

OFFICE OF RESEARCH AND SPONSORED PROGRAMS

The Office of Research and Sponsored Programs (ORSP) is the research and sponsored programs unit within Academic Affairs that administers the campus-wide review and approval process for all grants, contracts and research with human subjects. ORSP supports research, scholarly and creative activity by securing local, CSU systemwide, state, federal and non-governmental grant and contract funds in support of the University's mission.

ORSP's strategic goals for academic year 2007-2008 (AY 07-08) included organizational capacity building and streamlining of its procedures. In 2007-2008 a total of **62 proposals, an increase of 20%** over AY 06-07, were submitted to multiple funders; amounting to **\$20.8 million (M)**.

- 20 of 62 proposals were awarded by government sponsors (federal, state, local) totaling \$932,355K
- 9 of 62 proposals were awarded by private sponsors (industry, foundations) totaling \$1,273,575M
- 20 faculty submitted 39 proposals
- 15 staff/administrators submitted 23 proposals

In 2007-2008, 31 proposals were awarded yielding a success rate of 50%. Federal grant submissions increased substantially and 32% of submissions are still pending award notification.

- 31 of 62 proposals were awarded totaling \$2.2M
- 11 of 62 proposals were declined totaling \$14.6M
- 20 of 62 proposals are pending sponsor notification totaling \$3.5M

ORSP currently provides direct post-award management for **9 ongoing projects or approximately \$775,000 in active grant awards**.

ORSP Strategic Goals and Accomplishments

In Spring 04, ORSP developed a 5-Year Strategic Plan with the participation of all units of the campus and a selection of community partners. Activities and accomplishments have been organized to support the six strategic goals of ORSP.

1. Build an infrastructure for an Office of Research and Sponsored Programs.

Accomplishments

- In its fifth year of operation ORSP secured a 4-year federally negotiated indirect cost rate of 40% based on modified total direct costs.
- ORSP increased its total grant and contract proposal submissions by **20%** over AY 06-07. Of these proposals, **15 were contracts**, a substantial increase over AY 06-07.

- ORSP provided campus-wide administration of the Proposal Administrative Review (PAR) process for a total of **62 grant proposals**. Of these proposals, **12 grant proposals** were submitted through the CSUCI Foundation.
- ORSP streamlined the PAR process to include electronic simultaneous review and approval, as well as, an online Intent to Apply form.
- ORSP assessed the need for additional infrastructure support to adequately address the liability and risk exposure of the University as the number of grant and contract submissions increase.
- ORSP assisted with the research and development of policies related to compliance with Executive Order 890. The below policies were recommended by the ORSP Advisory Committee, passed by the Academic Senate, and are awaiting union review and approval:
 - **Intellectual Property**
 - **Principal Investigator**
- Procedures accompanying new policies will be recommended for adoption in 2008-2009.
- ORSP provided multiple technical assistance workshops for faculty and staff on grant seeking tools including: The Foundation Center RFP (Request for Proposals) Bulletin, Grats.gov, Get Grants, Grants Resource Center, California Department of Education Funding, and SPIN, an automated grants notification system. A total of **78 faculty/staff** are registered on SPIN.
- A grants resource self-instructional CD was developed and disseminated to **all faculty** at the Fall 07 faculty orientation.
- 12 faculty principal investigators were recognized at the Spring 08 Faculty Accomplishments Reception attended by **administrators, faculty and staff**.
- ORSP provided several workshops on faculty-supervised student research as well as student and faculty principal investigators certification training for research with human subjects. **66 IRB applications** were submitted, a **56% increase** over AY 2006-2007.
 - 16 of the 66 were faculty/staff research proposals
 - 6 of the 66 were graduate student research proposals
 - 44 of the 66 proposals were undergraduate student research proposals

Strategic Goals through 2010

- Develop completely campus policies and procedures that are compliant with EO 890, state, and federal grants, contracts, and research administration laws.
- Staff appropriately to support the increase in federal funding identification, proposal development and submission, faculty post-award non-financial and departmental budget assistance, and administration of grants and contracts resulting from an approved federally negotiated indirect cost rate for the University.
- Staff appropriately to ensure the University is compliant with the Institutional Review Board's Federal Wide Assurance and to support the growth of faculty, undergraduate and graduate students conducting research with human subjects.

- Administer and implement grants, contracts, and research policies to ensure that the University is compliant with CSU Executive Order 890 and federal grants and contracts internal/external policies provisions, certifications and assurances.
- Secure pre-and-post award management software to facilitate communication and transactions between ORSP, Finance and Administration, and the CSUCI Foundation.

2. Advance the goals of the institution through grants, projects, research and programs funded by sources outside of the institution.

- CSUCI was awarded its first National Science Foundation grant in Spring 08.
- CSUCI partnered with local Community Colleges on the submission of a Hispanic Serving Institution Title V grant.
- ORSP renewed institutional membership to AASCU's (American Association of State Colleges and Universities) Grants Resource Center (GRC) and ORSP staff membership to NCURA (National Council of University Research Administrators).
- ORSP provided budget and proposal preparation assistance, along with campus-wide support for the PAR Process, approving **62 grants and contracts** for submission to external funders.

3. Promote an environment supportive of developing and sustaining faculty interest and involvement in grant proposal preparation, submission, acquisition and management.

- Provided current information on grant and contract opportunities and facilitated partnerships with local educational institutions, not-for-profit organizations, and industry in support of collaborative grants projects and proposals.
- Offered training/professional development opportunities (principal investigator tutorials, research compliance and support of the Institutional Review Board for the protection of human subjects).
- Assisted principal investigators to navigate the proposal development and PAR process.
- Provided proposal editing and grant writing assistance.
- Provided budget preparation assistance and project management.
- Obtained funds for release time, equipment, travel and student assistants.
- Created recognition opportunities for faculty.

4. Protect the integrity of the institution through policies, procedures and communication with funding sources.

- Campus grants and contracts pre-and-post award administration policies and procedures were developed in compliance with Executive Order 890. All relevant information was prepared for the website and posted. To take a proactive approach to proposal development and submission in coordination with ORSP, print and digital information on policies and procedures was distributed to all faculty during the Fall 07 orientation.

- ORSP recommended policies that address a number of activities: time and effort reporting, classified research, export control and technology transfer. Second, administering those, along with pre-and-post award policies and compliance were considered crucial.
- IRB policies and procedures were developed in compliance with Title 45 Code of Federal Regulations, Section 46, protection of human subjects involved in research, development, and related activities, IRB protocols and a board instituted. The IRB review subcommittee met weekly and summarized findings of human subject proposals to the IRB.

5. Ensure the integrity of sponsored project funds, compliance with funders' rules, regulations, and meeting of ethical and legal requirements.

- Resources necessary for the stable growth of ORSP have been provided in part by the state general fund and indirect revenue. Up through January 2008 indirect revenue was distributed entirely to ORSP to support staff, special consultants, and grant writers, as well as, operating expenses not covered by the general fund. As of January 2008, ORSP's distribution of indirect costs revenue has been reduced to 5%.
- In 2007-2008 the state general fund supported 4.0 FTE staff positions and 0.14 FTE of a staff position was supported by revenues generated from indirect funds.

6. Create a financially stable and prosperous unit which collaborates actively with Faculty Development, Academic Affairs, Finance and Administration, and Extended Education.

ORSP collaborated with Extended Education, Faculty Development, Academic Affairs, and Student Affairs by providing pre-award services in the development and submission of grant proposals and in some cases post-award management of grants and contracts awarded. Additionally, ORSP supported faculty mini-grants, staff positions, and faculty release time via grants and contracts funding.

- In 2007-2008 approximately **25 Principal Investigators** completed the post-award Principal Investigator Training prior to account set-up for new award.
- The Director and Manager for Research and Sponsored Programs developed a more seamless process for pre-and-post-award grants and contracts administration, proactively collaborating with Finance and Administration, Academic Resources, and the CSUCI Foundation.

Increased compliance demands and risk exposure, coupled with an increase in faculty inquiry, participatory research associated with experiential and service learning, and undergraduate research, create a dynamic learning environment benefiting students, faculty, staff and the community. In turn, this environment requires more oversight.

Workload has significantly increased over a five-year period due to increases in proposal submissions, awards, compliance related issues, and the need for research and sponsored programs policy development and implementation. While an ORSP reserve account was established to ensure sustainable growth of the office and to provide faculty incentives, this reserve is no longer available due to the newly implemented Finance and Administration cash

management system.

As of Spring 08, ORSP will no longer be able to hold a reserve or trust account as originally proposed in the 5-year Strategic Plan. Therefore, in order to **sustain faculty/staff incentives and involvement in sponsored projects and research**, long-term sustainability through incremental budgetary alignment will need to occur so that these operating expenses convert to general fund support over a reasonable amount of time. General fund alignment is critical for future capacity building in order to meet strategic operating goals for ORSP and the University.