San Diego State University

Research Foundation

Annual Report

Fiscal Year 2013-2014

***Cover photo**:* Anderson Lab SDSU Joint Doctoral Program in Ecology student, Sarah Wheeler (right), and student volunteer collect juvenile rockfishes using beach seines in Bodega Harbor, CA.

Principal Investigator: Dr. Todd Anderson

Dr. Anderson is a professor of biology and director of SDSU's Coastal and Marine Institute (CMI) and its Laboratory (CMIL). CMIL is a facility for faculty and students conducting research in marine science and addressing environmental problems along the coast of southern California. CMIL also conducts outreach and education to students and the public, led by the Marine Biology and Ecology Student Association (MEBSA). Dr. Anderson also directs the Fish Ecology Lab, which focuses on the population ecology of coastal fish.

Funding for Dr. Anderson's work has come from the National Science Foundation, National Oceanic and Atmospheric Administration, National Fish and Wildlife Foundation, National Undersea Research Program, Naval Facilities Engineering Command, California Sea Grant, the Port of San Diego, California's Department of Fish and Wildlife, the San Diego Foundation, and the National Institute for Underwater Science and Technology.

SDSU Research Foundation

Annual Report

Fiscal Year 2013-14

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SDSU Research Foundation

Annual Report

Fiscal Year 2013-14

INTRODUCTION

The SDSU Research Foundation management team is pleased to introduce this annual report which highlights fiscal year 2013-14 accomplishments and activities.

Our congratulations and thanks go to the SDSU principal investigators who received 731 awards valued at $107.8 million last year. It is the success of these researchers that makes us successful and enables us to achieve our mission to support the university.

This report describes what our dedicated staff has been undertaking in their efforts to serve and support SDSU and SDSU PIs. They deserve the highest commendation for their professionalism, competency and commitment to their ongoing good work and for tackling new challenges so seamlessly.

Section I - Key achievements are presented in the Highlights section.

Section II - Departmental responsibilities and activities are described in the Departmental Summaries section.

Section III - Staff Activities and Events

Section IV - Management and Board of Directors

Section V - By the Numbers (charts and graphs)

Bob Wolfson, executive director (far right) with associate executive directors from left, Michele Goetz, Norma Clark, Tim Hushen, and Melinda Coil

I. HIGHLIGHTS

Fiscal Stability

Since 2012 the research foundation's strategy has been to invest now for the growth of research in the future. That multi-year plan continues to guide us. While last year saw a decline in revenues, as the federal budget improves and efforts to recruit more active researchers to SDSU continue, we expect proposal submission, award, F&A and expenditure rates to increase.

We continue to manage this challenging situation by 1) investing in the enhanced service initiatives described below which increase efficiencies and reduce costs; 2) making strategic staffing reductions while maintaining core functionalities; and 3) prudently using reserves to fund current operations with the commitment to replenish reserves when the financial situation improves.

We remain confident that our investment in **strategic service initiatives** and the university's **investment in research infrastructure** will result in a return to a more fiscally stable research foundation.

Note of thanks: in order to maintain core competencies and to balance the FY 2014-15 budget, a withdrawal from reserves was required. The university agreed to a waiver of certain allocations in FY 2014-15 so that remaining reserves could be stretched over several years, allowing time for the university's investments in research to materialize. We are grateful for the generous support of the university which enables us to maintain core capacity and to continue providing consistent and reliable service to SDSU researchers.

During the fall of 2014, management will proactively explore alternative funding strategies. In consultation with the university and principal investigators, we will define and prioritize essential services and review the organizational structure that delivers these services.

Investment in Research

The university continues its commitment to enhancing the research infrastructure. Last year, Areas of Excellence were funded, research faculty were recruited and equipment investments were made. At the time of this writing, we are helping to welcome the 59 new faculty members who joined SDSU this semester. Several of them are transferring grants from other institutions; many others are research active faculty planning proposal submissions. We look forward to assisting them.

Strategic Initiatives

Last year marked the implementation of several of our service initiatives designed to streamline processes, improve efficiencies and reduce costs. The goal of all these initiatives is to enhance service to our principal investigators while remaining in compliance with increasingly complex federal regulations. A description of three critical service initiatives follows.

A. Web-based Time and Attendance System

This massive undertaking kicked into full gear last year and was successfully implemented.

EmpCenter is our on-line, electronic time and attendance software system that replaced our outdated, labor-intensive, paper-based time and attendance process. The new web-based system has been officially launched and all employees and supervisors began recording and approving time in May 2014. The new system provides improved compliance with sponsor requirements and wage and hour laws, simpler record keeping, and better leave administration. All of these combine to create more effective, timely and accurate time reporting. The system has significantly improved the way we enter time, request time off, and review work schedules as an organization – providing several material benefits along the way. These include:

EMPLOYEE BENEFITS

- Web-based time reporting. No more paper time reports! No more lost time reports!
- Ability to record time and submit for approval from any work location
- Automatic e-mail reminders when time reports are due
- Ability to view leave accrual balances and submit time off requests on-line.

Laura Gardiner facilitates a training session

SUPERVISOR BENEFITS

- Ability to review, certify and submit employee time reports on-line from any computer or mobile device with an internet connection
- No more sending staff to Gateway to deliver time reports!
- No more costly FedEx mailing of time reports from off-campus work sites
- Automated e-mail reminders when time reports are due
- New supervisor reporting dashboard to enable more effective and efficient employee management.
- Ability to assign delegates to approve employee time reports.

Brenda Rangel facilitates a training session

SDSURF BENEFITS

- Improved ability to comply with sponsor requirements and wage and hour laws
- Improved reporting capabilities
- Simpler record keeping
- Better leave administration
- Reduction/elimination of errors.

Thank you to the EmpCenter team!

RF staff from sponsored research administration, human resources and computing services provided training on the new system to more than 900 employees over a six-week period!

B. Electronic Proposal Routing Launches

After extensive consultation with deans, department chairs and school directors, research foundation staff began designing and implementing this initiative to electronically route proposals. This system replaced our outdated paper-based process.

The e-routing system was piloted in January of 2014. The College of Sciences was the first to e-route all new proposals, with the College of Health and Human Services participating shortly thereafter. At every stage of the process, principal investigators participated in testing and provided valuable feedback. As of July 2014, all college deans' offices were trained, and research foundation staff continue to educate and train faculty as they develop new proposals. All proposals are now routed electronically for approval. This initiative provided the opportunity to not only automate an existing system, but to review and redesign the entire proposal routing process.

Linda Torgersen works with Dr. Terry Cronan to submit an electronic proposal

Jeannine Zuber works with Dr. Nick Gekakis on his proposal

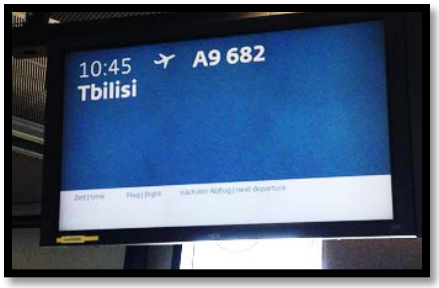
Thanks to the Electronic Proposal Routing Team!

The e-routing system has already brought efficiencies to the process by greatly reducing the time needed for routing proposals – a proposal can be electronically routed within hours rather than several days. The process is web-based (using the InfoEd system) and allows users to log in, review and approve proposals remotely from any internet-enabled device. This has been extremely beneficial for those faculty and administrators working from home or on travel. Proposal materials are now scanned and kept in electronic files, eliminating the need for offices to keep hard copies. The system also allows department chairs, deans, and other administrators access to proposal reports (via PI Profile) which include links to proposal materials.

C. Electronic Applicant Tracking & Employee On-Boarding System

This initiative created an all-inclusive, streamlined hiring and orientation process for new employees. The HR department rolled out the applicant tracking module in late 2013. The iCIMS software will allow HR to respond to hiring requests from the field more quickly, advertise positions to various websites with less effort, and enhances the overall candidate experience throughout the interview and hiring process. Once fully functional, all HR hiring/benefit data will be directly integrated with Banner, our software system that tracks all financial, payroll and personnel data. The new system will help prevent entry errors and keep employee benefits and policies updated, accurate and centralized.

SDSU Georgia



SDSURF management worked with the university to facilitate a contract with MCA-Georgia in support of a new SDSU campus and degree program in that country.

Georgia has a critical shortage of science, technology, engineering and mathematics (STEM) graduates. After an extensive competition, SDSU was selected over 28 other institutions to provide an American university education in Georgia focused on STEM disciplines, and is partnering with these prominent Georgian universities: Tbilisi State University, Ilia State University and Georgian Technical University. The program meets all SDSU standards for curriculum, faculty training and accreditation.

While SDSU-Georgia will help improve Georgia's higher-education infrastructure and better prepare its students for the modern workforce, it will also greatly benefit SDSU's international efforts. Dr. Kenneth Walsh, chair of SDSU's construction engineering and management department will serve as SDSU-Georgia's first dean. Classes are scheduled to begin in 2015.

Staff in sponsored research, finance, purchasing, facilities and human resources are working to operationalize the program. Start-up activities involve establishing a legal presence in Georgia, contracting with an international accounting firm to provide in-country payroll and employment services, staff recruitment, contracting with partner institutions, and a wide variety of other tasks associated with launching this major initiative.

Top row: Georgian architecture; Dr. Ken Walsh at signing ceremony; Dr. Nancy Marlin with MCC and Georgian colleagues at signing ceremony
Bottom row: Michele Goetz, center, with visiting Georgian faculty Mariam Nebieridze and Nino Jojua; an existing Georgian laboratory; Michele Goetz (top left) and Jo Boulter (top right) with SDSU colleagues Charleen Lally and Betty Bernhardt

I-9 Audit

The results of a multi-year audit by Immigration and Customs Enforcement (ICE) revealed significant deficiencies in how the research foundation processes and completes I-9 forms. These forms are federally-required certifications that verify an individual is eligible to work in the U.S.

Extensive efforts are underway to correct these deficiencies including:

I-9 Tracker. All I-9s are now processed through this software program that virtually eliminates technical errors.
Education. An extensive education plan has been implemented for hiring managers and principal investigators/project directors. The plan emphasizes the importance of not allowing individuals to begin work until after the I-9 form is completed and submitted to HR. The results of this training have been impressive. As of this writing, 250 individuals are registered for training through the month of October.

Employment Eligibility Verification
Department of Homeland Security
U.S. Citizenship and Immigration Services
USCIS
Form I-9
OMB No. 1615-0047
Expires 03/31/2016

Facilities

A. 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. Last year saw the final transfer of certain student housing and commercial property (and their associated debt) from the research foundation to Aztec Shops. This transfer has allowed us to focus our efforts on property holdings that house and support research activities.

6367 Alvarado Court

Last year, as expected, Aztec Shops purchased the Sanctuary building. It is still anticipated that, in the near future, Aztec Shops will exercise its option to purchase College Square, a retail and classroom center, and the retail strip mall at 5157 College Avenue.

As a result of the property transfers, the facilities department was restructured, and saw a major reduction in staff.

Work began on Interwork Institute's new space

B. 3590 Camino del Rio North

Facilities staff coordinated the relocation, new space design and construction for Interwork Institute's move to 6367 Alvarado Court, facilitated commercial move-outs and negotiated the pending sale of this property. This accomplished the dual goals of maximizing the return on our real estate asset and facilitating the university's goal to relocate academic departments to campus.

C. Plan to Develop 5030 College Avenue

Facilities staff worked extensively with the university and a private business developer to initiate a proposal for a public-private partnership, which would develop this 1.5 acre parcel of research foundation-owned property for university student housing. A due diligence agreement was signed in September 2014.

F&A Rate

The new rate proposal was submitted in April 2013 and finalized in April 2014. We were able to negotiate a slight increase in our existing rate from 49.5% to 50.0% for FY 2015 through FY 2017 and 50.5% for FY 2018. We anticipate that this increase will generate an additional $100,000-$150,000 annually starting in FY 2015-16. This amount will increase as volume increases.

The maximum recovery of facilities and administrative costs (formerly "indirect costs") is critical to the financial health and stability of our organization. The rate is negotiated every four years, takes months to complete and involves a complex multi-process calculation that requires a thorough knowledge and integration of both university and research foundation costs, expertise in the use of specialized computer software, and expertise in the complex rules of federal cost recovery.

CSU Audit

The Office of Audit and Advisory Services of the California State University audits each auxiliary organization every three years. Last year's triennial SDSURF audit resulted in just one recommendation which we are already addressing.

KPBS Collective Bargaining

Last year a group of KPBS employees elected SAG-AFTRA Union to represent their interests through the collective bargaining process. As a result, the HR department has been assigned labor relations responsibilities. Since January of 2014, HR has been leading contract negotiations with SAG-AFTRA. As of this writing, we are still in negotiations and working toward a contract.

Collaborations with SDSU's Graduate and Research Affairs

SDSU Research Foundation works closely with the Vice President for Research and his staff to facilitate the research programs of SDSU principal investigators. Staff in departments from communications to development, computing services to sponsored research administration and facilities collaborate with their colleagues in this SDSU division and continue to have excellent working relationships. Examples of last year's activities include establishing procedures for requesting exceptions to university policies including publication restrictions; establishment of an export controls office; and creating an IT agreement to support GRA needs.

II. 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

1. Grant Information/Activity
2. Communications

B. Sponsored Research Services

1. Sponsored Research Development (Pre-award)
2. Sponsored Research Contracting & Compliance
3. Sponsored Research Administration (Post-award)

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 (PIs), employees, the media, and other internal/external constituents. Activities fall into one of two primary functions: 1) grant Information/activity and 2) communications.

A1. Grant Information/Activity

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, close to 3,000 grant-related email notices were disseminated last year.

Weekly Bulletins. Last year we surveyed faculty about OC services. After convening a small committee of PIs and reviewing survey results, we changed the way we disseminate information to faculty, transitioning from our monthly newsletter to weekly discipline-specific bulletins. This allows us to match opportunities with faculty interests in a more efficient way. Faculty began receiving weekly bulletins in the fall of 2013; we've received positive feedback from those who "love the new format!" 537 faculty registered to receive our bulletins.

Workshops and webinars. The OC hosted 23 workshops and webinars on a broad range of topics including: funding searches, budget basics, immigration tax issues, cost sharing, and purchasing. The following workshops were new this year: U.S. Patent Law Before and After America Invents Act; International Subcontracting; and International Collaborations. We also hosted a visit by Dr. Richard Dunfee, executive director of the American Association of State Universities and Colleges' (AASCU) Grants Resource Center. Dr. Dunfee provided an update on sequestration and the federal budget, and offered some proposal writing tips.
We have recorded most of our workshops and have begun making them available (audio and video recordings) to those unable to attend. We will continue to record future workshops.

Dr. Forest Rohwer speaks at the International Collaboration workshop

Dr. Rich Dunfee, Debbie Brighton Bob Wolfson

Jenna McCart facilitates a funding workshop

Proposal Library. We've developed a library of internally and externally- funded proposals and are now creating a webpage to make the information more accessible. These sample proposals are helpful to faculty as they prepare their own proposals. Many SDSU faculty have been willing to contribute their proposals. We've received examples of NSF, NIH, Department of Education and other agency proposals to add to our collection. The sample proposal library page will be available in the fall of 2014.

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. Seven of last year's 22 new faculty have already submitted 29 proposals requesting $4.4 million; four of them received twelve awards totaling $2 million. We expect that the 59 new faculty joining SDSU in the FY 2014-15 year will be productive as well.

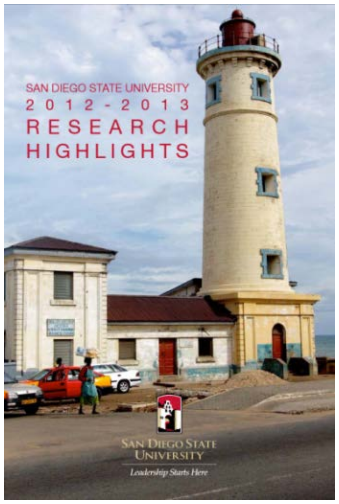
A2. Communications

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 the work of SDSU researchers.

Grants of the Week. In FY 2013-14 we continued to prepare a weekly notice of new grants to share with university administrators and communicators. The Vice President for Research then makes a campus announcement of featured grants. We also prepare a monthly report of new SDSU awards for the science reporter at the *Union-Tribune*.

Promotion of Research. The communications director works closely with the SDSU marketing team to promote new awards and interesting programs. A new research media team was created last year; we meet weekly to review new awards, research papers and developments that may be of interest to our internal and external constituents.

Research Brochure. This was the second year we collaborated with the Vice President for Research to create a publication profiling the diverse awards SDSU faculty received during the 2012-13 year. This brochure was used by various SDSU and SDSU Research Foundation departments to promote the research being conducted at SDSU.



Commemorative Book Ad. Last year saw the opening of the spectacular Conrad Prebys Aztec Student Union. A memorial book was created for distribution at the opening ceremony. We proudly joined the division of graduate and research affairs to co-sponsor the ad below, which ran on the inside back cover.

PI Lecture Series. The PI Lecture Series continued in FY 2013-14. 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.

First row left to right: Dr. Karen Emmorey with SR development specialist Joelle Morgan-Sattler; Dr. Chris Harrison with SR administrator Kim Ruff; Dr. Kevin Hovel with SR administrator Brahman Gnad
Second row left to right: Dr. Sanford Bernstein; Dr. Gustaf Jacobs with associate executive director Michele Goetz; Dr. Daniel Goble
Third row left to right: Dr. Scott Kelley with SR development specialist Joey Principato; Dr. Mahasweta Sarkar with visiting colleague Dr. Suchismita Chinara; Dr. Tonika Duren Green with Vice President Welter and associate executive director Tim Hushen
Fourth row left to right: An attentive audience; Laurie May-Herman, Debbie Brighton and Frank Sweeney examine Dr. Bernstein's fruit fly samples; Bob Wolfson welcomes the group

B. Sponsored Research Services (SRS)

This division consists of the Sponsored Research Development (SRD/pre-award), Sponsored Research Contracting and Compliance (SRCC/award acceptance) and Sponsored Research Administration (SRA/post-award) 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.

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 training and education on the e-routing system
- providing guidance on institutional policies and procedures (e.g., cost sharing, F&A rates, additional employment; compliance)
- preparing applications for electronic submission
- transitioning PIs to post-award department when an award is received.

Richard Brandt, post-award administrator and Steve Torok, development specialist

SRD specialists helped 321 proposers submit 941 proposals to 266 different sponsors during FY 2013-14. Proposal volume in FY 2013-14 has increased by 3.5% (an additional 33 proposals) from FY 2012-13 submissions - in spite of factors such as sequestration, the government shutdown, faculty retiring from SDSU, and funding opportunities being reduced or eliminated. Although the number of proposals is still lower than the 1,042 submitted 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 new sponsors provide both opportunities (for funding) and challenges (proposal development and administration).

New faculty and proposal submissions

New faculty coming to SDSU are focused on proposal development and submission. In FY 2012-13, 9 of the 22 new faculty coming to SDSU contacted SRD to either submit new applications or to transfer existing awards.

Many of the 59 new faculty members recruited for FY 2014-15 are already working with SRD staff to transfer their active grants or on funding opportunities they have already identified. Staff will continue to work with the new faculty who will be recruited as part of the Areas of Excellence initiative.

In FY 2013-14, SRD staff continued to assist with large, multi-institutional applications.
Collaborative research has become more prominent as SRD helped SDSU faculty submit several large, interdisciplinary, multi-institutional applications for research and educational projects. Faculty from all colleges across campus came together to propose research on areas such as human communications, use of big data to solve complex issues, behavior changes and reduction of dengue fever, population growth and its relation to health, and environmental sustainability. These proposals tend to be more complex and time-consuming and involve diverse groups of faculty. Many of these proposals also include other institutions in the U.S. as well as international organizations. In addition, educational programs to increase student success in undergraduate, graduate, and Ph.D. programs were proposed by collaborative teams of SDSU faculty.

E-routing Initiative
SRD staff worked closely with computing services, principal investigators and deans' offices to implement the electronic proposal routing system mentioned in the Highlights section. Other enhancements to the e-routing initiative are anticipated next year and include:

- Refining and improving training materials, including video tutorials
- Processing of renewals, supplements, and preliminary proposals using the system
- Mapping data elements from the InfoEd system to Banner
- Automating reminders and other communications using the InfoEd system
- Other streamlining activities.

Use of the InfoEd software application to submit proposals electronically continues to increase, and is being used to route and track all new proposals. In FY 2013-14, 133 proposals were submitted to federal agencies using InfoEd. This is in line with last year's InfoEd submissions. Federal agencies continue to increase the number of programs that require electronic transmission, and it is expected that the number of applications submitted via InfoEd will increase.

Federal agencies accepting electronic proposals from InfoEd include NIH, the departments of education, agriculture, defense, justice, interior, and transportation.

There are also challenges associated with electronic proposal submission, including potential technical difficulties. SRD is working with the university to establish reasonable time lines and guidelines to ensure timely submissions.

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 sub-agreements, 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 sub-agreements. In particular, terms and conditions from previously negotiated agreements are analyzed to achieve consistency for follow on funding. Mandatory

compliance-related requirements continue to increase, with the addition of the NIH Whistleblower Act flow down requirement in FY 2013-14. SRCC continues to negotiate for the protection of publication rights, retention of intellectual property rights and the ability to utilize foreign students/visiting scholars on research programs and exclude unwarranted restrictions.

Award Acceptance
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 300 contract negotiations occurred during FY 2013-14**. Non-profit, higher education, federal and State of California agencies account for 73% of the negotiations. The remaining 27% is comprised of agencies such as for-profit institutions, hospitals and medical institutions, and school districts.

Contract Review and Award Mechanisms
SRCC provides a coordinated negotiation process that includes project directors, SRS division and other departments as needed. Systems have been established that have reduced 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.

Sub-agreements
SRCC continues to work diligently to prepare sub-agreements 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. Similar to contractual awards, negotiations are part of the sub-agreement process.

B3. 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 the past year SRA managed and supported **over 800 active grants and contracts and approximately 1,300 combined gift funds**, **campus and community programs and institutional allocations**.

Sponsored research administrators work closely on a daily basis with principal investigators and their staff to provide services related to overall fund management. These 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
- trouble-shooting issues/assisting with the identification of options for problem resolution
- ensuring the accuracy and allowability of faculty compensation

- monitoring of sub-agreements
- documenting cost-sharing commitments
- tracking and reporting program income
- liaison with sponsors
- requesting changes in scope of work, key personnel, time extensions or other significant changes to the project that require funding agency review and approval.

Dr. Tonika Duren Green and SR administrator Raquel Kaercher work on a budget projection

Sponsored research administrators serve as liaisons between principal investigators, project staff and other SDSURF departments such as human resources, facilities and the various business services units to facilitate requests pertaining to the operation of funded projects. SR Administrators also play a key role in providing feedback to other RF departments when policies and procedures are updated or revised to ensure functionality for sponsored programs.

During the past year a team of SR Administrators continued to lead the **Pcard Travel Subcommittee** which focused on finalizing policy and procedures and developing training materials for the travel feature of the procurement card which is scheduled to be rolled out in fall 2014. The Subcommittee also offered trainings and expanded the pilot group to allow additional PI's to use the travel feature on their Pcards.

SRA staff also played key roles in planning, designing, testing and training in the implementation of the research foundation's new web-based time and attendance system described in the Highlights section. The SRA Director served as a member of the Management Team and Implementation Team and played a lead role in the development and delivery of training. A team of SR administrators was instrumental in the development and delivery of training to more than 900 PIs, their staff and agency employees. The SRA department staff also participated in testing the new system and served as a resource for PIs and staff.

Effort Reporting

In addition to the electronic service initiatives referenced in the Highlights section, sponsored research has been working on **automating the effort reporting process** by which faculty certify their effort on grants and contracts. Substantial progress has been made and the system was launched successfully with the spring 2014 effort reports. Approximately 400 effort reports were issued and close to 25% were electronically certified within the first 24 hours.

PI Profile

PI Profile is a secure financial web-based application that assists SDSU principal investigators with the management of their research foundation-administered accounts. It provides current financial data on all active awards including budgets, expenditures, balances, personnel assignments and purchase orders.

SR staff are involved in the development of customized reports and the delivery of advanced query features for PIs and project staff via **PI Profile.** The Sponsored Research Systems Manager works closely with developers in computing services to conceive, design and implement new enhancements to better support SDSU programs.

Bruce Wilson and Janet Harry discuss PI Profile

PI Profile enhancements developed this past year include:

- A new menu heading was created for personnel queries:
  Personnel Appointment Report – allows users to look up employee appointment records.
  Employee list by ORGN – users are now able to view employees by ORGN code
  Employee supervisors – all PI Profile employee queries now include employee's supervisor
  Find Supervisor Employees – allows users to enter the name or Red ID of a supervisor and get a list of all their employees.
- Reporting enhancements were made for deans and department chairs as a result of electronic proposal routing.
  Proposal and award report for deans and department chairs –allows deans and chairs to view detailed reports of their college or department awards and proposals. This report also contains links to important documents such as the proposal, budget and routing form.
  Proposal Routing Report – allows users to electronically view the proposals that require their review. This report also allows users to post comments about proposals and to access important documents needed in the review process.
- **Student Vendor History** – allows Financial Aid office to view student vendor reports and link directly to payment documents to ensure student compliance with federal regulations.
- **Proposals and Awards Report** – a major effort was undertaken to provide reports to accommodate users that need to monitor awards and proposals for their groups. Enhancements were made to the deans' quarterly reports to include summary data and expanded date query capability.
- **RCR employees** - a federal policy requires certain students paid by grants to go through Responsible Conduct of Research training every four years. A new PI Profile feature provides information about which projects this policy applies to and tracks completed training.
- **PCARD** - scanned images of PCARD packets are now available in PI Profile.

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 help with award administration by preparing invoices for payment and journal vouchers; set-up and maintenance of encumbrances; budget and award analysis entries. Centralizing the support staff enables reallocation of resources as needed during critical deadlines or periods of heavy workflow and also allows for a comprehensive training environment to facilitate promotion within the division.

Sponsored Research Technician team: Jenny Haynes, Paul Milbury, Ericka Solis and Sarah Harper

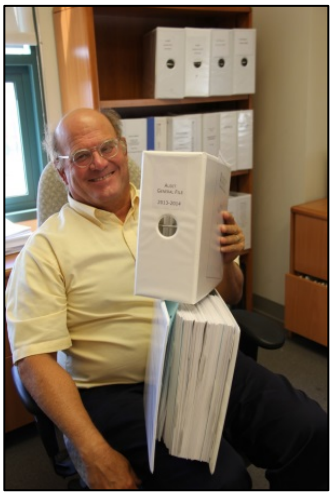
C. Finance and Operations

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, institutes, KPBS TV/FM and The Campanile Foundation (TCF). This includes preparing and coordinating internal and external financial and compliance audits as well as maintaining appropriate internal controls.

C1. Finance and Accounting

Audits

SDSU Research Foundation operates in a highly regulated environment. Compliance with federal, state, and CSU regulations is critical and monitored via regular audits. Finance & Accounting staff coordinate all financial reviews and audits, including those by independent auditors, the CSU Chancellor's Office, and sponsor agencies.



Director of Finance Rich Rechif oversees our audits

- Independent audit. By the end of September each year, the 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. The department also 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).
- Sponsor audits. Ten sponsor audits were conducted in FY 2013-14 (compared to 22 in FY 2012-13), none of which resulted in any compliance findings.
- CSU triennial audit. The Office of Audit and Advisory Services of the California State University audits each auxiliary organization every three years. SDSURF received only one recommendation in last year's CSU audit.

Financial Reporting and Administration

Sponsor Reporting and Invoicing

In addition to preparing the financial reports for the annual audit, finance and accounting personnel prepare all required sponsor financial reports, all invoices to sponsors, and administer all cash remittances and reconciliations. Working closely with the sponsored research administrators, finance and accounting staff monitor all receivable collections and work-in-process balances.

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 82 parcels in four different counties, 27 business personal property tax returns, annual and quarterly payroll tax returns for the IRS and 16 different states, and 44 non-resident withholding certificates.

Purchasing, Accounts Payable and Payroll
Staff in these departments were instrumental in planning and implementing the successful web-based time and attendance initiative mentioned in the Highlights section.

ACH (direct deposit) Payments
More employees are now receiving employee reimbursements via direct deposit and some vendor payments are now being made using ACH. This process has decreased the number of paper checks thus reducing the associated printing and mailing costs.

Transaction Counts
The number of transactions processed in FY 2013-14 decreased slightly with the anticipated overall decrease in funding. Comparative figures for FY 2012-13 are in parentheses. The payroll department processed 46,038 (47,408) payroll checks and prepared 3,910 (4,156) W-2 Forms. Accounts payable paid 47,665 (51,071) invoices and 5,327 (6,058) purchase orders were placed by the purchasing department. In addition, 6,723 (7,061) travel claims were processed.

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.

In consultation with our 403B plan consultants, TIAA-CREF and the board of directors, a new investment platform was initiated to offer participants in the 403B plan additional options. The department also worked with The Campanile Foundation to transfer approximately $30 million of their unrestricted funds previously held in SDSURF's cash equivalents pool to TCF.

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's 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.

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 negotiating the 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. Technical staff work closely with other departments to develop and implement technology initiatives that support enhanced services and contribute to increased productivity, security and information access. These initiatives provide ongoing value in both improved service levels and operational efficiencies and move us forward on our ongoing journey toward a "paperless" environment.

In FY 2013-14, several significant **service enhancement initiatives** were launched into production including the EmpCenter on-line time and attendance system, electronic proposal routing, and the iCIMs applicant tracking program described in the Highlights section. The director of computing services served as project leader and was instrumental in the planning, implementation and success of this critical initiative. Dedicated IT staff played an important role in all of last year's initiatives.

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

Google Apps and AztecLink
Staff negotiated an agreement and coordinated efforts to integrate SDSURF employees into AztecLink Identity Manager and to provide Google Apps accounts in the SDSU domain. All SDSURF employees have been successfully migrated to the centralized campus Google mail system.

IT Support for Graduate & Research Affairs
Staff negotiated an agreement with SDSU Graduate and Research Affairs so they can leverage and share some of our IT infrastructure versus implementing their own, saving tens of thousands of dollars.

PI Profile Enhancements
Several significant enhancements were made to our secure financial web-based system that helps SDSU faculty and staff manage their research foundation-administered accounts. Please see Section II B3 for details.

D. Human Resources (HR)

Human Resources (HR) has primary responsibility for managing all employee-related matters including policy administration, recruitment process, benefits administration, employment and labor law, new employee orientation, labor relations, personnel records retention, wage and salary administration, employee assistance program, safety/risk compliance, workers' compensation, and property and liability insurance, claims. Last year's key highlights:

HR Business Partner Model

The fiscal year 2012-13 restructure in human resources included a new customer service model which dedicated an HR professional (business partner) to each project giving all projects and central staff one point of contact for all HR-related matters. The model was successfully implemented last year and the feedback from principal investigators, department directors and staff has been positive. The model has strengthened and personalized our relationships with our project personnel and our communication has been greatly enhanced. The change has allowed our staff to get in front of problems, communicate changes in policy, gather data and provide training in a more timely and efficient manner.

Hiring and Employment

The recruitment and selection process has been re-engineered to enable a more timely response to personnel requisitions. All advertisements for positions and all background checks are now handled through the HR department. A new "Hiring Guide" is being developed and recruitment efforts have expanded to broaden the pool of qualified candidate and attract more applicants from under-represented groups. Electronic applicant onboarding is discussed in the Highlights section.

Affordable Care Act (ACA)

HR staff have been adjusting policies and procedures to ensure compliance with the requirements of the federal Affordable Care Act, with a goal of full compliance with ACA on January 1, 2015.

Classification System

A new job classification system has been developed. The system is now limited to these types of employees: Exempt, Non-Exempt, Full-Time, Part-Time, Term, Student and Temporary. Compensation for each of these classifications follows the university schedule. The system includes processes to fairly and systematically review positions which should reduce the number of requests for reclassification; reduce costly grievances arising from disputed job requirements; minimize pay inequity; reduce subjectivity; and provide a solid basis for performance evaluations.

Job Descriptions

All central staff/agency/KPBS job descriptions have been reviewed and standardized to comply with federal guidelines related to essential job functions, physical/mental requirements and minimum qualifications.

Policy Review

All SDSURF human resources policies have been reviewed. A "Human Resource Policy Manual" is being created and a WIKI application is being developed to house all policies.

E. Facilities Planning and Management
Facilities Planning and Management (FP&M) is responsible for the identification and asset management of off-campus real property in support of sponsored programs. FP&M staff oversee a diverse portfolio that includes 785 thousand square feet of buildings, 693 acres of land and is valued, for buildings and personal property, at over $130 million.

These facilities house roughly two-thirds of SDSU research projects. Various commercial tenants share space within these properties which contributes income and allows for potential future campus and project space needs.

Management of this important array of property includes acquisition, disposition, property transfers, leasing, capital and tenant improvements, and on-going maintenance. In addition, FP&M locates and leases over 50,000 square feet of space in non-research foundation-owned properties, to house special purpose sponsored projects as needed. FP&M also provides in-house repairs, maintenance, mail delivery, furniture inventory and other services to accommodate the needs of our researchers.

Highlights

Impact of Property Transfer
As a result of the property transfers mentioned in the Highlights section, the facilities department was restructured and included a major reduction in staff.

Research Tenant Improvements
In total, facilities planned and completed the build-out of over 26,000 square feet of research and commercial space in property owned and leased by SDSURF. This represents approximately the same amount of work as last fiscal year despite a reduction of square footage in SDSURF's owned properties and a reduction in facilities staff. Examples of last year's activities include:

- **Dr. Gregory Talavera** continues to expand his research space in the south bay area of San Diego. A new suite of 1,069 rentable square feet at 450 4th Avenue in Chula Vista was added. This will greatly enhance the operations related to Project SOL, accommodate a new clinical measurement device and support other research at this location.
- **Dr. Heather Corliss** has been located to new space at 9245 Sky Park Court. Joining SDSU's Graduate School of Public Health in 2013, Dr. Corliss is a social and behavioral epidemiologist specializing in health disparities adversely affecting LGBT populations.
- The **SDSU Department of Administration, Rehabilitation and Postsecondary Education** (**ARPE)** moved to campus while the **Interwork Institute and Creative Support Alternatives** (a research foundation sponsored project) planned a major relocation to Alvarado Medical Center which took place in July 2014. Facilities led in the planning and construction of this project which took over six months and included building upgrades to ADA standards for the tenant space and building access and restrooms. More information about this project can be found in the Highlights section.
- Facilities staff participated in the pre-award planning and led the post-award design and construction of the Center for Research in Math and Science Education (CRMSE) Learning Research Studio. The $150,000 facility and equipment award was made to **Dr. Lisa Lamb** and her CRMSE colleagues, and funded by the office of the Vice President for Research. Construction involved enlarging, reconfiguring and enhancing two suites located at 6475 Alvarado Road. The new technologically advanced studio includes a 40-person training room and adjoining

observation rooms for specialized recording. The studio supports existing research and promotes new opportunities for the CRMSE community, fosters collaboration, increases the likelihood of funding, and furthers the university's research efforts in science and mathematics education.

Before and after: CRMSE's Learning Research Studio

Santa Margarita Ecological Reserve (SMER)
We are finalizing the process to receive a gift of 141 acres of land adjacent to current property. This land of rugged terrain will act as a buffer for our ecological reserve between private and protected properties. SMER is largely utilized for research by the College of Science. It is one of several field stations the research foundation manages on behalf of the university.

SDSU's Pride Center occupies 5121-41 Campanile Drive
Formerly housing a fraternity, this property was rezoned for office use and occupied by the Student Organization Annex. In January, 2014 it became the new home, as a stand-alone facility, to SDSU's Pride Center. Located along the ceremonial entry to campus, this organization is a resource service center to the LGBT community and its allies at SDSU.

Completion of Construction Grant at the Coastal & Marine Institute Laboratory (CMIL)
All construction and improvements associated with Dr. Todd Anderson's $200,000 National Science Foundation grant were completed. Dr. Anderson received this award in April of 2011, for the enhancement of the flow-through seawater system at CMIL. This award has allowed for the expansion of research, especially for longer-term experiments. These enhancements assist CMIL faculty, staff and students in building infrastructure, increasing research and educational activities, and obtaining additional funding. Improvements include the addition of a backwash sludge recovery system and two skid-mounted recirculating systems, allowing more specialized research and operational flexibility in the event of a power outage.

Development of 5030 College Avenue
As mentioned in the Highlights section, facilities staff collaborated with the university and a private business developer on a proposal for a public-private partnership, which would develop a 1.5 acre parcel of research foundation-owned property for university student housing.

WIC renews leases and relocates two offices
The SDSU/SDSURF WIC Program is a non-profit agency dedicated to improving health and nutrition education for San Diego families. WIC serves over 40,000 participants each month. Facilities worked with WIC staff last year to relocate two offices - one in Fallbrook and one in North Park. Work included site location, lease negotiations, tenant improvements and the move. Six additional leases were renegotiated for locations in Spring Valley, Kearny Mesa, Mira Mesa, Chula Vista, San Diego and El Cajon.

Leases Negotiated and Signed in FY 2013-14
Facilities once again signed nearly $4M in new and renewed commercial leases which have terms of between one and five years. The long-term model for SDSURF-owned real estate properties is for their primary use to house faculty research. To maximize the portfolio potential, it's also assumed that any vacant space will be commercially leased.

Operations
Facilities continues to develop and improve its property and space data base, which is linked to Banner and can track historical research assignment information. This will help to streamline and provide more accuracy in the process of calculating Research Support Funds (RSF) for multiple purposes, including reporting of space use for janitorial and maintenance fees.

To focus on improving facilities in managing security and risk, property efficiencies, climate change, IT progress, code upgrades, and other issues that require "keeping up with the times", facilities continues to maximize available resources, adjust priorities and enhance operational systems. In FY 2013-14 facilities:

- Continued to expanded building access control and accountability systems
- Greatly improved ADA/Accessibility to our properties, especially at AMC, 6367 Alvarado Court
- Created plans for additional exchange from existing landscaping to drought tolerant plants
- Coordinated with SDSU TNS on the integration of project server room components moved to campus
- Continued to expand building mechanical and lighting control systems, allowing remote diagnostics and controls.

F. Research Advancement

The Research Advancement (RA) Division operates under the direction of the Vice President for Research and Graduate Affairs, and assists SDSU faculty, staff and deans in devising strategies to advance and expand SDSU's research endeavor by developing cooperative multidisciplinary, multi-institutional partnership programs, providing program management for a diverse portfolio of sponsored programs, and protecting and commercializing the intellectual property of SDSU faculty and staff.

Strategies

- Devising novel marketing and information strategies to develop new funding sources for SDSU faculty and staff involving multi-college, multi-institutional partnerships;
- Searching out and developing new programs with local, state, and federal agencies, non-profit organizations, and other potential sponsors leveraging the expertise of SDSU faculty and Research Foundation staff; and
- Developing the SDSU Federal Research Agenda and working with members of Congress to authorize and appropriate funds to support the Agenda.

The Research Advancement Team assisted faculty in securing more than $16.3 million dollars for new and existing projects in FY 2013-14 with F&A exceeding $3.3 million. In addition, Research Advancement played a major role in assisting faculty with the submission of proposals totaling over $50 million. For example:

- Received $162,306 from the Department of Defense (DOD) Small Business Programs Office to conduct research studies on the Small Business Technology Transfer Research (STTR) program and the Mentor-Protégé program to help improve the effectiveness and efficiency of these two important programs. Results are being used to revise program operations to make them more successful in capturing innovative technology solutions to meet priority needs of military personnel.
- The Office of the Assistant Secretary of Defense for Homeland Security provided a new $400,000 award to continue the Center for Commercialization of Advanced Technology (CCAT) program which accelerates the transition of DOD technologies into the First Responder community.
- The RA Team, under the leadership of Provost Marlin, Deans Wong, Maloy and Shapiro and Department Chairs Walsh, Tummala, and Tong, helped write and win the SDSU-Georgia project described in the Highlights section.

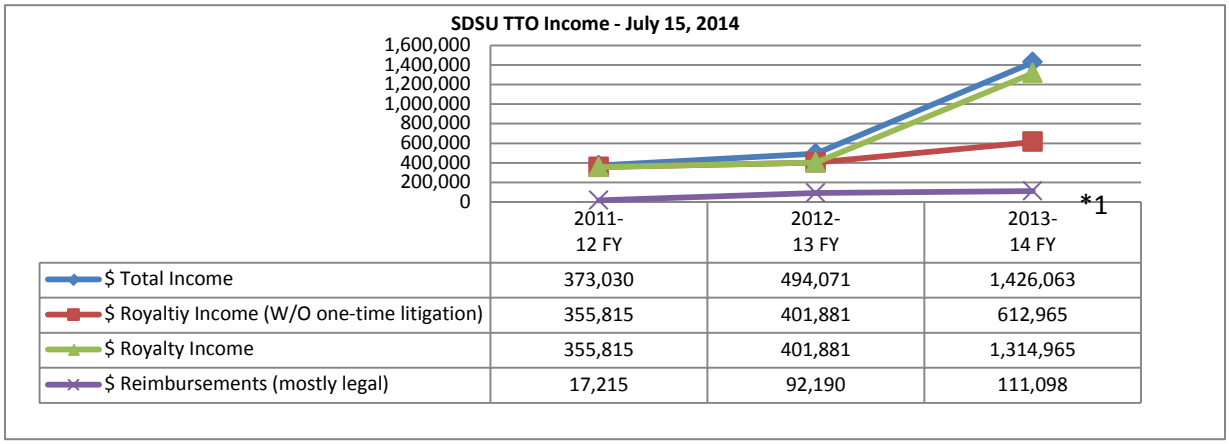
Leveraging the Valley's constant sunshine, Dean Pearson and team worked with SDGE, and the Imperial Irrigation District to create an energy research center of excellence - The Center for Energy Sustainability. Here, Hyperlight Energy builds their first commercial-scale Concentrated Solar Power (CSP) demonstration project at SDSU's Brawley campus. This system has now been fully commissioned and is being evaluated to optimize and measure the output of high temperature steam used for agricultural processing in the Valley. RA staff supported the proposal development and award of this IVC program. Photo: J. Crockett

Congressman Ken Calvert of California's 42nd district and SDSU alumnus visited the Language Acquisition Resource Center's intensive Pashto training of U.S. Marines. Research Advancement assisted in securing the funding for these programs which have provided intensive language training to the U.S. military for over 6 years. Photo: H. Jacobs

Technology Transfer Services.

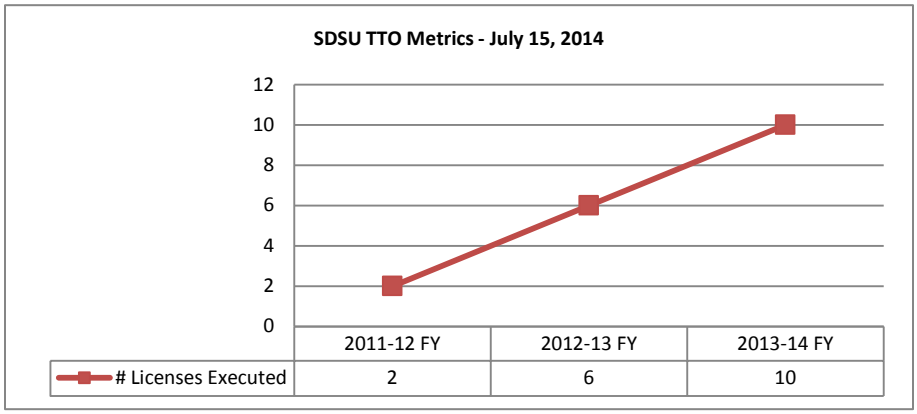
The Technology Transfer Office (TTO) provides technology transfer services, protects intellectual property, commercializes technology developed at SDSU and assists spin-out companies based on SDSU inventions.

The charts below provide information on the amount of royalties and other income generated by the Technology Transfer Office over the past three fiscal years. Last year's TTO income set a record due to a one-time payment of past-due royalties, which is not expected to occur in the future. TTO was successful in negotiating ten licenses of SDSU discoveries last year - a fivefold increase over the previous year.



	2011-12 FY	2012-13 FY	2013-14 FY
$ Total Income	373,030	494,071	1,426,063
$ Royaltiy Income (W/O one-time litigation)	355,815	401,881	612,965
$ Royalty Income	355,815	401,881	1,314,965
$ Reimbursements (mostly legal)	17,215	92,190	111,098

The TTO earned a one-time, non-recurring $702,000 from settlement of litigation against an infringing company. This line represents TTO income growth over time with that one-time amount redacted as it will not reoccur in the future.



	2011-12 FY	2012-13 FY	2013-14 FY
# Licenses Executed	2	6	10

III. STAFF ACTIVITIES AND EVENTS

Leadership

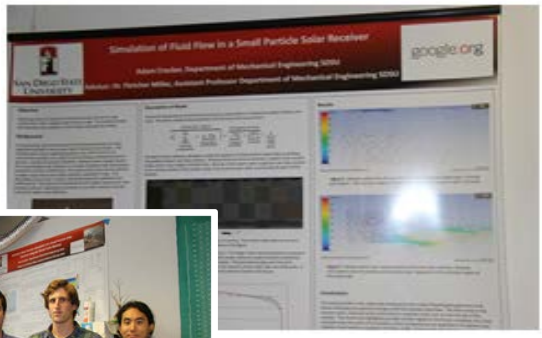
Many SDSU Research Foundation staff volunteer their time with professional organizations related to their disciplines. These activities provide educational, training, and networking opportunities that enhance their ability to serve SDSU researchers. For example, Sandra Nordahl, director of sponsored research contracting and compliance, is president of SRA (Society of Research Administrators) International; Chief Financial Officer Melinda Coil is a member of the CSU-wide Auxiliary Organization Risk Management Association (AORMA); Michele Goetz, associate executive director of sponsored research services, is a member of the Auxiliary Organization Association's long-range planning committee; Mike Rondelli, technology transfer director, is a member of the Association of University Technology Managers (AUTM); and Jennie Amison, director of sponsored research development is an SRA Distinguished Faculty member. Management and other research foundation staff are members of these state, 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.

Jennie Amison (third from left) and colleagues presenting at the Society of Research Administrators "Basics of Research Administration" conference

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, Special Events Advisory Team, and the Emergency Preparedness, Explore SDSU, Campus Development, Conflict of Interest, University Copyrights and Patent, Presidential Staff Excellence Awards, and Institutional Animal Care and Use committees.

Lab Visits

Many principal investigators graciously provide tours of their research space to research foundation staff. Last year, visits were made to several laboratories including those of Dr. Gustaaf Jacobs, Dr. Fletcher Miller and Dr. Daniel Goble.



Events

Throughout the year, management hosts a variety of events to keep staff up-to-date on university and research foundation activities and to recognize their hard work. Last year's events included two All Hands information sharing meetings and several celebrations including a Staff Awards event, Holiday Party and Summer Barbeque.

FY 2013-14 All Hands Meetings

2013 Staff Award Recipients

35 years: Derek Wilton and Bob Wolfson

30 years: Jan Conery and Bob Wolfson

25 years: Bob Wolfson, Tim Hushen, Angie Johnson, Jack Tripp,

20 Years: Renée Lechner, Bruce Wilson, Bob Wolfson, Andrea Prescott, Sommay Kongmalay, Linda Arellano

15 years: Julie Alsbrooks, Barry Janov, Lauri May-Hermann, Bob Wolfson, Rachel Raynoha

10 Years: Alfredo Dandan, Naomi Mariscal, Bob Wolfson, Michael Rondelli, Janne Johnson (not pictured)

5 years: Bob Wolfson, Reyna Navarro, Graceanne Torio, Angela Cormier, Denise Engelschjon (not pictured)

2013 Holiday Party and Wreath Competition

And the winner is... Sponsored Research Development!

Go Chargers!

Summer 2013 BBQ

IV. 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.

Executive director Bob Wolfson with associate executive directors Melinda Coil, Norma Clark and Michele Goetz (not pictured: Tim Hushen)

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

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

The FY 2013-14 board was composed of the following members. The FY 2014-15 board will be elected on September 26, 2014.

FY 2013-14 Board of Directors

Dr. Elliot Hirshman
PRESIDENT
President, SDSU

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

Mr. Tom McCarron
TREASURER
Vice President for Business and Financial
Affairs and Chief Financial Officer, 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

Mr. William Brack
Retired, Self-Employed Financial Consultant

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

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

Dr. Samuel Kassegne
Professor of Mechanical Engineering, SDSU

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 & Human Services,
SDSU

Mr. Josh Morse
President, Associated Students

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

Dr. Robert Zeller
Professor of Biology, SDSU

The March 2014 board meeting was held in the Conrad Prebys Aztec Student Union. Board members were given a tour of the new facility following the meeting.

Welcome to new board members Bill Brack, Sam Kassegne and Bob Zeller!

V. 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 2013-14 and FY 2012-13.

B. **Number of Proposals and Awards**

Chart B compares the number of proposals submitted between FY 1999-00 and FY 2013-14 to the number of awards received.

C. **Sponsored Program Expenditures by Sponsor Type FY 2013-14**

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

D. **Sponsored Program Expenditures by Federal Agency FY 2013-14**

This chart provides a breakdown of federal expenditures by agency excluding pass-through funds.

E. **Sponsored Program Expenditures by Sponsor Type/Federal Pass-through FY 2013-14**

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. It is also helpful to see the total funds coming from federal sources (both directly and indirectly).

F. **Sponsored Program Expenditures—Detailed Comparison**

This chart provides detail on the components of sponsored program expenditures for FY 2013-14 and FY 2012-13.

G1. **Sponsored Program Expenditures and F&A Effective Cost Recovery Rates (including and excluding ARRA)**

G2. **Negotiated Rate and Effective Rate FY 2002-03 - FY 2013-14**

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 Sub-agreements, equipment, certain study participant costs and certain 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 2011-12, FY 2012-13 and FY 2013-14**

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

Chart A

Proposal/Award/Facilities & Administrative (F&A) Cost Comparison
FY 2013-14 - FY 2012-13

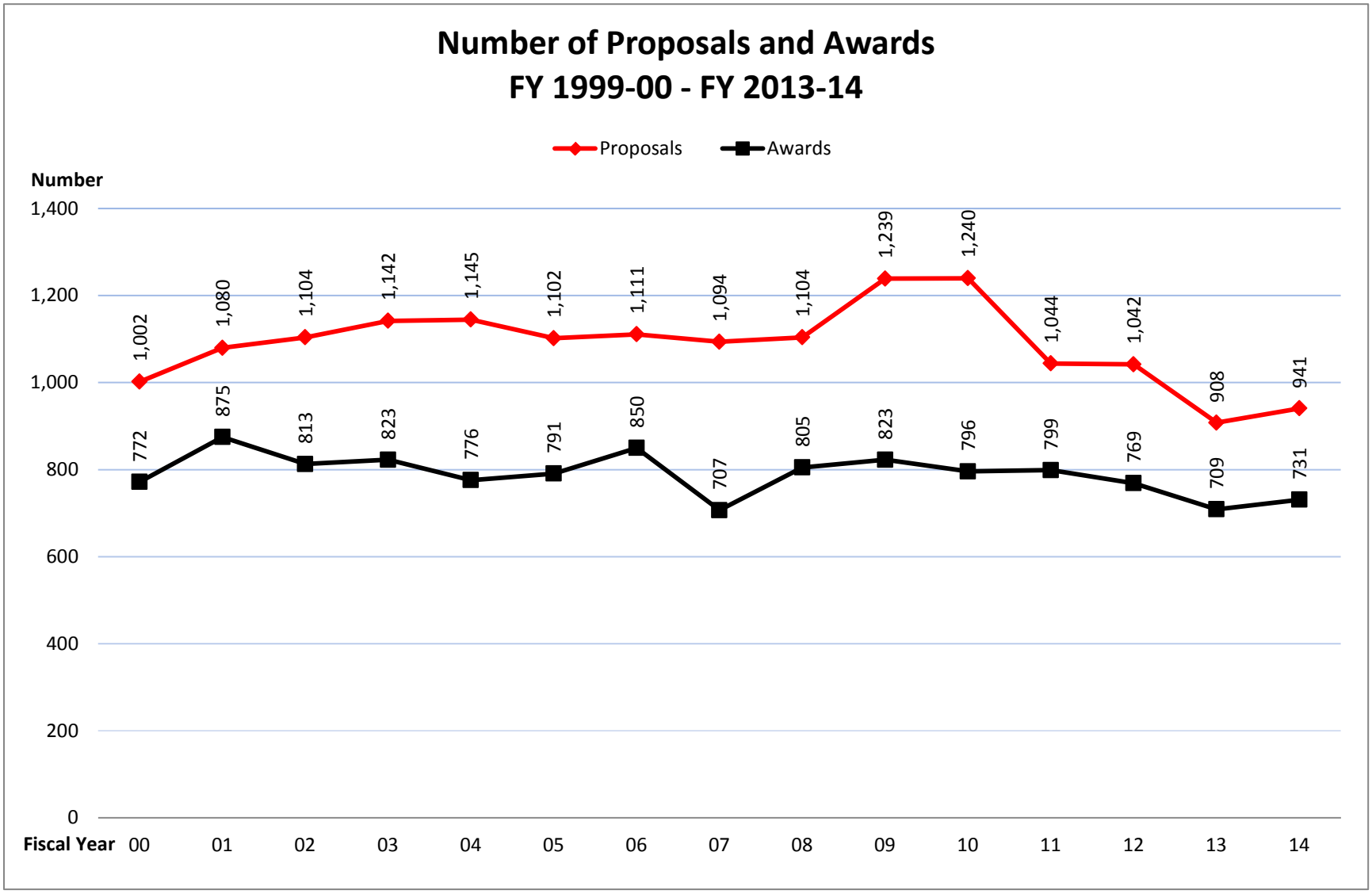
	Fiscal Year 2013-14	Fiscal Year 2012-13	DIFFERENCE BETWEEN FISCAL YEARS
Proposals Submitted*	940	908	33
Total Amount Proposed**	$182,762,803	$169,245,114	$24,399,103
F&A Amount Proposed	34,869,857	33,350,557	2,900,346
Proposed F&A (%)	23.57%	24.54%	
Number Pending**	399	358	42
Total Amount Pending	$79,689,298	$64,583,841	$25,986,871
Indirect Amount	17,401,218	14,524,775	4,257,489
F&A (%)	27.94%	29.02%	
Number of Awards	731	709	22
Total Amount Awards	$107,857,290	$115,708,473	($7,851,183)
F&A Amount Awarded	17,159,894	18,806,227	(1,646,333)
F&A (%)	18.92%	19.41%	

*Does not include supplements to the original proposals

**The SDSU Georgia proposal is not included in any of the categories above. The Georgia proposal information follows:

Proposal Amount	$10,881,414
F&A Proposed	$1,381,046
Pending Amount	$10,881,414
Award Amount as of 06/30/14	$0

Chart B


Number of Proposals and Awards
FY 1999-00 - FY 2013-14
Proposals
Awards
Number
1,400
1,200
1,000
800
600
400
200
0
Fiscal Year
00
01
02
03
04
05
06
07
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13
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1,145
1,102
1,111
1,094
1,104
1,239
1,240
1,044
1,042
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941
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875
813
823
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791
850
707
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799
769
709
731

Chart C

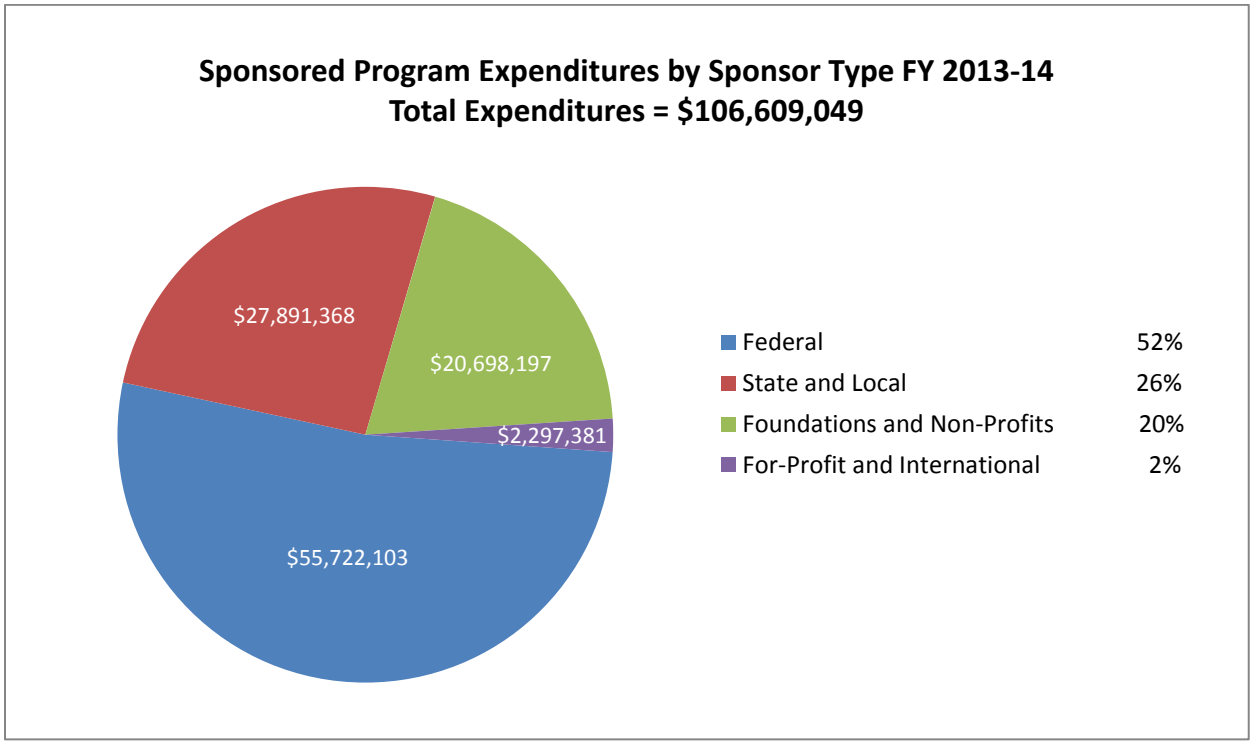


Chart D

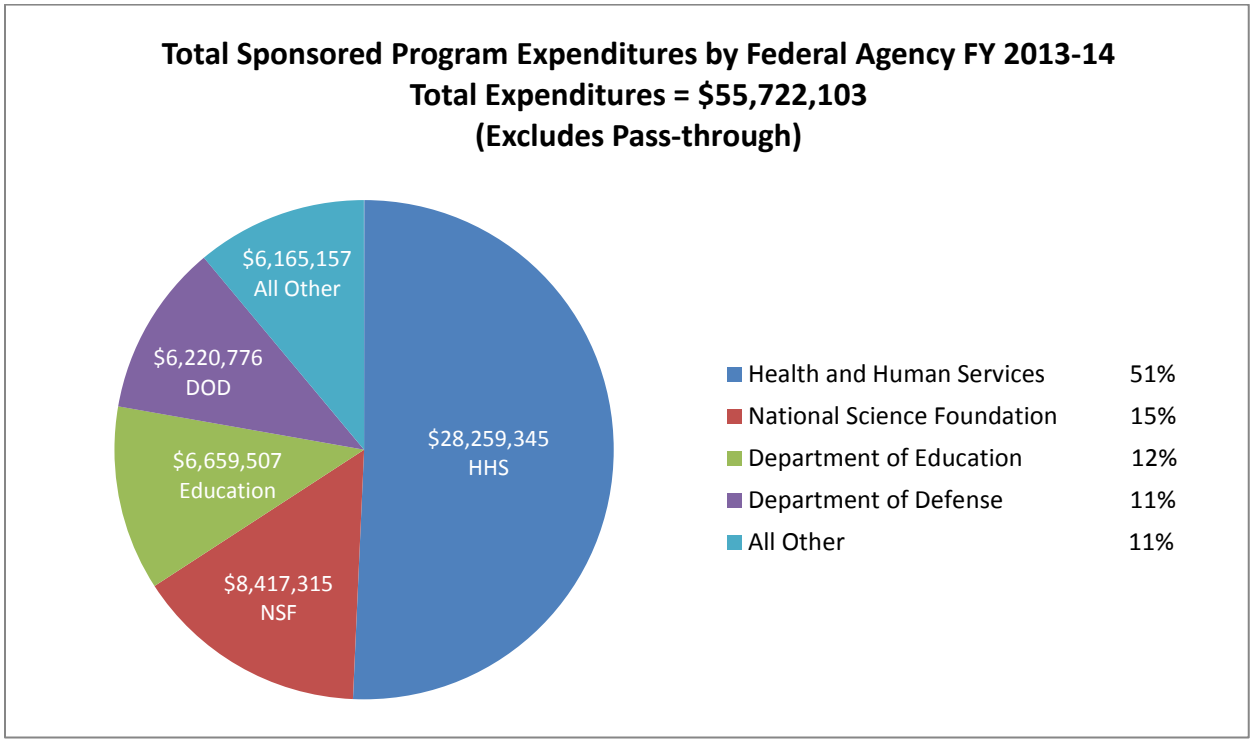
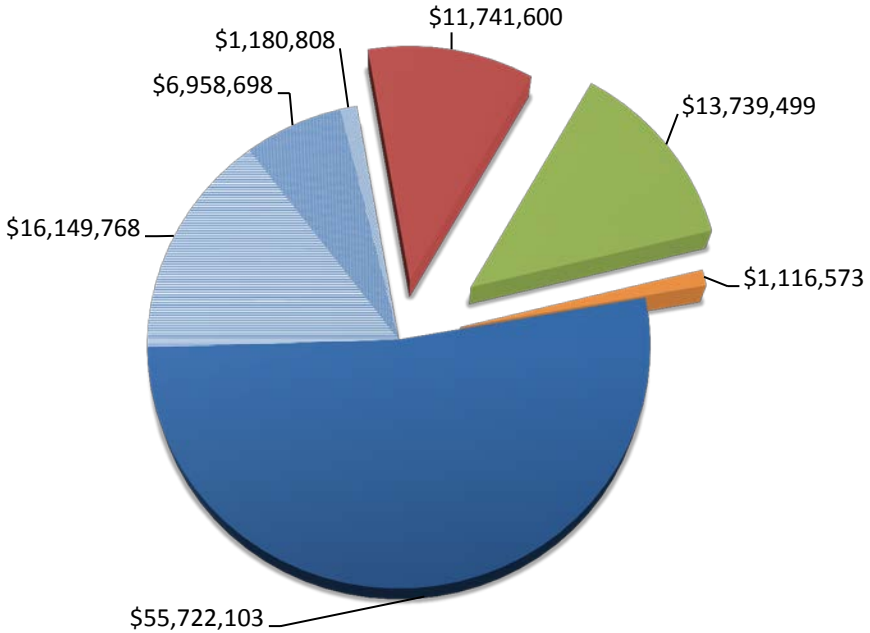
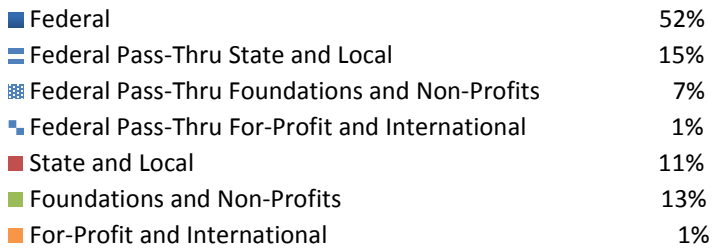


Chart E

Total Sponsored Program Expenditures by Sponsor
Total Expenditures = $106,609,049
Total Federal Including Pass-through = $80,011,377 (75%)





Federal	$55,722,103	State and Local	$11,741,600
Federal Pass-through State and Local	$16,149,768	Foundations and Non-Profits	$13,739,499
Federal Pass-through Foundations and Non-Profits	$6,958,698	For-Profit and International	$1,116,573
Federal Pass-through For-Profit and International	$1,180,808	Total Other:	$26,597,672
Total Federal Including Pass-through:	$80,011,377	**GRAND TOTAL:**	**$106,609,049**

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Chart F

Sponsored Program Expenditures - Detailed Comparison
FY 2012-13 - FY 2013-14

	Actual Fiscal Year 2013-14			Actual Fiscal Year 2012-13			TRADITIONAL CHANGE	
	TOTAL	ARRA	TRADITIONAL	TOTAL	ARRA	TRADITIONAL	$ Increase (Decrease)	% Increase (Decrease)
Salaries	39,186,346	175,619	39,010,727	40,825,241	860,865	39,964,376	(953,649)	(2.39%)
Benefits	11,249,630	20,312	11,229,318	11,493,789	170,716	11,323,073	(93,755)	(0.83%)
Other Direct	15,223,885	122,752	15,101,133	15,988,549	487,746	15,500,803	(399,670)	(2.58%)
Total MTDC	65,659,861	318,683	65,341,178	68,307,579	1,519,327	66,788,252	(1,447,074)	(2.17%)
Equipment	2,167,677	(10,079)	2,177,756	1,433,237	34,213	1,399,024	778,732	55.66%
Student Support	7,363,701	89,060	7,274,641	7,354,304	233,693	7,120,611	154,030	2.16%
Subagreements	12,104,262	568,476	11,535,786	10,838,714	845,891	9,992,823	1,542,963	15.44%
Other	2,184,611	4,659	2,179,952	2,466,426	10,001	2,456,425	(276,473)	(11.26%)
Total Other Costs	23,820,251	652,116	23,168,135	22,092,681	1,123,798	20,968,883	2,199,252	10.49%
Total Direct	89,480,112	970,799	88,509,313	90,400,260	2,643,125	87,757,135	752,178	0.86%
F&A Costs	17,128,937	133,199	16,995,738	17,963,789	433,039	17,530,750	(535,012)	(3.05%)
Total Costs	106,609,049	1,103,998	105,505,051	108,364,049	3,076,164	105,287,885	217,166	0.21%
F&A Costs/MTDC	26.09%	41.80%	26.01%	26.30%	28.50%	26.25%		

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Chart G-1

Sponsored Program Expenditures and F&A Effective Cost Recovery Rates *(Including* ARRA Funds) FY 2002-03 - FY 2013-14

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%
2013-14	106,609,049	65,659,861	23,820,251	17,128,937	49.50%	26.09%

Sponsored Program Expenditures and F&A Effective Cost Recovery Rates *(Excluding* ARRA Funds) FY 2002-03 - FY 2013-14

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%
2013-14	105,505,051	65,341,178	23,168,135	16,995,738	49.50%	26.01%

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

Chart G-2

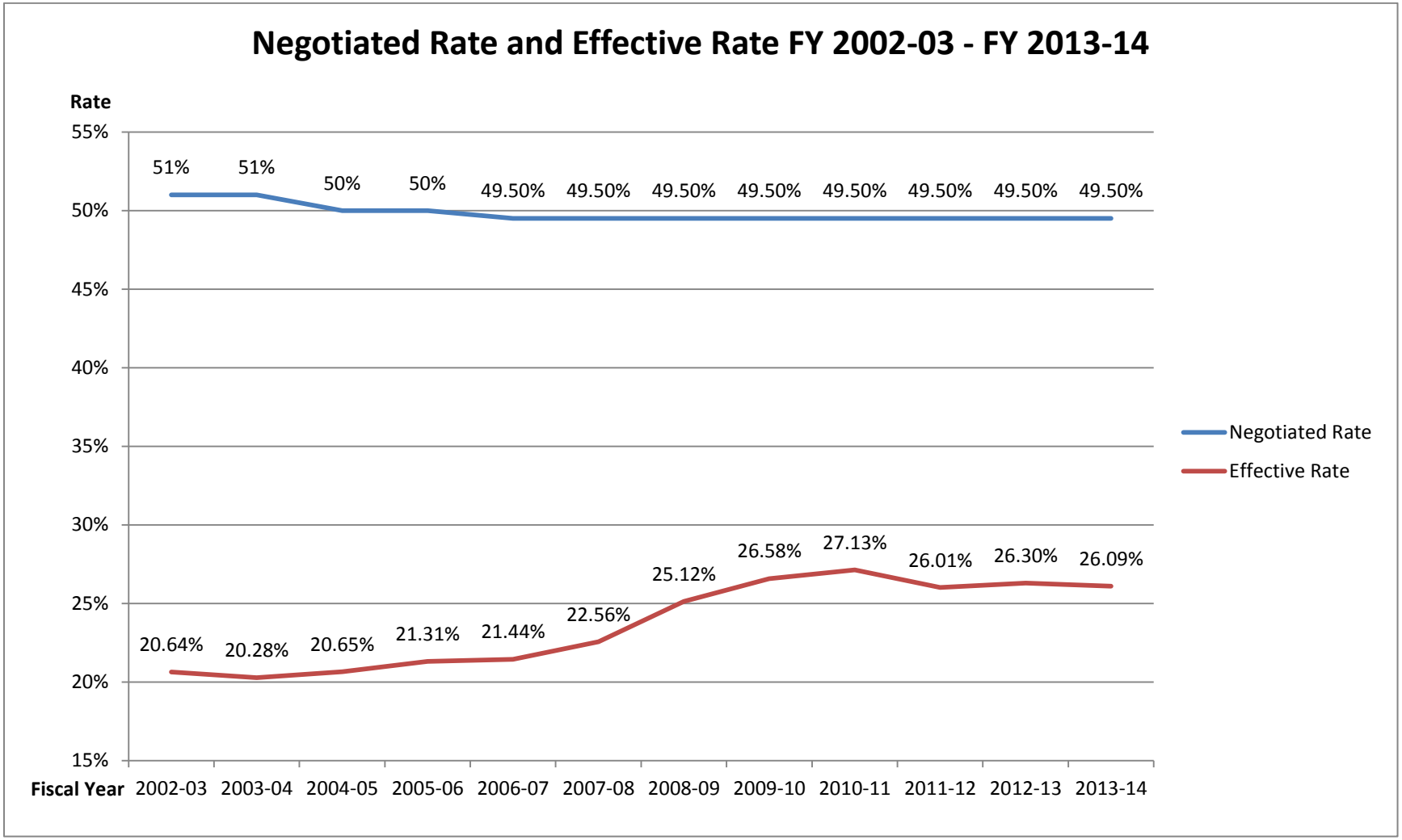
Negotiated Rate and Effective Rate FY 2002-03 - FY 2013-14
Rate
55%
50%
45%
40%
35%
30%
25%
20%
15%
51%
51%
50%
50%
49.50%
49.50%
49.50%
49.50%
49.50%
49.50%
49.50%
49.50%
20.64%
20.28%
20.65%
21.31%
21.44%
22.56%
25.12%
26.58%
27.13%
26.01%
26.30%
26.09%
Fiscal Year
2002-03
2003-04
2004-05
2005-06
2006-07
2007-08
2008-09
2009-10
2010-11
2011-12
2012-13
2013-14
Negotiated Rate
Effective Rate

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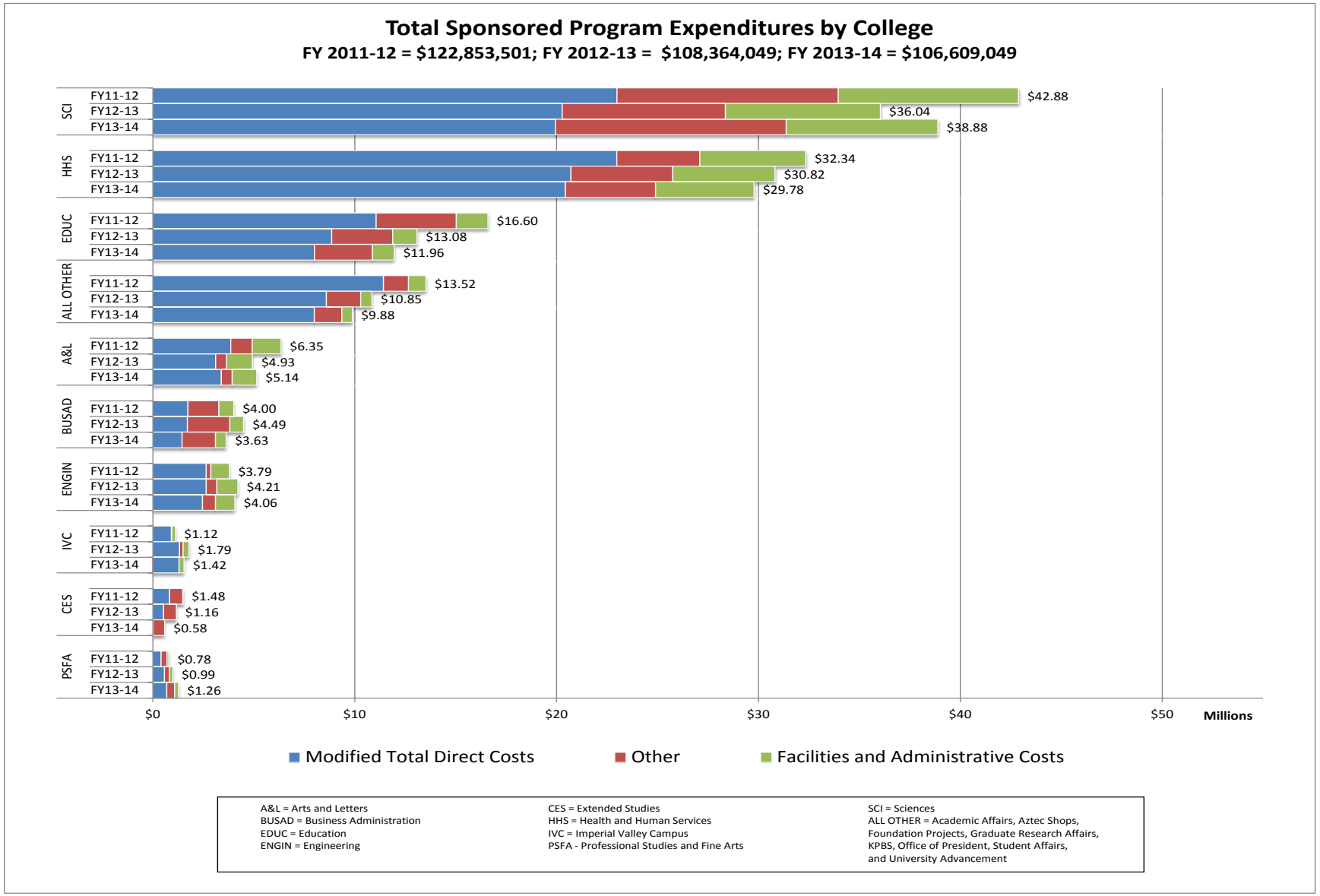
Chart H



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