



CALIFORNIA STATE UNIVERSITY, LONG BEACH

OFFICE OF RESEARCH AND SPONSORED PROGRAMS

August 6, 2018

To: Jane C. Conoley, President
Brian Jersky, Provost and Senior Vice President, Academic Affairs
Scott Apel, Vice President, Administration and Finance
Carmen Taylor, Vice President, Student Affairs
Michele Cesca, Vice President, University Relations and Development
Min Yao, Vice President, Chief Information Officer
Brian Nowlin, Chief Operating Officer, Research Foundation
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Forouzan Golshani, Dean, College of Engineering
Monica Lounsbury, Dean, College of Health and Human Services
David Wallace, Dean, College of Liberal Arts
Curtis Bennett, Dean, College of Natural Sciences and Mathematics
Jeet Joshee, Dean, College of Continuing and Professional Education

From: Simon Kim, Associate Vice President for Research and Sponsored Programs
Office of Research and Sponsored Programs (ORSP)

RE: Sponsored Programs and Research Compliance - FY 2017-2018 Year-End Report

I am pleased to provide the FY 2017-2018 Year-End Report of Sponsored Programs and Research Compliance. With a primary emphasis on faculty-student research engagement, professionals in ORSP have provided administrative support services, including proposal development and submission, grant and contract administration, reporting, and regulatory compliance. This report captures the research accomplishments of our faculty, staff, students, and administrators.

I. Proposal Preparation and Submission

205 faculty, staff, and administrators submitted 267 new proposals, totaling \$130 million (See Table 1). The total new research funds requested increased by \$16.5 million from FY 2016-17 even though the number of proposals decreased slightly. Faculty are accessing in increasing numbers of grant development activities, including grant training workshops, department presentations, grant search resources, grant writing and submission services, and faculty recognition opportunities. Faculty responses to a 2018 satisfaction survey indicate an overall recognition of and support for services provided by ORSP.

Table 1: Overview of New Proposals Submitted

Division/College	2018 Total New Proposals Submitted	2018 Total New Research Funds Requested	2017 Total New Proposals Submitted	2017 Total New Research Funds Requested	Total Proposals Submitted (% Change)	Total Research Funds Requested (% Change)
CBA	1	4,000.00	0	-	100.00	100.00
CCPE/CITT	10	1,330,388	8	1,792,497	25.00	-25.78
CED	12	4,631,285	17	9,046,877	-29.41	-48.81
CHHS	41	47,372,466	43	43,481,678	-4.65	8.95
CLA	39	24,752,462	54	17,888,055	-27.78	38.37
CNSM	52	22,577,091	70	12,364,732	-25.71	82.59
COE	89	26,024,764	77	17,837,680	15.58	45.90
COTA	14	386,046	17	417,423	-17.65	-7.52
Other Units (Pres, AA, SS, URD)	9	2,904,538	16	10,617,649	-43.75	-72.64
TOTAL	267	129,983,040	302	113,446,591	-11.59	14.58

II. New Awards

109 Principal Investigators received 174 new awards, totaling \$32.5 million (See Table 2). Sponsors included 70 federal, 34 state, and 15 local agencies, as well as 55 private corporations and foundations.

Table 2: Overview of New Awards Received

Division/College	2018 Total New Proposals Awarded	2018 Total New Research Funds Awarded	2017 Total New Proposals Awarded	2017 Total New Research Funds Awarded	Total Proposals Awarded (% Change)	Total Research Funds Awarded (% Change)
CBA	2	16,000	0	-	100.00	100.00
CCPE/CITT	11	1,330,598	11	2,199,681	0.00	-39.51
CED	5	5,799,111	9	2,684,615	-44.44	116.01
CHHS	44	10,741,239	34	16,727,425	29.41	-35.79
CLA	18	1,381,504	13	971,379	-38.46	42.22
CNSM	36	4,595,154	40	10,632,059	-10.00	-56.78
COE	28	2,547,109	37	6,918,113	-24.32	-63.18
COTA	11	181,055	11	223,486	0.00	-18.99
Other Units (Pres, AA, SS, URD)	19	5,881,821	14	12,596,848	35.71	-53.31
TOTAL	174	32,473,591	169	52,953,606	2.96	-38.68

III. Research Expenditures

The campus generated \$39.4 million (\$34.6 million in direct and \$4.8 million in indirect) in research expenditures (See Table 3). Ongoing post-award administration activities include award negotiation and acceptance, fund establishment, coordination of employment, expenditure compliance and processing, financial reporting, sponsor invoicing, and project close out.

Table 3: Overview of Research Expenditures and F&A Rates

Division/College	2018 Research Expenditures	2018 F&A Revenue	2018 Effective F&A Rate	2017 Research Expenditures	2017 F&A Revenue	2017 Effective F&A Rate	Total Research Expenditures (% Change)	Total F&A Revenue (% Change)	Total Effective F&A Rate (% Change)
CBA	12,245	735	6.0%	-	-		100.00	100.00	100.00
CCPE/CITT	1,495,853	322,029	21.5%	806,240	177,118	22.0%	85.53	81.82	-2.00
CED	2,795,648	123,605	4.4%	2,242,136	123,281	5.5%	24.69	0.26	-19.59
CHHS	11,553,266	1,075,472	9.3%	10,091,202	1,030,043	10.2%	14.49	4.41	-8.80
CLA	951,840	244,381	25.7%	3,042,910	493,179	16.2%	-68.72	-50.45	58.41
CNSM	6,046,320	1,155,842	19.1%	8,292,174	1,842,327	22.2%	-27.08	-37.26	-13.96
COE	2,762,666	547,307	19.8%	1,350,882	380,894	28.2%	104.51	43.69	-29.74
COTA	293,588	1,804	0.6%	193,242	13,585	7.0%	51.93	-86.72	-91.26
Other Units (Pres., AA, DAF, SA)	8,731,656	1,302,493	14.9%	4,564,388	361,593	7.9%	91.30	260.21	88.30
TOTAL	34,643,080	4,773,666	13.8%	30,583,174	4,422,021	14.5%	13.27	7.95	-4.70

Our campus participates in the Annual NSF Higher Education Research and Development (HERD) Survey. In FY 2016, the campus generated \$16.4 million in federal funding of research and development, according to data from the NSF (HERD) survey. The campus ranks sixth among 23 CSU campuses and 26 out of 67 high Hispanic enrollment institutions in the U.S. for research expenditures.

Table 4: NSF Higher Education Research and Development (HERD) Data for FY 2016

Institution	All R&D expenditures	Computer and information sciences ^a	Geosciences, atmospheric sciences, and ocean sciences ^a	Life sciences	Mathematics and statistics ^a	Physical sciences	Psychology	Social sciences	Sciences, nec	Engineering	All non-S&E fields
San Diego State U.	90,722	1,940	3,362	32,682	3,385	7,315	12,499	5,046	1,290	6,985	16,218
San Jose State U.	41,662	159	14,267	1,169	0	1,340	19,454	878	119	940	3,336
San Francisco State U.	28,273	893	4,766	11,708	573	2,745	1,877	1,051	0	1,536	3,124
California State U., Sacramento	20,676	120	696	1,102	48	162	51	1,245	5,171	9,110	2,971
California Polytechnic State U., San Luis Obispo	18,081	314	795	5,942	1,227	1,647	77	616	247	6,694	522
California State U., Long Beach	16,390	101	437	3,208	617	2,722	2,573	223	2,716	1,578	2,215
California State U., Northridge	16,330	106	2,577	2,815	1,210	3,315	531	377	753	787	3,859

IV. Internal Research Funding

The campus continues to invest heavily in the research infrastructure to revitalize Research, Scholarly, and Creative Activity (RSCA) and the competitiveness for external funding opportunities that align with our mission and with faculty interests and expertise. This effort has included the investment of approximately \$1.7 million allocated to colleges toward RSCA; \$200,000 from the Chancellor's Office for mini-grants and summer stipends; \$100,000 for the Office of Research and Sponsored Programs (ORSP) research grants to promote multidisciplinary and discipline specific research; and \$200,000 for summer student research assistantships. In addition, ORSP invested over \$50,000 for a college-based grant stimulation program. Other ongoing investments and incentives made by Academic Affairs and ORSP to RSCA on campus include: the Scholarly Writing Institute to provide an intensive workshop to support scholarly writing; the Responsible Conduct of Research training for faculty and students in compliance with the NIH and NSF regulations; and faculty professional development workshops in grant development.

In order to facilitate the management and reporting of the CSU Internal RSCA activities, CSU Chancellor's office bought the Info-Ready software now being implemented and utilized by our campus. Colleges are encouraged to use this application software for better and efficient RSCA processing and reporting.

V. Scholarly Publications

The campus published a total of 483 publications in 2017, according to Web of Science that includes multidisciplinary information from over 18,000 high impact journals, over 180,000 conference proceedings, and over 80,000 books from around the world. Along with grant activities, publication is a form of active scholarship.

Table 5: Campus Publications

	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017
CSULA	265	203	198	202	214	173	210	243	248	299
CSUN	230	240	268	239	256	299	301	391	411	460
SJSU	248	270	278	282	309	294	320	355	371	393
CSULB	298	323	358	359	370	331	331	395	457	483
CSUF	363	320	372	380	416	352	363	510	513	475
SFSU	328	379	372	378	452	409	449	486	524	528

VI. Research Compliance

Significant progresses were made toward the improvements of CSULB research compliance program, including: 1) hosted two half-day workshops and co-hosted two RCR training sessions in collaboration with other campus wide programs such as the BUILD and RISE Programs, etc., to a total of more than eighty students/faculty members; 2) completed Compliance Reviews of more than 400 grant/contract applications with a focus on the RCR training, FCOI disclosures, and followed up with IACUC/IRB submissions; 3) updated registrations with federal regulation agencies, such as FWA/IRB registration with HHS-OHRP, IBC registration with NIH-IBC-RMS, IACUC Annual Report to NIH-OLAW and USDA; 4) coordinated activities regarding Intellectual Property management, and developed a new version of the Invention Disclosure Form; 5) generated and reviewed Material Transfer Agreements and Non-disclosure agreements to support inter-institution collaborations; 6) generated the draft of the new version of Policy on Use of Unmanned Aircraft Systems (UASs); 7) collected annual reports from most of 31 academic centers/institutions; and 8) provided cross-training and streamlined the work-flow in order to keep up uninterrupted, high quality services when staff changes occurred.

The Institutional Review Board (IRB) reviewed a total of 595 protocol submissions in AY 2017-2018, with about 7 percent increase over AY 2016-2017. The increase was a result of targeted outreach by IRB staff to departments and individual classrooms for graduate and undergraduate research. Of the 595 protocol submissions reviewed, 348 were new protocols (13 percent increase), 107 were renewal protocols, and 140 were modifications to approved protocols. There were 2 Standard, about 250 Expedited, and 343 Administrative/Limited Reviews. Among new project/initial submissions to the IRB, student investigators were responsible for 49 %, Faculty/Staff investigators were responsible for 46%, and External/Unaffiliated investigators accounted for 5%. More than half of new IRB protocols were submitted from College of Health and Human Services and College of Liberal Arts. The College of Liberal Arts had the most active IRB protocols with the Psychology Department submitting the most new protocols (89 projects). Due to the proposed changes in federal regulation, IRB revised all its forms, templates, processes, policies and the IRB website to meet the initial compliance date of January 19, 2018. CSULB IRB continued serve as the only one designated IRB for CSU Chandler Office. The IRB staff also hosted a campus-wide workshop to assist investigators with their submissions to ensure compliance with the revised policies and procedures. With support from the recently hired Research Compliance Coordinator, additional guidance and self-help, digital media were published to the IRB website.

The Institutional Animal Care and Use Committee (IACUC) reviewed 8 new protocols, 3 major modifications, 26 minor protocol modifications, and 27 annual reports. The total number of active protocols was 50, and among them 43 were from Biological Sciences, and 7 from Psychology. There were 9 teaching/observation protocols, and 2 protocols involved collaboration with external institutions. Animal research projects were funded from various resources including NIH, NSF,

NOAA, North Pacific Research Board, California State University COAST Grant Development Program, and Orange County Water District, etc. There were 18 faculty/staff, 1 post-doctoral fellow, 38 graduate, and 92 undergraduate students working on active IACUC protocols. IACUC was successful in completing biannual DEA regulated drugs inspections. The IACUC Semi-Annual Programmatic Reviews and Semi-Annual Facilities Inspections found no major deficiencies. IACUC received approval of its Assurance Renewal from NIH OLAW and successfully passed the USDA announced Annual Inspection, as one of their model institutions.

VII. Goals for FY 2018-2019

1. Foster an effective research environment where faculty feel encouraged and supported to pursue cutting-edge research, scholarly, and creative activities.
2. Continue to seek external funding to increase sponsored program funding levels to a target of \$40 million, while maintaining an average effective F&A rate above 13.5%.
3. Promote and encourage Principal Investigators to seek Federal R&D with full F&A rate.
4. Improve regulation operations in the areas of RCR, FCOI, Import and Export Controls, IP and tech transfer, etc. Focus on the FCOI management by enhancing CITI online training, subsequent annual disclosures, and risk management throughout the entire life span of the grants/contacts.
5. Revise/update IRB guidelines and procedures to meet the requirements of the final version of Common Rule.
6. Create an infrastructure to coordinate undergraduate research opportunities.
7. Establish a process for regional educational and economic development collaborations with educational institutions, industry partners, and government agencies.
8. Incorporate faculty recommendations that emerged from the ORSP Satisfaction Survey, when feasible, for program improvement.