



CALIFORNIA STATE UNIVERSITY, LONG BEACH

OFFICE OF RESEARCH AND SPONSORED PROGRAMS

August 14, 2019

To: Jane C. Conoley, President
Brian Jersky, Provost and Senior Vice President, Academic Affairs
Scott Apel, Vice President, Administration and Finance
Maryann Takemoto, Interim 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
Margaret Black, Interim Dean, College of the Arts
Michael E. Solt, Dean, College of Business
Shireen Pavri, Dean, College of Education
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 Professional and International 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 2018-2019 Year-End Report

I am pleased to provide the FY 2018-2019 Year-End Report of Sponsored Programs and Research Compliance. With a primary emphasis on faculty-student research engagement, ORSP has 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

164 faculty, staff, and administrators submitted 285 new proposals, totaling \$100.2 million (See Table 1). The total new research funds requested decreased from FY 2017-18 even though the number of proposals increased slightly. We continue to invite program officers from various federal funding agencies, including the National Science Foundation, Department of Energy, National Institutes of Health, Department of the Navy, National Endowment for the Humanities, and Department of Education, to our campus to share best practices in grant writing and information about their upcoming grant programs.

Table 1: Overview of New Proposals Submitted

Division/College	2019 Total New Proposals Submitted	2019 Total New Research Funds Requested	2018 Total New Proposals Submitted	2018 Total New Research Funds Requested	Total Proposals Submitted (% Change)	Total Research Funds Requested (% Change)
COB	2	180,488.00	1	4,000	100.00	4412.20
CPIE/CITT	9	2,555,054	10	1,330,388	-10.00	92.05
CED	10	5,475,091	12	4,631,285	-16.67	18.22
CHHS	31	25,274,173	41	47,372,466	-24.39	-46.65
CLA	48	13,745,632	39	24,752,462	23.08	-44.47
CNSM	52	24,326,220	52	22,577,091	0.00	7.75
COE	94	25,068,821	89	26,024,764	5.62	-3.67
COTA	23	1,326,194	14	386,046	64.29	243.53
Other Units (Pres, AA, SS, URD)	16	2,258,516	9	2,904,538	-77.78	-22.24
TOTAL	285	100,210,189	267	129,983,040	6.74	-22.90

II. New Awards

95 Principal Investigators received 150 new awards, totaling \$31.1 million (See Table 2). Sponsors included 44 federal, 37 state, and 6 local agencies, as well as 63 private corporations and foundations.

Table 2: Overview of New Awards Received

Division/College	2019 Total New Proposals Awarded	2019 Total New Research Funds Awarded	2018 Total New Proposals Awarded	2018 Total New Research Funds Awarded	Total Proposals Awarded (% Change)	Total Research Funds Awarded (% Change)
COB	4	109,140.00	2	16,000	100.00	582.13
CPIE/CITT	7	742,000	11	1,330,598	-36.36	-44.24
CED	3	3,701,210	5	5,799,111	-40.00	-36.18
CHHS	37	17,380,371	44	10,741,239	-15.91	61.81
CLA	10	1,072,991	18	1,381,504	-44.44	-22.33
CNSM	29	3,390,102	36	4,595,154	-19.44	-26.22
COE	39	2,900,185	28	2,547,109	39.29	13.86
COTA	10	61,820	11	181,055	-9.09	-65.86
Other Units (Pres, AA, SS, URD, AF, IT)	11	1,799,576	19	5,881,821	-42.11	-69.40
TOTAL	150	31,157,396	174	32,473,591	-13.79	-4.05

III. Research Expenditures

The campus generated \$36.6 million 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	2019 Research Expenditures	2019 F&A Revenue	2019 Effective F&A Rate	2018 Research Expenditures	2018 F&A Revenue	2018 Effective F&A Rate	Total Research Expenditures (% Change)	Total F&A Revenue (% Change)	Total Effective F&A Rate (% Change)
COB	12,490	2,872	23.0%	12,245	735	6.0%	2.00	290.98	283.31
CPIE/CITT	1,152,525	223,359	19.4%	1,495,853	322,029	21.5%	-22.95	-30.64	-9.98
CED	2,936,974	127,472	4.3%	2,795,648	123,605	4.4%	5.06	3.13	-1.83
CHHS	9,715,468	1,091,781	11.2%	11,553,266	1,075,472	9.3%	-15.91	1.52	20.72
CLA	963,623	214,607	22.3%	951,840	244,381	25.7%	1.24	-12.18	-13.26
CNSM	5,593,552	1,049,180	18.8%	6,046,320	1,155,842	19.1%	-7.49	-9.23	-1.88
COE	2,499,976	485,302	19.4%	2,762,666	547,307	19.8%	-9.51	-11.33	-2.01
COTA	169,555	5,288	3.1%	293,588	1,804	0.6%	-42.25	193.18	407.65
Other Units (Pres, AA, SS, URD, AF, IT)	9,000,978	1,339,729	14.9%	8,731,656	1,302,493	14.9%	3.08	2.86	0.00
TOTAL	32,045,140	4,539,589	14.2%	34,643,080	4,773,666	13.8%	-7.50	-4.90	2.81

Our campus participates in the Annual NSF Higher Education Research and Development (HERD) Survey. In FY 2017-18, the campus generated \$18.8 million in funding of research and development, according to data from the NSF (HERD) survey. The campus ranks 5th among 23 CSU campuses and 37 out of 78 high Hispanic enrollment institutions in the U.S. for research expenditures.

Table 4: NSF Higher Education Research and Development (HERD) Data for FY 2017

Institution	All R&D expenditures	Computer and information sciences	Geosciences, atmospheric sciences, and ocean sciences	Life sciences	Mathematics and statistics	Physical sciences	Psychology	Social sciences	Sciences, nec	Engineering	All non-S&E fields
San Diego State U.	89,187	1,714	3,091	29,409	3,450	5,488	12,865	4,920	990	8,935	18,325
San Jose State U.	39,192	169	12,216	1,310	0	1,498	18,976	664	685	1,076	2,598
San Francisco State U.	29,940	890	4,197	11,163	1,104	3,779	1,915	2,041	28	1,595	3,228
California State U., Sacramento	21,106	108	798	1,072	34	283	44	1,681	6,100	7,527	3,459
California State U., Long Beach	18,805	68	276	3,130	581	3,808	3,128	329	3,404	2,269	1,812
California Polytechnic State U., San Luis Obispo	17,979	321	882	6,773	1,353	2,057	51	1,671	0	4,196	675
California State U., Northridge	17,979	131	1,993	6,196	1,042	3,302	529	322	841	980	2,643

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) Multidisciplinary Research Award; and \$200,000 for the Summer Student Research Assistantship. 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 addition, ORSP initiated two new programs to support multidisciplinary research and open-access publishing. A campus-wide 16-member Multidisciplinary Research Advisory Committee (MRAC) was established to plan the Multidisciplinary Mixer event. The event took place in the University Library iSpace and lasted 3 hours and featured 2 moderated discussion times and unstructured discussions among participants. Discussion topics were chosen by MRAC and included: health equities & health disparities; climate change & interdisciplinary environmental research; automation & artificial intelligence; recruiting the underrepresented to STEM/STEAM; and multidisciplinary artworks. A total of 124 individuals attended. As results, ORSP received 21 applications for its 2019-2020 ORSP Multidisciplinary Research Award; about a 3-fold increase over the past 5 years. 18 of the 21 proposals were from Mixer participants. 7 proposals were recommended for funding, and all had at least 1 PI who attended the Mixer.

Open-access (OA) publishing for research articles is growing in popularity; OA publications have more than doubled in the past 5 years as more faculty wish to maximize the accessibility of their work. Many OA journals are highly regarded by researchers and have high impact factors. At CSULB, OA publications currently account for 10% of annual faculty publications, and the proportion aligns with the global trend: 13% of all 2017 publications on Web of Science were OA. OA publishing, thus, represents a small but growing proportion of our university's publications. As more and more faculty choose OA publishing, it has become an important means of promotion for CSULB. ORSP has allocated \$20,000 in FY2019 to support research publications by CSULB faculty. All tenured and probationary faculty and full-time lecturers are eligible to apply to fund publication of their work.

V. Scholarly Publications

The campus published a total of 488 publications in 2018, 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	2018
CSULA	265	203	198	202	214	173	210	243	248	299	307
CSUN	230	240	268	239	256	299	301	391	411	460	482
SJSU	248	270	278	282	309	294	320	355	371	393	434
CSULB	298	323	358	359	370	331	331	395	457	483	488
CSUF	363	320	372	380	416	352	363	510	513	475	513
SFSU	328	379	372	378	452	409	449	486	524	528	510

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 wise 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 605 protocol submissions in AY 2018-2019. Of the 605 protocol submissions reviewed, 334 were new protocols, 75 were renewal protocols, and 196 were modifications to approved protocols. There were 5 Standard, 92 Expedited, and 237 Administrative/Limited Reviews. Among new project/initial submissions to the IRB, student investigators were responsible for 52%, Faculty/Staff investigators were responsible for 46%, and External/Unaffiliated investigators accounted for 2%. Nearly two-thirds of the new IRB protocols were submitted from College of Health and Human Services and College of Liberal Arts. 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 to serve as the designated IRB for the 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 11 new protocols, 10 major modifications, 29 minor protocol modifications, and 35 annual reports. The total number of active protocols was 40, and among them 36 were from Biological Sciences, and 4 were from Psychology. There were 9 teaching/observation protocols, and 3 protocols involving collaboration with external institutions. Animal research projects were funded from various resources, most notably the BUILD grant, but also including awards from NIH, NOAA, US Department of Education, California State University COAST Grant Development Program, Orange County Water District, Orange County Sanitation District, etc. There were 21 faculty/staff, 34 graduate, 56 undergraduates, and 4 volunteers working on active IACUC protocols. Volunteers are typically CSULB alumni who are continuing to work on a protocol as part of their professional and educational development. IACUC was successful in completing biannual DEA regulated drug inspections. The Semi-Annual Programmatic Reviews and Semi-Annual Facilities Inspections found no major deficiencies. We successfully passed the USDA Annual Inspection.

VII. Goals for FY 2019-2020

1. Foster a campus environment that is conducive to promoting research and other scholarly activities that contribute to the mission of the University.
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 at or above 14%.
3. Promote and encourage Principal Investigators to seek federal R&D grants.
4. Promote and encourage multidisciplinary collaborations and seek multidisciplinary grants.
5. Streamline the administrative process, including compliance with federal research regulations.
6. Provide opportunities for undergraduate students in all disciplines to enhance their educational experience by actively engaging in meaningful research and other scholarly activities.
7. Create an infrastructure to coordinate student research opportunities.