

**San Diego State University
Research Foundation**



**Annual Report
Fiscal Year 2014-2015**

Cover photo courtesy of the Eastern Pacific Hawksbill Initiative

Ph.D. candidate Alexander Gaos (far right) with members of his research team after capturing a hawksbill sea turtle during in-water monitoring in the estuaries of the Gulf of Fonseca, along the Pacific Coast of Honduras.

Principal Investigator: Dr. Rebecca Lewison, biology

Gaos' Master's research, which was also completed at SDSU in Dr. Rebecca Lewison's lab, used satellite transmitters to track hawksbill movements and led to the ground-breaking discovery that adults of the species in the eastern Pacific Ocean prefer mangrove estuarine habitats over the coral reef habitats primarily used by the species in other parts of the world. Gaos' current Ph.D. work focuses on using genetic molecular assays to further understand stock structure, connectivity and evolutionary history of hawksbills in the eastern Pacific Ocean.

This project and other research in the Lewison lab seeks to conduct science that can support species conservation and sustainable resource use.

Funding for Dr. Lewison's work is provided by the National Oceanic and Atmospheric Administration, Environmental Protection Agency, California Department of Transportation, National Aeronautics and Space Administration, California Department of Fish & Wildlife and the Southern California Coastal Water Research Project.

SDSU Research Foundation

Annual Report

Fiscal Year 2014-15

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**SDSU Research Foundation
Annual Report
Fiscal Year 2014-15**

INTRODUCTION

The SDSU Research Foundation management team is pleased to present this annual report which highlights fiscal year 2014-15 accomplishments and activities.

Our congratulations and thanks go to the SDSU principal investigators who received 698 awards valued at \$120.6 million last year – a 12% increase over the previous 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. The report is organized into these sections:

Section I - Management and Board of Directors

Section II – Highlights

Section III - Summary of Services and Activities by Department

Section IV - By the Numbers (charts and graphs)

Section V - Staff Activities and Events

I. Management and 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 executive director Bob Wolfson and four associate executive directors of: sponsored research services (Michele Goetz); finance and operations (Melinda Coil); facilities planning and management (Norma Clark); and research advancement (Tim Hushen). 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.

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 with the policies of The California State University board of trustees and San Diego State University.

Board composition

Five 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 eight individuals, five of whom are “public” members from the community, nominated by the president and elected for three-year terms.

The FY 2014-15 board is composed of the following members (five ex officio; seven faculty; and five community directors); the FY 2015-16 board will be elected on September 25, 2015.

FY 2014-15 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, 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

Ms. Vickie Capps

Certified Public Accountant

Mr. J. Cole

President, Associated Students

Dr. Chukuka S. Enwemeka

Provost and Senior Vice President for Academic
Affairs, SDSU

Dr. Craig Hauser

Vice President for Scientific Resources
Sanford-Burnham Medical Research Institute

Dr. Samuel Kassegne

Professor of Mechanical Engineering, SDSU

Dr. Mary Ann Lyman-Hager

Professor of European Studies, SDSU

Dr. Marilyn Newhoff

Dean, College of Health & Human Services, SDSU

Dr. Randolph Philipp

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

Dr. Ming-Hsiang Tsou

Professor of Geography, SDSU

Dr. Robert Zeller

Professor of Biology, SDSU

EMERITUS DIRECTOR

Mr. Walter Turner, Jr.

Retired Partner, Touche Ross & Company

In Memoriam: Walter Turner, Jr.

The SDSU Research Foundation Board of Directors and staff honor the memory of Walt Turner, Jr. for his 14 years of distinguished service as a member of the board and additional two years as an emeritus director. During his five-term tenure from 1999 to 2015, Mr. Turner's expertise and numerous contributions greatly enhanced the financial strength of the research foundation and will have a lasting impact.



II. HIGHLIGHTS

Fiscal Stability

Budget

The research foundation is making significant progress in its strategic plan to stabilize finances.

The plan has been in place since 2012 and consists of these three components: 1) investing in certain service initiatives which increase efficiencies and reduce costs; 2) strategic staff reductions while maintaining core functionalities; and 3) prudently using reserves to fund current operations with the goal to replenish reserves when the financial situation improves. Management is pleased to report progress in all these areas. Positive indicators are not only an improved financial position, but the increased activity of SDSU researchers, whose productivity impacts our success, and the university's continued investment in research. Indicators include:

- \$120.6 million was awarded to SDSU faculty and staff last year – a 12% increase in funding over the previous year
- Received \$18,389,209 in F&A (an increase of 7% over FY 2013-14)
- A slight increase in revenues administered (\$212M to \$214M)
- Three new Areas of Excellence were funded by SDSU
- An 8% increase in the number of sponsors who supported SDSU research programs
- 66 new faculty members joined SDSU in the 2015-16 year.

Significant financial transactions

In a continuing effort to focus our efforts on our mission of research support, last year saw the **transfer of certain true endowments** and a gift annuity pool to The Campanile Foundation. SDSURF completed the transfer of approximately \$3.5 million in true endowments to The Campanile Foundation effective January 1, 2015, as approved by the board of directors at its December 5, 2014 meeting. The board of directors also voted to transfer SDSURF's gift annuity pool to The Campanile Foundation. This transfer was completed in June 2015 after final approval was received from the California Department of Insurance.

Proposed financing of a portion of the SDSU Research Foundation **Engineering and Interdisciplinary Sciences (EIS) Complex Project** was approved by the RF board and CSU board of trustees. Construction of this 81,900 gross square foot building consisting of teaching, lab and research space is underway at the time of this writing. The expected completion date is December 2017.

The **SDSU-Georgia** project, a \$29 million contract from the Millennium Challenge Account funded by the U.S. and Georgia governments, was launched last year to establish STEM academic programs in the country of Georgia. The research foundation provides the infrastructure and business services needed to support this complex program. This project has implications for the research foundation fiscally and

administratively. Every department released staff to work on this project (HR, facilities, sponsored research, purchasing, finance, etc.) and did so without adding any core staff. In FY 2014-15, the \$500,000 in F&A generated by this project helped balance our budget. We anticipate additional F&A revenues will be generated over the next 45 months which will continue to aid in contributing to the overall financial health of the research foundation.

Audit summary. SDSU Research Foundation is subject to independent, sponsor and CSU audits. Last year's eight sponsor audits, independent financial audit and A-133 audit were completed with no findings.

Note of thanks: In order to balance the FY 2015-16 budget and maintain core competencies, a withdrawal from reserves was required. The university agreed to a waiver of certain allocations in FY 2015-16 so that remaining reserves could be stretched, allowing time for the university's investments in research to materialize. We remain grateful for the generous support of the university which enables us to maintain core capacity and to continue providing consistent service to SDSU researchers.

Research Support

SDSU Research Foundation supports the university in many ways. Examples of last year's research support include:

Research Support Funds

Research Support Funds were funded at 100% providing essential resources to principal investigators and deans for research development.

New faculty

Efforts continued to encourage and facilitate the work of new faculty. As of June 30th, 19 of the 59 new faculty members who joined SDSU in 2014-15 had already submitted 46 proposals requesting \$8.5M (\$1.7M in F&A); eleven had already received 22 awards totaling \$2 million (\$531,000 in F&A).

Twelve of the 22 new faculty who joined SDSU in the 2013-14 year have submitted 61 proposals requesting \$8,972,928 (\$2,231,189 in F&A); five of them received 26 awards totaling \$5,166,039 (\$1,301,359 in F&A).

Training

Hosted 25 grant-related workshops and webinars for 250 participants; added option to participate via webinar/online.

Faculty Recruitments

Assisted the university with eight prospective faculty searches, interviewing more than 25 candidates.

On-site Service

Piloted a project for a development specialist to work on site part-time, providing pre-award services to off-campus center PIs.

Data Analytics

Developed complex data analytic reports designed for the deans and VP for Graduate and Research Affairs.

GREW

Research Advancement hosted several training seminars for new faculty to encourage and facilitate proposal submissions. This program has assisted 28 faculty members and has resulted in several new proposals submissions by participants.

Discovery Slams

The research foundation was invited to co-host (with the College of Sciences and Graduate and Research Affairs) these monthly gatherings. Three faculty members are selected to present a ten minute snapshot of their research programs.

Strategic Initiatives

Last year saw the research foundation gathering feedback, fine-tuning and enhancing the initiatives that became operational in 2014.

Electronic Proposal Routing and Files - implemented an abbreviated routing process for renewals, trained faculty and SDSU administrators on the use of the InfoEd electronic routing system, and moved to 100% electronic proposal files – all available via Nolij. No more hard copy file folders!

iCIMS - new programming was developed to systematically load data for new hires, re-hires and jobs processed through iCIMS directly into Banner, reducing the amount of data entry required to create employee records.

EMPCENTER - configuration modifications were made to support changes in California wage and hour laws related to sick leave, the first major application upgrade was successful, and several enhancements, including streamlining the supervisor approval process, were made.

Automated Workflow Engine

Staff began exploring commercial, open-source and custom options to support additional on-line processes and workflows which will enable us to utilize web-based versions of paper-based forms including purchase requisitions, personnel action forms, and payment authorizations. Workflow will directly interface with our Banner and HR systems allowing for pre-populating and validation of data.

Facilities

The facilities and property management department identifies and acquires space in support of sponsored programs.

A. Property Transfer/Vacation

It has been the university's goal to realign the various real estate holdings of its auxiliaries to best reflect their current missions. In the past few years most student housing and commercial (retail) properties owned and held by the research foundation have been transferred to Aztec Shops. Last year, Aztec Shops exercised its option and purchased College Square, a retail and classroom center, and the retail strip mall at 5157 College Avenue.

Properties located at 5168 and 5178 College Avenue, formerly leased back following a property transfer from the research foundation to SDSU, were vacated and demolished to make way for SDSU South Campus Plaza mixed-use development project.

B. Properties Sold

3590 Camino del Rio North, located in Mission Valley San Diego, includes a two-story, 15,000 gross square foot building and ample parking in its surrounding property. It was sold in June 2015 for \$2.8M to a private medical group. The property had been vacated and it was determined that a sale would provide maximum return of our real estate assets.

333 East 6th Street, Calexico, a 2,370 square foot, single story residential property is located near the Imperial Valley Campus and was purchased in 2001 for use by IVC's international program students. The property was underutilized and closed escrow in March 2015 for \$198,500.

C. Plan to Develop 5030 College Avenue

Facilities staff continue to work with the university and a private business developer toward the creation of a public-private partnership, which would develop this 1.5 acre parcel of research foundation-owned property into university student housing. A ground lease is now in review and project entitlements are at the City of San Diego with a target completion date of fall 2017.

Management/Administration

KPBS Union Agreement

The formal relationship with SAG-AFTRA began in September of 2013 when the union petitioned the National Labor Relations Board to represent 61 KPBS employees mainly involved in TV/Radio content. The collective bargaining process began in February of 2014. The two bargaining teams formally met in excess of 40 times and agreed to a 2.5 year contract in June of 2015. Additionally, the management team met extensively preparing proposals, counter proposals and meeting with second level managers to ensure the positions were reasonable. Overall both parties agreed to revised pay ranges/classifications, increased training opportunities, management rights and grievance procedures

and various other mandatory subjects of bargaining. The outcome of these discussions benefited KPBS employees in a fair and equitable manner.

Uniform Guidance

For the first time in 20 years, the federal government issued new cost and operating principles for grants and contracts which are the basis for all our financial and compliance systems. The goal is to streamline and reduce administrative burden on faculty and to produce clarity in the regulations. A team has been reviewing and implementing the necessary changes, as well as streamlining research foundation procedures where possible.

Systems Collaboration with SDSU

Last year, the research foundation partnered with the university to implement joint IT projects that resulted in cost-savings for all. These collaborations included: data sharing between various campus systems as well as an agreement to host some information technology services for Graduate and Research Affairs.

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

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

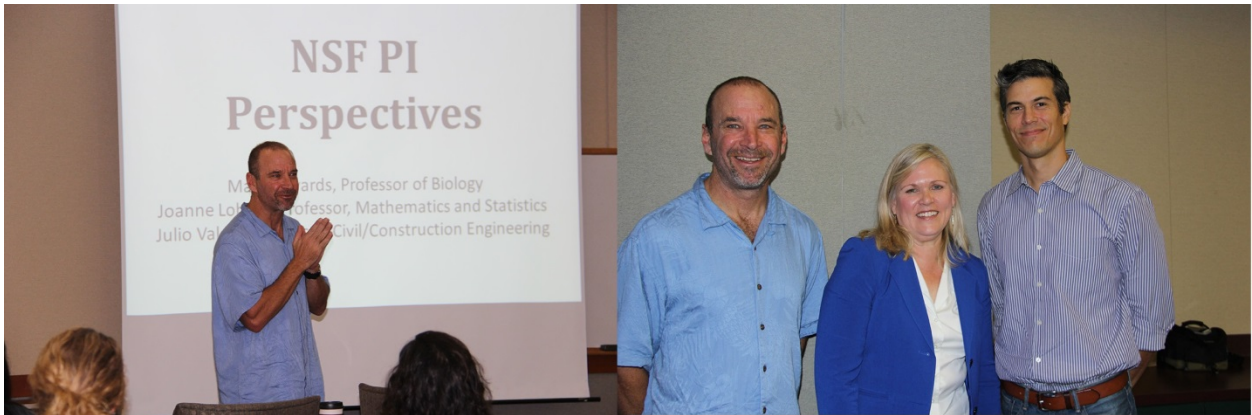
The communications office disseminates information about funding opportunities and helps transition those who have identified a potential sponsor to the appropriate development specialist for proposal submission. The goal is to provide timely and relevant information about opportunities and sponsoring 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, approximately 3,000 grant-related email notices were disseminated last year.

Weekly Bulletins. Last year completed the first full year we disseminated discipline-specific bulletins in these categories: arts/humanities and social sciences; education, business and training; health and mental health; and science and engineering. This approach continues to allow staff to match opportunities with faculty interests in a more efficient way. More than 600 faculty and staff are registered to receive these weekly bulletins, including all new faculty.

Workshops and Webinars. The research foundation hosted 25 workshops and webinars attended by 250 participants. Topics included: finding funding, budget development, and cost sharing, and purchasing. A new NSF workshop, seminar for postdoctoral researchers and PI Profile training were added last year. For the first time, workshop participants were offered the option to participate via webinar from their computers, rather than in person. Thirty-three participants selected this option.



International collaborations workshop: Dr. Doug Stow, Joanne Cobble, Sandra Nordahl, Cheryl Whittemore, Dr. Li An



NSF Workshop: Dr. Matt Edwards, Dr. Joanne Lobato, Dr. Julio Valdez



Denise Taylor facilitates the Accounts Payable Essentials workshop; Denise Carroll facilitates a purchasing workshop; participants carry out a writing exercise at the grant writing workshop



Workshop for Postdocs: VP Steve Welter, Dr. Megan Jennings, Dr. Dan Marschalek, Dr. Ed Riley, Dr. Sandy Bernstein

Proposal Library. The office of communications has continued to add to a library of internally and externally-funded proposals and has made the information more accessible on the research foundation website. These sample proposals are helpful to faculty as they prepare their own proposals. Many SDSU faculty have been willing to contribute their proposals. There are currently 33 sample proposals available to share from various agencies, as well as access to an additional 80 proposals via our membership in the Grants Resource Center. Sample proposal information is also now available on the website: http://www.foundation.sdsu.edu/communications/sample_proposals.html.

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.



Farewell, Jenna McCart/Welcome, Annie Holder!



New Grant Information Coordinator, Annie Holder, meets with new faculty member Esperanza Camarga from the Imperial Valley Campus.

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 2014-15 the office 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. A monthly report of new SDSU awards was also prepared for the science reporter at the *Union-Tribune* and for *The Daily Transcript*.

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 that meets weekly to review new awards, research papers and developments that may be of interest to our internal and external constituents. Last year, the director worked closely with the editor of 360 who prepared a full issue on "The Art of Research" contributing, for example, the data in the following chart.



Research Brochure (above right). This was the third year of collaboration with the Vice President for Research to create a publication profiling the diverse awards SDSU faculty received during the 2013-14 year. This brochure was used by various SDSU and SDSU Research Foundation departments to promote the research being conducted at the university.

PI Lecture Series. The PI Lecture Series continued in FY 2014-15. Eight principal investigators presented lectures about their work to research foundation staff. This remains a positive mechanism for integrating staff with the PIs we support.



Dr. Phil Greiner (nursing) and Jane Hong, college of health and human services

Dr. Sue Lindsay (GSPH) with development specialist Karmin Real and grant specialist Julie Alsbrooks

Dr. Bey-Ling Sha (communication) with grant specialist Brahman Gnad

A captive audience

Dr. Sam Shen (mathematics and statistics) with grant specialist Chun Ohl and development specialist Alma Flores

Dr. Mark Sussman (biology) and Bob Wolfson, executive director

Dr. Rob Edwards (computer science) with associate executive director Michele Goetz and dir. of communications Debbie Brighton

Dr. Joanne Lobato (mathematics and statistics) with CRMSE technical assistant Michael McKean and postdoc C. David Walters

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.



The SRD team: Jeannine Zuber, Karmin Real, Jennifer Lim (seated); Steve Torok, Joanne Cobble, Alma Flores, Sarah Harper, Jennie Amison and Brett Kim (standing)

SRD specialists helped 321 proposers submit 924 proposals to 287 different sponsors during FY 2014-

15. Proposal volume in FY 2014-15 is slightly below FY 2013-2014 figures (941 proposals submitted in FY 13-14), but has increased 3.5% (an additional 33 proposals) from FY 2012-13 submissions. With tight federal budgets, resourceful SDSU faculty are seeking less traditional funding from sponsors that may not be familiar with public universities, but provide new opportunities for funding.

New faculty and proposal submissions

New faculty coming to SDSU continue to be focused on proposal development and submission.

As of June 30th, 19 of the 59 new faculty members who joined SDSU in 2014-15 had already submitted 46 proposals requesting \$8.5M (\$1.7M in F&A); eleven had already received 22 awards totaling \$2M (\$531,000 in F&A). Many of the 66 new faculty members recruited for FY 2015-16 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.

Multi-disciplinary proposals

Collaborative research continues to be a priority for many sponsors. In 2014-15, SRD helped SDSU faculty submit several large, interdisciplinary, multi-institutional applications.

Examples include: Dr. Elva Arredondo (GSPH) and Dr. Mark Sussman (biology) prepared a complex U54 proposal in collaboration with UCSD; Dr. Karen Emmorey (speech, language and hearing sciences) and Dr. Phil Holcomb (psychology) collaborated on a proposal to the National Science Foundation; and Dr. Ming-Hsiang Tsou (geography) worked with colleagues Dr. Heather Corliss (GSPH), Jean Mark Gawron (linguistics) and Brian Spitzberg (communication) on an NSF proposal. All three of these complicated proposals were funded!

E-routing Initiative

SRD staff worked closely with computing services, principal investigators and deans' offices to implement the electronic proposal routing system.

The system is now being used to process renewals, supplements, and preliminary proposals as well. Other enhancements to the e-routing initiative are anticipated next year and include:

- improving functionality, end user experience, and streamlining electronic routing procedures
- enabling data from InfoEd to map to Banner, creating additional efficiencies
- improving and updating training materials for end users, incorporating materials in the InfoEd portal
- training of staff and faculty on the new interface, budget tool, and other enhancements.

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 2014-2015, 160 proposals were submitted to federal agencies using InfoEd (a 25% increase over the previous year). 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, energy and transportation.

Some challenges associated with electronic proposal submission continue, particularly when proposals are submitted less than 48 hours prior to deadline. SRD continues to work with the university to establish reasonable time lines and guidelines to ensure timely submissions.

Collaborations with Graduate and Research Affairs/Division of Research Affairs continue. SRD works with the research advancement team in GRA to assist in the development and submission of proposals that include multiple colleges and departments. SRD facilitates inquiries from faculty related to research advancement initiatives and helps connect faculty to research advancement staff when opportunities arise, for example, when submitting to funding programs that are directed towards Hispanic-serving institutions such as SDSU. SRD also works directly with Dr. Welter and his staff on proposal review and approval policies and procedures, facilities and administration (F&A) inquiries, and the coordination of funding programs with limited submission requirements.

SRD works very closely with the Division of Research Affairs (a unit of GRA), as the director reviews and approves proposal submissions on behalf of the university. SRD also facilitates the process of compliance items such as human subjects and animal care and use protocols, environmental health and safety activities, export controls, and conflict of interest disclosures with DRA. DRA is in the process of securing InfoEd's compliance module, which is a software tool used to assist in streamlining the protocol submission, review and approval process. SRD is looking forward to partnering with DRA on sharing resources and training opportunities related to the InfoEd product over the coming year.



Rick Gulizia, director, (second from right) with the research affairs team:
front: Zena Hovda, Bridget Frattalone, Christine Cook; back: Pat Gordon, Meghan Naaf, Anne Dodge-Schwanz, Samir Hafez, Ashley Rubio

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. It is expected that compliance -related requirements will continue to increase with the implementation of Uniform Guidance. 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.

SRCC has worked closely with agencies and principal investigators to create an inclusive process when negotiating contract terms and conditions. Contract review time has been significantly reduced to an average of three – five days, standardized response language has been developed; and an electronic negotiations archival system has been developed. Last year, SRCC successfully converted to the SWFT Fingerprinting System to be in compliance with a Defense Security Services/Office of Personnel Management mandate.

Award Acceptance

SRCC's teaming approach with SRD continues to be successful and allows the review of agreements as early as possible in the pre-award process. Communication with project directors during the negotiation phase of awards continues to be a priority. **Over 350 contract negotiations occurred during FY 2014-15.** Non-profit, higher education, federal and State of California agencies account for 67% of the negotiations. The remaining 33% 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.

Export Controls

SRCC works closely with new export controls officer Zena Hovda to ensure compliance with U.S. Department of Commerce, U.S. Department of State, U.S. Department of Treasury and SDSU regulations.



SRCC director Sandra Nordahl and export control officer Zena Hovda

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 1,200 active grants and contracts and approximately 2,900 combined gift funds, campus and community programs and institutional allocations.

Grant specialists 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 and 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.

Grant Specialists 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. Grant Specialists 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, SRA implemented a **change in job title** for the post award staff from *Administrator* to *Grant Specialist* to more accurately reflect the primary responsibilities of the position. The change was implemented to make it easier for PIs and their staff to identify the SRA staff with the expertise to provide support and assistance in managing sponsored programs.

SRA also implemented a **pilot staffing model** replacing a grant specialist vacancy with a fund administrator position whose workload is limited to self-support programs, TCF gift funds and research foundation allocation funds such as RSF and University Grants Program. The positive impact is generating salary savings, providing the incumbent with staff development and training in preparation for a grant specialist position and creating additional professional development paths to research foundation staff.

SRA also worked closely with the Executive Director and other research foundation departments to analyze the new federal regulations for grants management referred to as “**Uniform Guidance**” and determine impact on research foundation processes. The Uniform Guidance streamlined and replaced guidance that was previously under eight different OMB Circulars, including A-110, A-21, and A-133. Pre- and post-award policies and procedures have been updated in the Project Administration Guide to reflect the new requirements and training has been provided to staff.

Support for New International Program in Georgia

SRA staff and others across all research foundation departments worked hard last year to administer the SDSU-Georgia program, which established San Diego State University STEM programs in the country of Georgia. Activities included: establishing SDSURF as a legal entity in Georgia, establishing bank accounts, hiring Georgian staff, developing financial systems of checks and balances, reconciling Georgian transactions, translating foreign currency transactions into U.S. dollars, contracting for legal and accounting services, procuring equipment, identifying and contracting for resources to renovate classrooms and laboratories in Georgian university facilities, day-to-day fiscal administration and expenditure review, facilitating the visits of Georgian faculty members, meeting via Skype with Georgian staff, and working closely with the College of Extended Studies and SDSU staff to accomplish the goals of the project.



SRA coordinator Jo Boulter and administrative assistant Dorothy Williamson working on Georgia project



Vladimer Kiknadze (Lado), director of business & finance for the SDSU Georgia program



The Georgia team gathers for a Skype meeting with SDSU Georgia Dean Ken Walsh



Dr. Leri Tavadze, Assistant Professor at Tbilisi State University, presents a lecture at SDSU



Georgian colleagues Tsisana Gavasheli and Giorgi Ghvedashvili attended Dr. Tavadze's lecture



Georgian Minister of Education and Science Tamar Sanikidze visits Dr. Bill Tong's lab

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.



Systems manager Janet Harry (far right) with sponsored research technicians Felician Webster and Ericka Solis and student assistant Faith Marientes (second from left)

C. Finance and Operations

The finance and operations division is responsible for safeguarding research foundation assets. Through its finance and accounting, business services, 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. 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 and accounting staff coordinate all financial reviews and audits, including those by independent auditors, the CSU Chancellor's Office, and sponsor agencies.

Last year, the research foundation, along with the other SDSU auxiliaries, issued a Request for Proposals for audit services. Grant Thornton LLP was selected as the new auditor for all four auxiliary organizations.



The Grant Thornton team: Diane Takahashi, Jane Alexander, Rick Wentzel, and Justin Fiore

- **Independent audits.** By the end of September each year, the finance and accounting department is required to furnish to the CSU Chancellor's Office audited financial statements prepared in accordance with generally accepted accounting principles as prescribed by the Governmental Accounting Standards Board and an audited Statement of Expenditures of Federal Awards prepared 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 were completed on time and all with unmodified opinions (the highest level of opinion).

- **Sponsor audits.** Eight sponsor audits were conducted in FY 2014-15 (compared to 10 in FY 2013-14), none of which resulted in any compliance findings.

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 grant specialists, finance and accounting staff monitor all receivable collections and work-in-process balances.

Tax Compliance and Filing

Finance and operations 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. The Federal Return for Organizations Exempt from Income Tax included 58 pages of computations and statements.

Also prepared by finance and operations staff: quarterly sales and use tax returns; property tax exemption requests for 67 parcels in four different counties; 28 business personal property tax returns; annual and quarterly payroll tax returns for the IRS and 14 different states; and 66 non-resident withholding certificates.

Purchasing, Accounts Payable and Payroll

Staff in these departments provide payroll, procurement and payment services for all research foundation employees. EmpCenter, the on-line time and attendance system that was implemented in FY 2013-14, continues to be fine-tuned.

Transaction Counts

The number of certain transactions processed in FY 2014-15 increased (number of payroll checks, purchase orders and travel claims) and others decreased (W-2 Forms and invoices). Comparative figures for FY 2013-14 are shown in parentheses. The payroll department processed 48,330 (46,038) payroll checks and prepared 3,716 (3,910) W-2 Forms. Accounts payable paid 46,273 (47,665) invoices and 5,367 (5,327) purchase orders were placed by the purchasing department. In addition 6,923 (6,723) travel claims were processed.

C2. Investment Management & Financial Reporting

Finance and accounting staff also oversee 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 \$9 million. 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 and broadening choices.

All transactions related to SDSU endowments including changes in market value and distributions to operating fund are managed by finance and accounting staff. At year-end, summary reports are produced to assist with the majority of The Campanile Foundation's annual reporting requirements. In addition to investments, finance and accounting 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 physical inventory of all research foundation tagged equipment was completed last year, as required by Federal regulations.

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 SDSURF forward on the ongoing journey toward a "paperless" environment.

2014-15 Highlights

EmpCenter On-line Time & Attendance. In April 2015 the research foundation reached the one-year anniversary of the implementation of EmpCenter, SDSURF's on-line time and attendance system. Last year staff implemented the first major application upgrade and deployed several enhancements requested by employee and supervisors using the system, including streamlining the supervisor approval processes. Staff also implemented configuration changes required to support changes in California wage and hour laws related to sick leave.

iCIMS Applicant Tracking and Employee Onboarding System. Last year, another major milestone was achieved with iCIMS - programming to systematically load data for new hires, re-hires and add jobs processed through iCIMS directly into Banner, reducing the amount of data entry to create employee records in the Banner HR system. Programming includes audits of data extracted from iCIMS and a "Command Centre" for HR to manage import and export processes.

Reporting Services and Data Sharing are important services supported by Computing Services in conjunction with the human resources and sponsored research services systems managers.



Systems Administrator and Support Lead Alex Delino (LEFT) and EmpCenter Lead Developer Gage Pollard

Proposals Awarded Analytics Module. Developed and released a new “Proposals Awarded Analytics” Reporting module in WiRE for use by SDSU Graduate and Research Affairs and Deans and the SDSURF Executive Management Team which includes a variety of queries related to proposal data: Proposals Awarded Summary, Proposals Awarded by Year, PI Comparisons, PI Rankings, PI Comparison by Project Type, etc. This module is facilitating access to important data and analytics for both the university and the research foundation.

PI Profile Enhancements. Customized reports for individual projects/centers like the Institute for Behavioral and Community Health (IBACH), the Center for Research on Mathematics and Science Education (CRMSE) as well as reports to supplement the electronic proposal routing process were developed and released in PI Profile. The SDSURF Faculty Effort Reporting system was also integrated into PI Profile so that faculty can log into PI Profile and certify their current effort reports and access their report history. No more paper reports!

SDSU Data Shares. Last year staff collaborated with campus colleagues on several data shares including import of files of SDSU employee data into the SDSURF ONEMPS system as well as exports of SDSURF employee data into SDSU Library and the Public Safety T2 Parking System. Staff also automated the generation and distribution of CES GL and Fiscal Summary Income and Expense Reports to go out to key SDSU personnel on a weekly and monthly basis.

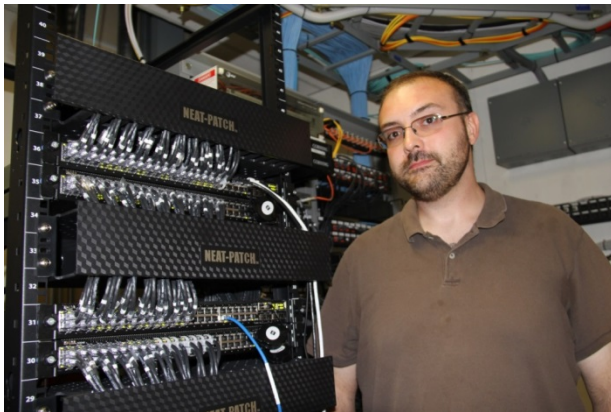
ONEMPS Phase I. A cross-departmental team coordinated with university colleagues to update the HR data file received from campus and set up automated procedures for delivery to ensure timely receipt and processing of SDSU HR data. Staff programmed a web-based, secure system to import the data into our Oracle database where it could be combined with SDSURF HR data and developed a web-based query forms with drill-down reporting and ad-hoc queries and analysis can be done in real-time. Reports have been tailored to meet SRD and HR requirements and the interactive format allows for filtering and grouping. Phase II of this project is to archive the ONEMPS data and build historical lookup queries that will can replace current processes of printing and archiving snapshots of EMPS data.

The Campanile Foundation C-Ledger Fund Classification Functionality. The Campanile Foundation requested the ability to classify C-ledger funds in Banner. Banner was programmed to support classifying C-ledger funds as Research Related, Honors College or Other. Additional programming support was provided to programmatically load new abstracts for A-ledger funds and updated abstracts for C-ledger funds.

Nolijweb Enhancements. - SRA Travel documents and the new EmpCenter Supervisor Agreement forms were added to the Nolijweb document repository, with corresponding Kofax indexing batches and audit reports. The Banner Fund Request workflow was modified to support TCF ability to classify C-Ledger funds for specialized reporting purposes.

Infrastructure and Desktop Services

Research Foundation networking Infrastructure was upgraded in the Gateway building, including installation of gigabit speed equipment, up to 10 times faster than the old equipment.



Network & Systems Administrator Peter Delaney with new network equipment

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.

HR continues to refine services and programs to help all employees succeed at every job stage and to make SDSU Research Foundation a better place to work. Last year's key highlights include:

Hiring systems and procedures

The research foundation's online applicant system, iCIMS, was re-designed and streamlined, making it more user friendly for both the applicant and the hiring manager. The hiring process was also restructured to customize recruitments and attract top talent. The new system has been positively received and has resulted in a reduction in hiring time as well as helping managers identify candidates whose skills more closely match the job requirements of their specific positions.

A new, interactive on-boarding process was also developed to welcome new employees, better integrate them into the workplace, and increase their retention rate.

Staffing and recruitment

A full-time HR leader was hired for KPBS which has had a positive impact on the entire operation.

HR staff facilitated the recruitment of 885 central and project staff employees.

HR has been pivotal in the recruitment, hiring and processing of 10 employees for the Georgia project, including several Georgian nationals.

Two highly qualified and skilled Senior HR Business Partners were hired to support our employees throughout the organization. These new hires will allow the HR department to develop a robust training program, enhance recruiting efforts, and provide a higher level of employee relations support.



New HR business partners Evelyn Sen and Julius Pasco

Internal processes and policies

New internal procedures and software have been successfully implemented and utilized to allow the organization as a whole to be in compliance with all I-9 requirements.

The HR department facilitated the processing of 11 H1B Visas and 46 J1 Visiting Visas.

Benefits enhancements

Increased flexible spending account (FSA) participation to \$400,000+ in contributions for the first time.

Implemented new paid sick leave policy for all employees in response to the California-mandated Healthy Workplaces, Healthy Families Act of 2014.

Implemented employee cost-sharing for employee-only health insurance premiums for the first time in 20 years.

Updated leave of absence policy.

Successfully transitioned from Hartford's workers' compensation to Travelers resulting in significant savings to the research foundation.

ERISA Retirement Plan Enhancements

Offered a new retirement plan investment platform, broadening choices to include 15 new funds.

Replaced the TIAA-CREF Target Date Fund Series with the JP Morgan Smart Retirement Target Date Fund Series.

A significant campaign effort was launched to provide face-to-face consulting, group meetings, and on-demand videos to inform participants about fund changes. More than 300 employees participated. To enhance administration and largely reduce administrative costs, HR implemented a mandatory cash out provision for terminated participants with balances less than \$1,000, and began an education campaign to encourage rollovers for participants with balances between \$1,000 and \$5,000.

Successful Implementation of ACA

HR staff continued to adjust policies and procedures to ensure compliance with the requirements of the Affordable Care Act (ACA). Activities included:

- A communication campaign to principal investigators, supervisors, and employees regarding the upcoming changes due to ACA
- Redesigning the employee classification and benefits eligibility structure to better align with ACA's definition of full-time employees (those who work 30 hours per week)
- Developing reporting tools and processes to measure standard and initial measurement periods
- Increasing the number of full-benefits-eligible employees by 11%, offering full medical and dental benefits to 86 additional employees
- Conducting seven additional benefits orientations in December due to the increased number of employees eligible for full benefits under ACA.

KPBS Union Negotiation

Over the course of 18 months, successfully negotiated an acceptable Collective Bargaining Agreement with SAG-AFTRA at the KPBS facility.

E. Facilities Planning and Management

Facilities Planning and Management (FP&M) is responsible for the ownership and asset management of off-campus real property in support of sponsored programs. FP&M staff oversee a diverse portfolio that includes approximately 750,000 square feet of buildings, 683 acres of land and is valued, for buildings and personal property, at over \$120 million.

These facilities house roughly two-thirds of SDSU research projects. Space identification and assignments are coordinated with the deans, department chairs and principal investigators for maximum use and efficiencies. Rents are collected as a direct cost from grants and contracts programs where full F&A costs are not recovered and revenues are also collected from commercial and university sources and total over \$5.7 million. FP&M also leases off-site space in various parts of San Diego County for both funded and full F&A projects, where research and programs require site specific locations

Management of this important array of property includes acquisition, disposition, property transfers, leasing, capital and tenant improvements, and on-going repair and maintenance. FP&M also provides in-house property management, construction project management, mail delivery, furniture, moves, copiers, and other services to accommodate the needs of our researchers.

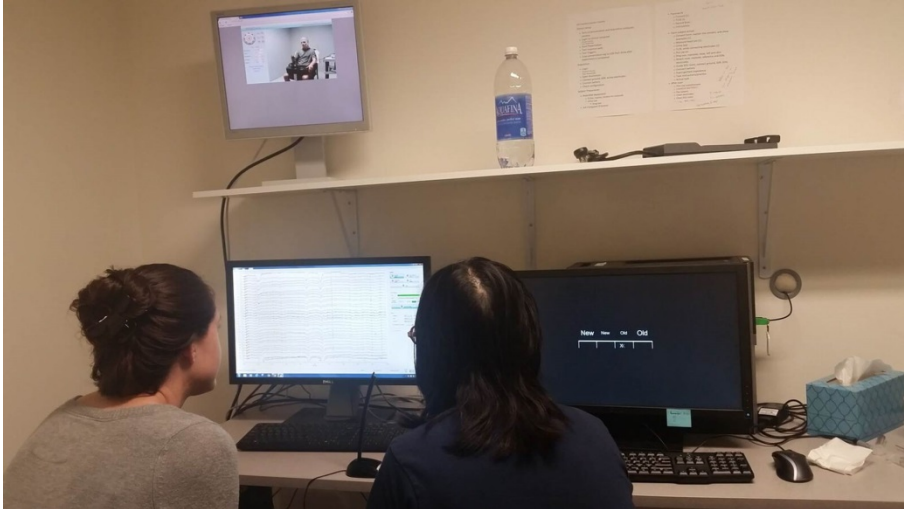
2014-15 Highlights

New and Expanded Research and Program Space

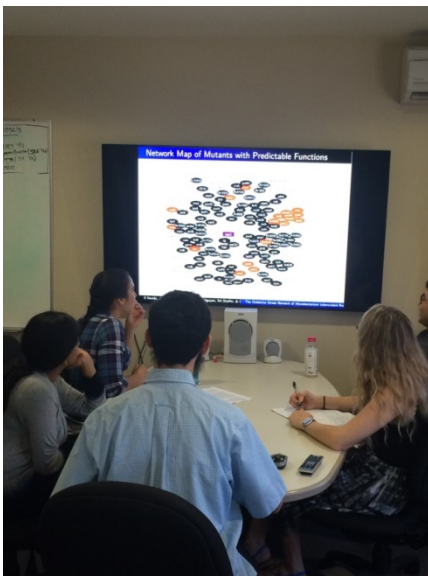
- **Dr. Ksenija Marinkovic** is a psychology professor and member of the Clinical & Cognitive Science Center area of excellence. She is located in a new 2,176 square foot lab facility located at 6505 Alvarado Road which was completed in the fall of 2014. Dr. Marinkovic is a cognitive neurophysiologist working in multimodal functional imaging including magneto-electroencephalography (MEG/EEG), functional magnetic resonance imaging (fMRI) and intracranial electroencephalography (iEEG) and psychophysiological measures of autonomic functions.



Conducting EEG tests in Dr. Marinkovic's new lab space (above and below)



- **Dr. Faramarz Valafar** is a professor of biomedical informatics and computer science. His new 1,200 square foot computer lab was designed specifically for his research work and located at 6367 Alvarado Court. His lab features a large computer lab and associated offices.



Students working in Dr. Valafar's new computer lab

- **Dr. Gregory Talavera** is a professor of public health and director of the Institute on Behavioral and Community Health. His research space has expanded again in Chula Vista at 450 4th Avenue. The new 1,000 square foot space bridges two existing suites for a continuous and more efficient flow and use of space. This location is the San Diego Field Site for the Hispanic Community Health Study/Study of Latinos (HCHS/SOL).
- **Academy for Professional Excellence** continues to expand, adding another 831 square feet at their Alvarado location. They offer programs that serve health and human service agencies and community-based social agencies throughout California and the nation with a primary focus on Southern California. Programs include "Behavioral Health Education & Training Academy"

(BHETA), “Leaders in Action” (LIA), “SERVE”: Indigenous Social Workers for Change” and “Tribal STAR”: Successful Transitions for Adult Readiness.

Capital Improvements:

- **IT Upgrades** to increase bandwidth x10 to Alvarado Medical Center and connectivity to the SDSU network allows for higher volume, faster speed and wireless computer use at those properties for researchers only. IT upgrades were also completed to research foundation-owned properties at Sky Park Court and City Heights.
- **Gender Neutral Restrooms & ADA** were completed at AMC, 6475 Alvarado Road and planning is in progress to modify existing restrooms at Sky Park Court to add a new Gender Neutral restroom, as well as to bring the existing first floor restrooms in conformance with updated Americans With Disabilities Act (ADA) codes. ADA compliance modifications to our properties also included replacing existing entry doors at Sky Park Court.



- **Future Plans** include continuing to work toward *environmentally responsible property design, sustainability, and to offset the 2014–15 unanticipated huge utility hikes*. Activities will include: information gathering on costs, rebates and payback timetable for solar power; replacing existing fluorescent lighting with LED; xeriscape to replace existing landscaping & new drip irrigation; replacing toilets with new low flow models; alternative HVAC and related controls.

5121-41 Campanile Drive Planning for Women’s Center

- 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 and service center to the LGBT community and its allies at SDSU. Planning is underway to share the property, which is split into two twin buildings, with The Women’s Center, which is expected to be ready for occupancy in the winter of 2015-16.

Leases Negotiated and Signed (New and Renewals) in FY 2014-15

- FP&M properties generated commercial leases with a value of approximately \$4 million
- 100% renewal rate for existing commercial tenants who termed this year
- WIC location branches: Vista, Fallbrook, El Cajon, Claremont, Mira Mesa, Spring Valley, Kearny Mesa (WIC corporate office) and at Logan Heights all had new or renewed leases.

SDSU - Georgia Project

As part of the Georgia project team, FP&M played an integral role in time sensitive deliverables for design planning and construction start-up and included:

- Wrote, edited & assembled the “Terms of Reference/Scope of Work” for the initial 15-month phase
- Same with the EESMF” (Environmental and Social Management Framework)
- Wrote the ”ESMC Matrix” outlining risk, response and mitigations reporting structure & relative guidelines for all components of the 15-month phase
- Coordinated the procurement and development of “Comparison of the IFC Performance Standard 1” and “CEQA” report as required in the initial MCA-Georgia deliverable
- Selected for recommendation to hire, two candidates for the position of Design/Construction Manager in Tbilisi, Georgia
- Integral role in the selection of the design/construction and ESMF consultants and lab programmer.

Support Services to KPBS and The Campanile Foundation

- **KPBS**
 - Sold gifted time-share condo in Hawaii
 - Alameda ground lease properties:
 - Property appraisals
 - Negotiated property easement
 - Renewed 50-year ground lease
 - Participated in consideration of gift of property in Taos, New Mexico
- **The Campanile Foundation**
 - Property gift of condo in La Jolla, CA - appraised, selected broker and escrow document review with recommendations for sale.

F. Research Advancement

The Research Advancement Division operates under the direction of the Vice President for Research and Dean of Graduate Affairs, and is responsible for supporting and furthering the academic mission, in particular the sponsored research, community service, and education goals of SDSU.

The research advancement team assists SDSU faculty, staff, and deans in devising strategies to advance and expand SDSU's research endeavor, 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 include:

- 1) Devising novel marketing and information strategies to develop new funding sources for SDSU faculty and staff involving multi-college, multi-institutional partnerships;
- 2) 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
- 3) Developing the SDSU Federal Research Agenda and work with members of Congress to authorize and appropriate funds to support the SDSU Federal Research Providing proposal development support in preparation of the technical and financial proposals for major local, national, and international programs and assistance in start-up and administration of project operations.

The research advancement team assisted faculty in securing more than \$13.2 million dollars for new and existing projects in FY 2014-15 with F&A exceeding \$2.7 million. In addition, research advancement played a major role in assisting faculty with the submission of proposals totaling over \$50 million. These include:

- 1) 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.
- 2) The RA team continued to assist in the execution of several small research contracts in support of the SPAWAR Systems Center Pacific using current and former SDSU graduate students. The RA team prepared and submitted the multi-year, multi-million proposal to SSC Pacific and received an award in January 2015.
- 3) The RA team, which oversees the Regional Innovations Cluster program, received notification of the Small Business Administration's intent to issue a follow-on award of \$350,000 for Option Year 3 on the five-year contract, which will be effective September 2015.



Kenyata Wesley (right), acting director, Office of Small Business Programs, Department of Defense and Camylle Coley, Senior Advisor to the Director, DoD Basic Research, visit the Lavin Entrepreneurship Center

- 4) The RA Team, under the leadership of former Provost Marlin and current Provost Enwemeka, and in collaboration with Deans Wong, Maloy and Shapiro; Department Chairs Walsh, Tummala, and Tong; helped secure an initial \$8.9 million contract with the Government of Georgia, having won the Georgia 2020 project - a \$29 million multi-year capacity building effort to improve Science, Technology, Engineering and Mathematics (STEM) education in the nation of Georgia.
- 5) The RA team developed the SDSU Federal Research Agenda, which Vice President for Research Stephen Welter and Dean Stanley Maloy presented to members of the San Diego Congressional delegation and senior federal officials in late February, 2015.



VP Steve Welter, Associated Students VP for external relations Jacqueline Karczewski, Dean Stanley Maloy, and associate executive director Tim Hushen meet with Congressman Scott Peters in Washington, DC

Grants & Research Enterprise Writing (GREW)

A new faculty support initiative, the Grants and Research Enterprise Writing fellowship program, was implemented in Fall 2014, and initial returns are very positive. This pilot program delivered a number of lectures, exercises, and assignments targeted at introducing participants to concepts of the self-assessment components of preparing for a research program, and exposed participants to more concrete and practical exercises and resources on campus to support the creation and growth of a sponsored research program.

The program to-date has supported the training of 28 faculty, and the travel of nine faculty to Washington DC to meet with federal program officers and directors. Recent awards garnered by GREW Fellows include:

- Ilenia Battiato - Multiscale dynamics of reactive fronts in the subsurface Department of Energy - \$750,000 (a prestigious early career research award);
- Ilenia Battiato - An integrated multiscale modeling and experimental approach to design fouling-resistant membranes Department of Energy - \$271,000;
- Susan Kiene - Enhanced linkage to HIV care following home-based HIV testing in rural Uganda, National Institutes of Health - \$646,000;
- Wei Wang - Cross layer exploration of position-value diversity for energy constrained wireless multimedia resource allocation National Science Foundation - \$262,000;
- David Marx - Investigating the use of peer role models to inspire women to thrive in STEM, National Science Foundation - \$1,499,966.



The first GREW cohort



GREW Fellows David Marx, Sei Jin Ko, Atsushi Nara, Melody Schiaffino and SDSURF Guide John Crockett pose in front of AAAS headquarters in preparation for a conversation about Science, Policy, and Society programs with Ed Derrick, AAAS Center Director. Photo: RezaSabzehgar



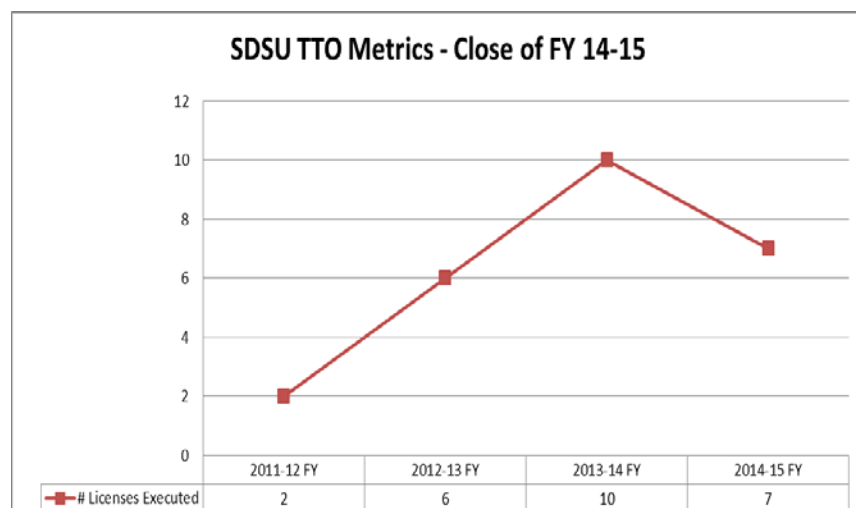
Professor Ming-Hsiang Tsou and Beth Chee, SDSU's media relations manager, facilitate a discussion with GREW participants

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 411 intellectual property disclosures including 263 patentable inventions, 151 copyrightable works and seventeen trademarks. Since 1998, TTO has worked with an aggregate of 435 inventors and authors across all areas of campus and obtained 47 issued patents throughout the globe. The current portfolio includes 32 income-producing intellectual properties. **In FY 2014-15, seven new licenses were negotiated, three new patents were issued and 35 new disclosures were processed.** Also in FY 2014-15, **\$629,313 in income was generated** (\$584,536 in royalties and \$44,777 in reimbursements for legal costs). TTO also launched a new invention disclosure portal to increase ease of use for faculty authors and inventors.

	FY 10-11	FY 11-12	FY 12-13	FY 13-14	FY 14-15
Royalties	501,844	355,815	401,881	612,965	584,536
Reimbursements	41,091	17,215	92,190	111,098	44,777
Other Income (Settlement)	0	0	0	702,000	0
Total Income	542,935	373,030	494,071	1,426,063	629,313
New Licenses and Options	5	2	6	10	7
Acquisition LOI's Executed	0	0	0	0	1
Disclosures	38	51	34	28	35
Total Patent Applications	32	14	27	22	22
Patents Issued	6	4	4	4	3

1. The \$702,000 of "Other Income" in FY 13-14 was the result of a one-time settlement payment



Tommy Martindale, TTO director and Kyle Welch, Licensing Associate

IV. 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 2014-15 and FY 2013-14.

B. Number of Proposals and Awards

Chart B compares the number of proposals submitted between FY 1999-00 and FY 2014-15 to the number of awards received.

C. Sponsored Program Expenditures by Sponsor Type FY 2014-15

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

D. Sponsored Program Expenditures by Federal Agency FY 2014-15

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 2014-15

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 details the components of sponsored program expenditures for FY 2014-15 and FY 2013-14.

G1. Sponsored Program Expenditures and F&A Effective Cost Recovery Rates FY 2002-03 through 2014-15

G2. Negotiated Rate and Effective Rate FY 2002-03 through FY 2014-15

This table presents the various components of sponsored program expenditures. (See definitions below)

H. Total Expenditures by College FY 2012-13, FY 2013-14 and FY 2014-15

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

I. F&A Costs Recovered FY 2002-03 - FY 2014-15

This chart provides a history of F&A costs recovered from 2002-03 to 2014-15.

DEFINITIONS

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 over \$25,000, equipment, certain study participant costs and space rent.

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 This column calculates the actual rate that is recovered across all funds.

**Proposal/Award/Facilities & Administrative (F&A) Cost Comparison
FY 2014-15 and FY 2013-14**

	Fiscal Year 2014-15	Fiscal Year 2013-14	DIFFERENCE BETWEEN FISCAL YEARS
Proposals Submitted	924	941	-17
Total Amt Proposed	\$180,834,960	\$193,644,217	(\$12,809,257)
F&A Amt Proposed	\$31,449,654	\$36,250,903	(\$4,801,249)
Proposed FA (%)	21.05%	23.03%	
Number Pending	410	401	9
Total Amt Pending	\$88,482,002	\$92,680,412	(\$4,198,410)
Indirect Amt	\$17,214,805	\$18,877,229	(\$1,662,424)
FA (%)	24.16%	25.58%	
Number of Awards	698	731	-33
Total Amt Awards	\$120,593,760	\$107,857,290	\$12,736,470
F&A Amt Awarded	\$18,389,209	\$17,159,894	\$1,229,315
FA (%)	17.99%	18.92%	

Chart B

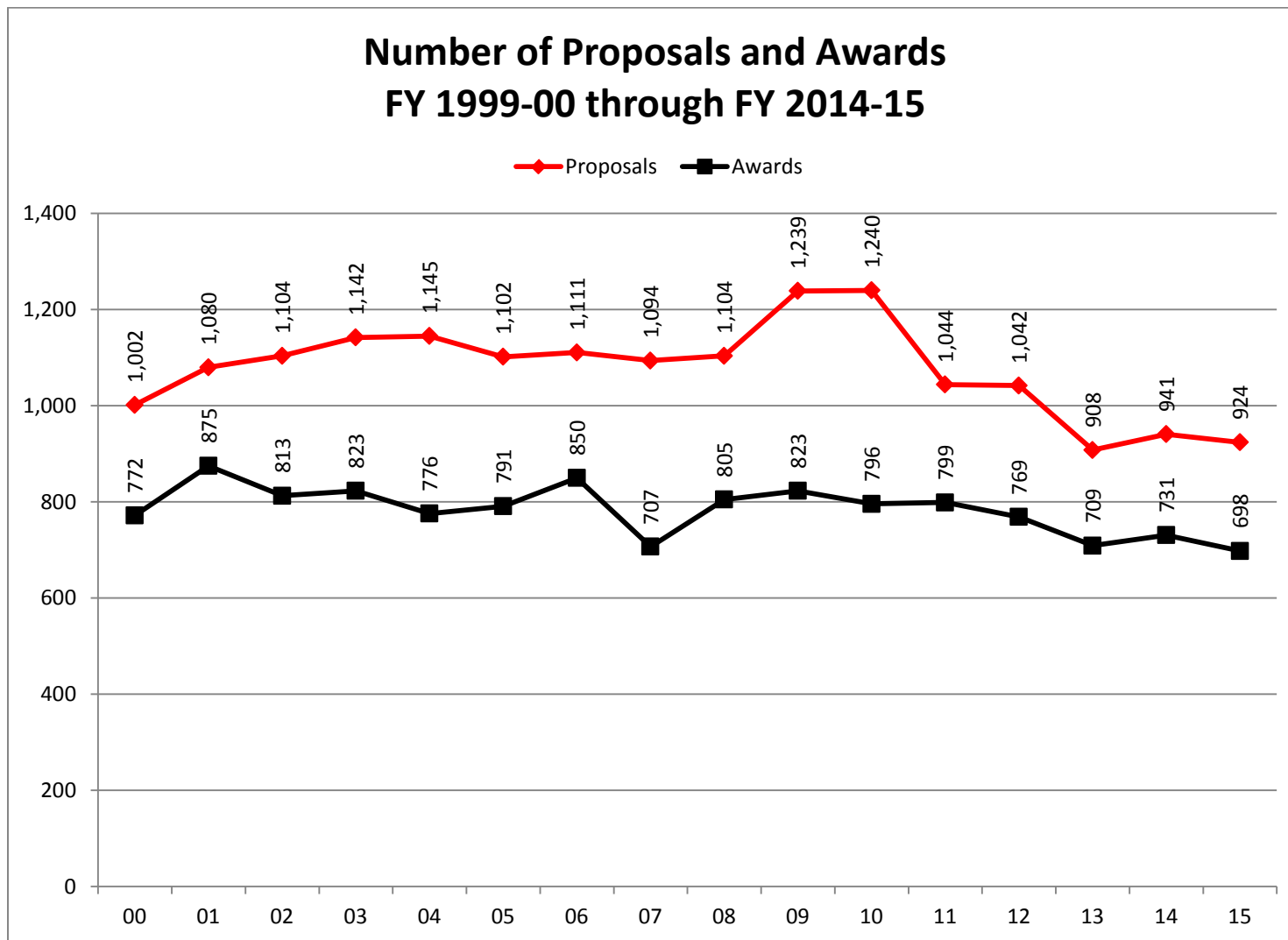


Chart C

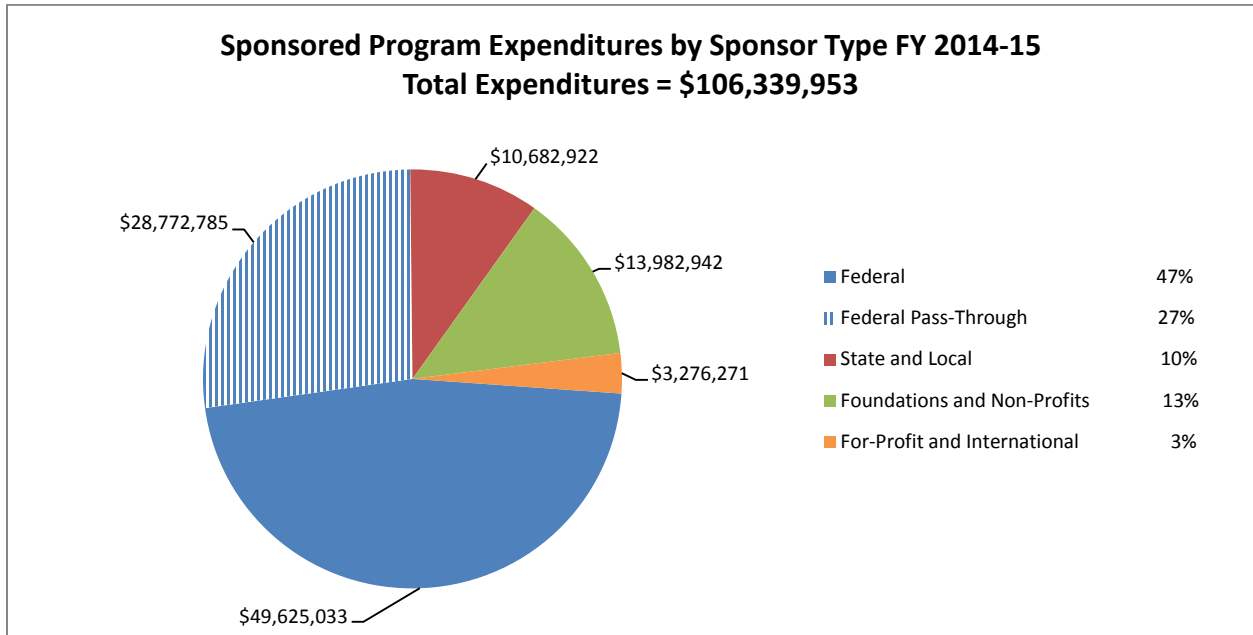
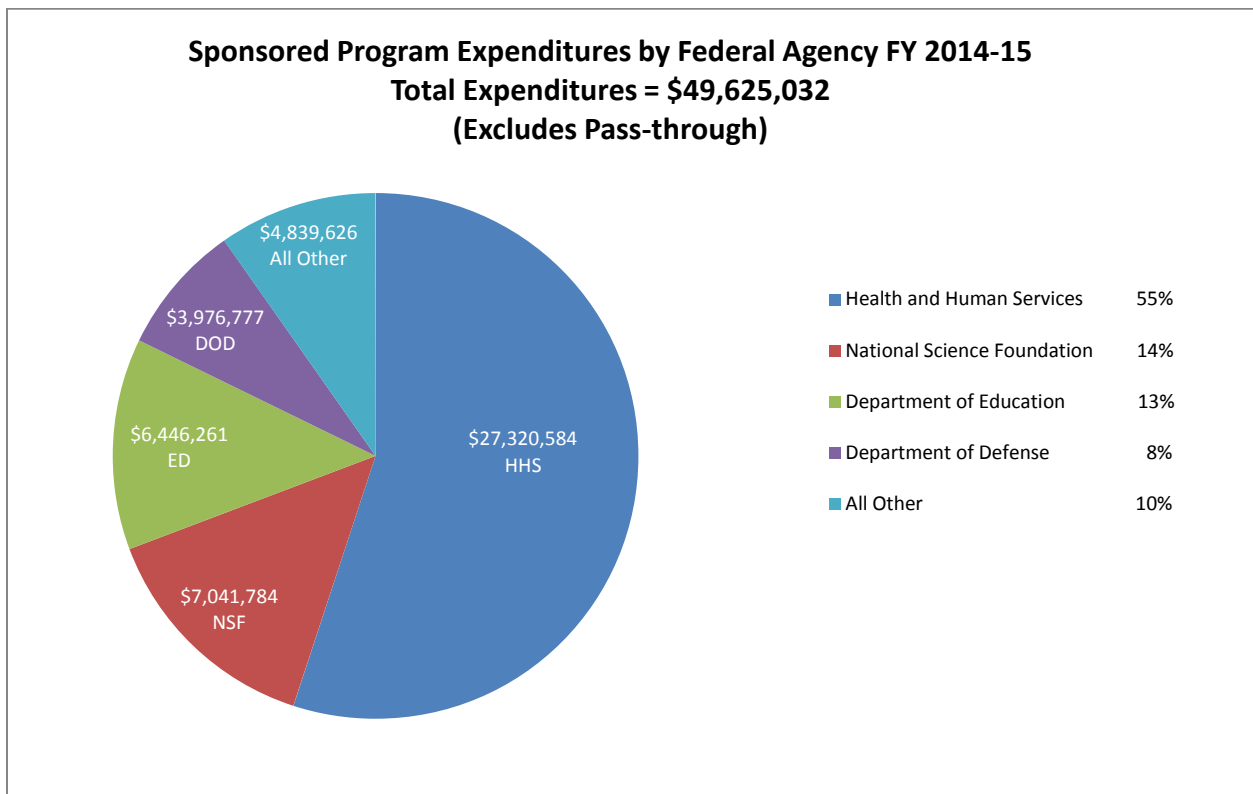
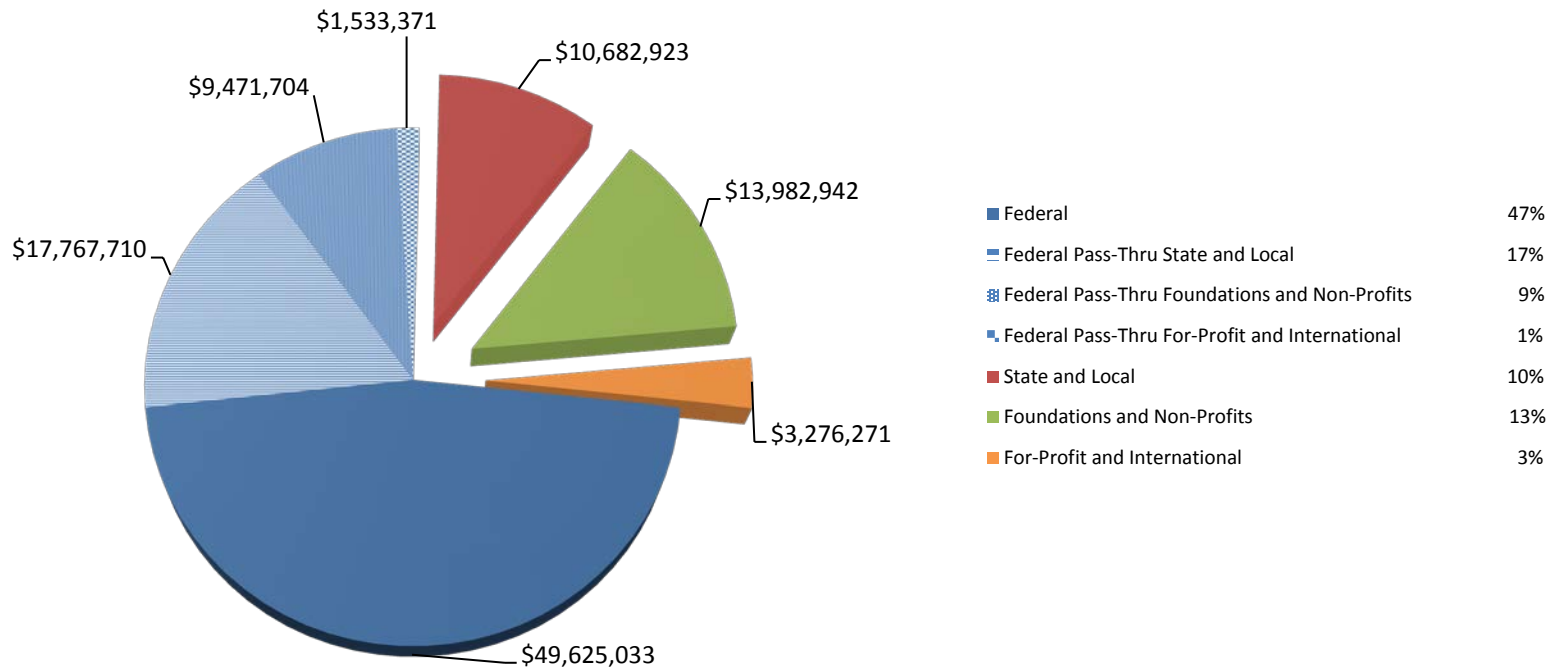


Chart D



Sponsored Program Expenditures by Sponsor Type/Federal Pass-through FY 2014-15

Total Expenditures = \$106,339,953
Total Federal Pass-Thru = \$78,397,818 (74%)



Federal	\$49,625,033	State and Local	\$10,682,922
Federal Pass-Through State and Local	\$17,767,710	Foundations and Non-Profits	\$13,982,942
Federal Pass-Through Foundations and Non-Profits	\$9,471,704	For-Profit and International	\$3,276,271
Federal Pass-Through For-Profit and International	\$1,533,371	Total Other:	\$27,942,135
Total Federal and Federal Pass-Through:	\$78,397,818	GRAND TOTAL:	\$106,339,953

Sponsored Program Expenditures - Detailed Comparison

	Actual Fiscal Year 2014-15		Actual Fiscal Year 2013-14		<u>CHANGE</u>	
	TOTAL		TOTAL		\$ Increase (Decrease)	% Increase (Decrease)
Salaries	39,194,467		39,186,346		8,120	0.02%
Benefits	11,757,300		11,249,631		507,669	4.51%
Other Direct	16,745,589		15,223,885		1,521,703	10.00%
Total MTDC	67,697,355		65,659,863		2,037,493	3.10%
Equipment	643,733		2,167,677		-1,523,944	-70.30%
Student Support	7,714,555		7,363,701		350,853	4.76%
Subagreements	10,635,458		12,104,262		-1,468,804	12.13%
Other *	2,447,966		2,184,608		263,358	12.06%
Total Other Costs	21,441,712		23,820,248		-2,378,537	-9.99%
Total Direct	89,139,067		89,480,111		-341,044	-0.38%
F&A Costs	17,200,886		17,128,937		71,949	0.42%
Total Costs	106,339,953		106,609,048		-269,095	(0.25%)
F&A Costs/MTDC	25.41%		26.09%			

**Sponsored Program Expenditures and F&A Effective Cost Recovery Rates
FY 2002-03 through 2014-15**

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%
2014-15	106,339,954	67,697,355	21,441,713	17,200,886	50.00%	25.41%

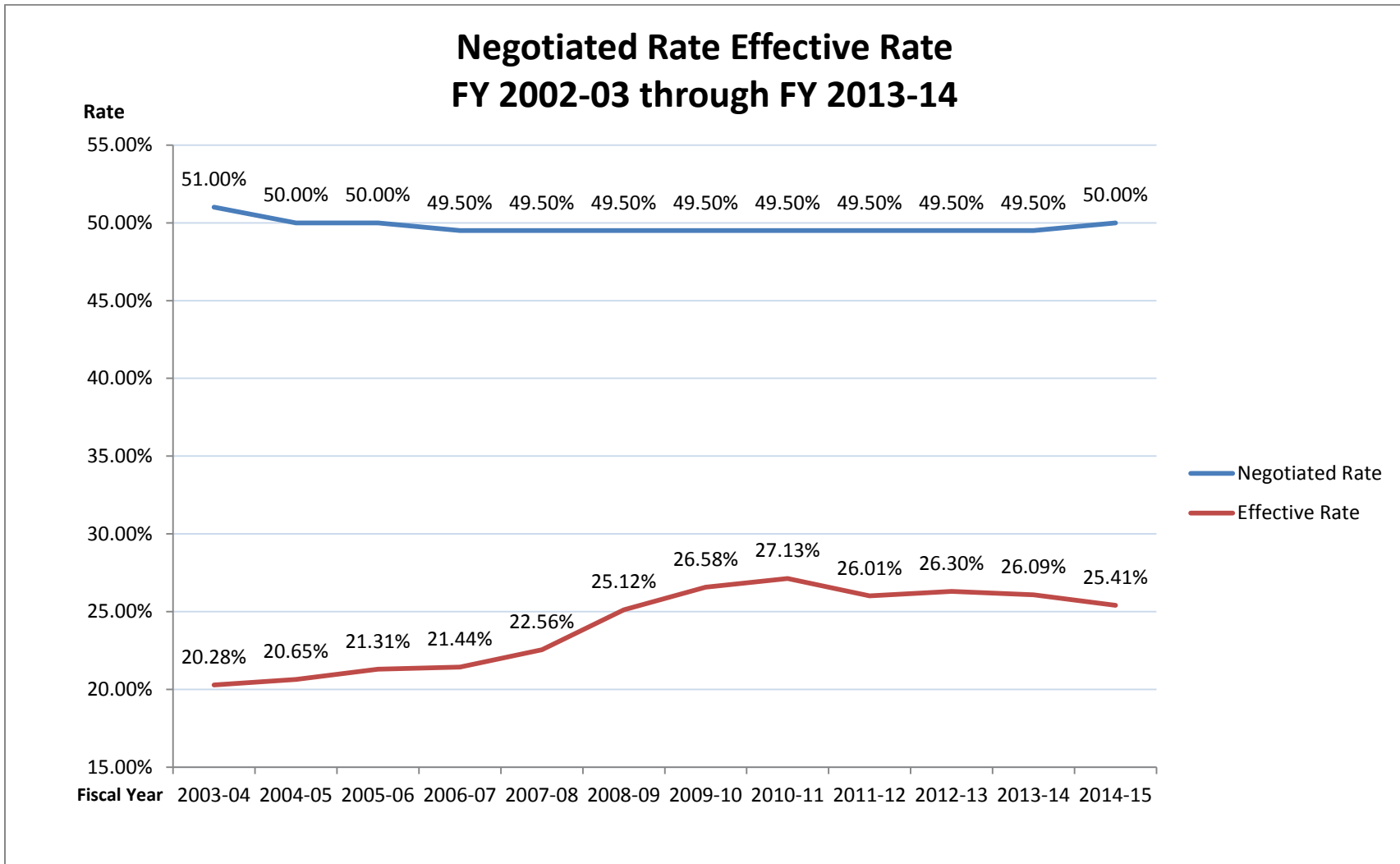
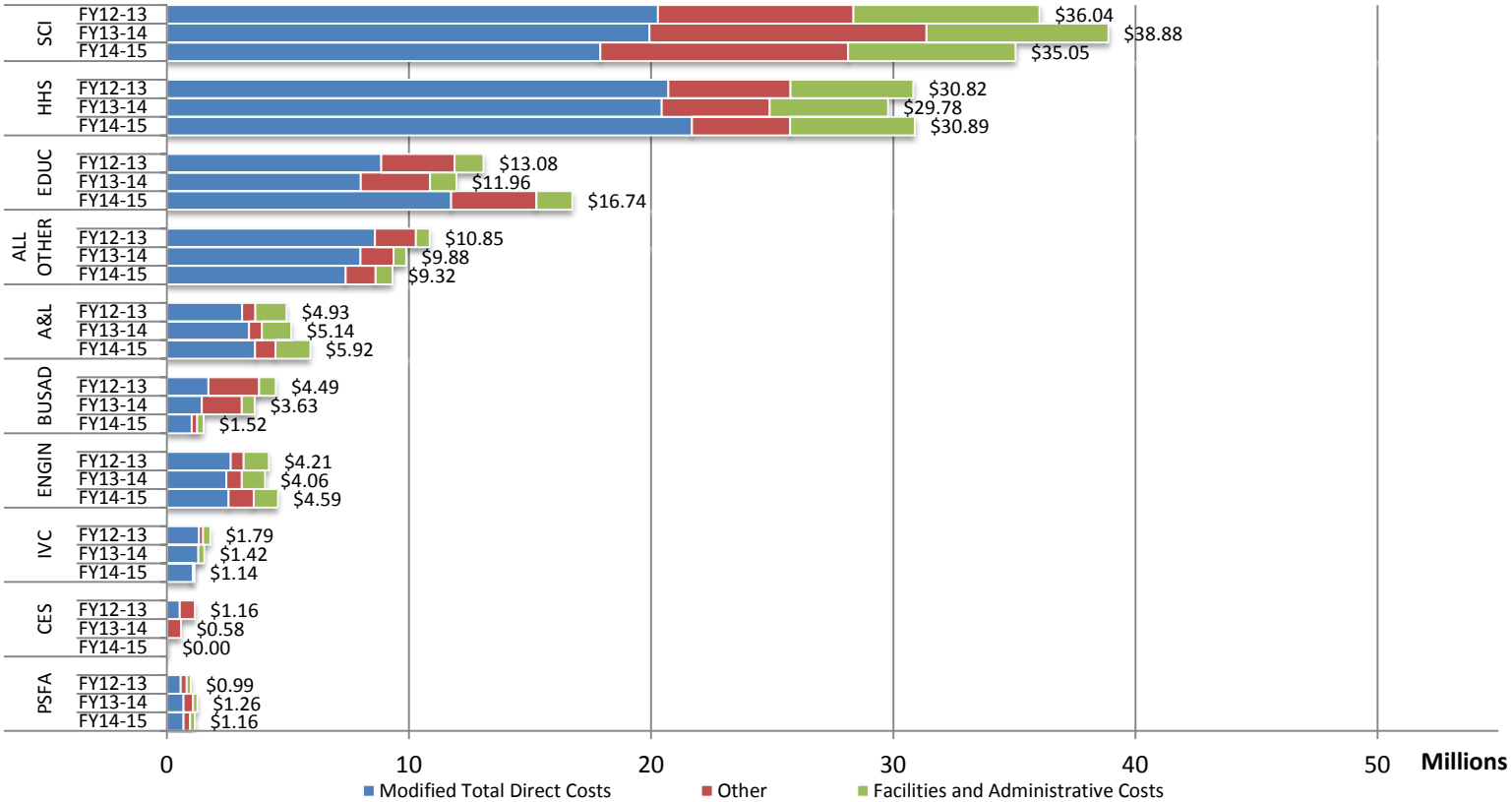


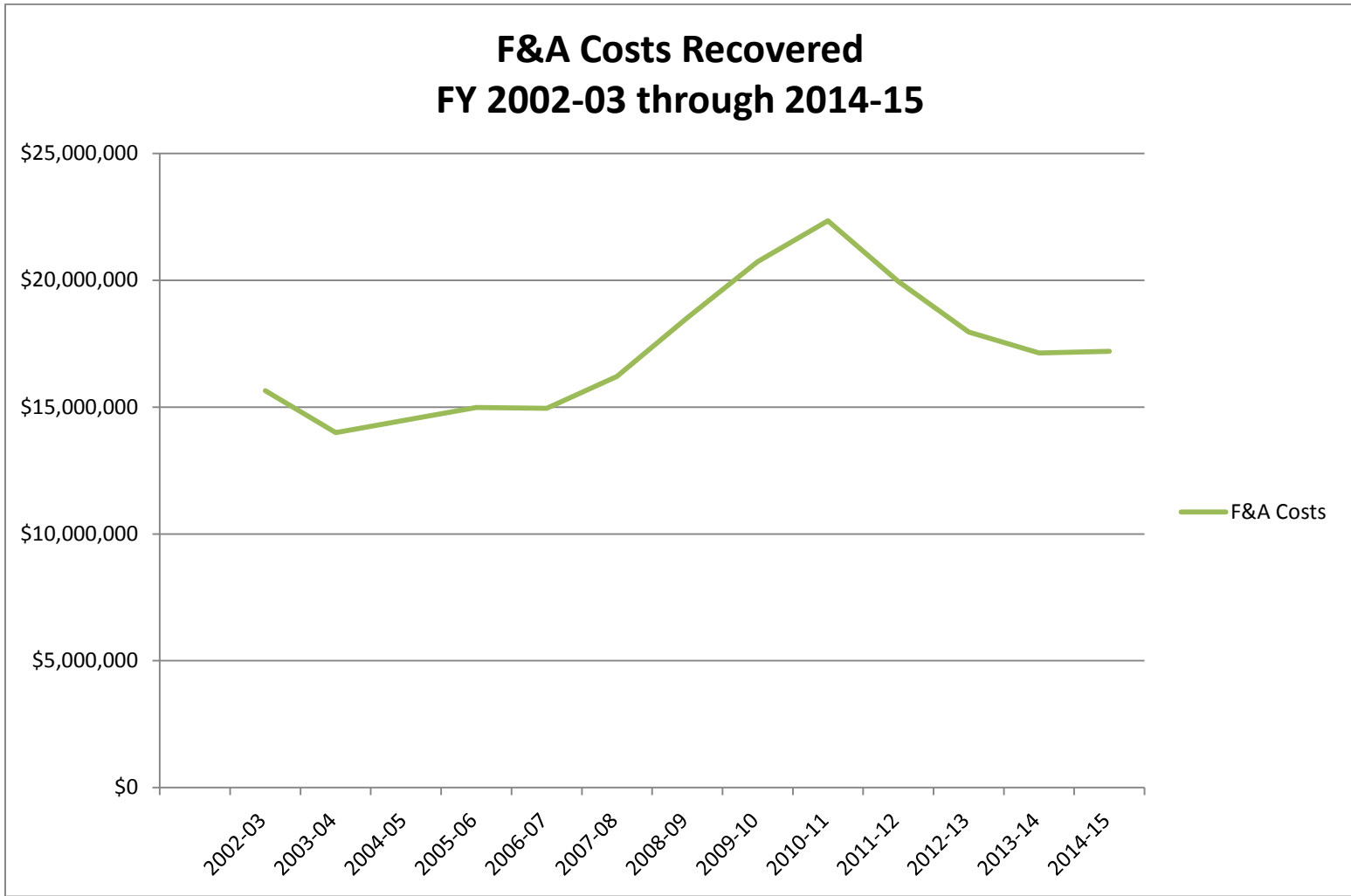
Chart H

Total Sponsored Program Expenditures by College

FY 2012-13 = \$108,364,049; FY 2013-14 = \$106,609,049; FY 2014-15 = \$106,339,954



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



V. 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, Jennie Amison, director of sponsored research development, served as co-chair of the 2014 Society of Research Administrators (SRA) international meeting held in San Diego and participated in the Auxiliary Organizations Association (AOA) research administration committee's Uniform Guidance workgroup. Associate executive director Michele Goetz serves as the administrative representative for the CSU system on the Washington DC-based Council on Governmental Relations (COGR) and is an AOA Executive Committee member.

Associate executive director Tim Hushen is a member of the Port of San Diego's Environmental Committee and represents SDSU on the Arctic Research Consortium of the U.S. Technology Transfer Officer Tommy Martindale is a member of the Association of University Technology Managers and the Licensing Executives Society. He serves on the Chancellor's Office Committee on Intellectual Property and the CSU Biotechnology I-Corps Teaching Team. A member of the State Bar of California, Tommy is registered to practice before the U.S. Patent & Trademark Office.

Research foundation staff are members of these state, national and international organizations: AOA; SRA; COGR; 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.

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, SDSU Entrepreneurial Experiences Working Group, 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 & Patents, Presidential Staff Excellence Awards, and Institutional Animal Care and Use committees.



Jennie Amison, with SRA International Meeting Co-chairs from left: Ian Carter, University of Sussex, Dara Little, Northern Illinois University, and Elliott Kulokowski, CEO, SRA International



Prospective student, Dr. Georg Matt, VP Welter and Norma Clark at Explore SDSU Day

Staff and PIs Work Together



Joanne Cobble, Dr. Giang Pham, Jennifer Lim



Dr. Lisa Linder, Annie Holder and Brett Kim



Adriana Estudillo, Tatiana Bosquet and Mr. Tom Zink



Tim Hushen (left), Dr. Rebecca Lewison (third from left), John Crockett (center), collaborate with UC colleagues on research strategies



State Senator, CSU Trustee and SDSU alumnus Steven M. Glazer visits the lab of Dr. Kelly Doran



Alma Flores, Dr. Jerome Gilles and Jenna McCart



Bob Wolfson and Dr. Joanne Lobato



Raquel Kaercher meets with IV SBDC Business Advisors Sylvia Marroquin and Katie Luna

2014 Summer Luau



2014 Holiday Party and Sweater Contest



All Hands Meeting: May 28, 2015





SAN DIEGO STATE
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