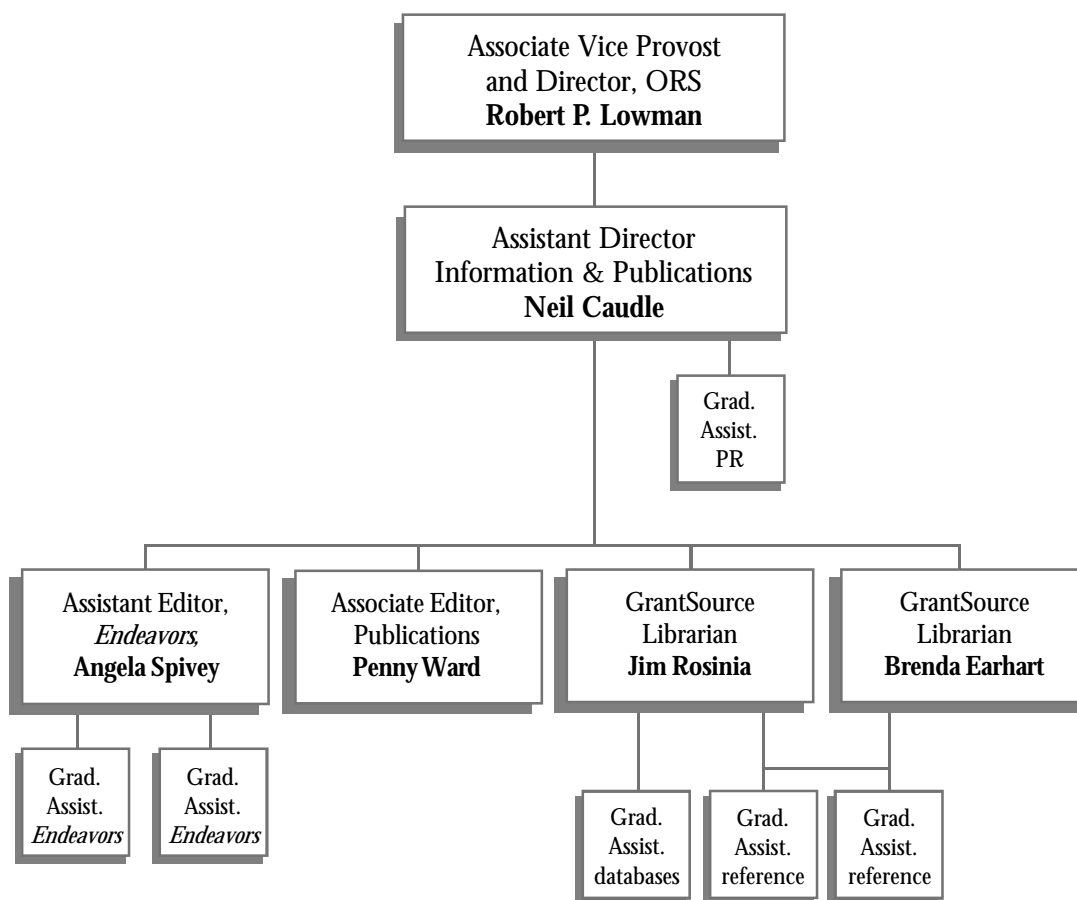
- *Endeavors* magazine, Fall 1996
- *Research Support* newsletter, four editions, March 1997
- GrantSource Library customer evaluation card
- Assorted fact sheets

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ORGANIZATION

GRANTSOURCE LIBRARY AND PUBLICATIONS JULY 1, 1996

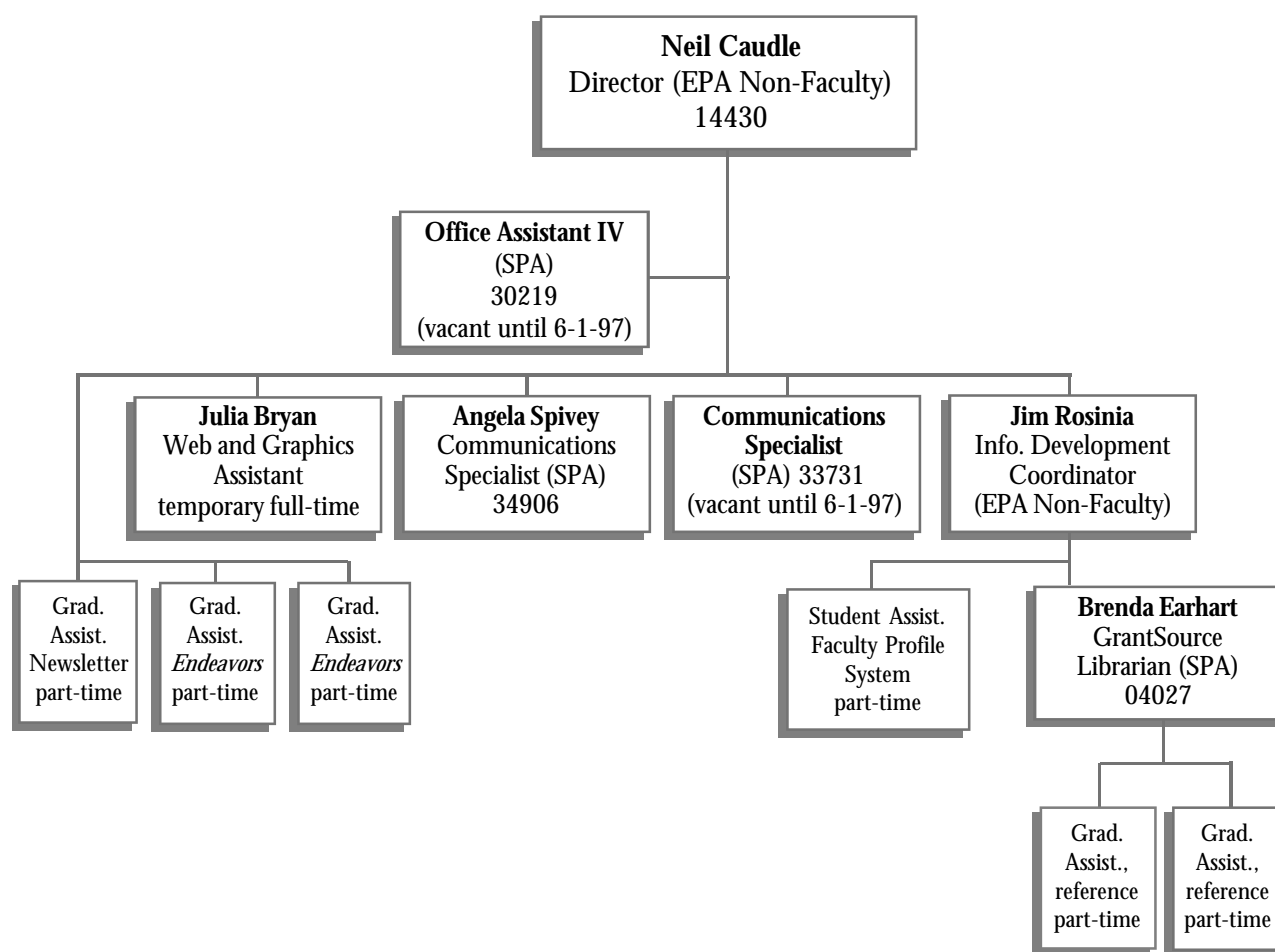
(The GrantSource Library and the research-publications group were administered within the Office of Research Services until October 1, 1996)



INFORMATION & COMMUNICATIONS

ORGANIZATION

MAY 1, 1997



OFFICE *of*

RESEARCH

SERVICES

RESEARCH SERVICES

MISSION & ACCOMPLISHMENTS

The year 1996-1997 brought significant accomplishments and major transitions for the Office of Research Services (ORS). The stage was set for a challenging year by two watershed events. After 13 years of growth in extramural proposal and award activity, the University declined on both measures in 1995-1996. After more than 30 years of providing comprehensive, non-fiscal, pre-award services to the university, ORS spun off its GrantSource Library and publications program into a new, independent office. ORS met both challenges head on and emerged successfully as a stronger and more efficient organization ready to move into new areas of university partnership and service.

ORS is committed to one primary goal, as defined in its new mission statement: ORS "promotes and facilitates research and sponsored programs at The University of North Carolina at Chapel Hill by building, with faculty and staff, a partnership dedicated to creating the premier public research university in the United States."

To meet this goal, the office pursues activities in six areas identified in the mission statement. Each of the six areas is listed below, with some major accomplishments of the past year presented for each area.

We teach grantwriting and grant preparation skills and consult actively with faculty and staff to insure that all proposals meet or exceed the standards required by sponsors.

In cooperation with Contracts and Grants, Technology Development, and Information and Communications, the office trained 140 grants managers in research administration skills in three "Nuts and Bolts" workshops offered in October and February.

More than 160 grants managers throughout the University receive a new electronic newsletter from ORS informing them of changes in sponsor or University extramural program policies and providing tips for proposal preparation and approval.

This year ORS presented workshops on grantwriting or other aspects of extramural funding to groups in the departments of economics, environmental sciences and engineering, epidemiology, health policy and administration, medicine, and religious studies.

We provide small research and publication grants to stimulate high quality research and help faculty become more competitive for extramural support.

ORS continued the highly successful program that pays up to \$400 of travel expenses for a faculty member to visit with a potential sponsor. In the past 30 months, about two-thirds of recipients received extramural funding following their visits, with funding exceeding \$3 million. The program cost about \$5,000 per year. Comments from recipients included, "process [was]. . . surprisingly easy and very user friendly," "visit greatly enhanced our chances for a successful grant review," "The funding from ORS was key," "a useful service at a modest cost," "the visit could hardly have had a more rewarding outcome," and "we applaud the Office of Research Services for this innovative form of support."

ORS created an endowment this year for the University Research Council (URC) which now has a balance of \$150,000. At current levels, income from the endowment allows four to five additional awards every year. The office is working diligently with the Development Office to create a campaign to support URC at a significantly higher level. ORS currently administers 220 active URC awards with a budget total of \$374,530.

We assist the university community in planning and seeking support, and managing and assessing research activities by compiling and disseminating information and data resources on sponsored programs.

Through January 1997, the University had received more than \$200 million in extramural awards, up more than \$44 million or 28 percent from last year. If historical trends hold true, fiscal year 1996-1997 will set a new record for sponsored program funding with a projected total in the range of \$280-290 million. July 1996 was the first month ever at UNC-CH to exceed \$40 million in awards.

ORS created a World Wide Web electronic version of the new Internal Processing Form. Unlike most forms on the web, which have to be downloaded and filled out locally, the IPF is filled out directly on the web and printed out after it has been completed. The form includes a review mechanism that identifies errors and prompts the user to correct them before the form is printed.

More than 960 faculty members at UNC-CH have been

RESEARCH SERVICES

issued Personal Identification Numbers (PINs) allowing them to access FastLane, a program of electronic grants information and management at the National Science Foundation. Every faculty member who has submitted a proposal to NSF since FastLane began now has a PIN.

Through The Washington Project, ORS disseminated information electronically to faculty and staff subscribers on 11 computer bulletin boards created to monitor nine different federal departments or agencies that provide 90 percent of federal support to UNC-CH. Since July 1, the Project posted 74 informative messages on funding opportunities, changes in sponsor policies and personnel, sponsor budgets, and Congressional activity related to research policy and funding. Membership on the lists varies from 65 at NIH to 13 at NEA.

By continually expanding and improving its site on the World Wide Web, ORS gave faculty wider access to data resources and grantwriting tools this year. Electronic forms for almost all federal sponsors are now available

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lic Health have created an action team of faculty and staff to examine—on a pilot basis—the process by which research is administered in the school. The team hopes to identify and eliminate impediments to greater effectiveness and efficiency, making it as easy as possible for faculty to apply for and receive extramural support and to complete projects successfully for which they receive sponsored program funding. If successful, the work of the team will be expanded beyond the School of Public Health as quickly as possible.

RESOURCES NEEDED

The primary resources needed by ORS in the next year relate to computing. Changes in the campus computing environment necessitate upgrading ORS machines to the Windows 95 operating system, but 11 of the 14 employees in ORS have 486 PCs with insufficient

memory to run efficiently in the Windows 95 environment. With three fewer employees in ORS next fiscal year, ORS will need 8 new pentium PCs, at a cost of approximately \$4,000 each, or \$32,000.

Less accurate projections are possible at this time for additional computing resources required by introduction of comprehensive Electronic Research Administration (ERA). Next year ORS will be evaluating ERA systems to determine campus compatibility and the costs of full implementation. No known system costs less than \$500,000.

Non-personnel operating expenses will be inadequate in fiscal year 1997-1998. While cutting expenses 15 percent this year, ORS still only met its obligations by applying carry-forward funds from the previous year, which have now all been expended. The projected shortfall in operating expenses is \$35,000.

PERSONNEL

March 1, 1997

Name	Official Title	Functional Title	Position #	Status
Mary G. Broaddus	Processing Assistant V	Proposal Specialist	34359	FT
Frances Campbell	Chairperson, AA-IRB	same	EPA non-faculty	25%
Judith P. Christman	Administrative Secretary III	Assistant to the Director	35127	FT
Joyce J. Hamlett	Social Research Assistant II	AA-IRB Coordinator	33308	FT
Darryl L. Harris	Processing Assistant IV	Contract Assistant	37647	FT
Edith A. Hubbard	Univ. Administrative Manager V	Associate Director	04119	FT
Robert P. Lowman	Assoc. Vice Provost and Director	same	EPA non-faculty	FT
Phyllis G. Moore	Administrative Assistant II	Business/Pers. Manager	33910	FT
Zelma E. Myers	Processing Assistant V	Awards Coordinator	34180	FT
Bobbie D. Sanders	Computer Systems Administrator I	same	37601	FT
Diane D. Sanford	Administrative Officer II	Contract Specialist	34834	FT
Peter J. Schledorn	Computing Consultant IV	same	35713	FT
Jason D. Smith	Processing Assistant V	Proposal Specialist	03536	FT
Penny S. Ward	Info. and Communications Specialist	Special Project Assistant	34906	FT

All salaries are paid from sponsored-research overhead

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PLANS

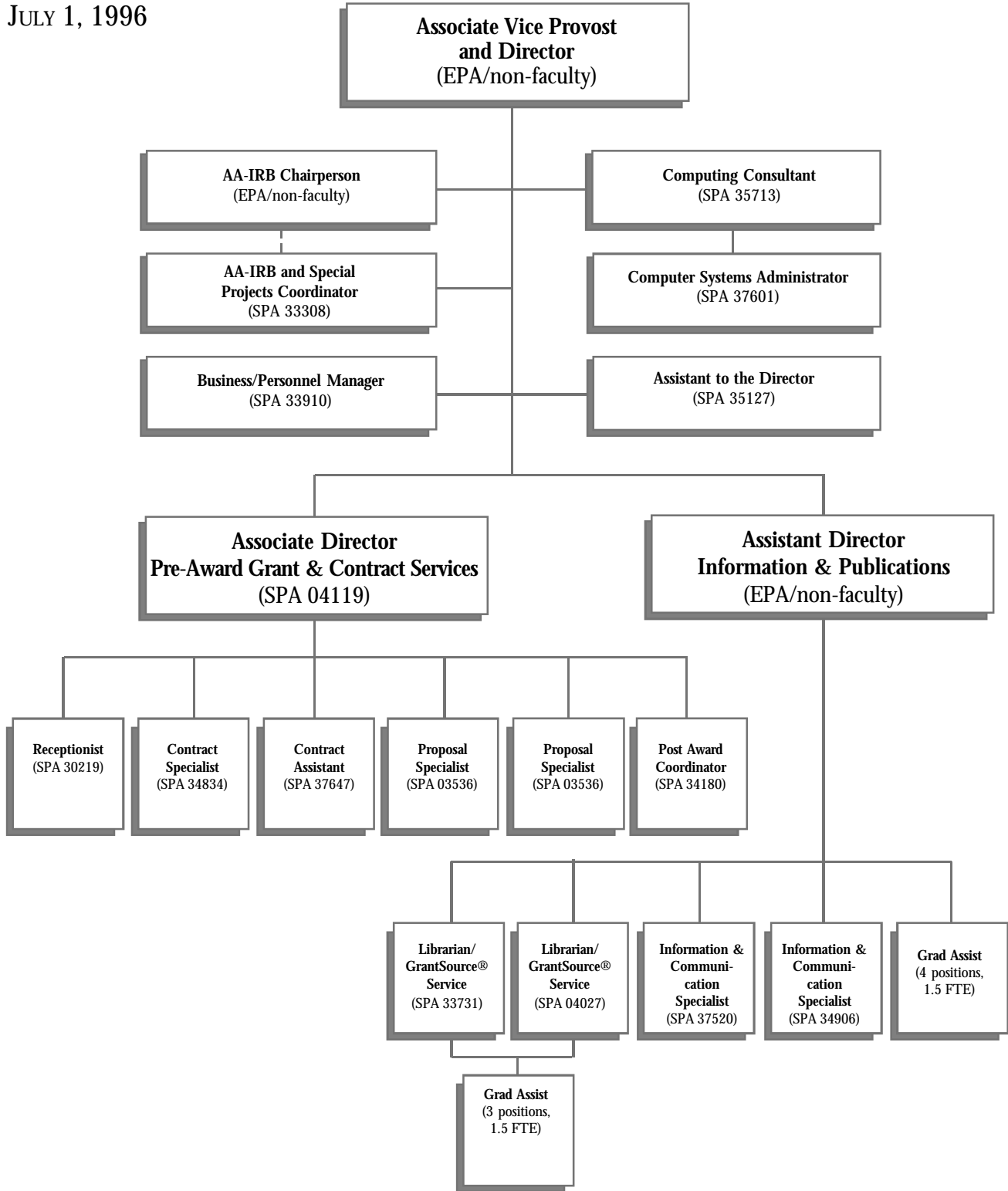
ORS will spend significant time listening to its customers in the coming year to learn firsthand what it can do to improve the research environment of the University and to begin making needed changes. The office will create an advisory council for this purpose and will supplement personal interactions with survey data. The action team created with Public Health and Contracts and Grants will also lead the way in identifying problems to be solved and services to be offered. ORS expects to generalize the findings of this team across the university after appropriate consultation and planning.

The office will place greater emphasis on training and teaching. In conjunction with the School of Medicine, Contracts and Grants, and Technology Development, ORS will plan and present in October the first comprehensive training course on the conduct of clinical trials at UNC-CH. The “Nuts and Bolts” workshop will be offered every semester, and discussions will begin with Human Resources about creating a university certificate

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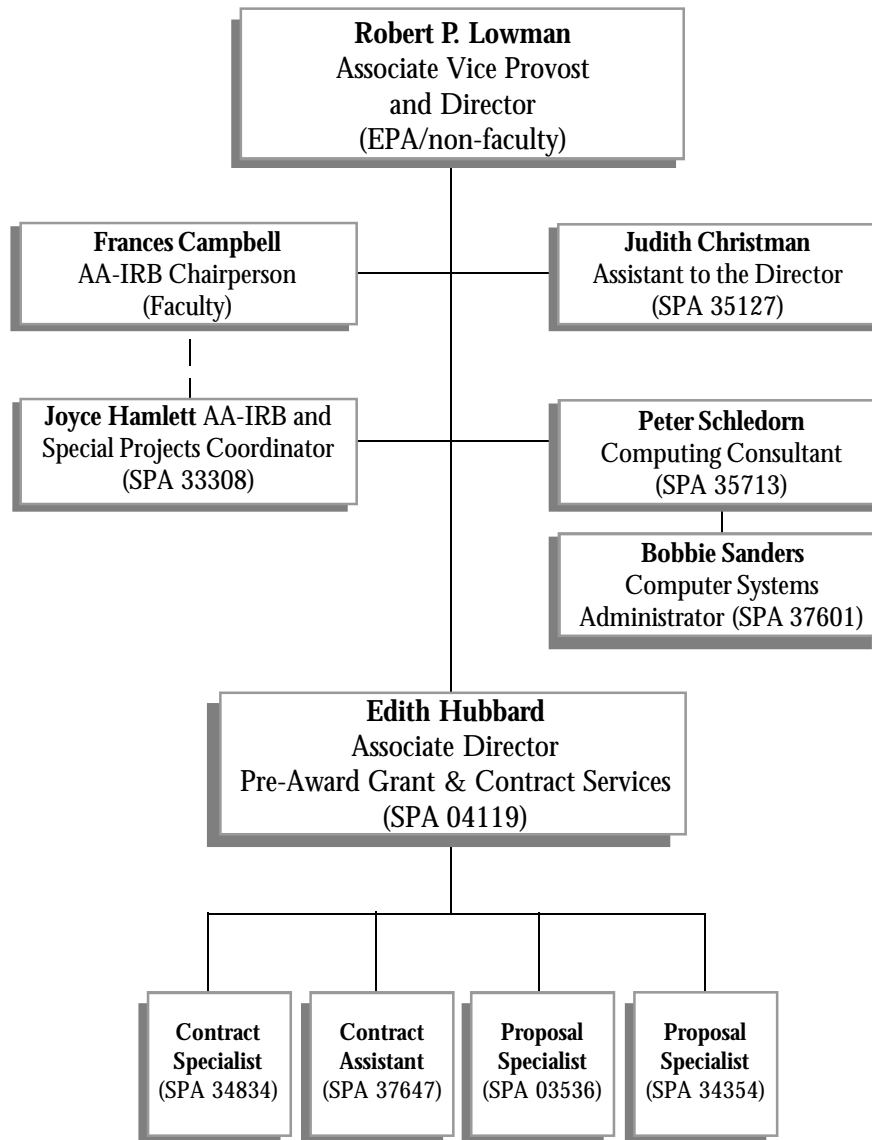
JULY 1, 1996



RESEARCH SERVICES

ORGANIZATION

MAY 1, 1997



OFFICE *of*

TECHNOLOGY

DEVELOPMENT

TECHNOLOGY DEVELOPMENT

INTRODUCTION

Fiscal year 1997 has been marked by both a rapid expansion in the volume of services provided to the University community and the initiation of a long-term effort to increase our efficiency and standardize the services we provide. We have adopted a new, two-pronged mission statement. "The Office of Technology Development (OTD), in support of the University's mission to encourage innovation and disseminate knowledge, serves the University and the public by licensing discoveries developed by faculty, students and staff. OTD also assists faculty in obtaining research support from corporate sponsors."

Described below are some of OTD's accomplishments for fiscal year 1997 (through February 28, 1997), as well as a description of our goals for the coming year.

ACCOMPLISHMENTS

As Exhibit 1 illustrates, OTD has demonstrated marked improvement in a number of key performance measures. Of particular importance, the 83 percent increase in the number of inventions licensed is a direct result of the addition, in May 1996, of three new staff members dedicated to licensing technologies. Additionally, OTD has generated 43 percent more royalty income from license agreements in this fiscal year as compared to the same period last year. The number of invention dis-

closures received in OTD also continues to climb, illustrating the increasing awareness on campus of the importance of disclosing new inventions to OTD. This increase also demonstrates that the seminars and other outreach work conducted by the Director of OTD, the three Technology Development Associates, David Parker (Associate University Counsel), as well as the efforts of the rest of the OTD staff, are reaching the intended audience and having the desired effect.

OTD is responsible for certain non-revenue bearing agreements, such as material transfer agreements (MTAs) and confidentiality agreements (CDAs). By the end of February, OTD had negotiated and executed 140 material transfer agreements, enabling our faculty to share their research materials with colleagues or companies seeking to evaluate the material. Evaluation of material under an MTA is often the first step a company takes prior to licensing material for commercial exploitation, and we expect many of these MTAs will lead to license agreements. OTD also negotiated and executed 37 outgoing CDAs, indicating that 37 companies received confidential information related to University inventions for evaluation purposes.

We are pleased that this fiscal year OTD helped launch two new companies dedicated to developing products based on University inventions. The companies, Xanthon Inc. and MiCELL Technologies Inc., have already contributed 16 new jobs to the local economy and are expected to have commercial products and services

Exhibit 1. Selected OTD performance measures.

	7/1/95—2/28/96	7/1/96—2/28/97	% Change
Invention disclosures	51	65	27
Inventions licensed	18	33	83
Research funding ¹	\$727,675	\$637,500	(12)
Corporate sponsored research ²	N/A	\$1,000,000	
Royalties received	\$521,644	\$744,780	43
U.S. patents filed	24	28	17
Material transfer agreements	N/A	140	
Outgoing confidentiality agreements	20	37	85
Start-up companies	0	2	
Equity ownership ³	0	441,000 shares	

¹ Received in conjunction with license agreements.

² Received since OTD acquired responsibility for CSR.

³ This represents stock in three licensees.

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available to the public no later than the year 2000.

Xanthon Inc., a company based on an invention by Dr. Holden Thorp, plans to create a fast, reliable test that may someday enable any doctor's office to precisely identify an infectious agent by detecting its DNA. MiCELL Technologies Inc., based on an invention by Dr. Joseph DeSimone, may revolutionize the dry-cleaning industry with a new process that replaces toxic fluids with compressed carbon dioxide and special non-toxic soaps. In both cases, long-term research, financed largely by industry, has produced technologies with the potential to help grow the North Carolina economy and benefit people everywhere.

In December 1996, Glaxo Wellcome and UNC-CH signed an agreement through which Glaxo Wellcome will make \$1 million available for research on campus in 1997. See below for more information on this highly innovative program.

OTD also unveiled its World Wide Web homepage. Our homepage is filled with educational materials, policies, how-to guides, forms, contact information, and a list of inventions available for license from the University. It is our hope that both companies and members of the UNC-CH community will turn to our homepage whenever they have a question about our role on campus or specific services we provide.

PERSONNEL

In addition to the eleven full-time employees shown in the organizational chart, OTD employs a law student named Jarvis Harris who assists with a variety of projects on a part-time basis. Jarvis will be leaving OTD at the conclusion of the academic year. OTD added one temporary full-time employee in fiscal year 1997: Marc Sedam is a Technology Development Officer and works on corporate sponsored research, as well as technology commercialization and assorted special projects.

RESOURCES

OTD needs additional office space. Working conditions in OTD are very cramped and will only get worse when additional staff are added. There is inadequate filing space for the maintenance of agreements and pat-

ents, and there is no room for additional filing cabinets. Administrative staff already report increased stress levels resulting from the cramped conditions and the resultant high ambient noise levels. Additionally, there is inadequate space to maintain a library of marketing materials. The only large space in Bynum Hall to use for meetings is located in the basement and needs to be remodeled.

OTD is often faced with trying to commercialize inventions which have not been refined or proven to a degree which generates interest in the commercial sector. This is not a reflection on the quality of the research, but rather on the great expense required, particularly in the pharmaceutical arena, to take an invention from the point of conception to the point at which a commercial product is produced. There is currently a void in available development funding between where federal research dollars leave off, and private sector funding picks up. It is in this void where many inventions languish and are ultimately abandoned. A pool of "gap" or "bridge" funding would help the University further develop its most promising inventions to the point where a company would be willing to invest in product development. OTD needs to identify a source of gap funding.

CORPORATE SPONSORED RESEARCH

In August 1996, OTD assumed responsibility for corporate sponsored research activities at UNC-CH. This function was previously handled by the Office of Research Development. We are now following two tracks to establish an active corporate sponsored research program: (1) identifying faculty who wish to participate in corporate sponsored research, and (2) aggressively pursuing industrial sponsors to support research on campus.

Glaxo Wellcome/UNC-CH Collaborative Research Program in Target Discovery

In late 1996, a number of meetings were held between representatives of Glaxo Wellcome (GW) and UNC-CH to lay the groundwork for a funding program enabling Glaxo Wellcome to support innovative research on campus. The master agreement between GW and UNC-CH was signed in early December 1996. In its first year of operation, the GW program makes \$1 million available to UNC-CH faculty for research. At GW's dis-

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cretion the program may be extended for up to five years for a total expenditure of \$5 million. Notices describing the program were widely distributed and OTD received in excess of 80 requests for information regarding the program. A total of 57 applications were received and submitted to GW, out of which GW will identify eight proposals for funding at a level of approximately \$125,000 each.

Survey of faculty interest
in corporate sponsored research

In October 1996, OTD distributed 400 survey cards to deans, department heads and chairs in medicine, arts & sciences, public health, dentistry, and pharmacy in an effort to identify faculty or departments wishing to participate in corporate sponsored research funding at UNC-CH. All faculty who responded were contacted by OTD. From the survey, we learned that many faculty members are interested in participating in corporate-sponsored research (CSR). However, there needs to be a guaranteed pool of research funds before most faculty will take the time to apply. Although all respondents were interested in receiving our assistance, some felt that CSR was something best pursued initially by individual faculty members and not a centralized office. The survey also pointed out the need to identify interdisciplinary teams of faculty members able to collaborate with, and provide services of interest to companies, such as conducting clinical trials.

Corporate-initiated programs

In some cases, corporations actively pursue sponsorship opportunities in universities by encouraging faculty to submit research proposals in areas of research interest to the corporation. At UNC-CH four such programs were identified and initiated in 1996:

Bayer Corporation:	<i>Biotechnology Initiative</i>
Pfizer:	<i>Drug Pfänder Program</i>
Mallinckrodt:	<i>GRO Program</i>
Connaught:	<i>University Liaison Program</i>

As a result of faculty responses to the solicitation for proposals, applications were submitted to the Bayer, Mallinckrodt and Pfizer programs. To date, none of the proposals submitted has been funded. In the future, more research will be performed by OTD into the level of funding *actually* available through a corporate research pro-

gram, and what proportion of university proposals received by the sponsor company have previously been funded under the program.

Activities in corporate sponsored research

Several research initiatives are under development with the following companies:

Genentech. To date Genentech has funded approximately \$2.7 million in research at UNC-CH, mainly in clinical trials. We intend to make use of existing contacts in working to develop additional relationships between researchers at UNC-CH and Genentech.

Hewlett Packard. A significant license agreement (Computer Sciences, "Pixel Flow") is in place between UNC-CH and Hewlett Packard (HP). Based on this license, HP has established a research facility in Chapel Hill employing 25 people. In addition, during a visit made by the Director of OTD to HP in February, HP expressed an interest in developing a "special relationship" with UNC-CH.

We are approaching Quintiles, IBM, Amgen, Chiron and SmithKline Beecham to encourage them to increase their level of research support on campus.

Future efforts in corporate sponsored research

OTD will assume a more proactive role in identifying corporations considered likely to participate in sponsoring research. In particular, OTD will look for:

- Existing agreements: corporations with an established record of research support and/or licensing activity with UNC-CH.
- Personal contacts: corporations with significant personal connections to UNC-CH. This may include UNC-CH alumni holding high level positions in the corporation.
- Local contacts: several research-intensive corporations are either already present or newly located in the vicinity of UNC-CH. Many of these corporate neighbors have interests in areas of research that overlap with UNC-CH faculty interests and expertise.
- Outreach programs: OTD will continue, as determined by interactions with deans, chairs and directors, to meet with faculty who may be interested in participating in corporate sponsored research activities.

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In order to better serve the University community, OTD plans to conduct a survey in the Fall of our customers on campus. By asking for input on the services we provide, as well as services we should provide, OTD will become a more responsive and effective office. As part of the survey, we will seek input from those individuals who have never dealt with OTD. We expect this to help us refine our educational outreach efforts on campus and point out where more resources need to be directed.

Although most inventions on campus are still the result of government-sponsored research, industry sponsors have a primary interest in obtaining rights to any inventions that result from the research they sponsor. Because the interests of companies in sponsoring research on campus may be very different from those of our faculty members, OTD personnel are increasingly drawn into complex and time-consuming negotiations of intellectual property provisions in these agreements. Developing the specialized expertise to respond to the demands of corporate research sponsors, while still protecting our faculty and maintaining the mission of the University, will be one of the challenges faced by OTD in the coming year.

To assist with the demands of promoting corporate sponsored research, as well as the growth in licensing activity, OTD plans to seek approval to convert the temporary technology development officer to a permanent position, as well as hire a second technology development officer and a technology development assistant.

Another goal for the coming year is to do a better job at monitoring previously executed license agreements. Because of the forward-looking nature of our activities, it is easy to overlook the need for continued monitoring of license agreements. In order to ensure that licensees are being diligent in the development of commercial products, as well as payment of royalties, OTD is developing procedures to simplify long-term monitoring of license agreements.

Having seen three new companies germinated from University inventions, many entrepreneurial faculty members are eager to start companies around their inventions. Under the current model, forming new companies requires a tremendous commitment of OTD resources. Finding ways to minimize this commitment, while still facilitating the formation of new companies, is one of the most important challenges facing OTD. If, for example, we had staff available to write business plans for new business opportunities, we could increase the chances of successfully forming new businesses. We anticipate continued success in this area, and expect to participate in the formation of 1-2 new companies in the coming year.

OTD will also pursue internal and external sources of gap funding for applied research. Not only will this allow us to further develop promising, early stage research, making UNC-CH inventions more attractive to companies, but it will also enable us to add value to technologies that may ultimately be commercialized in start-up companies.

We plan to expand our outreach to faculty, students, staff and local companies. Of particular interest is meeting with faculty from schools and centers which traditionally have not reported new inventions, such as the Kenan-Flagler Business School, School of Information and Library Science, School of Education, and Davis Library.

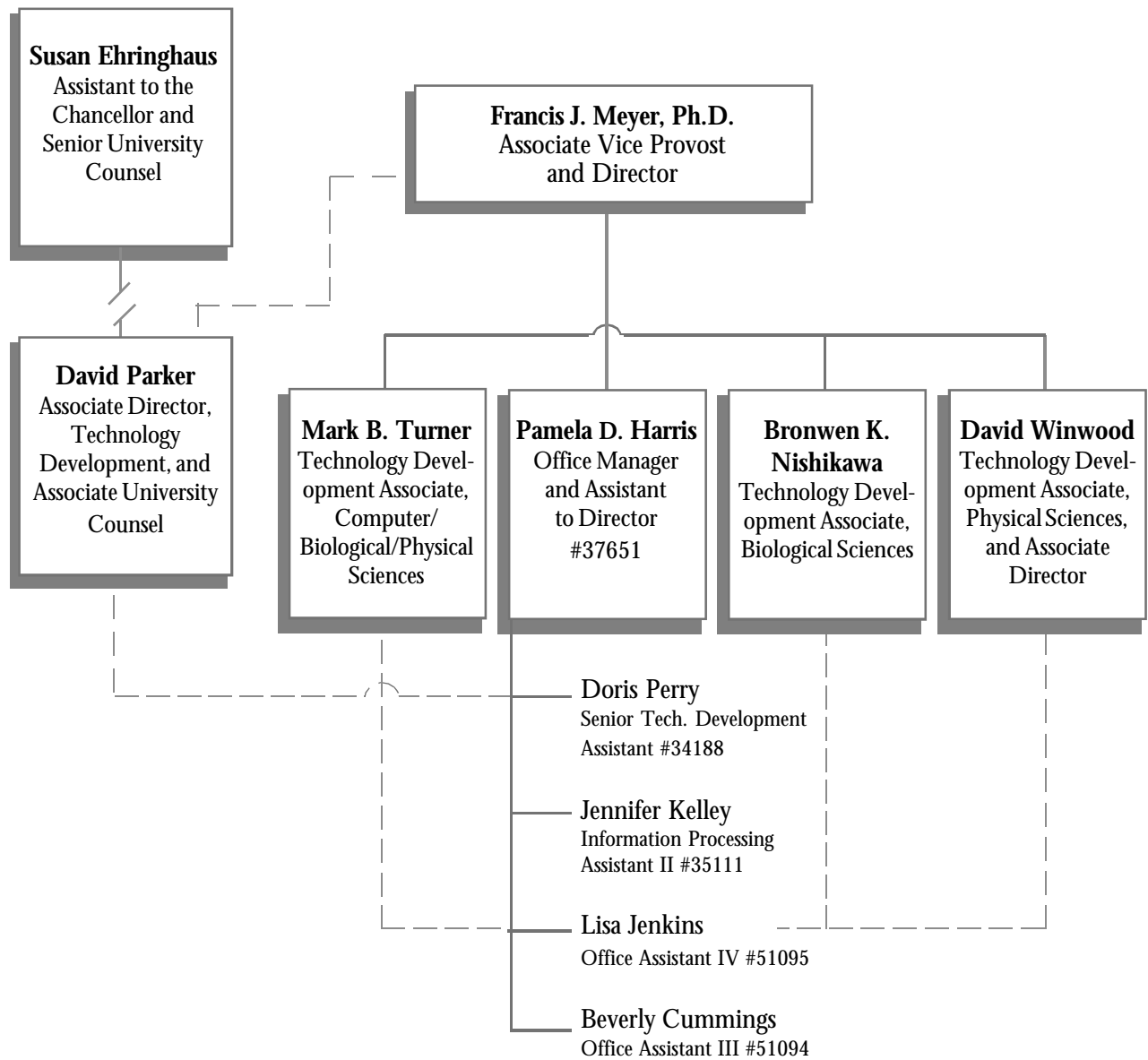
OTD also plans to welcome new high-technology companies that locate in the Research Triangle Park area by meeting as many company representatives as possible and promoting the benefits of establishing ties with UNC-CH. Our efforts in this area will be in conjunction with the Development Office, the North Carolina Biotechnology Center, the Council for Entrepreneurial Development, the Small Business and Technology Development Center, the Commerce Department, and the Research Triangle Foundation.

Finally, we are considering ways to provide recognition to successful inventors on campus. Some ideas include hosting an annual dinner with inventors or providing inventors with bronze plaques of newly issued patents.

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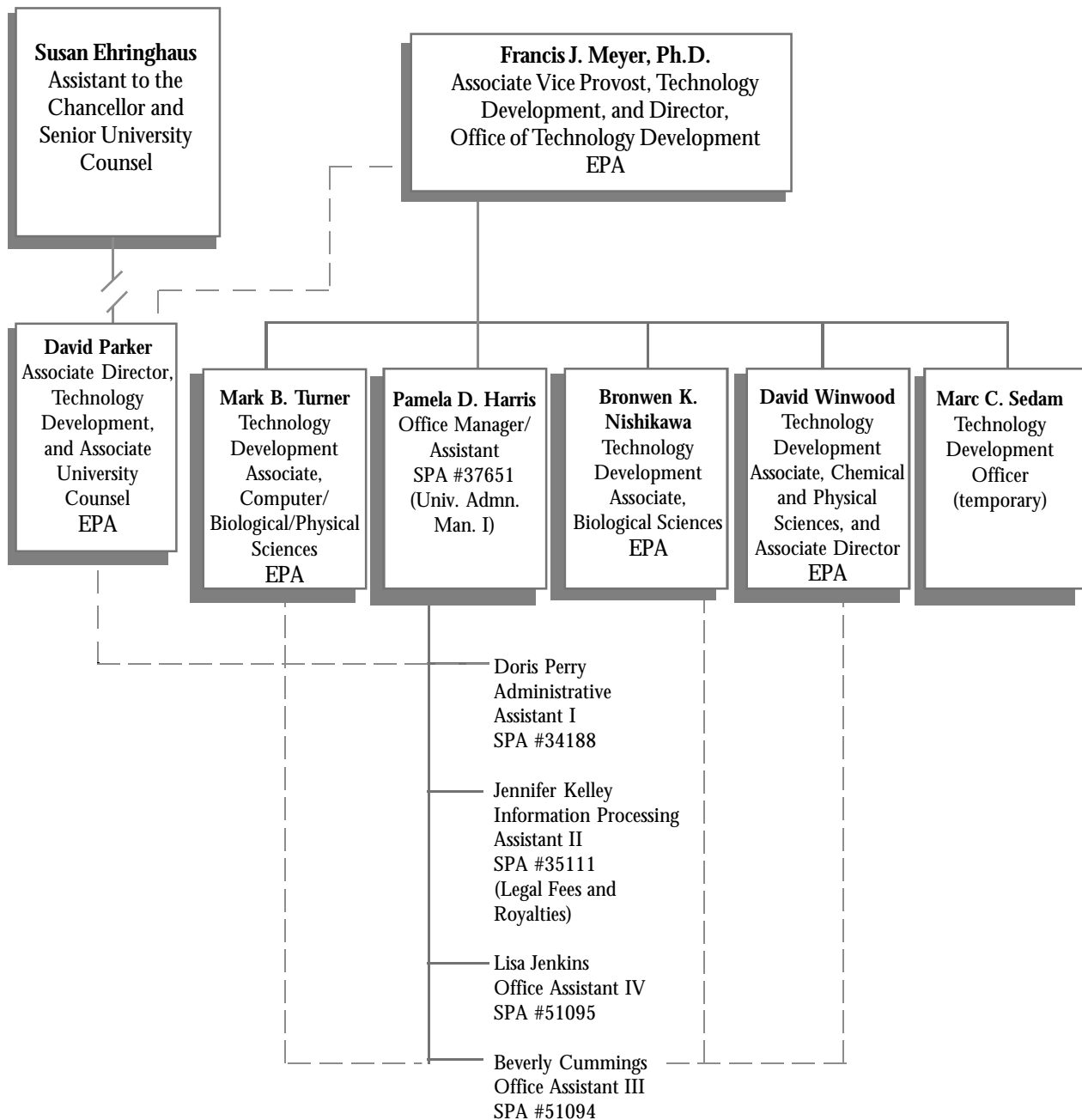
JULY 1, 1996



TECHNOLOGY DEVELOPMENT

ORGANIZATION

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PROPOSAL

DEVELOPMENT

INITIATIVE

PROPOSAL DEVELOPMENT INITIATIVE

MISSION AND ACTIVITIES

The Proposal Development Initiative (PDI), in keeping with the mission of the Office of the Vice Provost for Graduate Studies and Research (GSR), facilitates strategic and educational activities to increase research success at UNC-Chapel Hill. The Vice Provost's Office responds to the increasingly competitive funding arena by commissioning PDI to provide the active, critical support link between research efforts and the University administration. Upon project approval from the vice provost's office, PDI assists new program teams in developing structural and funding strategies and solutions. Also, PDI provides special initiative coordination, education, and consultation services through a number of activities. The unit's activities include:

- supporting research teams to respond to interdisciplinary research opportunities
- providing a "rapid-response" team which facilitates the aggressive pursuit of external funding to applied and basic research
- developing collaborative solutions for funding by assisting in the creation of consortiums and alliances with interested external organizations (e.g., other universities or research institutes)
- enhancing faculty and graduate student proposal development skills
- expanding the University's research reputation by increasing the number of nominations for limited awards and grants
- facilitating special pan-University projects which strengthen UNC's research capabilities

While PDI does not directly work with undergraduates, the activities we support create a standard of excellence within the institution, ultimately influencing the overall student body.

ACCOMPLISHMENTS

Faculty/student skill development

PDI's popular research skill workshops promote strategic individual initiative and opportunities for funding. Faculty and student workshop requests to PDI are increasing, reflecting workshop effectiveness as well as the

growing desire of UNC's research community to improve their funding success. This year, PDI focused on skill development services for graduate and postdoctoral students by organizing and participating in twelve workshops involving 250 students from diverse disciplines. Individual follow-up consultation was provided as requested. This unit collaborates with departments and GSR units on workshop development, such as the Graduate School's multidisciplinary NSF workshop, which combined students from most disciplines within the natural and social sciences with a panel of faculty and student NSF grant recipients. As a follow-up activity, PDI organized consultations for individual NSF proposal development. Both the workshop and consultations were well-attended and, via participant written evaluations and follow-ups, generated many requests for more educational services. Other workshops covered general proposal development, grant writing, research project development and the organization and presentation of research, and educational poster sessions.

Faculty and post-doctoral fellows, along with their department chairs, have also requested skill-building resources specific to their needs and more comprehensive programs are under current development. This year, PDI provided facilitation to a statewide faculty workshop on instructional technology. Some essential skills classes require intensive, small group environments for maximum effect, and PDI produces a few of these. Due to the workshop's popular reception in 1995, PDI organized and subsidized faculty scholarly writing day presented by Dr. Robert Lucas from the Institute for Scholarly Productivity. Participants responded enthusiastically to the session and to PDI's plans to contact them for follow-up within three to six months.

PDI also recognizes the valuable resource in faculty-to-faculty mentoring, and, as a special project for the vice provost, is creating resource data base of faculty expertise at each of the schools.

Grant/proposal development

Program development

This year, PDI has facilitated or had involvement in the development of over 30 proposals consisting of more than \$20 million in total funds sought. The vice provost's office plays an active role in the formation of major re-

PROPOSAL DEVELOPMENT INITIATIVE

search programs and has assigned to PDI the support of research teams' responses to project and funding opportunities and the facilitation of the creation of research alliances both internal and external to UNC.

The vice provost's office is expanding its formal role in programmatic research development by implementing a systematic approach to evaluating project viability and outcome potential leading to the creation of new programs that enhance research opportunity. PDI plays a major role as a strategic liaison between researchers and the vice provost's office. In a project's first phase, PDI interviews researchers and evaluates development potential. Upon approval from the vice provost, the unit then assists the research team in such activities ranging from idea generation to developing program structure, identi-

fying potential collaborators and projects, and investigating appropriate funding solutions. Once program viability is apparent, PDI coordinates Administration support and written commitment, as well as any required University legal representation, e.g., in the case of projects involving collaborators and supporters external to the University.

In the second phase, PDI offers assistance and information resources on project proposal development, as well as any additional program facilitation. These services conform to client needs with program success as the ultimate goal.

PDI's program involvement has included the projects found in Table 1.

Table 1. PDI's program involvement

Program	Departments Involved	Proposal	\$Requested	Comments
Oral Biology Program	Dental Research Center	NIH Planning Grant	\$145,000	*Inter- and Multidisciplinary *if awarded, will submit 2nd multi-million grant for multi-school project
Prostate Cancer	Nutrition Department	NIH Grant (NCI)	\$798,187	AWARDED: Joint Proposal with RTI
Center for CO2 Utilization in Manufacturing	Chemistry	NSF Grant	UNC portion - \$3,840,000 (Total submission: \$14,250,000)	Combined UNC and NC State Center
Macromolecular Structure & Training Program	Biophysics	Burroughs-Wellcome Fund	\$2, 377, 019	BW New Initiative to support Interfaces between the Phys/Chem/ Computational Sciences & the Biological Sciences
Vascular Biology Program	Medical School	Development in Progress		
Environmental Chemistry Program	School of Public Health, Chemistry	NSF	\$10,000,000	Not Funded

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Graduate student support: an investment in students

PDI offers stipend funds for mentoring graduate students in understanding the proposal development process through active participation. These students are often written into the grants to extend their involvement in the projects. During 1996-97, PDI provided \$8,000 to five graduate students for the following proposals:

Name of Grant (PI)	Proposal Funds Requested
Nutrition Grant on Cancer (S. Zeisel)	\$1,121,700
Mental Health Grant (Joel Leiberman)	\$8,123,096
Maternal and Child Health Grant to Z. Smith Reynolds Foundation	\$29,904
CO2 Utilization Grant (De Simone)	\$14,240,000
	(UNC-CH portion: \$3,840,000)

PDI measures the success of its proposal development activities by the number of grant submissions per year, the amount of dollars requested, and the number of project/program development activities created. Client evaluations are part of each activity and PDI monitors the results to assess the nature of facilitation needs for projects at UNC.

Limited awards and grants

PDI introduced a systematic process for identifying peer-nominated research faculty to compete for limited grants and awards. This past year, we distributed award announcements and calls for nominations, organized and chaired nomination and review committees, and facilitated the development of nominees' packages for over 20 awards totaling \$6 million. Faculty and administrators have responded positively to PDI's proactive limited award services and the number of awards handled and nominees submitted through PDI's process have increased significantly. Attached is a listing of these awards and the timeline for nominations. Most of the award outcomes will not be available until after May 1997.

In addition, PDI also disseminated notices for over 30 non-limited awards to appropriate departments and

schools. This service has been well-received and, with the help of OIC, we are currently constructing a website that will include information on more awards, deadlines, and appropriate funding source links in a targeted and user-friendly format.

Special projects

Collaborative projects

PDI is also involved in a variety of major programs to enhance research productivity. An example of PDI's ability to act as a "rapid-response" team to the need of the University surfaced when PDI was chosen as the central support program for the chancellor's \$2 million Initiative for Instructional Technology. This activity involved:

- facilitating meeting and materials preparation for a cross-campus task force to design initiative process and follow-up activities
- developing and disseminating an internal instructional technology RFP open to all faculty
- acting as main contact organization for all related questions from applicants
- checking and preparing 170 applications
- preparing of all communications within task force, including proposal recommendations at various stages.
- preparing and disseminating all notifications to applicants and relevant administration staff
- Participating on follow-up evaluation and presentation committee

Other special projects included:

- organization of a collaborative program to enhance undergraduate research
- review of faculty needs to expand research at the University with the University Faculty Council Research Committee
- facilitation of a collaborative research effort between UNC, NIEHS and Duke University (in progress)

Success for special projects is based on client evaluations of organizational support.

Research Resources Catalog (RRC)

Currently under construction as an integral part of the PDI web site, this on-line database is a comprehen-

PROPOSAL DEVELOPMENT INITIATIVE

sive list of research units (centers and institutes) at UNC-CH. As a central information source, the RRC will promote contact and collaborations among faculty, schools, and departments. Indexed content includes: contact information, student support, graduate and postdoctoral programs, fellowships offered, funding sources, and available equipment. PDI will employ free web site user evaluation software for information on usage numbers, popular content areas, and user locations.

Collaborations within the Office of Graduate Studies and Research

PDI demonstrates organizational effectiveness by collaborating with other units on special projects to improve service and opportunity to the University community. Some of these projects include:

- the GlaxoWellcome Consultation project with OTD
- presentation and special on-line projects with OIC, such as funding notices and the Research Resource Catalog

Importance to the University

These projects are evaluated in terms of benefit/cost ratios; productive expanded communications; and improvement in resource sharing and ideas..

PERSONNEL

Jacqueline Resnick, Director. Full-time EPA/non-faculty.

Jeanne Cratin, Program Coordinator. Full-time temporary.

Jeanne Pierce, Program Coordinator. (resigned)

Shannon Pitner, Grants and Awards Manager. Graduate Student. Part-time.

Will Barnard, Grants and Awards Manager. (resigned)

Amy Chambless, Administrative Assistant. Part-time temporary.

Christine Monaghan, Research Assistant. Part-time temporary.

Positions are supported by overhead funds.

RESOURCES NEEDED

Technical and administrative resources

PDI is gaining a reputation for rapid-response assistance to our clients within the University community. The current equipment is at maximum use and is insufficient for the increased demands to the unit. In order to maintain our current level of efficiency, implement our on-line research services and award information programs, and expand presentation capabilities, we recommend the following improvements:

- two laptop computers for both office and off-site presentations and meetings
- scanner for faster document transfer
- expanded memory for all machines
- additional server space
- modem and phone lines for more efficient faxing capabilities
- additional development services and network support

In addition, we recommend more centralized technology resources for GSR. All units could benefit from a financial software package and central administration, as well as a more comprehensive groupware package that includes e-mail, web page builders, and a contact manager. A departmental Intranet would improve the efficient transfer of sensitive documents, especially for PDI projects involving pan-GSR units and faculty. Improved usage of available technology contributes to the professional team environment of GSR.

Space

In view of the limited temporary work space PDI currently occupies, our level of productivity, ability to conduct meetings, and facilitation and dissemination of project and award information has far exceeded expectations. Work space allocation is an essential priority to maintain efficiency in a highly productive and professional manner. Currently, there are three full-time positions and two part-time special project positions occupying two temporary work stations. PDI requires space and storage for at least three additional work areas. Overcrowding results in too much distraction and confusion and PDI cannot function efficiently with an inad-

PROPOSAL DEVELOPMENT INITIATIVE

equate workspace. We require additional technological support for our activities and database plans and PDI is unable to purchase equipment due to space limitations.

Staff

Clearly, PDI is developing a reputation as an essential resource to researchers from all over the University community, but the current staff number cannot meet the growing number of rapid-response demands. Plans include upgrades of PDI's two main positions in order to expand our activities and respond appropriately to service requests. This year PDI was assigned the coordination of large communications through massive mailings, meetings, faxes, and phone contacts. It is both difficult and inefficient to ask our limited staff to take on these increased responsibilities with inadequate support for our advertised services.

Budget

The current budget for PDI does not include expanded operational costs and the need for flexibility for hiring temporary special project staff. We are pleased that our needs are increasing due to client demand. To provide ongoing services, PDI relies on a budget matched to provide support in each priority area. In the long run, this will be both cost-effective and essential to ensure continued success in supporting our commitment to excellence.

PLANS

Faculty development activities

Next year, PDI will expand the number and scope of outreach activities via the following: 1) creation of a resource data base of faculty expertise at each of the schools to encourage faculty-to-faculty mentoring in proposal development, 2) a "How-To" Information page on the PDI website that will include "pearls of wisdom" regarding proposal development, and 3) increase of on-site visits to departments to assess needed skills, to organize and present workshops, and to provide follow-up consultations. These activities create an environment for effective faculty dialogue and support to junior faculty.

Proposal development

Based on an increasing number of requests for facilitation and support for this area, PDI plans to expand its service offerings significantly and will require more administrative resources to provide professional and efficient service.

Limited award services

Faculty and administrators have responded positively to PDI's proactive approach to award opportunities, indicating the necessity of more comprehensive information and expanded access on-line. PDI plans to employ interactive available technologies which will combine specific research needs with opportunities.

PROPOSAL DEVELOPMENT INITIATIVE

ORGANIZATION

JULY 1, 1996



PROPOSAL DEVELOPMENT INITIATIVE

ORGANIZATION

MAY 1, 1997

