



CALIFORNIA STATE UNIVERSITY, LONG BEACH

OFFICE OF RESEARCH AND SPONSORED PROGRAMS

August 17, 2020

To: Jane C. Conoley, President
Brian Jersky, Provost and Senior Vice President, Academic Affairs
Scott Apel, Vice President, Administration and Finance
Beth Lesen, 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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Shireen Pavri, Dean, College of Education
Tracy Maples, Interim 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
Roman Kochan, Dean, University Library

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 2019-2020 Year-End Report

I am pleased to provide the FY 2019-2020 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

Despite of the ongoing COVID-19 pandemic, grant writing productivity continued. We are proud to report that **223** faculty, staff, and administrators submitted **266** new proposals, totaling **\$124.3** million (See Table 1). The total new research funds requested increased from FY 2018-19 even though the number of proposals decreased 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. The impacts of the COVID-19 pandemic also provided opportunities for the ORSP Pre-Award team to transition all services to an electronic on-line format. Moving forward without interruption to services, all internal routing and submission procedures were updated to support on-line interactions and all paper-based processes have been eliminated.

Table 1: Overview of New Proposals Submitted

Division/College	2020 Total New Proposals Submitted	2020 Total New Research Funds Requested	2019 Total New Proposals Submitted	2019 Total New Research Funds Requested	Total Proposals Submitted (% Change)	Total Research Funds Requested (% Change)
COB	2	53,668	2	180,488	0.00	-70.27
CPIE/CITT	7	1,067,300	9	2,555,054	-22.22	-58.23
CED	17	13,632,769	10	5,475,091	70.00	149.00
CHHS	45	20,552,836	31	25,274,173	45.16	-18.68
CLA	38	13,887,119	48	13,745,632	-20.83	1.03
CNSM	54	19,579,089	52	24,326,220	3.85	-19.51
COE	75	42,749,288	94	25,068,821	-20.21	70.53
COTA	11	246,540	23	1,326,194	-52.17	-81.41
Other Units (Pres, AA, SS, URD)	17	12,568,325	16	2,258,516	6.25	456.49
TOTAL	266	124,336,934	285	100,210,189	-6.67	24.08

II. New Awards

We are proud to report that **100** Principal Investigators received **157** new external awards, totaling \$42.9 million (See Table 2). Sponsors included **77** federal, **24** state, and **5** local agencies, as well as **51** private corporations and foundations. Our faculty has had a remarkable year for securing new external awards. In spite of the challenges we have had in reducing research activities, for example, faculty in the College of Engineering had 37 proposals awarded for a total of \$8.1 million which is nearly triple of the amount of previous year.

Table 2: Overview of New Awards Received

Division/College	2020 Total New Proposals Awarded	2020 Total New Research Funds Awarded	2019 Total New Proposals Awarded	2019 Total New Research Funds Awarded	Total Proposals Awarded (% Change)	Total Research Funds Awarded (% Change)
COB	2	53,668.00	4	109,140	-50.00	-50.83
CPIE/CITT	9	673,009	7	742,000	28.57	-9.30
CED	10	1,610,061	3	3,701,210	233.33	-56.50
CHHS	24	5,921,556	37	17,380,371	-35.14	-65.93
CLA	21	1,817,963	10	1,072,991	110.00	69.43
CNSM	29	3,675,893	29	3,390,102	0.00	8.43
COE	37	8,135,068	39	2,900,185	-5.13	180.50
COTA	11	101,090	10	61,820	10.00	63.52
Other Units (Pres, AA, SS, URD, AF, IT)	14	21,000,609	11	1,799,576	27.27	1066.98
TOTAL	157	42,988,917	150	31,157,396	4.67	37.97

III. Research Expenditures

The campus generated **\$37.4** 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. The ORSP Post-Award team has also transitioned all services to an on-line format and is continuously working with campus partners to streamline timely award execution, award set up, expenditure approvals, financial reporting, and close out requirements. Over the course of the Covid-19 pandemic, the ORSP Post-Award team has 1) established online signature approval processes working with multiple colleges, divisions, and the Research Foundation, 2) reviewed and implemented multiple OMB and sponsor specific Covid-19 grant guidance regulations 3) eliminated paper-based post award tracking systems and 4) provided on-line training presentations to help PI's adapt to Covid-19 modifications.

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

Division/College	2020 Research Expenditures	2020 F&A Revenue	2020 Effective F&A Rate	2019 Research Expenditures	2019 F&A Revenue	2019 Effective F&A Rate	Total Research Expenditures (% Change)	Total F&A Revenue (% Change)	Total Effective F&A Rate (% Change)
COB	29,234	8,156	27.9%	12,490	2,872	23.0%	134.06	183.95	21.31
CPIE/CITT	1,085,186	293,037	27.0%	1,152,525	223,359	19.4%	-5.84	31.20	39.34
CED	3,309,839	125,555	3.8%	2,936,974	127,472	4.3%	12.70	-1.50	-12.60
CHHS	9,989,835	1,200,535	12.0%	9,715,468	1,091,781	11.2%	2.82	9.96	6.94
CLA	1,024,354	256,142	25.0%	963,623	214,607	22.3%	6.30	19.35	12.28
CNSM	5,784,285	932,520	16.1%	5,593,552	1,049,180	18.8%	3.41	-11.12	-14.05
COE	2,929,090	572,127	19.5%	2,499,976	485,302	19.4%	17.16	17.89	0.62
COTA	110,856	1,545	1.4%	169,555	5,288	3.1%	-34.62	-70.78	-55.30
Other Units (Pres, AA, SS, URD, AF, IT)	8,551,791	1,239,399	14.5%	9,000,978	1,339,729	14.9%	-4.99	-7.49	-2.63
TOTAL	32,814,468	4,629,017	14.1%	32,045,140	4,539,589	14.2%	2.40	1.97	-0.42

Our campus participates in the Annual NSF Higher Education Research and Development (HERD) Survey. In FY 2018-19, the campus generated \$22.8 million in funding of research and development, according to data from the NSF (HERD) survey. The campus ranks **4th** among 23 CSU campuses and **35** 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 2018-19

Institution	All R&D expenditures	Computer and information sciences	Geosciences, atmospheric sciences, and ocean sciences	Life sciences	Mathematics and statistics	Physical sciences	Psychology	Social science	Sciences, nec.	Engineering	All non-S&E fields
San Diego State U.	88,177	1,634	2,978	28,003	3,790	5,873	12,943	4,811	1,292	8,534	18,319
San Jose State U.	41,366	33	14,627	1,073	0	1,649	18,313	351	755	1,451	3,114
San Francisco State U.	30,903	706	3,233	11,292	1,063	3,734	2,435	3,085	801	1,492	3,062
California State U., Long Beach	22,880	71	209	5,238	574	4,445	1,754	646	321	5,150	4,472
California State U., Sacramento	21,429	109	934	1,368	45	267	164	5,981	1,953	7,196	3,412
California State U., Northridge	19,618	112	1,859	8,561	1,348	2,672	304	448	975	757	2,582
California State U., San Bernardino	16,702	1,155	40	1,898	948	1,337	3,461	1,270	293	1,133	5,167
California Polytechnic State U., San Luis Obispo	16,352	586	1,410	6,326	1,361	1,884	61	505	185	3,542	492

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 Awards; and \$200,000 for the Summer Student Research Assistantships. 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 one new program to support open-access publishing. 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. OA publishing 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 FY 2019-2020 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. In FY 2019-2020, 11 Faculty were awarded OA Publication funding.

V. Research Compliance

Facing the ongoing COVID-19 pandemic, significant progresses were made toward the improvements of CSULB research compliance program, including: 1) built up a more comprehensive RCR training program with an online registration platform to provide more than 20 campus wide successful workshops, and some of the sessions were conducted via Zoom; 2) completed Compliance Reviews of more than 400 grant/contract applications with a focus on the RCR training, FCOI disclosures, and promptly followed up to adequately address issues in the areas of IACUC, IRB, Export Control and/or IP; 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 more activities regarding Intellectual Property management with improvements towards tech-transfer and commercialization of innovations; 5) promptly conducted reviews of Material Transfer Agreements and Non-disclosure agreements to support inter-institution collaborations; 6) finalized the draft of the new version of Policy on Use of Unmanned Aircraft Systems (UASs); 7) promptly updated the list of academic centers/institutions and collected their annual reports; 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 2019-2020, including 334 new protocols, 75 renewals, and 197 requests for modifications. By adopting the revised Common Rule regulation, the protocol submission/review process was streamlined so that more protocols were approved with shorter turnaround time, i.e., the numbers of protocols reviewed via Full Board Review and Expedited Review were reduced from 5 to 1, 92 to 78, respectively, while the number of Administrative/Limited Review was increased from 237 to 264. Among the 334 new protocol submissions, the percentages from student, faculty/staff and external investigators were changed from 52% to 47%, from 46% to 48%, and from 2% to 5%, respectively. The numbers of new protocols were led by College of Health and Human Services (116), College of Liberal Arts (77), and College of Education (67). The most submissions were from the Educational Leadership Department, followed by Kinesiology and Psychology, with 36, 27 and 26 respectively. CSULB IRB continued to serve as the designated IRB for the CSU Chancellor's Office. More than six department/discipline specific out-reaching workshops were provided. New voting and alternate scientific faculty members were recruited to bring more expertise in the areas of Kinesiology and Psychology. New policy and an umbrella protocol template were developed to efficiently manage research activities conducted by students. To tackle the COVID-19 challenges, two MEMOs representing phase-wise policies and procedures were promptly developed and disseminated to guide investigators on how to continue more online recruitment and data collection projects while only allowing limited number of in-person data collection projects with essential and time-sensitive nature and sufficient measures to minimize all potential risks. More one-on-one consultation sessions via Zoom were provided to investigators so that their questions/issues were addressed without a delay. Ongoing efforts have been made to prepare for hosting the 2020 CSU system IRB Forum.

The Institutional Animal Care and Use Committee (IACUC) reviewed 7 new protocols, 1 major modifications, 33 minor protocol modifications, and 29 annual reports. The total number of active protocols was 42, among which 38 were from Biological Sciences and 4 were from Psychology. There were 35 research protocol, 7 teaching/observation protocols, and 2 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 18 faculty/staff, 1 post-doctoral fellow, 34 graduates, 79 undergraduates, and 10 volunteers working on active IACUC protocols. Volunteers were typically CSULB alumni 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 in 2019 and all preparations have been secured to get ready for the 2020

inspection. Significant progress has been made to build up and implement the new electronic management system, IRBManager, in order to improve the efficiency of IACUC operations. Vivarium Visitor Guidelines were developed. Animal Euthanasia SOPs were promptly updated to meet the AVMA Guideline revised in 2020. In response to COVID-19 pandemic the IACUC emergency policy was promptly updated and enforced, and essential personnel at Vivarium continued working onsite with flexible schedule to maintain the minimum operations. IACUC monthly meetings continued via Zoom so that policy updates and protocol submissions were reviewed and approved without a delay.

VI. Goals for FY 2020-21

1. Foster a campus environment that is conducive to promoting research and other scholarly activities that contribute to the BEACH 2030 Strategic Priorities.
2. Continue to seek external funding to support research, innovation, and problem solving in response to the grand challenges in society.
3. Promote and encourage Principal Investigators to seek federal R&D grants.
4. Promote and encourage collaborative and interdisciplinary/multidisciplinary research, scholarship, and creative activities.
5. Continue to streamline the administrative process, including compliance with federal research regulations, by developing and adopting a more innovative and flexible strategy to overcome the ongoing challenges caused by the COVID-19 pandemic.
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 that supports licensing of intellectual property, with increased number of startup businesses, and expanded external revenue streams for campus activities.
8. Complete and submit a F&A cost rate proposal to the Department of Health and Human Services, Division of Cost Allocation.