

San Diego State University
Research Foundation



Annual Report
Fiscal Year 2012 – 2013

Cover photo: Charles Dickerson

SDSU anthropology graduate students Breana Campbell (left) and Linda Bentz excavating at a 19th century Chinese abalone fishing camp on Santa Rosa Island, California

Principal Investigator: Dr. Todd Braje, anthropology

Dr. Braje's work on San Miguel Island, western-most of the Northern Channel Islands, has demonstrated that historic abalone camps can be found along California's Channel Island shorelines and can provide a detailed picture of lifeways, activities, and impacts of early historical occupants of the islands.

Dr. Braje has extended this work to Santa Rosa Island where anecdotal evidence of early Chinese occupations exists. This work constitutes the first archaeological project designed to record historic sites on Santa Rosa Island and provides crucial data on an important and poorly understood period of Pacific Rim history when fisheries in western North America had become a crucial part of globalized food exports.

Funding agency: Western National Parks Association



Annual Report 2012-2013

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September 27, 2013

Dear board members,

I'm pleased to present the SDSU Research Foundation Annual Report which highlights FY 2012-13 accomplishments. One major theme has characterized FY 2012-13: investing now for the growth of research in the future. This theme is aligned with the goals identified in *Building on Excellence*, SDSU's strategic plan. The investments in research the university is making will enhance SDSU's profile of research excellence.

The university's strategic plan identified four "areas of excellence" which will receive 16 new faculty positions over the next two years. This investment and the university's ongoing commitment to recruit researchers to regular faculty positions as well as to make substantial investments in research equipment and infrastructure will have a tremendous impact on the SDSU research portfolio. Our core mission to administer SDSU's research grants and to provide space for research activities will remain critical as these new programs and researchers arrive and begin to conduct their important work.

Following the "invest in research now" theme, a series of service enhancement initiatives was launched focused on improving the infrastructure needed to support SDSU researchers. As a result of the 2011 NCURA report and extensive consultation with the principal investigator community, several specific services and functions were identified for investment—all of which seek to streamline processes and create efficiencies that will better support faculty and project directors while meeting the ever-increasing legal, regulatory and compliance requirements involved in research and sponsored program administration. These initiatives are discussed in more detail in the "highlights" section of this report.

While there is much to look forward to in terms of future research growth, revenues are projected to decline in the short-term. Management is taking a multi-faceted approach to address this challenge that includes investing in the cost-saving initiatives described above, strategic staffing, and prudent use of reserves to bridge the funding gap and maintain our core services.

FY 2012-13 marks a transition with the retirement of SDSU's long-serving vice president for business and financial affairs and research foundation treasurer, Sally Roush. While her leadership will be missed, we look forward to working with Vice President Tom McCarron and his team as we move into the future.

We continue last year's efforts to consolidate the following year-end reports:

- SDSU Research Foundation 2012-2013 Annual Report (this report)
- FY 2012–2013 Awards Listing (all grants made to SDSU faculty and staff; available at www.foundation.sdsu.edu)
- San Diego State University 2012–13 Research Highlights (brochure featuring research profiles; in progress).

None of the accomplishments highlighted here, nor the efforts to address challenges, could be achieved without the hard work of our staff. I continue to be impressed by the professionalism, competence, and dedication of our employees. Their work may not always be visible but it is what makes us successful. My heartfelt thanks go to each of them, and to you, our board members, for your ongoing support and leadership.

Bob E. Wolfson
Executive Director
SDSU Research Foundation

I. MANAGEMENT/BOARD OF DIRECTORS

Incorporated in 1943, SDSU Research Foundation is an auxiliary organization of San Diego State University. Authorized by California's Education Code and governed by a board composed of SDSU faculty/staff and community members, the research foundation exists to serve SDSU.

The management team guides the organization and includes the executive director and four associate executive directors of: sponsored research services, finance and operations, facilities planning and management, and research advancement. Working closely with SDSU's vice presidents for research and business and financial affairs, the senior team manages resources, sets policies, and guides the efforts of a dedicated staff who seek to facilitate the work of SDSU researchers.



Research foundation department heads

Board of Directors

The principal function of the board is to establish policies and to guide the research foundation in achieving its objectives. SDSU's president serves as president of the board and is charged with ensuring that research foundation policies and functions conform to the policies of The California State University board of trustees and San Diego State University.

Board composition

Five SDSU ex-officio directors: the President, the Provost, the VP for Research, the VP for Business & Financial Affairs, and the Associated Students President; four SDSU faculty members recommended by the University Senate and elected for four-year terms; and seven individuals, four of whom are "public" members from the community, nominated by the president and elected for three-year terms.

The FY 2012-13 board is composed of the following members; the FY 2013-14 board will be elected on September 27, 2013.

Dr. Elliot Hirshman
PRESIDENT
President, SDSU

Dr. Stephen Welter
VICE PRESIDENT
Vice President for Research and
Dean of Graduate Affairs, SDSU

Ms. Sally Roush
TREASURER
Vice President for Business and Financial Affairs,
SDSU

Dr. Karen Emmorey
SECRETARY
Professor of Speech, Language and Hearing Sciences,
SDSU

Dr. Kim Barrett
Professor of Medicine and Dean of Graduate Studies
University of California, San Diego

Dr. Sanford Bernstein
Professor of Biology, SDSU

Ms. Paula Brock
Chief Financial Officer
Zoological Society of San Diego

Dr. Roberta Gottlieb
Director, BioScience Center, SDSU

Dr. Craig Hauser
Vice President Scientific Resources
Sanford-Burnham Medical Research Institute

Dr. Elizabeth Klonoff
Professor of Psychology and
Co-Director of Clinical Training, SDSU

Dr. Mary Ann Lyman-Hager
Professor of European Studies, SDSU

Dr. Nancy Marlin
Provost, SDSU

Dr. Marilyn Newhoff
Dean, College of Health and Human Services, SDSU

Mr. Rob O'Keefe/Mr. Josh Morse
President, Associated Students, SDSU

Dr. Randolph Philipp
Professor of Mathematics Education, School of
Teacher Education and Center for Research in Math
and Science Education (CRMSE), SDSU

Mr. Walter Turner, Jr.
Retired Partner, Touche Ross & Company

II. 2012-2013 HIGHLIGHTS

Core Mission

The research foundation's core mission is to administer SDSU's grants and contracts and provide space for SDSU research programs. In FY 2012-13, SDSU faculty and staff received \$115 million in awards. SDSU Research Foundation provides a full-range of essential services to support these programs. Our staff coordinated the submission of 908 proposals to 266 sponsors, processed 709 awards and managed approximately 3,000 funds for more than 700 individual faculty and project directors. In addition to this ongoing work, staff worked hard this past year to implement recommendations to improve systems and services based on recommendations from the 2011 National Council of University Research Administrators (NCURA) report and consultations with SDSU principal investigators. Key accomplishments are described below.

SERVICE AND SYSTEM HIGHLIGHTS

Electronic Proposal Routing

One of the recommendations of the NCURA review and a priority identified by the PI community was an electronic proposal routing system. After consultation with deans, department chairs, and school directors, research foundation staff began work on this initiative which replaces existing paper-based processes. When implemented in early spring of 2014, it will bring efficiencies and streamlining to the proposal routing process across the university.

Benefits of the new system include:

- Allows PIs to submit a proposal routing and approval form electronically
- Allows approvers to review and sign electronically from any device that has internet access
- Completed proposals will be readily available, eliminating the need to keep local copies
- Provides a streamlined approval process
- Increases reporting capabilities for colleges and departments.

Employee recruitment, web-based time and attendance reporting including time and effort reporting

Automating the time reporting function was another NCURA recommendation and high priority for principal investigators. This large and complicated undertaking is divided into four separate components culminating in automated time reporting for employees and effort reporting certification for faculty. An enhanced employee leave management system will also be implemented. The four components currently in progress include:

Electronic Applicant Tracking & Employee On-Boarding System

This initiative provides improvements and efficiencies in the posting of positions, the application process and the tracking of applicants through the hiring process. The new system has been designed and a vendor selected. Detailed implementation plans have been developed and are in the process of being executed. The target implementation date is the fall of 2013.

Electronic Personnel Action Forms (ePAF)

This project will replace the cumbersome paper processes that are currently required to execute any personnel action with an electronic system. Improvements will relieve the principal investigator (or fund manager) of significant paperwork burdens, reduce turnaround time and increase efficiencies at the research foundation. These are complicated and interrelated processes to automate. This phase will follow the onboarding and time attendance implementation schedule.

Web-based Time & Attendance Reporting

This initiative will replace the existing paper-based time reporting system with web-based, electronic time reports. We have assessed existing policies and procedures, begun mapping existing pay scenarios specific to research administration, and identified exceptions. Vendor interviews have been conducted and the finalist selected. Extensive information sessions have been conducted with the broad community served by the research foundation. Data from these sessions is currently being used to help guide decisions on the specifications for the final system. Representatives from Workforce, the software developer, have been meeting with research foundation staff to flesh out the details of the design. A timeline has been developed with implementation planned for the spring of 2014.

Electronic Faculty Time & Effort Reporting

This initiative will replace the current in-house database and paper processes and allow faculty to review and certify their effort electronically. Effort report certifications will be reduced from five to three times per year. The current processes have been assessed and documented, data fields have been identified and work is underway to design the necessary tables and data feeds. Implementation is targeted for phase two of the project in fall 2014.

Electronic IRB Routing and Tracking

This initiative seeks to replace an aging in-house system to support human subjects research. While this is an SDSU Division of Research Affairs project, research foundation staff devoted significant time assisting with the project design and vendor selection. Involvement in this project going forward is anticipated to be minimal.

Procurement Card Program

Staff spent considerable time planning and programming for a new Procurement Card (PCard) program and on August 1, 2013 the new plan was launched. The new PCard program increases cardholder limits, increases rebate potential and expedites the approval process for low risk transactions. A PCard travel subcommittee has planned, tested and worked with PIs to pilot a travel component of the card. It is anticipated that the travel feature will be ready for implementation during the fall of 2013. Review and approval procedures have also been streamlined and supporting documentation may now be submitted electronically.



Direct Deposit of Personal Reimbursements

A significant service enhancement that has been very well received is the implementation of new direct deposit processing for personal reimbursements. This service allows PIs and their staff to receive reimbursements and other payments electronically by direct deposit, reducing the number of paper checks distributed by accounts payable. This functionality also lays the groundwork for payment to vendors via electronic payments, further reducing the number of paper checks and associated printing and mailing costs each year.

Cell Phone Policy

A new allowance-based cell phone policy was implemented in FY 2012-13. The new policy will result in more efficiency and cost savings in the administration of our cell phone plans, making policies consistent across the university, giving PIs direct access to the service provider, removing the research foundation as the middle person, and giving participants ownership of their equipment.



Denise Carroll works with AT&T to provide new cell phone service and equipment to PIs

Responsible Conduct in Research (RCR) Compliance Tracking System

Staff collaborated with SDSU Graduate and Research Affairs (GRA) to develop systems and processes to comply with federal requirements to track mandatory compliance training in the responsible conduct of research. The system automatically triggers e-mail notifications to new employees subject to the training requirement, copies GRA and saves a copy of the notification to the award file. PIs may also now access a list of their funds that have this federal requirement, view which students have been notified of the requirement and see if they have complied.

PI Profile Enhancements

Research foundation staff, in consultation with PIs and project staff, worked together to design enhanced functionality for the delivery of information via PI Profile, a secure web-based interface with Banner, our management information, payroll and financial accounting system. The following improvements were made to help SDSU faculty and staff manage their research foundation-administered accounts.

- Employee vacation and sick leave accruals were added to the employee list functionality so PIs can better monitor leave balances.

- Password programming was updated to allow for aging and increased security.
- Detailed queries were enhanced to include data for a fund regardless of fund manager.
- PI Profile users with multiple user names may now access all their data using a single log on.

FISCAL/ADMINISTRATIVE HIGHLIGHTS

Property Transfer

It has been the university's goal to realign the various real estate holdings of its auxiliaries to best reflect their current missions. To meet this objective, research foundation staff coordinated with colleagues in SDSU's business and financial affairs and Aztec Shops to facilitate the transfer of certain student housing and commercial property and their associated debt, from the research foundation to Aztec Shops. This transfer allows us to focus our efforts on property holdings that house and support research activities.

The property transfer was unanimously approved by our board at its May 2013 meeting and the first phase of the transfer involving the Fraternity Row apartments, three chapter houses, and the Piedra del Sol student apartment project has been completed. These properties are adjacent to campus on Hardy Avenue. Aztec Shops will also manage/control College Square, a retail and classroom center, a mixed use student housing and retail facility and the retail strip mall at 5157 College Avenue. It is anticipated that Aztec Shops will exercise their option to purchase these properties and the Sanctuary building in the next several years.

Budget

While we expect research and sponsored program activity to substantially increase in the next three to five years as a result of major SDSU initiatives, in the near term, research foundation revenues are projected to continue to decline. This challenging situation is being addressed in several ways including: investing in the enhanced service initiatives described above which are anticipated to reduce costs once they are implemented; strategic staffing to maintain core functionalities; and the prudent use of reserves to fund current operations with the commitment to replenish reserves when the financial situation improves.

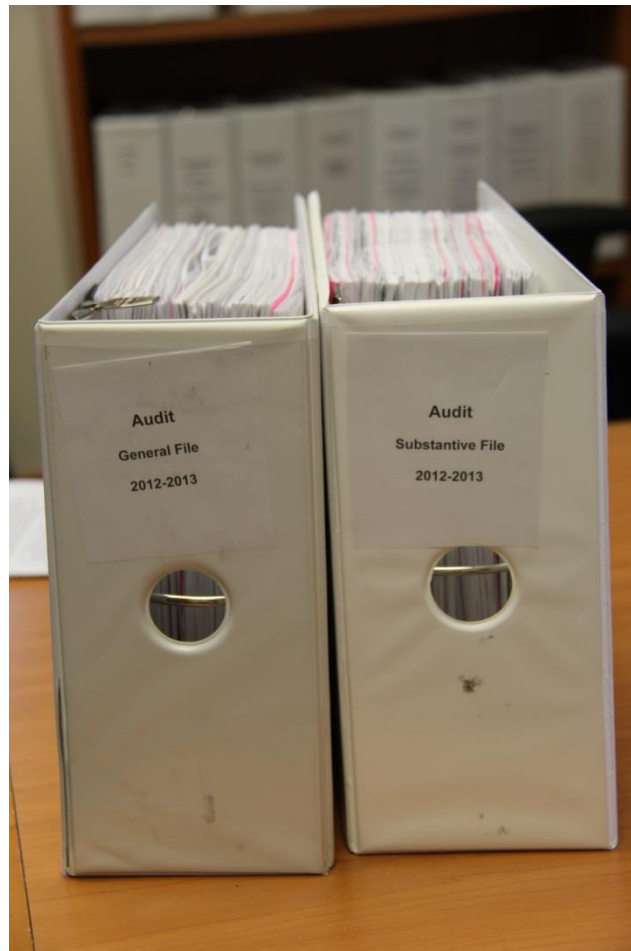
F&A Rate

The maximum recovery of facilities and administrative costs (formerly "indirect costs") is critical to the financial health and stability of our organization. Renewal of the federal facilities and administrative (F&A) reimbursement rate is a process that requires the coordinated effort of the university, principal investigators, and research foundation staff. The rate is negotiated every four years and takes months to complete and involves a complex multi-process calculation that requires a thorough knowledge of both university and research foundation

costs, and expertise in the use of specialized computer software. **The new rate proposal was submitted in April 2013 and is currently being reviewed by the U.S. Department of Health and Human Services.**

Audits

SDSU Research Foundation operates in a highly regulated environment. Compliance with federal, state, and CSU regulations is critical and monitored via regular audits. **Twenty-two sponsor audits were conducted last year**, only one of which resulted in any findings; the purported disallowed costs are in dispute.



Agreement with The Campanile Foundation

The operating agreement between SDSU Research Foundation and The Campanile Foundation (TCF) was revised for a one-year term. The new operating agreement better aligns the services being provided and their costs with the fee structure. As part of the process, research foundation staff worked with TCF accounting staff to set up an on-line document repository for endowment funds and to provide TCF personnel with direct access to research foundation enterprise systems including Banner, Nolibweb and Discoverer reporting.

COMMUNICATIONS HIGHLIGHTS

2011-2012 Research Brochure

In FY 2012-13, in collaboration with Vice President for Research Welter, staff created a research piece that profiled the diverse awards SDSU faculty received during the 2011-12 year. This brochure was used by a variety of SDSU and SDSU Research Foundation departments to publicize the research being conducted at SDSU.



PI Reception

The year 2013 marked the 70th anniversary of SDSU Research Foundation. The milestone was celebrated at a reception for principal investigators whose work we have been supporting for the last seven decades. See photos on page 41.

Social Media

A team of staff from each research foundation division is examining various social media tools and how we can establish a presence and incorporate them in our communications. Staff rolled out two social media campaigns (Facebook and LinkedIn) aiding both communications and recruiting efforts.

SDSU Research Foundation's LinkedIn page

III. SUMMARY OF SERVICES AND ACTIVITIES BY DEPARTMENT

SDSU Research Foundation serves the university in many ways including identifying potential grant funding; proposal development and submission; management of funds; investing in research; and acquiring/managing facilities. This section describes the specific activities and accomplishments of each department.

- A. Office of Communications
- B. Sponsored Research Services
 - 1. Sponsored Research Development
 - 2. Sponsored Research Contracting & Compliance
 - 3. Sponsored Research Administration
- C. Finance & Operations
 - 1. Accounting
 - 2. Investment Management and Financial Reporting
 - 3. Financial Systems
 - 4. Computing Services
- D. Human Resources
- E. Facilities Planning & Management
- F. Research Advancement

A. **Office of Communications**

The office of communications (OC) is responsible for the overall communications of SDSU Research Foundation, including communication with sponsors, SDSU principal investigators, employees, the media, and other internal/external constituents. Activities fall into one of two primary functions: 1) grant Information and 2) communications.



Jenna McCart (seated), Debbie Brighton, Jonathan Florendo

1. Grant Information

The communications office disseminates information about funding opportunities and helps transition those who have identified a potential sponsor to the appropriate development specialist for proposal submission. The goal is to provide timely and relevant information about opportunities and sponsoring agencies/programs/budgets, and to facilitate the grant search process. This is done by matching opportunities with faculty interests, customizing searches, working with new faculty, and hosting seminars. As in previous years, more than 2,000 grant-related email notices were disseminated.

An update of our Faculty Interest Profile System (FIPS) is in progress. This will allow us to most effectively match funding opportunities with faculty interest areas and help ensure we are best targeting the information our faculty need to know about where and when to apply for grants. We currently have 627 faculty/staff signed up on FIPS to receive funding notices.

OC Survey. In response to an NCURA report recommendation, we surveyed faculty about OC services. The survey was sent to 600+ faculty on our system. We received 205 responses and worked with SDSU's Social Science Research Lab and volunteer PIs to analyze the results. Based on the survey and feedback we received, we anticipate making changes to the way we disseminate funding information to better meet faculty needs.

Workshops and webinars. The OC hosted 17 workshops and webinars (a slight decrease from the number hosted the previous year) on a broad range of topics including: funding searches; how to get a grant; F&A costs, budget basics, immigration tax issues; and purchasing. New last year were timely webinars related to federal budget issues; deemed export compliance; NIH RPRR (Research Performance Progress Report) training; changes to NIH policies; a grant tips workshop facilitated by management information systems Professor Robert Briggs; and a web conference with Deputy NIH Director Lawrence Tabak. Dr. Tabak provided an NIH update on new initiatives and the fiscal climate. Approximately 235 faculty and staff participated in our workshops (a slight decrease from the previous year).



Dr. Robert Briggs talks with workshop participants



John Borchert and Bob Wolfson greet an F&A workshop participant

We are now recording our workshops and making them available (audio and video recordings) to those unable to attend. We expect to interest/educate more faculty by providing this option.



Rachel Stiehl and Joelle Morgan-Sattler: the voices behind the budget development recording!

Outreach to new SDSU faculty. Special efforts are made to welcome new faculty and provide an introduction to pre-award services including funding identification and proposal preparation. Three of last year's five new faculty have already submitted four proposals requesting \$624,024. Of the 179 new faculty who joined SDSU in the last six years, 63 submitted 117 proposals; 29 of them received 54 awards totaling \$10.5 million.

Outreach to graduate students and postdoctoral researchers. SDSU faculty recognize the importance of educating and preparing students to enter the world of grants. In FY 2012-13, our staff members were invited to make grant-related presentations to graduate classes in arts and letters, health and human services and the Zahn Innovation Center.

We also implemented a new program to provide funding information directly to SDSU's postdoctoral researchers who work with SDSU faculty. Sixteen principal investigators identified thirty-two postdocs who now receive targeted funding notices. This initiative will continue in FY 2013-14 when we plan on hosting a panel of PIs to discuss the grant process with postdoctoral researchers.



Dr. Marian Liebowitz co-hosted (with Jenna McCart) a grants workshop for her students

;



Michèle Goetz welcomed PIs to the BioScience Center for a live NIH web conference and introduced Deputy Director Tabak

2. Communications

The office of communications is responsible for internal and external communications, media relations, issues and crisis communications, publications, reports, and web content. The director of communications also works closely with SDSU's marketing and communications team to highlight and promote the work of SDSU researchers.

Grants of the Week. In FY 2012-13 we began preparing a weekly notice of new grants received to share with university administrators and communicators. Vice President for Research Welter makes a campus announcement of featured grants. We work with the SDSU marketing team to promote new awards and interesting programs.

PI Lecture Series. The PI Lecture Series continued in FY 2012-13. Nine principal investigators presented lectures about their work to research foundation staff. This remains a positive mechanism for integrating staff with the PIs we support.

2012-2013 PI Lecture Series



From top left:

Bob Wolfson introduces Dr. Margaret Friend

Dr. Doug Grotjahn

Dr. Laura Hall, SR administrator Kim Ruff, Dr. Bonnie Kraemer

Dr. Tom Novotny, Jane Hong

Dr. Walt Oechel's full house

Dr. Tom Rockwell

SR administrator Cheryl Whittemore, Dr. Walt Oechel, SR development specialist Jeanine Zuber

SR administrator Brahman Gnad, Dr. Alex DeNoble

SR administrator Tatiana Bosquet, Dr. Ricardo Zayas, SR development specialist Karmin Real

Tim Hushen with Dr. Mary Ann Lyman-Hager, who hosted her lecture at the Language Acquisition Resource Center; LARC Afghan Language and Culture Program staff members Breshna Aziz, Yama Meerzada, Mohammad Zekria, Farid Saydee, Mohammad Atmar

B. Sponsored Research Services (SRS)

This division consists of the Sponsored Research Development (SRD), Sponsored Research Contracting and Compliance (SRCC) and Sponsored Research Administration (SRA) departments. It is responsible for all aspects of research administration, from developing and submitting proposals to negotiating contracts and administering awards received by SDSU faculty and staff.

SRD, SRCC, and SRA staff are supported by a small staff of technicians who provide data entry and other administrative support services for the entire division. Technicians are responsible for the accuracy of data entry associated with proposals and assisting in the routing process. They assist with award administration by preparing invoices and journal vouchers, set-up and maintenance of encumbrances, budget entry and award analysis entry. Centralizing the support staff enables for reallocation of resources as needed during critical deadlines or periods of heavy workflow. Centralizing tasks also allows for a comprehensive training environment to facilitate promotion within the division.

SRS Technicians



Sarah Harper, Jennifer Haynes, Karen Lenhof, Paul Milbury and Charlene Holkenbrink-Monk



Marlo Martinez



Mayra Estrada

B1. Sponsored Research Development (Pre-Award Services)

Sponsored Research Development (SRD) is the pre-award office that partners with faculty to ensure the timely, accurate, and efficient submission of proposals to funding agencies. SRD specialists assist with a variety of pre-award services including assisting PIs with the interpretation and application of funding guidelines; developing detailed budgets and budget narratives; developing administrative sections of proposal documents; facilitating campus review and approvals; providing guidance on institutional policies and procedures (e.g., cost sharing, F&A rates, additional employment; compliance); preparing applications for electronic submission; and transitioning to post-award when a grant is received.



SRD staff Jeannine Zuber, Joey Principato, Joelle Morgan-Sattler, Jennie Amison, Alma Esquivel, Joanne Cobble, Linda Torgersen, Steve Torok, Elizabeth Christensen, and Karmin Real

SRD specialists helped 329 proposers submit 908 proposals to 266 different sponsors during FY 2012-2013. Proposal volume in FY 2012-13 has decreased by 12.8% from FY 2011-12 submissions. Factors such as sequestration, faculty retiring from SDSU, and funding opportunities being reduced or eliminated have all played a role in the reduction of proposals and awards. Although the number of proposals has decreased from 1,042 in FY 2011-12, the complexity of the proposals submitted to new and ongoing sponsors has increased. With tight federal budgets, resourceful SDSU faculty are seeking less traditional funding from sponsors that may not be familiar with public universities. These sponsors provide both opportunities (for funding) and challenges (proposal development and administration).

An additional 22 new regular faculty members have been recruited for FY 2013-14 - many of whom are already working with SRD staff on their active grants or on the funding opportunities they have already identified. Staff will also work with the new faculty who will be recruited as part of the Areas of Excellence initiative.

In FY 2012-13, SRD staff saw an increase in large, multi-institutional applications. SRD helped SDSU faculty submit several significant proposals including two NIH Center applications – large, intricate, multi-institutional applications responding to NIH priorities in the areas of therapeutics and tobacco regulatory science. Also, an NIH planning grant application for the National Research Mentoring Network was submitted, which involved collaboration across the two California university systems. Staff worked with Dr. Talavera to submit his successful competing renewal application for the NIH-funded Hispanic Community Health Study San Diego Field Center. This multi-year, multi-million dollar award continues the work being done at The San Diego Field Center - one of four centers focused on Latino health in the nation.

Use of the InfoEd software application to submit proposals electronically continues to increase, and will eventually be used to route and track all proposals, regardless of sponsor agency. In FY 2012-13, 138 proposals were submitted to federal agencies using InfoEd. This represents a 9% increase over the previous year's InfoEd submissions. Federal agencies accepting electronic proposals from InfoEd include NIH, the departments of education, agriculture, defense, justice, interior, and transportation.

B2. Sponsored Research Contracting and Compliance (SRCC)

SRCC is responsible for the processes that take place “at award” including the receipt, review, negotiation and acceptance of sponsored program agreements, the preparation, negotiation and issuance of subagreements, and coordination of compliance documentation with SDSU's Division of Research Affairs.

During the past fiscal year, SRCC continued to pursue more effective and efficient business practices related to award acceptance and subagreements.

Mandatory compliance-related requirements continue to increase, with the addition of Department of Health and Human Services Financial Conflict of Interest and the Federal Funding Accountability and Transparency Act (FFATA) regulations in FY 2012-13. Contracting language is becoming more restrictive, requiring greater negotiation efforts to protect faculty rights to publish, retention of intellectual property rights and the ability to utilize foreign students and visiting scholars on research programs. In order to protect these academic freedoms, SRCC has worked closely with the Vice President for Research to establish clear

processes for assessing the impacts of restrictive clauses on faculty and student research and documenting academic approvals before accepting restrictive contract terms.



SRCC staff (front): Lilly Rubi, Shelby Montgomery, Danielle Arellano-Rieger
Back: Francisco Mejia, Joel Gossett, Sandra Nordahl, Tannaz Niknejad

Award Acceptance

The compilation of metrics tracking the various contractual award components began in FY 2012-13, allowing a more precise measure of activity. SRCC has implemented a teaming approach with SRD to review agreements as early as possible in the pre-award process. Communication lines have been enhanced with project directors during the negotiation phase of awards. **Over 350 contract negotiations occurred during FY 2012-13.** Non-profit, higher education, federal and State of California agencies account for 72% of the negotiations.

Contract Review and Award Mechanisms

SRCC provides a coordinated negotiation process that includes project directors and SRS departments. Systems have been established that allow for easy access to previous negotiation notes, reducing the turnaround time from receipt of contract to award. Common negotiations include acceptable indemnification language, intellectual property rights, administrative issues, confidentiality, termination, insurance and invoicing issues.

Subagreements

SRCC continues to work diligently to prepare subagreements expeditiously and significant improvement has been made in processing time since the department was established in 2009. While templates are available for quick preparation, in some cases a complex conversion from

general grant terms/conditions to for-profit Federal Acquisition Regulation (FAR) clauses is needed. Efficiencies have been created that allow for a more expedient review of FAR clauses. Table 1 shows an approximate 5% increase in subagreements for FY 2012-13.

Table 1 Subagreement Data by Type of Awardee

Type of Subagreement	FY 10-11	FY 11-12	FY 12-13
FFRDC/Federal	1	3	2
For Profit	52	50	93
Higher Education	155	136	131
Hospital/Medical	20	19	14
International	20	14	5
Local Governments	8	5	6
Nonprofit	23	24	11
Total Subagreement Actions	279	251	263

B3. Sponsored Research Administration (Post-award Services)

The Sponsored Research Administration (SRA) department serves two primary functions: 1) providing support and assistance to faculty on the administration, compliance and fiscal management of grants and contracts awarded from federal, state and local government and private funding agencies; while 2) ensuring that funds are expended in accordance with the terms and conditions of the funding agency, SDSU Research Foundation policies and procedures and SDSU and CSU regulations. In addition to externally funded research and scholarly activities, the SRA department is responsible for the administration of gift funds on behalf of The Campanile Foundation, SDSU’s campus and community programs, as well as institutional allocations such as research support funds.

During FY 2012-13 SRA worked with more than 700 individual principal investigators and continued to manage and support over 1,000 active grants and contracts and approximately 2,000 combined gift funds, campus and community programs and institutional allocations.



SR administrators Brenda Rangel, Bonnie Brown, Julie Alsbrooks, Richard Brandt, Helena Bristow, Jennifer Sneed, Rachel Stiehl

Sponsored research administrators work closely on a daily basis with principal investigators and their staff to provide services related to overall fund management. Their responsibilities include analyzing agency terms and conditions as they apply to proposed grant activities, reviewing and approving program expenditures, preparing financial projections of proposed expenditures to help faculty identify budget reallocation needs, trouble-shooting issues and assisting with the identification of options for problem resolution. Administrators are also responsible for ensuring the accuracy and allowability of faculty compensation, monitoring of subagreements, documenting cost-sharing commitments, and tracking and reporting program income.



SR administrator Brahma Gnad

Sponsored research (SR) administrators serve as a liaison between principal investigators, project staff and other research foundation departments such as human resources, facilities and the various business services units to facilitate requests pertaining to the operation of funded projects. SR administrators play a key role in providing feedback to other departments when policies and procedures are updated or revised to ensure functionality for sponsored programs. SR administrators also work with principal investigators and sponsoring agencies to request changes in scope of work, key personnel, time extensions or other significant changes to the project that require funding agency review and approval.

Automation of Fund Close-Out Letter Processing. In FY 2012-13, SRA staff collaborated with the SR systems manager and computing services to implement a streamlined automated process to generate e-mail alerts to PIs when funds are 90 days from their expiration date, replacing labor-intensive paper processes. Another new feature allows PIs to designate personnel who should receive research foundation communications.

SRA management continues to play a key role in SDSU Research Foundation-wide initiatives that focus on improving processes, streamlining operations and enhancing customer service.



SRA director Renée Lechner works with finance and accounting director Rich Rechif

C. Finance and Operations

The finance and operations division is responsible for safeguarding research foundation assets. Through its finance and accounting, investment management and financial reporting, and financial systems departments, the research foundation provides invoicing, financial reporting, investment management, financial systems, purchasing, tax reporting, and payroll services for research and project funds, scholarships, institutes, KPBS TV/FM and The Campanile Foundation. This includes preparing and coordinating internal and external financial and compliance audits as well as maintaining appropriate internal controls.



Front row: Danielle McLaughlin, Sadie Osbourne; Second row: Peggy Wong, Vanessa Rodriguez, Lauri May-Hermann, Melinda Coil, Laura Johnson, Rachel Lancaster, Lerma Alejandro
Back row: Peggy Wong, Eli Wheeler, Rich Rechif, Andrea Prescott, Jan Conery

C1. Finance and Accounting coordinates all financial reviews and audits, including those by sponsor agencies, independent auditors, and the CSU Chancellor’s Office. **Twenty-two sponsor audits were conducted in FY 2012-13 (compared to 15 in FY 2011-12)**, only one of which resulted in any compliance findings or disallowed costs, and the purported disallowed costs are in dispute. By the end of September each year, SDSU Research Foundation’s finance and accounting department is required to furnish to the CSU Chancellor’s Office an audited Governmental Accounting Standards Board basis financial statement and an audited compliance report of federal awards in accordance with the Office of Management and Budget (OMB) Circular A-133. In addition, the department assists with the audits of The Campanile Foundation and KPBS. All required financial and compliance audits (including those we assist

with for KPBS and The Campanile Foundation) were completed on time and all with unmodified opinions (the highest level of opinion). The financial administrators also invoice and coordinate the financial reporting functions for all sponsored programs funds.

Tax Compliance and Filing

Finance and accounting staff coordinate all required tax compliance and filings. The department prepared annual Federal and California Returns for Organizations Exempt from Income Tax and Federal and California Exempt Organization Business Income Tax Returns. Our Federal Return for Organizations Exempt from Income Tax included 58 pages of computations and statements. The staff also prepared quarterly sales and use tax returns, property tax exemption requests for 81 parcels in six different counties, annual and quarterly payroll tax returns for the IRS and 27 different states, and 65 non-resident withholding certificates.

The number of transactions processed in FY 2012-13 decreased as anticipated with the overall decrease in funding. Comparative figures for FY 2011-12 are in parentheses. The payroll department processed **47,408** (49,079) payroll checks and prepared **4,156** (4,574) W-2 Forms. Accounts payable paid **51,071** (55,400) invoices and **5,515** (6,826) purchase orders were placed by the purchasing department. In addition, **7,061** (7,634) travel claims were processed.





Accounts payable staff
Standing left to right: Frances Fairchild, Sadie Mackell, Sharon Avens, Cynthia Wright
Seated: Judy Williamson, Dede Taylor, Victoria Young

C2. The Investment Management & Financial Reporting department oversees the daily management of multiple cash and investment accounts as well as the overall investment strategy for the cash equivalents pool consisting of the combined cash from Campanile current funds, College of Extended Studies, KPBS and SDSU Research Foundation programs. The cash equivalents pool currently exceeds \$50 million. The department also performs full monitoring and administration of a stand-alone health-plan retirement Trust of \$8 million, a Department of Insurance-authorized Annuity Pool of approximately \$2 million and various endowed assets such as stock and real estate.

During FY 2012-13, several new initiatives were launched to improve the risk and management of corporate and retirement trust funds including the identification of a 403B Plan consultant, the electronic scanning of all historic endowment fund documents, and the hiring of a new Gift Annuity and Unitrusts administration provider.

All transactions related to SDSU endowments including changes in market value and distributions to operating fund are managed by this department. At year-end, summary reports are produced to assist with the majority of The Campanile Foundation annual reporting requirements.

In addition to investments, the department is responsible for management and issuance of debt, including the organization's complex tax-exempt bond offerings and maintaining a flexible \$12 million line of credit with SDSU Research Foundation's bank. During the year, a majority of the outstanding bonds were refunded reducing total principal and interest payments and resulting in substantial future savings.



Rich Rechif, director of finance and accounting with Chief Financial Officer Melinda Coil and director of investments Erik Davidson

C3. Financial Systems coordinates Banner system improvement projects and provides general office support to other departments via the Transaction Team in the areas of data entry, document scanning, daily AP check audit, filing, and special projects as needed. A major project last year was developing and presenting the data for renewal of the federal facilities and administrative (F&A) cost reimbursement rate which is detailed further in the "Highlights" section of this report.

C4. Computing Services

Computing Services is responsible for architecting, supporting, maintaining and securing the information technology infrastructure required to support SDSU Research Foundation operations and business processes including the accounting, human resources, proposal development, document imaging, network and server administration, web and reporting systems. This includes ongoing development of PI Profile and WiRE, the web-based reporting tools for principal investigators and their staff to manage funds.

Technical staff work closely with other departments to develop and implement technology initiatives that support enhanced services and contribute to increased productivity, security and accessibility to information. Each electronic initiative and automated workflow provides ongoing value in improved service levels and operational efficiencies and moves us forward on our ongoing journey toward a “paperless” environment. In FY 2012-13, significant progress was realized on projects identifying several paper-based processes for redesign and electronic delivery: proposal development and routing; HR processes including job requisitioning, applicant tracking, employee on-boarding, and personnel action forms; and on-line time reporting, including faculty effort certification and leave administration. These enhanced service initiatives are described in more detail in the “Highlights” section of this report.

Future electronic initiatives to replace wet ink and paper-based processes (e.g., purchase requisitions, payment authorizations) will be implemented after consultation with PIs and when time and resources become available.



Richard Cobble in computing services data center



Alex Delino assists Jennie Amison

D. Human Resources (HR)

HR is responsible for recruitment, employee relations, compliance, benefits, and compensation administration. Due to cost savings initiatives, certain functions of risk management and legal affairs formerly under HR have been shared with other departments.

HR Business Partners

HR moved to a decentralized service model to provide better service to our partners in the field. We accomplished this by dedicating a skilled HR professional (“business partner” or HRBP”) to project personnel based on location and group size, giving all projects and central staff one point of contact for all HR matters. Our five HRBPs are each assigned an average of 400 personnel to support. The department processed 2,900 new hires during FY 2012-13 and conducted 34 new hire orientation meetings processing 165 full time appointments.



HR staff: Connie Rhamy, Victoria Kuebler, Denise Engelschjon,, Mary Manesis, Quincy Cruz, Maggie Lopez, Ruben Ramirez, Sara Barrett, Adrienne VanDeWiele, Erin Warnock, Sharon Bartolo,, Corinne Okonek, Ann Billing, Marta Dukes, Bob Blizinski. Seated: Margo Carr, Angie Johnson

New Applicant and Onboarding System

HR issued a Request for Quotations and identified a vendor for a new applicant tracking and new hire onboarding system. This iCIMS product will replace our current system and provide a more robust system that is easier to navigate. The new system will allow us to seamlessly post and approve positions, move smoothly through the hiring process, and automate most of our

current administrative functions. The onboarding (orientation) process will also be automated which will significantly reduce the volume of data entry currently needed for recruitment and selection.

Health Care Reform

HR staff developed and rolled out health care reform requirements for all research foundation employees. While implementation of some of the Health Care Reform legislation has been postponed until 2014, HR continues to prepare for compliance by December 2013.

Job Descriptions

Software has been purchased to help create and maintain all job descriptions in a consistent manner. Fifty percent of our job descriptions have been reviewed.



Newly remodeled HR front desk and entry way



Captain Lamine Secka provides ALICE training to staff

E. Facilities Planning and Management

Facilities Planning and Management (FP&M) is responsible for identifying and managing real property in support of sponsored programs. FP&M staff oversee a diverse portfolio valued in FY 2012-13 at approximately \$100 million, with 900,000 square feet of buildings and over 600 acres of land. Management of this important array of property includes acquisition, dispositions, leasing, improvements, and maintenance of the facilities that house over two-thirds of SDSU research projects. Various commercial tenants share space within these properties and are held for future campus or project needs. FP&M also locates and leases space in non-research foundation-owned properties to house sponsored projects as needed.



Facilities crew members Abel Salazar, Oscar Valladares, Jim Lancaster, Mike Johnson, Jack Tripp, Anthony Warren, Jeremiah Gordy, Rick Sims, Sommay Kongmalay, Derek Wilton, Warren Sneed, Mark Potter

Last year's major projects included:

Coastal & Marine Institute Laboratory (CMIL)

Facilities staff worked with the College of Sciences and Dr. Todd Anderson, director of the Coastal & Marine Institute Laboratory to have a costly and burdensome regulation rescinded. The California Regional Water Quality Control Board adopted an Order conditionally waiving the seawater waste discharge requirements at CMIL. This Order effectively waives the stringent waste discharge requirements that were in effect the past six years, reducing the amount of monitoring by more than half, and thereby reducing sampling costs and providing greater flexibility for CMIL staff to perform their research.

Construction

Facilities planned and completed the build-out of approximately 26,000 SF of owned and leased space for both project and commercial tenants during the fiscal year.

Coordinating with the College of Health and Human Services and **new professor Dr. Laila Alibiglou**, facilities staff planned and constructed a unique lab focusing on research to investigate the underlying neural mechanisms of different characteristics of human gait and locomotion in the presence of both an intact and an impaired central nervous system. Dr. Alibiglou's laboratory consists of force platform instruments recessed into the building's concrete slab, a split-belt treadmill, motion analysis cameras, data acquisition systems and an electromyography system. Dr Alibiglou's lab is located at Alvarado Medical Center.



Dr. Laila Alibiglou's Neural Control of Human Locomotion Laboratory

Tenant Improvements have been implemented for **new College of Sciences researchers Dr. Phil Holcomb and Dr. Katherine Midgley**. Their work focuses on how the brain represents and processes language during reading and listening to speech both in one's native language and when learning a second language. Their new facility is located at Alvarado Medical Center, and includes special construction for sound attenuated electroencephalogram test chambers to measure and record the electrical activity of the brain.

In collaboration with Dr. Gregory Talavera and his staff, facilities planned and constructed a **new Bio Safety Level 2 Phlebotomy Lab** for the Hispanic Community Health Study/Study of Latinos project at the South Bay Latino Research Center of Excellence in Chula Vista. This lab is in full operation and consists of three phlebotomy rooms and a full- functioning specimen

processing lab. This facility replaces a smaller, similar lab, and enables project staff to more effectively work with their participants.



Dr. Greg Talavera's Phlebotomy Laboratory in Chula Vista

Santa Margarita Ecological Reserve (SMER) Field Station

An agreement is in process to update the renewal of an existing memorandum of understanding between the research foundation and the Bureau of Land Management (BLM) for over 12,000 acres of land at SMER. The BLM and university/research foundation share mutual goals for maintaining this land in its natural state to respect local tribal concerns, maintain existing wildlife corridors and support environmental research. SMER is located near Temecula, CA.



The Santa Margarita River

Leases

Facilities signed nearly \$4 million in new and renewed leases which span a period of one – five years. Any commercial profits will be used to offset research expenses. Our City Heights property, where we house both university and local non-profit groups, is 100% leased.

Operations

Facilities is developing an improved property and space database, which is linked to our Banner system and can track historical research assignment information.

Facilities continues to make enhancements related to property risk management and operational systems to improve efficiency, accountability and customer service. Some examples of enhancements made this fiscal year include:

- Expanded building access control and accountability systems
- Expanded security camera systems
- Expanded building mechanical control systems, allowing remote diagnostics and controls
- Streamlined maintenance supply inventory and ordering system, improving efficiency and reducing labor time and material costs
- Implemented an online work order submittal component to the work order system, allowing for improved response and status information to be provided to requestors.

Facilities staff continue to work closely with The Campanile Foundation. Fiscal year 2013 found us collaborating on and overseeing two TCF gifts of real property.



Key shop

Gateway Enhancements

Facilities staff coordinated enhancements to the third and fourth floors of the Gateway Center. This included a paint refresher on the landings, banners identifying departments and displaying project artwork in our halls.



Third and fourth floor entry walls



New artwork



New Banners

F. The Research Advancement (RA) division is responsible for supporting and furthering the sponsored research and educational goals of SDSU by assisting faculty, staff and deans in devising strategies to advance and expand SDSU's research endeavor; developing multi-disciplinary, multi-institutional partnerships; providing management for certain sponsored programs; protecting and commercializing the intellectual property of SDSU faculty and staff; and managing the activities of the Washington D.C. firm engaged as an SDSU advocate.

As of July 1, 2012, the research advancement and technology transfer functions began reporting directly to the Vice President for Research. The reporting structure was changed to better align and coordinate research advancement activities with SDSU's research mission. The following highlights research advancement activities for the first transition year.

- Organized (with colleagues at UC Santa Barbara, Merced and Riverside) the first-ever California Hispanic-Serving Institution Research Collaboration Conference. SDSU was designated as the CSU lead to develop and submit a CSU/UC proposal for a major national NIH Mentoring program planning grant.
- Successfully completed the two-year Small Business Administration (SBA)-funded San Diego Advanced Defense Technology Cluster project and leveraged it to compete successfully for the follow-on SBA Regional Innovation Cluster (Defense) initiative. SDSU received a new five-year, \$1.9 million award to help regional small businesses advance their technology and services into the defense marketplace.
- Completed the first year of the SBA-funded Teaming Pilot Program; over 50 small businesses in San Diego received training, mentoring, and specialized support to compete for large procurement contracts. In its first year of the five-year contract, 40 companies were engaged, 13 proposal teams formed, and seven proposals submitted, exceeding project goals and resulting in a \$454,545 award to continue the program.
- Continued to build upon the extensive network of San Diego resources as well as the highly successful Center for Commercialization of Advanced Technology (CCAT) and the San Diego Advanced Defense Technologies Cluster (SDADT) programs. CCAT received an additional \$2 million from the Department of Homeland Security and \$578,700 from DOD to support the first responder community. In addition, the U.S. Army's Rapid Equipping Force provided \$500,000 for a pilot project to help them accelerate innovative technologies from non-traditional sources (small businesses) into military operations.
- The CCAT and SBA-funded programs have helped over 300 companies achieve more than \$400 million in sales, investments, and acquisitions; license 19 technologies from academia and government labs; and facilitate nine start-up companies.

- Staff coordinated the successful efforts for the SDSU's Jobs and Innovation Accelerator Challenge program – a \$1.5 million program to develop energy technologies under the leadership of Dean David Pearson, SDSU Imperial Valley Campus.

Technology Transfer Services. The Technology Transfer Office (TTO) provides technology transfer services, protects intellectual property, commercializes technology developed at SDSU, and assists spin-out companies based on SDSU inventions. Since its inception in 1998, TTO has managed 354 intellectual property disclosures including 219 patentable inventions, 127 copyrightable works and eight trademarks. Since 1998, The TTO has worked with an aggregate of 401 inventors and authors across all areas of campus. The current portfolio includes 30 issued patents, 150 active license agreements and 35 royalty bearing licenses. **In FY 2012-13, six new licenses were negotiated, four new patents were issued and 34 disclosures were processed.** Also in FY 2012-13, **\$494,070 in income was generated** (\$401,881 in royalties; \$92,190 in reimbursement of patent cost). In FY 2011-12, the numbers were \$373,030; \$355,815 and \$17,215 respectively. The TTO has helped manage SDSU's X Prize team which has generated media attention and has assisted the university develop new incubators for faculty and student companies. The TTO director continues to serve on the CSU system-wide team charged with creating standardized contract/grant language for all state agency agreements.

Washington Representation/CSU Day. Research Advancement, under the direction of the VP for Research, continues to develop the SDSU Federal Research Agenda and support President Hirshman in his presentation of SDSU priorities to members of the California Congressional delegation and federal officials. These efforts have led to language in the House of Representatives Defense Authorization Bill for a Pilot Commercialization of Advanced Technology effort based on the successful SDSU Center for Commercialization of Advanced Technology (CCAT). Several federal agencies (Homeland, Security Science & Technology; Office of Assistant Secretary of Defense for the Defense Preparedness Support Initiative, U.S. Army Rapid Equipping Force, etc.) are providing funding to identify/fast-track technology needed by first-responders and military personnel. Several new initiatives funded by the DOD Office of Small Business Programs are expected to lead to major long-term projects for SDSU.

The House Defense Authorization bill contains language supporting Language Training Centers. SDSU's LARC has received more than \$8 million as a result of RA efforts to include language calling for the establishment of Critical Language Centers in the DOD Authorization Act. An additional three-year, \$5.7 million to continue the program is about to be awarded.

Congressionally-supported programs have provided more than \$128 million to SDSU since 1994.

IV. STAFF ACTIVITIES

Leadership

Many SDSU Research Foundation staff volunteer their time with professional organizations related to their disciplines. These activities provide educational, training, and networking opportunities that enhance their ability to serve SDSU researchers. For example, Sandra Nordahl, director of sponsored research contracting and compliance, is president of SRA (Society of Research Administrators) International; Rich Rechif serves as chair of the CSU Auxiliary Organization Association (AOA) Financial Services Committee; Melinda Coil was elected to the CSU-wide Auxiliary Organization Risk Management Association (AORMA); and Jennie Amison is an SRA Distinguished Faculty member and in FY 2012-13 received the Susan L. Charrier Outstanding Volunteer Service Award. Other research foundation staff are members of these national and international organizations: AOA; SRA; COGR (Council on Governmental Relations); NCURA (National Council of Research Administrators); NACUBO (National Association of College and University Business Officers); NORDP (National Organization of Research Development Professionals); and the InfoEd Community Advisory Group.



Sandra Nordahl and colleagues John Donovan, Dublin Institute of Technology; Elliott Kulakowski, SRA International; and Jan Anderson (partially blocked), University of Copenhagen, signing an MOU between the Society of Research Administrators (SRA) International and the European Association of Research Managers and Administrators in Vienna, Austria.

Staff also work closely with university colleagues on joint projects and programs and serve on various committees and teams. These include the University Research Council, Strategic Planning Working Groups, Institutional BioSafety Committee, SDSU Communicators, Aztecs Rock Hunger, and the Emergency Preparedness, Explore SDSU, Campus Development, Conflict of Interest, University Copyright and Patent, and Institutional Animal Care and Use committees.

Kudos and thanks to **sponsored research administrator Steve Vasquez** for his service to our country. Steve was called to Kabul, Afghanistan to serve as the Media Embed Chief for the International Security Force Joint Command at Kabul International Airport. Steve was responsible for approving all U.S. and foreign media entering Afghanistan and for coordinating their travel within country. He returned safely to his desk at Gateway after eight months of service.



Steve at Kabul Airport with HMC Juan Perez



Steve (second from left) with the public affairs team



Providing supplies to refugees



Meeting with Congresswoman Susan Davis

PIs and RF Staff



Bonnie Brown, Jennie Amison and others congratulating Dr. Mel Hovell at American Lung Association event



Dr. Mark Sussman with Bob Wolfson, Michèle Goetz, Tim Hushen, Renée Lechner and Jennifer Sneed at the Frontiers in Cardiovascular Regeneration International Symposium



Dr. Alex DeNoble, management professor, PI and Executive Director of SDSU's Lavin Entrepreneurship Center with RF staff Janet Harry, Debbie Brighton and Michèle Goetz

2012 Staff Awards

With special congratulations to long-time employees Charla Mullen (20 years), Ann Billing (25 years), Caren Johnson (30 years) and Renée Daniels (35 years)!



2012 Staff Awards, Viejas Arena. Richard Brandt, Cheryl Whittemore, Erika Gonzales, Tatiana Bosquet, Frances Fairchild



Staff were also recognized at the All Hands Meeting



Five-year awardees Danny Perez, Mark Potter, Ruby Cotton, Chris Moleta, Katherine Ivko, Iris Isla, Catherine Grimm, Adriana Estudillo with Bob Wolfson



Ten-year awardees Sandie Genthner-Young, Eric Elson, Tja Owens with Bob Wolfson



Fifteen-year awardees Mikki Comstock, Marta Dukes, Debi Kempland, Mary Manesis, Warren Sneed, Jennifer Sneed, Cynthia Wright with Bob Wolfson



New employees (front): Helena Bristow, Janelle Broussard, Alex Delino, Bianca Garcia, Danielle McLaughlin, Karen Lenhof, Alisa Achuff, Corinne Okonek. (Back): Richard Brandt, John Richardson, Elizabeth Christensen, Ruben Ramirez, Pete Delaney, Eli Wheeler, Connie Rhamy

PI Reception/70th Anniversary Celebration

2013 marked SDSU Research Foundation's 70th anniversary—70 years of supporting SDSU and the researchers who make our work possible and necessary.

We celebrated the occasion in February with a reception for principal investigators and research foundation staff. This event provided the opportunity to acknowledge the important work of both SDSU researchers and our staff.



PIs and staff mingle at 70th anniversary reception

Staff Enjoy Some Puppy Therapy



Holiday Giving

SDSU Research Foundation staff have a long-standing tradition of participating in an annual holiday giving project. Each year, a project managed by an SDSU PI is chosen as a recipient.



In FY 2012-13 research foundation staff once again demonstrated their generosity and holiday spirit by providing several hundred books, school and art supplies, and tools for sensory and art play to the SDSU Children's Center. The Center serves six-month through pre-K children of SDSU students, faculty, staff, alumni and community families. The Center is a designated lab school for students in the College of Education's Child and Family Development department.

V. In Memoriam

SDSU Research Foundation is saddened by the loss of two esteemed colleagues in FY 2012-13: Ms. Mary Shojai, principal investigator and director of SDSU's Disabled Student Services; and Mr. Scott Burns, SDSU's associate vice president for business and operations. They will be missed personally and professionally.



Mary Shojai



Scott Burns

VI. BY THE NUMBERS

The following charts highlight various business indicators.

A. Proposal/Award/Facilities & Administrative (F & A) Cost Comparison

This chart presents the total number and dollar amount of proposals submitted, pending proposals and awards received in FY 2012-13 and FY 2011-12.

B. Number of Proposals and Awards

Chart B compares the number of proposals submitted between FY 1999-2000 and FY 2012-13 to the number of awards received.

C. Sponsored Program Expenditures by Sponsor Type FY 2012-13

This chart provides data by sponsored type measured by the amount of expenditures.

D. Sponsored Program Expenditures by Federal Agency FY 2012-13

This chart provides a further breakdown of federal expenditures by agency.

E. Sponsored Program Expenditures by Sponsor Type/Federal Pass-through FY 2012-13

Chart E shows federal and federal pass-through funds. Certain federal funds “pass-through” other agencies before being awarded to the research foundation. Legally and technically, these awards are from the pass-through agency and are reported that way in Charts C and D.

F. Sponsored Program Expenditures—Detailed Comparison

This chart provides more detail on the components of sponsored program expenditures for FY 2012-13 and FY 2011-12.

G. 1. Sponsored Program Expenditures and F&A Effective Cost Recovery Rates (including and excluding ARRA)

G. 2. Negotiated Rate and Effective Rate FY 2002-03 - FY 2012-13

These tables present the various components of sponsored program expenditures including and excluding American Recovery and Reinvestment Act (ARRA) funds. The definitions of the components are presented below.

DEFINITIONS

ARRA	American Recovery and Reinvestment Act
MTDC	Modified Total Direct Costs include all direct, sponsored program expenditures with the exception of the items in Other and F&A costs.
Other	Subagreements, equipment, certain study participant costs and other costs.
F&A costs	Facilities and Administrative (F&A) costs are the reimbursement of SDSU Research Foundation and SDSU costs associated with supporting the research endeavors of the university.
Negotiated F&A Rate	The reimbursement for SDSU and SDSU Research Foundation F&A costs incurred to support sponsored programs is negotiated with the federal government. This is a highly regulated process governed by federal rules and procedures. Not all costs that support sponsored program facilities and administration are allowed to be recovered.
Effective F&A Rate	In theory, all funders should pay the full rate. In reality, this does not happen. This column shows the actual rate that is recovered.

H. Total Expenditures by College FY 2010-11, FY 2011-12 and FY 2012-13

MTDC, Other and F&A Costs (see definitions above) are graphed by college.

Chart A

**Proposal/Award/Facilities and Administrative (F&A) Cost Comparison
FY 2012-13 to FY 2011-12**

	Fiscal Year 2012-13			Fiscal Year 2011-12			DIFFERENCE BETWEEN FISCAL YEARS		
	Total	Traditional	ARRA	Total	Traditional	ARRA	Total	Traditional	ARRA
Proposals Submitted	908	908	-	1042	1041	1	(134)	(133)	(1)
Total Amt Proposed	169,245,114	169,245,114	-	186,864,209	186,751,935	112,274	(17,619,095)	(17,506,821)	(112,274)
F&A Amt Proposed	33,350,557	33,350,557	-	35,352,273	35,329,982	22,291	(2,001,716)	(1,979,425)	(22,291)
Proposed F&A (%)	24.54%	24.54%	-	23.33%	23.33%	24.77%			
Number Pending	358	358	-	463	462	1	(105)	(104)	(1)
Total Amt Pending	60,707,961	60,707,961	-	82,631,466	82,551,332	80,134	(21,923,505)	(21,843,371)	(80,134)
Indirect Amt	14,252,646	14,252,646	-	17,968,814	17,968,814	-	(3,716,168)	(3,716,168)	-
F&A (%)	30.68%	30.68%	-	27.79%	27.82%	-			
Number of Awards	709	709	-	769	763	6	(60)	(54)	(6)
Total Amt Awards	115,708,473	115,708,473	-	127,432,258	126,909,413	522,845	(11,723,785)	(11,200,940)	(522,845)
F&A Amt Awarded	18,806,227	18,806,227	-	20,277,237	20,185,578	91,659	(1,471,010)	(1,379,351)	(91,659)
F&A (%)	19.41%	19.41%	-	18.92%	18.91%	21.26%			

Chart B

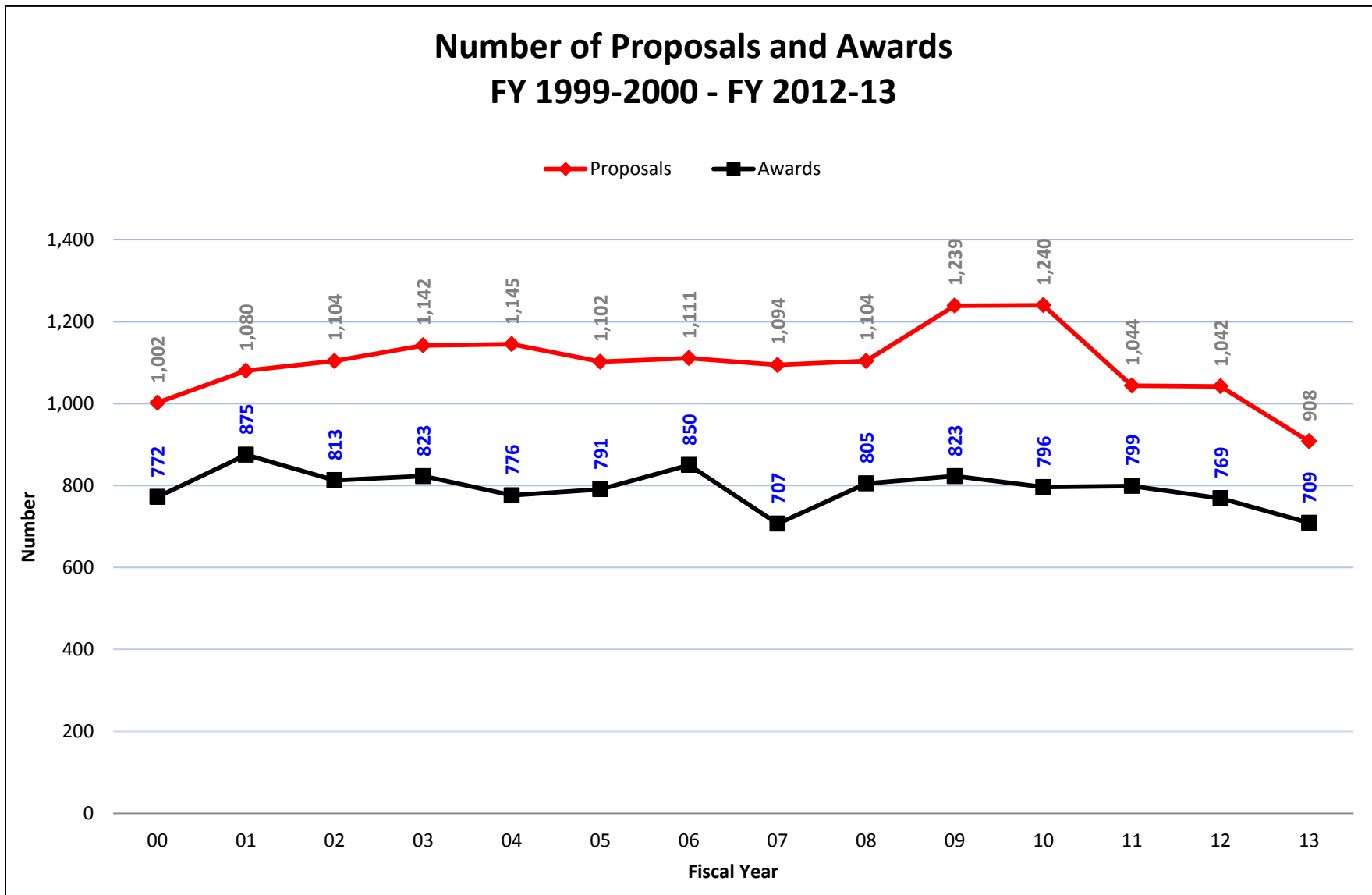


Chart C

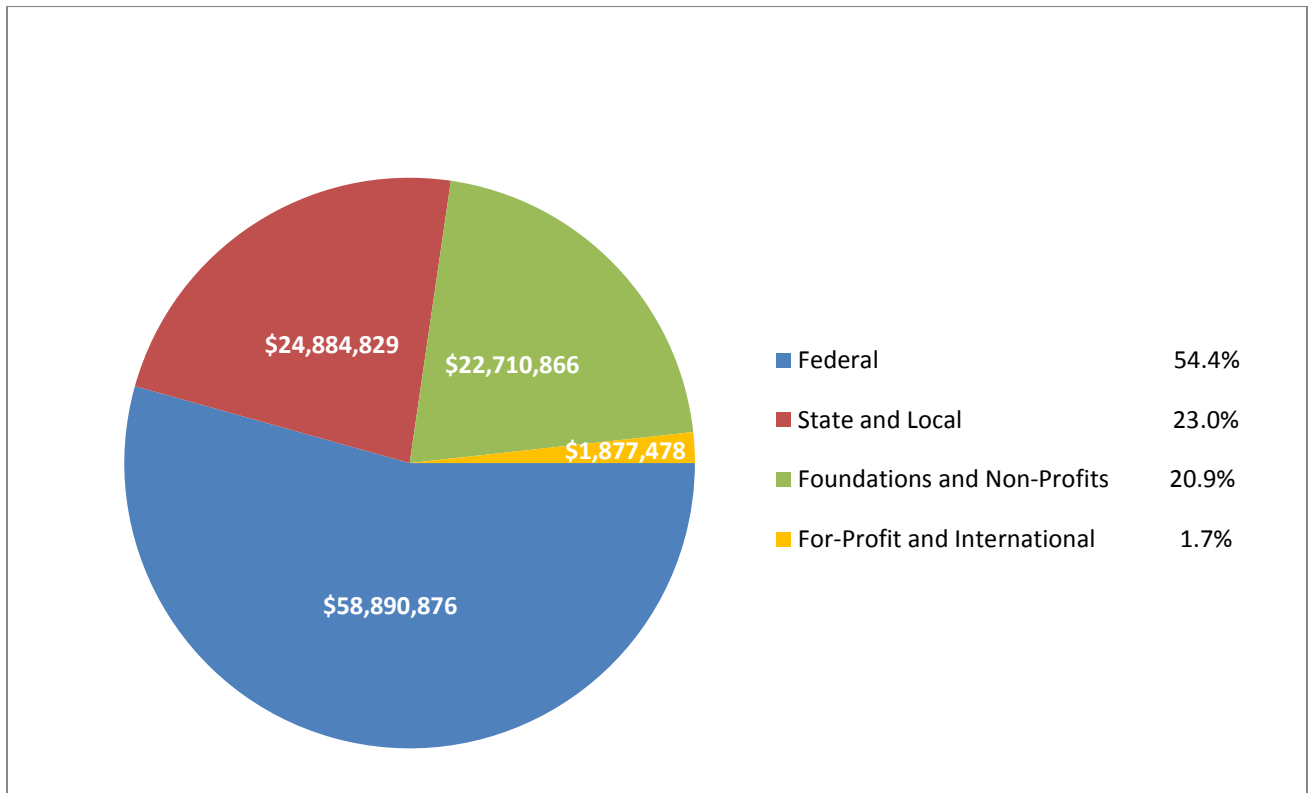


Chart D

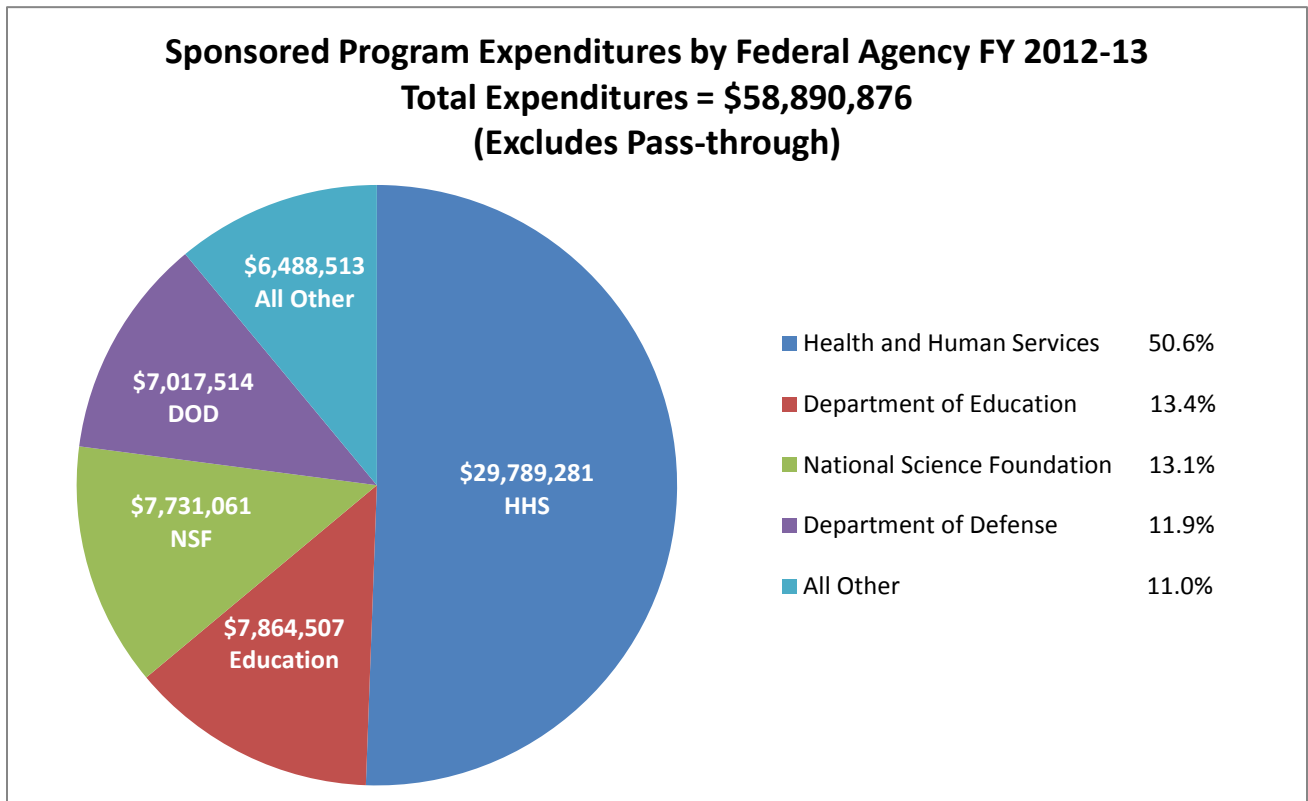
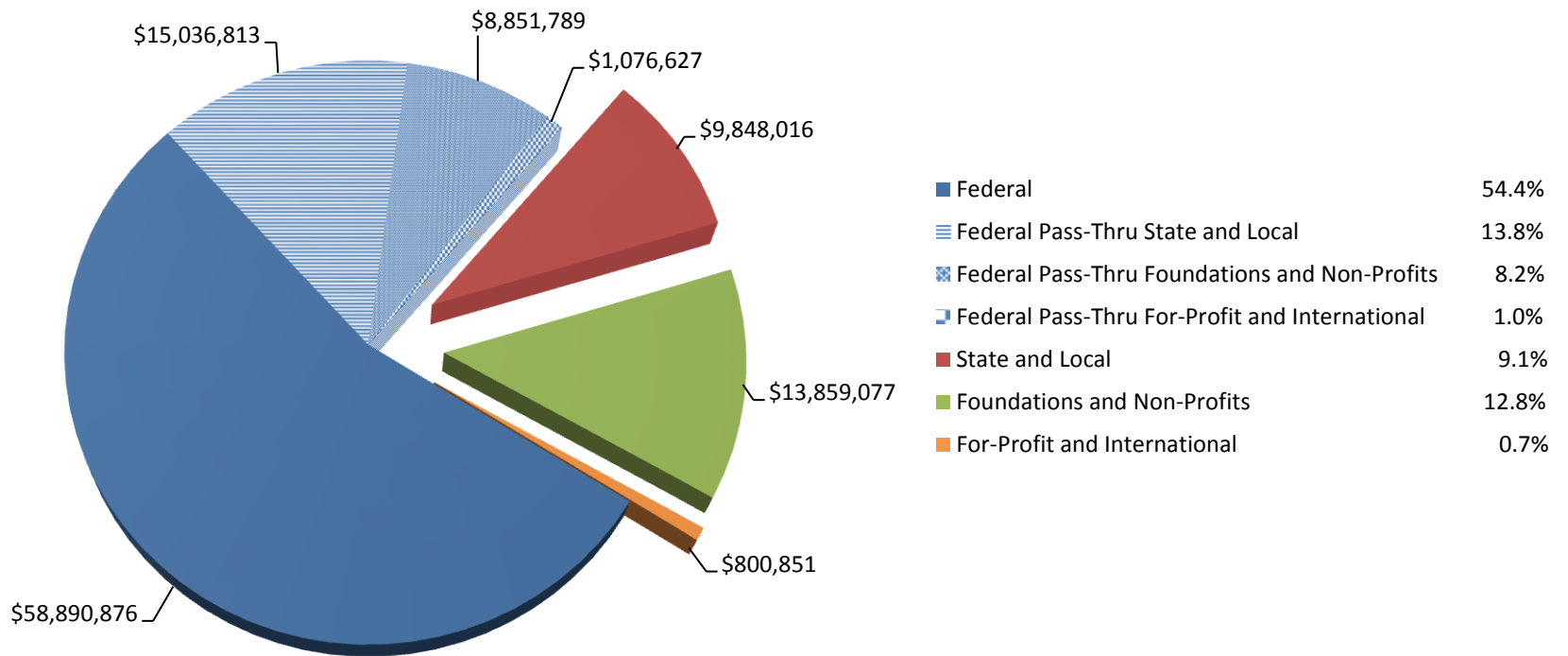


Chart E



Federal	\$58,890,876	State and Local	\$9,848,016
Federal Pass-Through State and Local	\$15,036,813	Foundations and Non-Profits	\$13,859,077
Federal Pass-Through Foundations and Non-Profits	\$8,851,789	For-Profit and International	\$800,851
Federal Pass-Through For-Profit and International	\$1,076,627	Total Other:	\$24,507,944
Total Federal Pass-Through:	\$83,856,105	GRAND TOTAL:	\$108,364,049

Sponsored Program Expenditures - Detailed Comparison

	Actual Fiscal Year 2012-13			Actual Fiscal Year 2011-12			TRADITIONAL CHANGE	
	TOTAL	ARRA	TRADITIONAL	TOTAL	ARRA	TRADITIONAL	\$ Increase (Decrease)	% Increase (Decrease)
Salaries	40,825,241	860,865	39,964,376	45,300,446	2,352,328	42,948,118	(2,983,742)	(6.95%)
Benefits	11,493,789	170,716	11,323,073	12,572,929	564,559	12,008,370	(685,297)	(5.71%)
Other Direct	15,988,549	487,746	15,500,803	18,848,809	1,215,377	17,633,432	(2,132,629)	(12.09%)
Total MTDC	68,307,579	1,519,327	66,788,252	76,722,184	4,132,264	72,589,920	(5,801,668)	(7.99%)
Equipment	1,433,237	34,213	1,399,024	1,225,913	379,736	846,177	552,847	65.33%
Student Support	7,354,304	233,693	7,120,611	7,875,129	398,486	7,476,643	(356,032)	(4.76%)
Subagreements	10,838,714	845,891	9,992,823	14,536,628	1,592,967	12,943,661	(2,950,838)	(22.80%)
Other *	2,466,426	10,001	2,456,425	2,536,075	50,341	2,485,734	(29,309)	(1.18%)
Total Other Costs	22,092,681	1,123,798	20,968,883	26,173,745	2,421,530	23,752,215	(2,783,332)	(11.72%)
Total Direct	90,400,260	2,643,125	87,757,135	102,895,929	6,553,794	96,342,135	(8,585,000)	(8.91%)
F&A Costs	17,963,789	433,039	17,530,750	19,957,572	1,043,242	18,914,330	(1,383,580)	(7.31%)
Total Costs	108,364,049	3,076,164	105,287,885	122,853,501	7,597,036	115,256,465	(9,968,580)	(8.65%)
F&A Costs/MTDC	26.30%	28.50%	26.25%	26.01%	25.25%	26.06%		

*In prior year's report, included in MTDC

Chart G-1

Sponsored Program Expenditures and F&A Effective Cost Recovery Rates (Including ARRA Funds)

Fiscal Year	Total Costs	MTDC	Other*	F&A Costs	F&A Rate	
					Negotiated Rate/	Effective Rate
2002-03	125,105,523	75,794,336	33,668,696	15,642,491	51%	20.64%
2003-04	106,726,820	69,010,179	23,721,406	13,995,235	51%	20.28%
2004-05	115,229,540	70,188,758	30,547,265	14,493,517	50%	20.65%
2005-06	109,470,605	70,319,851	24,163,947	14,986,807	50%	21.31%
2006-07	105,405,951	69,744,247	20,708,680	14,953,024	49.50%	21.44%
2007-08	109,539,095	71,861,260	21,468,804	16,209,031	49.50%	22.56%
2008-09	119,238,251	73,734,590	26,983,145	18,520,516	49.50%	25.12%
2009-10	126,100,292	78,003,589	27,361,098	20,735,605	49.50%	26.58%
2010-11	135,239,456	82,360,529	30,531,222	22,347,705	49.50%	27.13%
2011-12	122,853,501	76,722,184	26,173,745	19,957,572	49.50%	26.01%
2012-13	108,364,049	68,307,579	22,092,681	17,963,789	49.50%	26.30%

Sponsored Program Expenditures and F&A Effective Cost Recovery Rates (Excluding ARRA Funds)

Fiscal Year	Total Costs	MTDC	Other*	F&A Costs	F&A Rate	
					Negotiated Rate/	Effective Rate
2002-03	125,105,523	75,794,336	33,668,696	15,642,491	51%	20.64%
2003-04	106,726,820	69,010,179	23,721,406	13,995,235	51%	20.28%
2004-05	115,229,540	70,188,758	30,547,265	14,493,517	50%	20.65%
2005-06	109,470,605	70,319,851	24,163,947	14,986,807	50%	21.31%
2006-07	105,405,951	69,744,247	20,708,680	14,953,024	49.50%	21.44%
2007-08	109,539,095	71,861,260	21,468,804	16,209,031	49.50%	22.56%
2008-09	119,163,347	73,691,907	26,972,052	18,499,388	49.50%	25.10%
2009-10	120,660,341	75,336,691	25,807,137	19,516,513	49.50%	25.91%
2010-11	124,009,588	76,902,998	26,670,402	20,436,188	49.50%	26.57%
2011-12	115,256,465	72,589,920	23,752,215	18,914,330	49.50%	26.06%
2012-13	105,287,885	66,788,252	20,968,883	17,530,750	49.50%	26.25%

*In prior year's report, certain expense in the "other" category were included in MTDC

Chart G-2

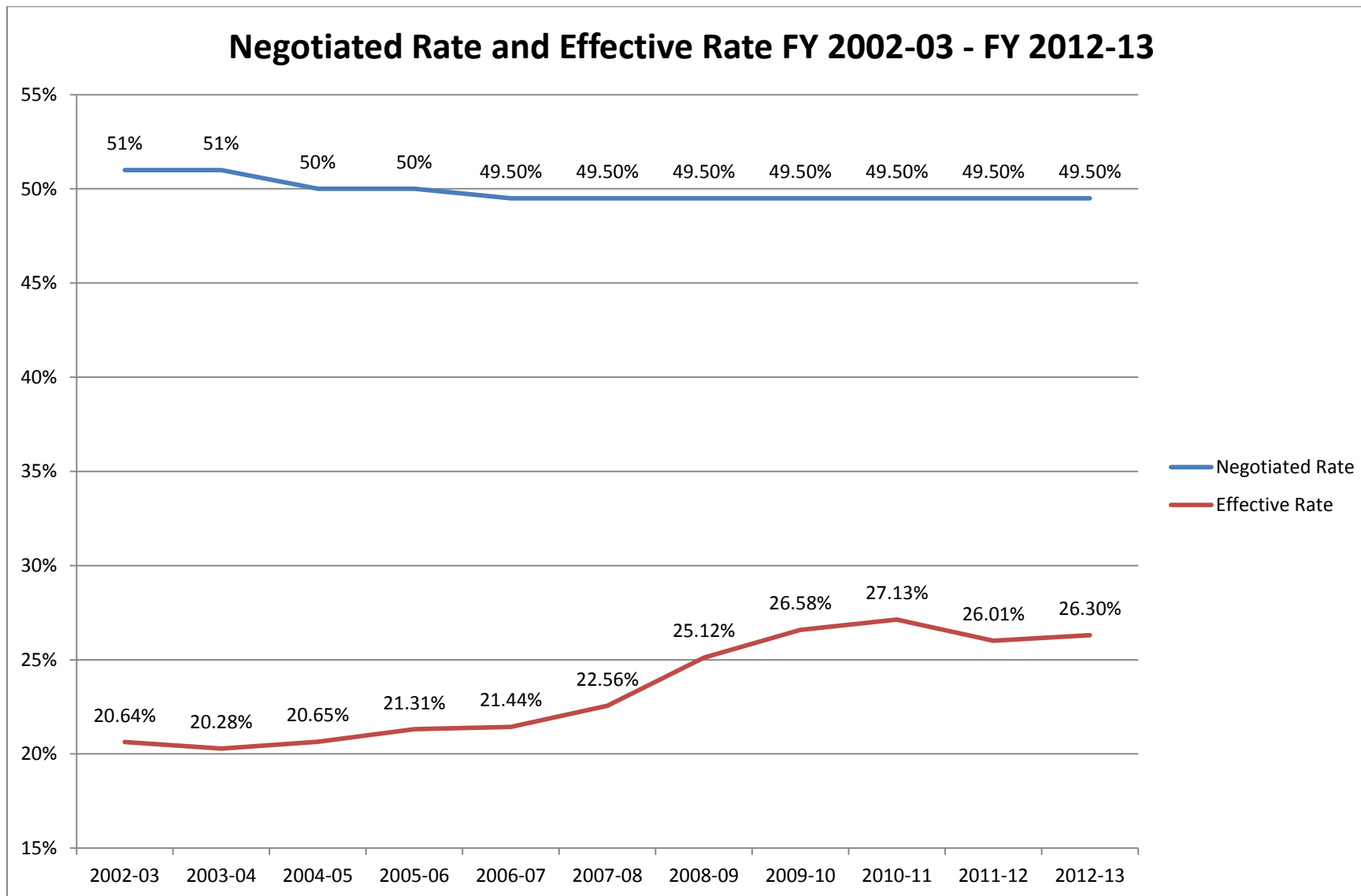
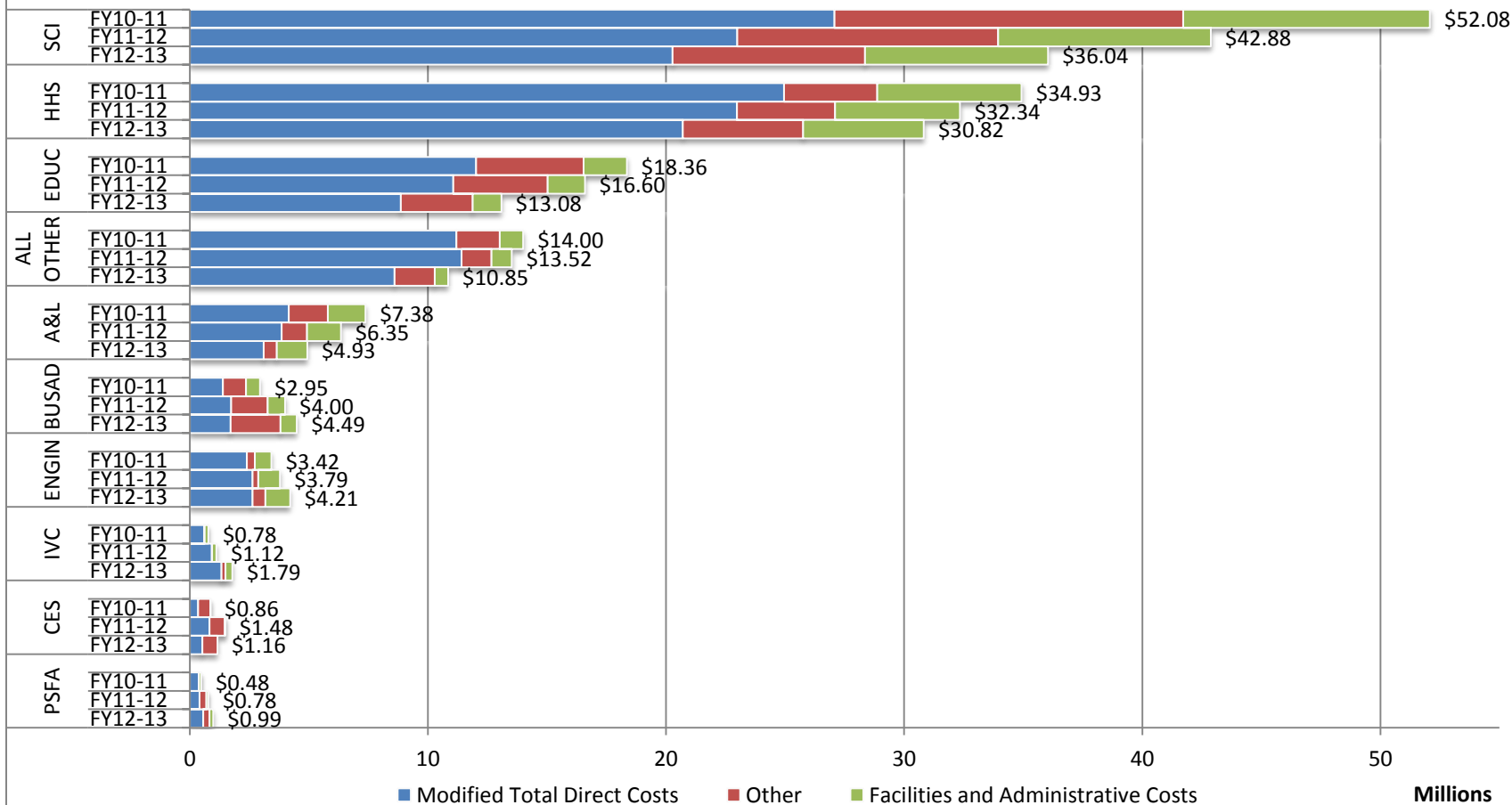


Chart H

Total Sponsored Program Expenditures by College

FY 2010-11 = \$135,239,456; FY 2011-12 = \$122,853,501; FY 2012-13 = \$108,364,049



A&L = Arts and Letters BUSAD = Business Administration EDUC = Education ENGIN = Engineering	CES = Extended Studies HHS = Health and Human Services IVC = Imperial Valley Campus PSFA = Professional Studies and Fine Arts	SCI = Sciences ALL OTHER = Academic Affairs, Aztec Shops, Foundation Projects, Graduate Research Affairs, KPBS, Office of President, Student Affairs, and University Advancement
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