

COMPLIANCE REPORT FOR Q3/FY23-24

Office of Research
Compliance and
Outreach

Quarterly Research Compliance Report (1/1/2024 – 3/30/2024)

Executive Summary

The Office of Research Compliance and Outreach (ORCO) provides research compliance metrics information on an annual basis with select metrics on a quarterly basis. This report provides data and analysis of metrics for the third quarter of Fiscal Year 2023/2024.

Findings of interest with respect to HRPP protocols include:

- Currently, Baruch has 278 active protocols on IRBManager.
- 45 submissions were completed/approved¹ during the third quarter of Fiscal Year 2023/2024².
- 26 Annual Check-In forms³ were submitted by researchers.
- 48 submissions were submitted by faculty. 23 submissions were submitted by students.⁴
- During this period 9 forms were received from Marxe, 21 forms from Zicklin, and 41 forms from Weissman.⁵
- The average total number of days that an Exempt protocol was in HRPP Coordinator Review Stage was 5.13 calendar days.⁶
- The average total number of days that a project was in Data Entry Stage⁷ was 19.71 calendar days.
- Faculty advisors⁸, spent on average 2.66 calendar days reviewing their students' projects.
- Average total of Expedited IRB protocol review time, from start to finish as measured by time in the IRBManager system, is approximately 5.21 calendar days.⁹
- There were no full board protocols reviewed during Q3/FY23-24.

¹ IRBManager only provides metrics for projects that are completed/approved quarterly. Projects received in quarter but are "in process" will not appear in this report.

² 44 submissions were completed/approved during the third quarter of fiscal year 2023/2024.

³ Annual Check-In is an automated yearly process required by CUNY Central in which PIs submit a status update for projects to remain active.

⁴ Faculty/Student submission totals include completed/approved submissions and annual check-in form totals.

⁵ School submission totals include completed/approved submissions and annual check-in form totals.

⁶ IRBManager's Days in Stage metric includes weekends and holidays and is based on a seven-day week. Note that this number represents the average review time in HRPP Coordinator Stage. Exempt projects only undergo HRPP Coordinator review.

⁷ Stage when researchers create, submit, and revise their submissions.

⁸ Stage when faculty advisors review and approve applications submitted to the Office of Research Compliance and Outreach.

⁹ IRB Protocol Review Average calculated by adding HRPP Coordinator Review and Review Days in Stage averages.

Quarterly Research Compliance Report (1/1/2024 – 3/30/2024)

Glossary of Terms

Stage/Metrics Types	Definition
Calendar Days	IRBManager measures metrics in terms of calendar days using the seven-day week model. Number does not exclude weekends, holidays, or school closures.
Data Entry Stage	Submission Stage when researchers create or revise their forms. Projects will be sent back to this stage when revisions are requested by the HRPP, IRB, or Faculty Advisor.
Days in Stage	Metrics type refers to the number of days in a particular stage. All stages provide metrics in either times or days.
Faculty Advisor Signature	Submission Stage when Faculty Advisor receives and reviews student submissions. Faculty Advisors can either send projects back to students for revisions or submit the application to the HRPP Office for review.
HRPP Coordinator Review	Review Stage when HRPP Coordinator pre-reviews and make determinations for submissions.
Times in Stage	Metrics type refers to the number of times in a particular stage. All stages provide metrics in either times or days.
Review Stage	Review Stage when project is with Reviewer.

Quarterly Research Compliance Report (1/1/2024 – 3/30/2024)

<i>HRPP Metrics FY 2023-2024 (By Quarter)</i>		<i>Q1/FY23-24 7/1/23 – 9/31/23</i>	<i>Q2/FY23-24 10/1/23 – 12/31/23</i>	<i>Q3/FY23-24 1/1/24 – 3/31/24</i>
Submission Totals	Marxe	4	2	8
	Weissman	19	29	26
	Zicklin	14	7	11
	Total	37	38	45
Number of Faculty Submissions		24	16	27
Number of Student Submissions		13	22	18
Average Days Project was with HRPP Office (Also Average Days for Exempt Review)		3.94	6.6	5.13
Average Number of HRPP Review Cycles		1.81	1.43	1.57
Average Days Project was with Researcher		18.71	22.54	20.53
Average Days Project was with Advisor		5.75	2.87	2.19
Total Average Days for IRB Review (HRPP Coordinator/IRB Review)		5.80	8.52	5.21
Total Average Days of IRB Review Process (Average Days Project is with HRPP Coordinator, IRB Review, and Researcher)		24.51	31.06	25.74

Quarterly Research Compliance Report (1/1/2024 – 3/30/2024)

Count of Submissions By Role/School

Faculty/Students by School	Research Determination ¹⁰	Exempt Review ¹¹	Exempt w/ Limited IRB Review ¹²	Expedited ¹³	Annual Check-In ¹⁴	Grand Total
Faculty	2	15	1	9	21	48
Weissman		9		6	14	29
Zicklin		3		2	6	11
Marxe	2	3	1	1	1	8
Students		15	1	2	5	23
Weissman		9	1	1	1	12
Zicklin		6			4	10
Marxe				1		1
Grand Total	2	30	2	11	26	71

¹⁰ Research Determinations are projects that the local HRPP Office has determined is either not Human Subjects Research or CUNY is not engaged in research activities.

¹¹ Exemptions are determined by the local HRPP Office. This determination is made for human subjects' research that are "exempt" from federal regulations that govern non-exempt research.

¹² Exempt with Limited IRB Review is a process in which an exempt project that is collecting identifiable data undergoes IRB Review. The IRB determines whether appropriate data security and privacy protections are in place to reduce the chance of inappropriate disclosure. Only valid for Exempt Categories 2, 3, and 8.

¹³ Projects requiring IRB Review. Undergoes local HRPP pre-review but is forwarded to the IRB for review/determination.

¹⁴ Annual Check-In is a CUNY mandated yearly automated process in which PIs indicate whether their projects are still active.

Quarterly Research Compliance Report (1/1/2024 – 3/30/2024)

Percentage of Submissions by Role/School

Faculty/Students by School	Research Determination	Exempt Review	Exempt w/ Limited IRB Review	Expedited	Annual Check-In	Grand Total
Faculty	100.00%	50.00%	50.00%	81.82%	80.77%	67.61%
Weissman	0.00%	30.00%	0.00%	54.55%	53.85%	40.85%
Zicklin	0.00%	10.00%	0.00%	18.18%	23.08%	15.49%
Marxe	100.00%	10.00%	50.00%	9.09%	3.85%	11.27%
Students	0.00%	50.00%	50.00%	18.18%	19.23%	32.39%
Weissman	0.00%	30.00%	50.00%	9.09%	3.85%	16.90%
Zicklin	0.00%	20.00%	0.00%	0.00%	15.38%	14.08%
Marxe	0.00%	0.00%	0.00%	9.09%	0.00%	1.41%
Grand Total	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%

Quarterly Research Compliance Report (1/1/2024 – 3/30/2024)

Count of HRPP Times in Stage by Role/School¹⁵

HRPP Times in Stage						
Faculty/Students by School	1	2	3	4	5	Grand Total
Faculty	4	16	3	2	2	27
Weissman	1	10	2	1	1	15
Zicklin	1	3		1		5
Marxe	2	3	1		1	7
Students	2	7	5	4		18
Weissman		5	4	2		11
Zicklin	2	1	1	2		6
Marxe		1				1
Grand Total	6	23	8	6	2	45

¹⁵ HRPP Times in Stage refers to the number of times a project undergoes HRPP Coordinator Review. In Quarter 1, the maximum number of times a project has undergone review is 5. This chart only includes HRPP Coordinator review counts for 45 completed/approved submissions in Q3. Does not include metrics for Annual-Check-in forms.

Quarterly Research Compliance Report (1/1/2024 – 3/30/2024)

Percentage of HRPP Times in Stage by CUNY Role/School¹⁶

HRPP Times in Stage						
Faculty/Students by School	1	2	3	4	5	Grand Total
Faculty	66.67%	69.57%	37.50%	33.33%	100.00%	60.00%
Weissman	16.67%	43.48%	25.00%	16.67%	50.00%	33.33%
Zicklin	16.67%	13.04%	0.00%	16.67%	0.00%	11.11%
Marxe	33.33%	13.04%	12.50%	0.00%	50.00%	15.56%
Students	33.33%	30.43%	62.50%	66.67%	0.00%	40.00%
Weissman	0.00%	21.74%	50.00%	33.33%	0.00%	24.44%
Zicklin	33.33%	4.35%	12.50%	33.33%	0.00%	13.33%
Marxe	0.00%	4.35%	0.00%	0.00%	0.00%	2.22%
Grand Total	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%

¹⁶ This chart refers to percentage of HRPP Coordinator Review Times in Stage based on CUNY Role/School. The percentage of HRPP Times in Stage chart only includes percentages for the 45 submissions completed/approved by HRPP/IRB during Q3. Annual Check-In metrics are not included.

Quarterly Research Compliance Report (1/1/2024 – 3/30/2024)

Research Agreements and Compliance Requests (Q3)

<u>TYPE OF AGREEMENT/COMPLIANCE REQUEST</u>	<u>DATE OF SUBMISSION</u>
Data Use Agreement	2/21/2024
Export Control Inquiry	1/30/2024
Export Control Inquiry	1/30/2024
Export Control Inquiry	2/22/2024
Export Control Inquiry	2/23/2024
Export Control Inquiry	2/25/2024
Export Control Inquiry	3/20/2024
Export Control Inquiry	3/25/2024
Export Control Inquiry	3/29/2024
Independent Researcher Agreement	1/30/2024
Independent Researcher Agreement	1/30/2024
Independent Researcher Agreement	2/23/2024
Independent Researcher Agreement	2/25/2024
Independent Researcher Agreement	3/29/2024
IRB Authorization Agreement	1/4/2024
IRB Authorization Agreement	1/31/2024
Permission to Recruit – Adjunct Request to Serve as PI	1/16/2024
Permission to Recruit	2/21/2024
Permission to Recruit	3/18/2024
Permission to Recruit	3/11/2024
Restricted Data Use Agreement	1/2/2024
Restricted Data Use Agreement	2/20/2024
Restricted Data Use Agreement	2/26/2024
Restricted Data Use Agreement	3/25/2024