



## **CALIFORNIA STATE UNIVERSITY, LONG BEACH**

OFFICE OF RESEARCH AND SPONSORED PROGRAMS

August 3, 2017

To: Jane C. Conoley, President  
Brian Jersky, Provost and Senior Vice President, Academic Affairs  
Mary Stephens, Vice President, Administration and Finance  
Carmen Taylor, Vice President, Student Affairs  
Andrea Taylor, Vice President, University Relations and Development  
Min Yao, Vice President, Chief Information Officer  
Brian Nowlin, Chief Operating Officer, Research Foundation  
Cyrus Parker-Jeanette, Dean, College of the Arts  
Michael E. Solt, Dean, College of Business Administration  
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 Continuing and Professional Education

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

RE: Sponsored Programs and Research Compliance - FY 2016-2017 Year-End Report

I am pleased to provide the FY 2016-2017 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, and administrators.

## I. Proposal Preparation and Submission

211 individuals submitted 302 new proposals, totaling \$113,446,591 (See Table 1). The total number of proposals submitted slightly increased from 286 in FY 2015-2016.

Table 1: Overview of New Proposals Submitted

Division/College	2017 Total New Proposals Submitted	2017 Total New Research Funds Requested	2016 Total New Proposals Submitted	2016 Total New Research Funds Requested	Total Proposals Submitted (% Change)	Total Research Funds Requested (% Change)
CBA	-	-	1	4,000	-100.00	-100.00
CCPE/CITT	8	1,792,497	7	2,054,299	14.29	-12.74
CED	17	9,046,877	14	4,290,772	21.42	110.85
CHHS	43	43,481,678	57	28,016,922	-24.56	55.20
CLA	54	17,888,055	41	9,808,494	31.71	82.37
CNSM	70	12,364,732	57	23,531,786	22.81	-47.46
COE	77	17,837,680	81	18,067,049	-4.94	-1.27
COTA	17	417,423	15	837,868	13.33	-50.18
Other Units (Pres, AA, SS, URD)	16	10,617,649	13	9,257,207	23.08	14.70
<b>TOTAL</b>	<b>302</b>	<b>113,446,591</b>	<b>286</b>	<b>95,868,397</b>	<b>5.59</b>	<b>18.34</b>

## II. New Awards

88 Principal Investigators received 169 new awards, totaling \$52,953,606 (See Table 2).

Sponsors include 60 federal, 40 state, and 22 local agencies, as well as 47 private corporations and foundations.

Table 2: Overview of New Awards Received

Division/College	2017 Total New Proposals Awarded	2017 Total New Research Funds Awarded	2016 Total New Proposals Awarded	2016 Total New Research Funds Awarded	Total Proposals Awarded (% Change)	Total Research Funds Awarded (% Change)
CBA	-	-	1	4,000	-100.00	-100.00
CCPE/CITT	11	2,199,681	3	111,936	267.00	1865.12
CED	9	2,684,615	10	3,804,565	-10.00	-29.44
CHHS	34	16,727,425	35	11,369,397	-2.86	47.13
CLA	13	971,379	14	1,982,037	-7.14	-50.99
CNSM	40	10,632,059	28	8,715,327	42.86	21.99
COE	37	6,918,113	33	1,617,076	12.12	327.81
COTA	11	223,486	7	284,524	57.14	-21.45
Other Units (Pres, AA, SS, URD)	14	12,596,848	12	6,204,483	16.66	103.03
<b>TOTAL</b>	<b>169</b>	<b>52,953,606</b>	<b>143</b>	<b>34,093,344</b>	<b>18.18</b>	<b>55.32</b>

### III. 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; \$150,000 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 \$300,000 on upgrading research facilities and equipment, and \$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.

### IV. Grant and Contract Administration

Sponsored Programs administered over 400 new and continuing projects totaling \$30,583,174 in direct expenditures and \$4,422,021 in F&A revenues (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	Research Expenditures	F&A Revenue	Effective F&A Rate
<b>CBA</b>	-	-	
<b>CCPE/CITT</b>	806,240	177,118	22.0%
<b>CED</b>	2,242,136	123,281	5.5%
<b>CHHS</b>	10,091,202	1,030,043	10.2%
<b>CLA</b>	3,042,910	493,179	16.2%
<b>CNSM</b>	8,292,174	1,842,327	22.2%
<b>COE</b>	1,350,882	380,894	28.2%
<b>COTA</b>	193,242	13,585	7.0%
<b>Other Units (Pres., AA, DAF, SA)</b>	4,564,388	361,593	7.9%
<b>TOTAL</b>	<b>30,583,174</b>	<b>4,422,021</b>	<b>14.5%</b>

## V. Research Compliance

On Jan 10, 2017, Dr. Jason Wang joined CSULB as the Director of Research Integrity and Compliance to provide leadership and oversight of the Research Compliance team. On April 24, 2017 Tiffany Rose was recruited to serve IRB as the Human Subjects Compliance Specialist.

Significant contributions were made toward the maintenance and improvements of CSULB research compliance program, including: 1) RCR training: 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 one hundred students/faculty members; 2) Completed Compliance Reviews of more than 300 grant/contract applications with a focus on the RCR training and FCOI disclosures; 3) Updated registrations with federal regulation agencies, such as FWA/IRB registration with HHS-OHRP, IBC registration with NIH-IBC-RMS, IACUC triennial registration with USDA-APHIS, etc.; 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; and 6) Supported cross-training and streamlined the work-flow in order to keep up uninterrupted, high quality services in case staff changes in the future.

The Institutional Review Board (IRB) reviewed a total of 558 protocol submissions in AY 2016-2017, with about 14.8 percent increase over AY 2015-2016. Of the 558 protocol submissions reviewed, 307 were new protocols, 108 were renewal protocols, and 143 were modifications to approved protocols. There were 7 Standard, 251 Expedited, and 300 Administrative reviews. Faculty/staff submitted 224 new/continuation protocols, while students submitted 191 protocols. The College of Liberal Arts had the most active IRB protocols with the Psychology Department submitting the most new protocols (53 projects). QA/QI and IRB Exempt project submissions were increasing at the fastest rate due to Nursing DNP projects and professors assessing their own class assignments for course improvement. The IRB has developed a new form to make the QA/QI submission process more efficient but the form is pending review and approval by the fully convened IRB.

The Institutional Animal Care and Use Committee (IACUC) reviewed 19 new protocols (46 percent increase over AY 2015-2016), 5 field study protocols, 13 minor protocol modifications, and 30 annual reports. The total number of active protocols was 52, and 45 active protocols were from Biological Sciences. There were 21 faculty/staff, 63 graduate, and 73 undergraduate students working on active IACUC protocols. The IACUC was successful in completing biannual DEA regulated drugs inspections (October 2016 and April 2017). The IACUC Semi-Annual Programmatic Reviews (September 2016 and March 2017) and Semi-Annual Facilities Inspections (October 2016 and April 2017) found no major deficiencies. On June 13, the IACUC successfully passed USDA Annual Inspection.

## **VI. Goals for FY 2017-2018**

1. Sustain support for CSULB faculty research, scholarly, and creative activity.
2. Continue to improve communication through the ORSP newsletter, the annual Quest research report, and the ORSP website to showcase and recognize RSCA accomplishments and increase utility for information access to internal policies and procedures, external funding opportunities/initiatives/trends, mandated compliance regulations/requirements, submission processes, institutional research profile information, etc.
3. Continue to seek external funding to increase sponsored program funding levels to a target of \$35 million, while maintaining an average effective F&A rate above 15%.
4. Increase by 5% the number of proposals for external funding from disciplines that have traditionally been underrepresented in grantsmanship at CSULB.
5. Provide workshops or other educational experiences for faculty and department chairs to encourage identification and pursuit of external funding opportunities.
6. Develop a searchable faculty research directory database capable of identifying skills, expertise, technology, and collaborative research needs to improve both inter- and intra-campus awareness of resources and expertise to foster collaborative research and creative activity initiatives.
7. Create an infrastructure to coordinate undergraduate research opportunities.
8. Establish a process for regional educational and economic development collaborations with educational institutions, industry partners, and government agencies.
9. Revise IRB guidelines and procedures to meet the requirements of the final version of Common Rule (subpart A of 45 Code of Federal Regulations [CFR] part 46), which was expected to be effective Jan 19, 2018.
10. 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.