

San Diego State University

Research Foundation



Annual Report

Fiscal Year 2016-17

Cover photo: Manal Swairjo

The X-ray crystal structure of QueF-L from the thermophilic crenarchaeon *Pyrobaculum calidifontis*. QueF-L is an ancient enzyme that catalyzes the last step in the biosynthesis of archaeosine, a modified nucleoside necessary for the structural stability of tRNA in Archaea. The reaction catalyzed by QueF-L, the amidation of nitrile to formamidine, is unprecedented in Biology. The enzyme is built from 10 identical subunits arranged around a tunnel, and provides a scaffold for the binding of tRNA at the interfaces between subunits. The remarkable structural similarity but functional divergence of QueF-L from the nitrile reductase QueF highlights the power of molecular evolution in the emergence of new chemistry in nature.

Principal Investigator: Dr. Manal Swairjo, chemistry and biochemistry

Professor Swairjo's work helps us better understand how genes evolved to make life forms what they are today, and allows us to discover new ways to fight infectious diseases and improve the environment. Her research is supported by the National Institute of General Medical Sciences and the National Science Foundation.

SDSU Research Foundation

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Fiscal Year 2016-17

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**SDSU Research Foundation
Annual Report
Fiscal Year 2016-17**

INTRODUCTION

The SDSU Research Foundation management team is pleased to present this report highlighting fiscal year 2016-17 activities and accomplishments.

First, our congratulations go to the SDSU faculty and staff who received 783 awards and \$134.3 million to support their research last year – an increase of 3.4% over the previous year. Their continued success in a challenging federal budget environment is impressive. We are proud to support their work.

This report is organized into these sections:

- I Board of Directors and Management
- II Highlights
- III By the Numbers (volume indicators/charts and graphs)
- IV Staff Activities and Events

I. Board of Directors and Management

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 administration/faculty/staff and community members, the research foundation exists to serve and support SDSU.

The management team guides the organization and is led by associate vice president/executive director Michele Goetz and three associate executive directors of: finance and operations (Leslie Levinson); information systems (Rachel Raynoha); and human resources/facilities (Bob Blizinski). Tim Hushen, associate executive director for research advancement, reports to the vice president for research and continues to serve as an important liaison between the research foundation and the vice president’s office.

The team works closely with SDSU’s vice president for business and financial affairs and vice president for research to set policies, manage resources and guide 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 to 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 2016-17 board was composed of the following members (five ex officio; seven faculty; and five community directors). The FY 2017-18 board will be elected on September 29, 2017.

FY 2016-17 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 CFO, SDSU

Dr. Karen Emmorey

SECRETARY

Professor of Speech, Language and
Hearing Sciences, SDSU

Dr. Guadalupe Ayala

Associate Dean and Professor, Graduate
School of Public Health, 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

Dr. Chukuka S. Enwemeka

Provost and Senior Vice President for
Academic Affairs, SDSU

Dr. Craig Hauser

Vice President for Scientific Resources
Sanford Burnham Prebys Medical Discovery
Institute

Dr. Samuel Kassegne

Professor of Mechanical Engineering, SDSU

Dr. Mary Ann Lyman-Hager

Professor of European Studies, SDSU

Ms. Jamie Miller

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

Dr. Ming-Hsiang Tsou

Professor of Geography, SDSU

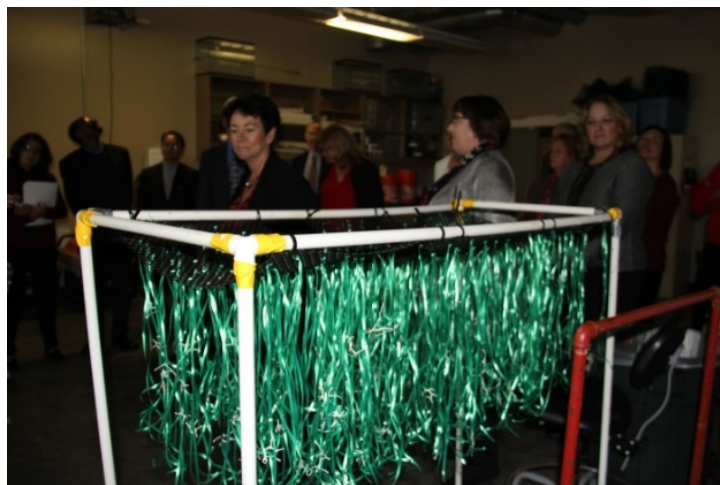
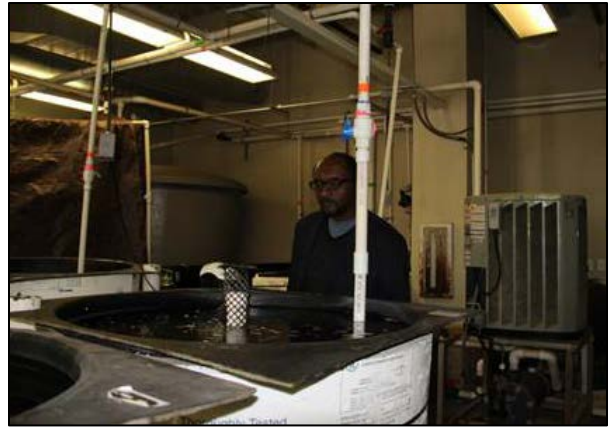
Dr. Robert Zeller

Professor of Biology, SDSU

Board Updates

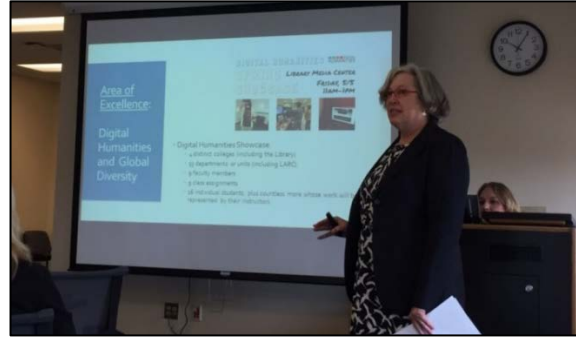
Board members participate in various ways including establishing policies and serving on the audit and finance and investment committees; approving the annual budget and overseeing adherence to it; ensuring proper financial controls are in place; authorizing the selection of the independent audit firm; ensuring investment policies are followed; and ensuring compliance with laws and regulations. We provide firsthand knowledge of the important research we support to the board by 1) including PI presentations at our meetings; and 2) hosting meetings at various locations. Last year, the following researchers shared their work with our board: William Zahner (mathematics), Todd Anderson (biology), Georg Matt (psychology) and Gale Etschmaier (library).

The December board meeting was held at the Coastal and Marine Institute Laboratory. Dr. Todd Anderson described the research taking place at this unique indoor/outdoor research facility and lab manager Renee Dolecal led a tour.



The May board meeting was held in the University Club in Manchester Hall. It included a resolution of appreciation for President Elliot Hirshman, a presentation by library dean Gale Etschmaier and a tour of Special Collections which houses rare and valuable books, periodicals, manuscripts and documents that

require preservation, security and care in handling.



Management Updates

CFO - Leslie Levinson. During the 2015-16 year, SDSURF entered into an agreement with The Campanile Foundation to share a CFO for ten months of the year. This shared service model provided short-term savings for both organizations and the opportunity to enhance our knowledge of and relationship with The Campanile Foundation. During the 2016-17 year, the CFO transitioned to SDSURF full time.

Rachel Raynoha, formerly director of computing services, was appointed associate executive director for information systems, reflecting the importance of technology in our daily work lives and in our future business plans. Rachel has been with the research foundation for 19 years and will continue to play a critical role in setting and implementing the vision for automation of our systems and improvement of our processes. She also serves as an important partner/liaison with the university IT management team.



Associate executive director Rachel Raynoha



Director of accounting and reporting Vicky Kern

Information Systems. The computing services department was renamed Information Systems to reflect the breadth of services provided. The department has been organized into three teams: Network Operations & Infrastructure; Programming & Development; and Enterprise Information Systems.

New Director of Accounting and Reporting. Vicky Kern was promoted to this position, which coordinates the annual financial and single audits. She is a C.P.A. with over 25 years of accounting experience, primarily with nonprofit organizations and mid-sized public corporations. Vicky received her bachelor's degree from UCSD and an M.S. from SDSU's school of accountancy.

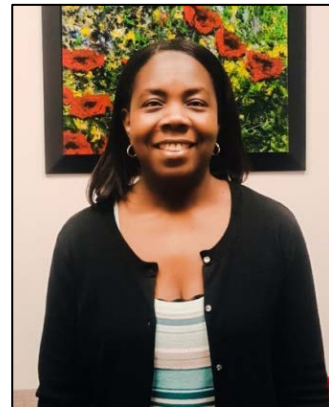
Organizational Restructure. A restructure during FY 2016-17 eliminated/reallocated two senior management positions (associate executive director of facilities and associate executive director of sponsored research services) to add staff positions that provide direct services to researchers. By reducing the management team, we were able to add a senior facilities planning manager, a proposal development specialist, two grant coordinator positions (one new/one upgrade to a vacant position) and a payroll technician, enhancing day-to-day services for SDSU researchers.



Michael Collins, SR facilities planning manager



Laura Gardiner and Pascheline Peter, grant coordinators



Jerry Webber, proposal development specialist



Fernando Martinez, payroll technician

II. Highlights

Fiscal Stability

BUDGET

We have made substantial progress in improving our financial viability and were able to finish the fiscal year adding resources back in to reserves.

After several challenging years, the 2015-16 budget outlook began a positive trend. The following key indicators for 2016-17 point to a continued positive budget forecast:

- SDSU faculty received \$134.3 million in awards – a 3.4% increase.
- The number of proposals submitted increased from 1025 to 1194.
- The number of awards received increased from 707 to 783.
- Awards pending increased 25% over the previous year.
- Revenue increased slightly from \$115M in 2016 to \$117M in 2017.
- NSF awards increased in number of dollars (19% increase) and number of awards (72% increase).

The university's \$3.7 million investment in research programs and infrastructure included support for research equipment, Areas of Excellence, the Summer Undergraduate Research program, facilities and equipment renovations, matching grants, assigned time for faculty, bridge support, supplemental graduate fellowship support and other direct support for faculty research.

SIGNIFICANT FINANCIAL TRANSACTIONS

A number of cost-savings measures were implemented during the 2016-17 year which helped to improve our financial position as well as the services we provide.

Conversion of banking services to a new service provider resulted in the following:

- Reduction in bank fees - \$100,000 savings annually
- Reduction in loan fees for the working capital line of credit - \$20,000 annually
- Reduction in short-term investment fees - \$35,000 savings annually
- Bank activity for KPBS and TCF is now processed in their individual bank accounts.
- Provided banking access to KPBS and TCF personnel to facilitate timely accounting for transactions and improved service
- KPBS lock box fees are estimated to decrease approximately \$1, 000 per month with the conversion.

Ground Lease with Capstone Developers. Finalized a ground lease with Capstone Developers to develop a student housing project. This project eliminated approximately \$2 million of debt on the research foundation's books for the property, will create a long-term income stream, and will provide beds in support of the Sophomore Housing Initiative.



A tour of the Capstone student housing development on SDSURF property at 5030 College Avenue

Relocation of SDSURF computer servers to the university data center avoided investments in HVAC and UPS systems, saving \$200,000 and providing a reliable back-up system in the event of a power outage. This is another example of “shared services” which benefit both the university and research foundation.

THE MIDNIGHT MOVE



The truck arrives



Oscar Valladares, Jack Tripp



Alex Delino, Kingsley Ramos, Ignacio Barragan, Pete Delaney

Sale of Alameda Property. In 1996, Donald and Darlene Shiley donated the leasehold interest of a three-story, two-building, 15,682 rentable square foot office complex located at 2447-2449 Santa Clara Avenue, in Alameda, California. The property was donated to the research foundation on behalf of KPBS. In March 2017, the larger building was sold with net proceeds of \$1.4M; the smaller building was on a ground lease and reverted back to the landowner. Proceeds from the sale will benefit KPBS programs.

Management will continue to focus on identifying savings to reduce the need for SDSU’s generous waiver of cost reimbursements.

Research Support

RSF distribution. Research Support Funds were funded at 100% last year. \$2.7 million was provided to deans and principal investigators to support new proposal development and ongoing externally-funded programs.

New Faculty. SDSURF staff work closely with new faculty from the time they arrive on campus to acquaint them with grant-related services and to learn about their research programs. As of June 30, 2017, 25 of the 52 new faculty members who joined SDSU in 2016-17 had submitted 39 proposals. Fifteen new faculty members received 24 awards totaling more than \$2 million (\$304,000 in F&A).

Faculty Recruitments. Research foundation staff participated in several university searches, meeting with more than 20 candidates who were being recruited for the fall 2017-18 academic year. This process allows potential new hires to understand the services and support they would receive as members of the SDSU research community.

Training. 17 workshops and 12 webinars were offered last year, including a special NIH “K Award” seminar, featuring SDSU K Award recipients from the colleges of health, education and sciences.



SDSU recipients of the prestigious K award shared their experience and advice at a spring workshop. From left: Jerel Calzo (GSPH), Inna Fishman (psychology), Eileen Moore (psychology) and Jessica Suhrheinrich (special education)



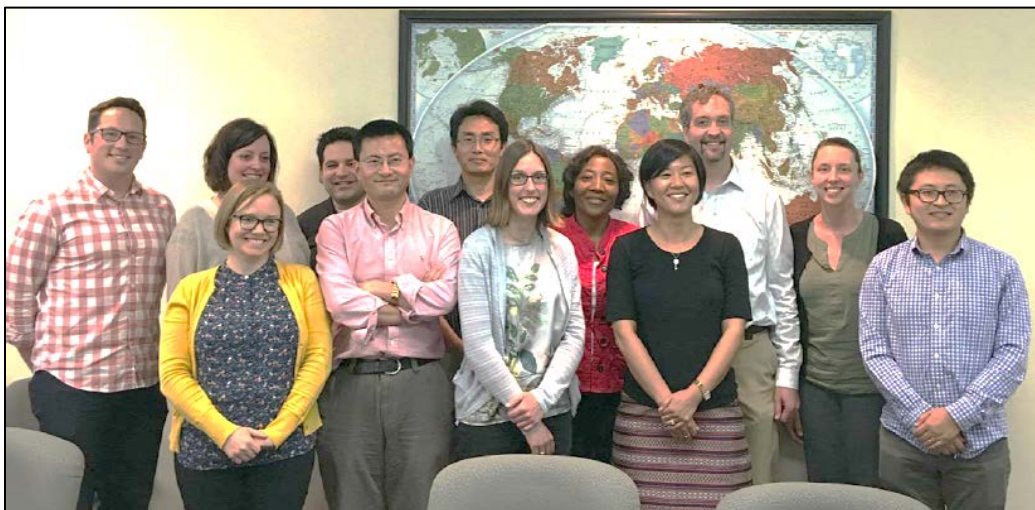
AP supervisor Gina Sullivan hosted an accounts payable workshop

GREW. The Grants and Research Enterprise Writing (GREW) fellowship program is in its fourth year of supporting new faculty in the development of their research programs. Of the 83 participants who have participated, more than 80% (69) have submitted at least one proposal, with 428 proposals in total submitted by GREW fellows. GREW fellows have received a 137 new awards totaling \$19M, generating \$3.7M in F&A.



Dr. John Crockett (second from left) with GREW Fellows at the National Academy of Sciences in Washington DC

From left: Nicholas Shikuma (biology), Sara Gombatto (physical therapy), Sahar Ghanipour Machiani (civil, construction, and environmental engineering) and Xianfeng (Terry) Yang (civil, construction, and environmental engineering)



The fall 2016 GREW cohort (from back left): Ryan Abman (economics), Sonja Pruitt-Lord (speech language and hearing sciences), Joaquin Camacho (mechanical engineering), Xiaofeng Xu (biology), Violet Bumah (college of sciences dean's office), John Crockett (research advancement), Allison Vaughn (psychology); front: Caroline Thompson (public health), Mingan Yang (public health), Hilary McMillan (geography), Congcong Zheng (management), and Changqi Liu (exercise and nutritional sciences)

Enhanced Service Initiatives

We continue to focus on automation as an important component of reducing costs and enhancing services. Successful automation initiatives implemented during the 2016-17 year include:

New Website. A new SDSURF website was launched, which provides a user-centric approach to accessing research foundation information and a new format that is more visually appealing and descriptive of our organization. Faculty and project staff provided feedback and recommendations during the process, which helped us design a site that would meet their needs.

The screenshot shows the SDSURF website homepage. At the top is a dark red navigation bar with the SDSURF logo on the left and menu items: Departments, About Us, Employees, PIs/Fund Mgrs, and Quick Links. A search bar is located on the right side of the navigation bar. Below the navigation bar is a large hero image of a Black-faced Dacnis songbird perched on a branch. A text overlay on the image reads "Research in Action! The Black-faced Dacnis songbird Credit: Kevin Burns" with a right-pointing arrow. Below the hero image is a grid of content blocks. On the left, there are four smaller images with captions: "Recent Awards", "PIs in the News", "SDSU Experts Directory" (featuring Forest Rohwer), and "PI Highlight: Dr. Christal Sohl". On the right, there are three vertical red and grey buttons with right-pointing arrows: "Tools for Faculty, Principal Investigators and Fund Managers", "Information for Research Foundation Employees", and "Career Opportunities". At the bottom left, there is a section titled "About SDSU Research Foundation" with a group photo and a "More about SDSURF" button. At the bottom right, there is a "Resources" section with a link to the "SDSURF Directory".

Electronic Personnel Action (E-PAS). The E-PAS functionality in PI Profile automates over 60 job change workflows. PIs can easily query active employees and job appointments in PI Profile, initiate and/or approve personnel changes such as ending or extending positions or changing funding source. Electronic routing and approvals and built-in error checking reduce processing time from days to hours, reduce error rates and should reduce the need for late payroll adjustments. It is also easier for the deans' offices to approve and track faculty overload. Phase II of this initiative is underway and will focus on streamlining and automating the data feeds into our HR information systems – further reducing manual data entry.

Electronic Fixed Asset Inventory. The fixed asset inventory process was automated through PI Profile allowing designated asset custodians to easily complete biennial physical inventories required by federal regulations. The new on-line system replaced paper-based processes, saves both custodians and the fixed assets administrator time and helps improve the accuracy of the asset inventory.

Automated Data Feed from InfoEd to Banner. A new program was developed that automatically processes proposal data from the InfoEd proposal development system and imports it into the Banner finance system for post-award administration, saving approximately 900 hours of time spent on manual data entry per year.

Standardized Budget Development Tool. Creation of a standardized budget development spreadsheet and submission system for the research foundation budget process saved budget managers/directors significant time in the preparation process, ensured greater accuracy of projections and reduced the time needed for review by the Executive Director and CFO.

Implemented Jellyvision's ALEX product. This online, interactive decision-making tool helps newly benefited employees learn more about their plans and benefit choices, facilitating the onboarding process for new employees.

University Partnerships/Collaborations

SDSU Research Foundation staff work with their university colleagues to further SDSU's mission and to address objectives and issues in their respective units. Collaborations take many forms, but all ultimately support SDSU's research and creative endeavors.

College of Extended Studies (CES) Accounting Structure. SDSURF implemented a new accounting structure for CES effective July 1, 2017. Changes in SDSU and SDSURF structures lay a foundation for consolidated financial reporting, supporting CES initiatives to streamline reporting and support data-driven decision making. SDSURF management and staff worked with CES to develop a new chart of accounts, assisted with their accounting process conversion and facilitated trainings with CES managers to ensure clear understanding of the new process.

Revised Invoicing Process for KPBS. Elimination of the double entry of KPBS invoices and application of cash saved time for KPBS and SDSURF.

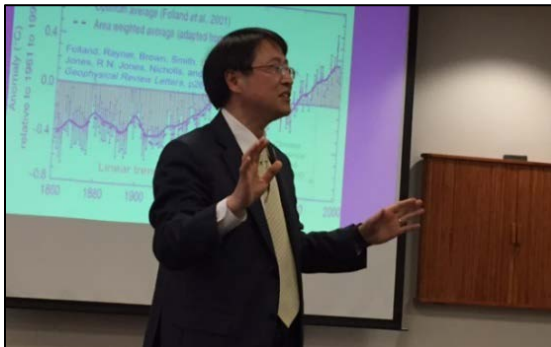
Enhanced Scholarship and Endowment Reporting for The Campanile Foundation. Developed seven new reports for TCF fund administrators that significantly streamlined the reconciliation and data review process of financial endowment reports. The reconciliation process is now easier and can be done on a quarterly basis instead of annually, providing better stewardship to donors.

TCF Gift Feed. The feed was re-programmed to post full gift amounts and then charge the TCF fee (versus posting gift net of fee), creating greater transparency for tracking purposes for end users and TCF staff.

SDSUid. Implemented data feeds with SDSU business information systems to provision/de-provision PeopleSoft POI, and enroll research foundation employees in SDSUid. This supports the university IT initiative for establishing a common user identity that can be leveraged by systems across the university.

Data Sharing with Research Affairs. Enabled SDSURF staff to have direct access to read data in the InfoEd IRB module, streamlining the awards process and allowing individuals in both departments to work more efficiently. This also expedites the processing of awards so researchers can access their grant funds more quickly.

Discovery Slams. SDSU Research Foundation joins with Vice President Welter and Dean Maloy to co-host these monthly meetings which highlight the work of SDSU researchers.



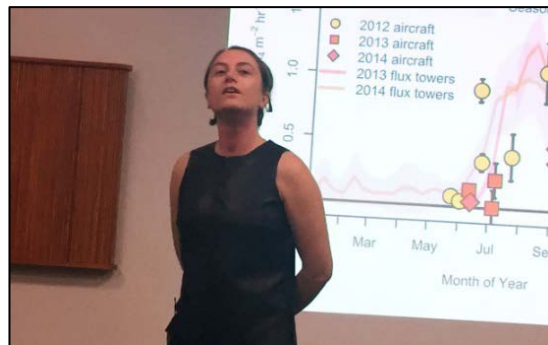
Professor Sam Shen



Question from Associate VP Radmila Prislin



Professor Mari Zuniga responds to Dean Maloy's question



Professor Donatella Zona

2015-16 Research Highlights. The [2015-16 Research Highlights brochure](#) was prepared in collaboration with Vice President Welter. It spotlights the important research taking place at SDSU.



The Adams Endowment. The John and Jane Adams Endowment was established in 1994 by then emeritus dean of humanities John Adams to support humanities education. Small “mini-grants” were awarded annually to projects that enhanced the extracurricular experience for students in the humanities. Dr. Adams later identified a small group of programs he wished to continue supporting after his passing. The following programs are currently supported: Humanities Lecture Series (PI: Risa Levitt Kohn, classics and humanities); Oral History project (Robert Ray, library and information access); Music Project (Marian Liebowitz, music and dance); Border Voices (Jack Webb, college of arts and letters); and MALAS (Bill Nericcio, college of arts and letters). In recent years, remaining funds have been allocated to 1) the University Grants Program to support humanities proposals; and 2) international student travel. The Adams Endowment Committee meets annually to review program reports and requests for continuing funding.



The Adams Endowment Committee: associate executive director of research advancement Tim Hushen, SDSURF communications director Debbie Brighton (staff), Provost Chukuka S. Enwemeka, retired SDSU director of planned giving Tricia Moulton, and SDSURF director of finance Teresa Loren

FACILITIES

The research foundation continues to identify, acquire, renovate, manage and maintain space in support of university research programs.

CAPITAL IMPROVEMENTS

All-Gender Restrooms: Keeping in line with the research foundation's efforts to provide accessible, all-gender restrooms in close proximity to its research centers, a new all-gender restroom facility was constructed at the Sky Park facility, as part of a larger full accessibility renovation to the common area lobby restrooms.

LEASE NEGOTIATIONS

In fiscal year 2016-17, the research foundation executed 32 lease agreements, lease renewals and space usage agreements projecting a total income value of \$4.6 million over their terms. This included leases for the Women, Infants and Children (WIC) program, American Language Institute (ALI) and the Field Stations.

IMPROVING RESEARCH LABS AND OFFICES

Our facilities team works with principal investigators to identify space for their projects and then manages any required construction and modifications. Examples of improvements made in the 2016-17 year follow.

Dr. David Marx, CRMSE. Dr. David Marx has expanded his research to a new 930 SF suite at 6475 Alvarado Road. Modifications to this space include construction renovations from a medical suite to office use and open conferencing. Dr. Marx's research addresses gender-based differences in STEM education and workforce participation which will lead to a larger and more diverse domestic STEM workforce.



Dr. Marx and his new conference room

Dr. Nada Kassem, Public Health. Dr. Kassem was relocated to 9245 Sky Park Court to 1,353 square feet that accommodates her study on Hookah smoke and its effects on smokers and non-smokers.

Dr. Mary Ann Lyman-Hager, LARC. To support the Language Acquisition Resource Center (LARC) program, one large training room was built out at 6495 Alvarado Road and the space at 6505 Alvarado Road was remodeled to provide two larger training rooms, maximizing their space and functionality in support of their programs.

Dr. Emily Kappenman, Psychology. Dr. Kappenman studies cognition and emotion and their interactions in healthy adults and adults with psychological disorders. Improvements to her 1,549 SF space at 6363 Alvarado Court include an EEG lab and several offices.

Dr. Stephanie Ries, Speech, Language and Hearing Sciences. Dr. Ries is a new researcher with the College of Health and Human Services. The new 914 square foot space at 6495 Alvarado Court includes an EEG lab, sound booth and offices.

Alvarado Research Patio. The research foundation recently completed an outdoor patio at 6505 Alvarado Road for use as a common congregation site for researchers at the Alvarado complex, providing an outdoor space where members, affiliates and others at SDSU could meet and interact in an informal context to discuss, collaborate, and foster further research.



Alvarado Patio

GATEWAY CENTER CHANGES

The research foundation is in the process of reconfiguring various cubicles and offices to accommodate recent changes to staffing structures, by maximizing space and creating departmental adjacencies to increase operational efficiencies. The changes began toward the end of FY 2017 with temporary relocations and consolidations of staff, and are anticipated to continue through FY 2018.

The third and fourth floors of the Gateway Center were given a much-needed refresh, including new paint and additional wall space in the executive office to highlight the research we support.



Executive office

FACILITIES SYSTEMS AND PROCESSES

In addition to space improvements, the following improvements were made last year to facilities systems and processes:

- Incorporated SDSURF properties into SDG&E Enterprise system, allowing us to track detailed usage and expense parameters. As a result, we're exploring new time of use account options for cost savings, with the goal of mitigating recent rate increases.
- Developed a draft lifecycle analysis, assessing major building components (e.g. HVAC unit, roofs, elevators) for tracking deferred maintenance and developing future budget strategies.
- Developed HVAC standards to establish a set level of requirements, in both construction and operations, to reduce the incidence of multiple service visits and repairs, as well as ensure our systems are utilized efficiently to manage electrical usage.

III. By the Numbers (Volume Indicators/Charts and Graphs)

SDSU RESEARCH FOUNDATION FY 2015, 2016 & 2017 VOLUME INDICATORS

The following indicators compare the last three fiscal years and are intended to provide perspective on business volume.

VOLUME INDICATORS		FY 2015	FY 2016	FY 2017
Business Volume Indicators	Total Annual Revenue	\$168,749,899	\$180,244,439	\$178,759,708
	Total Grant & Contract Expenditures	\$106,339,953	\$115,912,239	\$117,285,492
	Number of Proposals Submitted	1,051	1,167	1,194
	Dollar Volume of Proposals Submitted	\$188,888,422	\$215,660,158	\$237,284,730
	Number of Awards Received	698	707	783
	Grants/Contracts Award Dollars	\$120,593,761	\$129,901,774	\$134,264,146
	Number of Active Grant/Contract Funds	870	854	875
	Number of Active Project Directors/ Principal Investigators	355	341	344
	Campus and Community Programs Total Revenue	\$53,047,307	\$56,286,723	\$49,716,424
	Number of Active Self-Support Funds	435	406	434
	Number of Sub-Contracts	197	188	193
	Number of Invoices Processed	46,273	44,167	41,666
	Number of P-Card Transactions	21,562	22,219	22,759
	Number of Shipping & Receiving Deliveries	13,127	17,955	15,825
	Number of Purchase Orders	6,306	6,105	5,621
	Number of Invention/Copyright Disclosures	35	29	34
	Number of Licenses	7	10	6
	Number of Copyrights	15	6	12
	Number of Patents	31	29	32
Employment Indicators	Number of Central Staff (FTE)*	150	153	147
	Number of Paychecks Issued	48,330	47,101	45,043
	Number of SDSURF Employees at year end	2,392	2,294	2,231
	Number of SDSURF Employees Paid in the Calendar Year	3,715	3,607	3,445
	Number of New Hires	2202	1561	1,354
Real Property Indicators	Properties Owned, Managed and Maintained (buildings and parking lots)	33	33	32**
	Gross Square Footage (of owned)	715,000	715,000	698,000
	Properties Leased	28	28	28
	Rentable Square Footage (of leased)	78,000	78,000	78,000
	Approx. Acreage of Field Stations	920	920	920
	Estimated Value of Owned Properties	\$93,123,000	\$96,401,000	\$96,021,000

*as a calculation of annual payroll hours worked

** reflects sale of Alameda property

**Proposal/Award/Facilities & Administrative (F&A) Cost Comparison
FY 2016-17 and FY 2015-16**

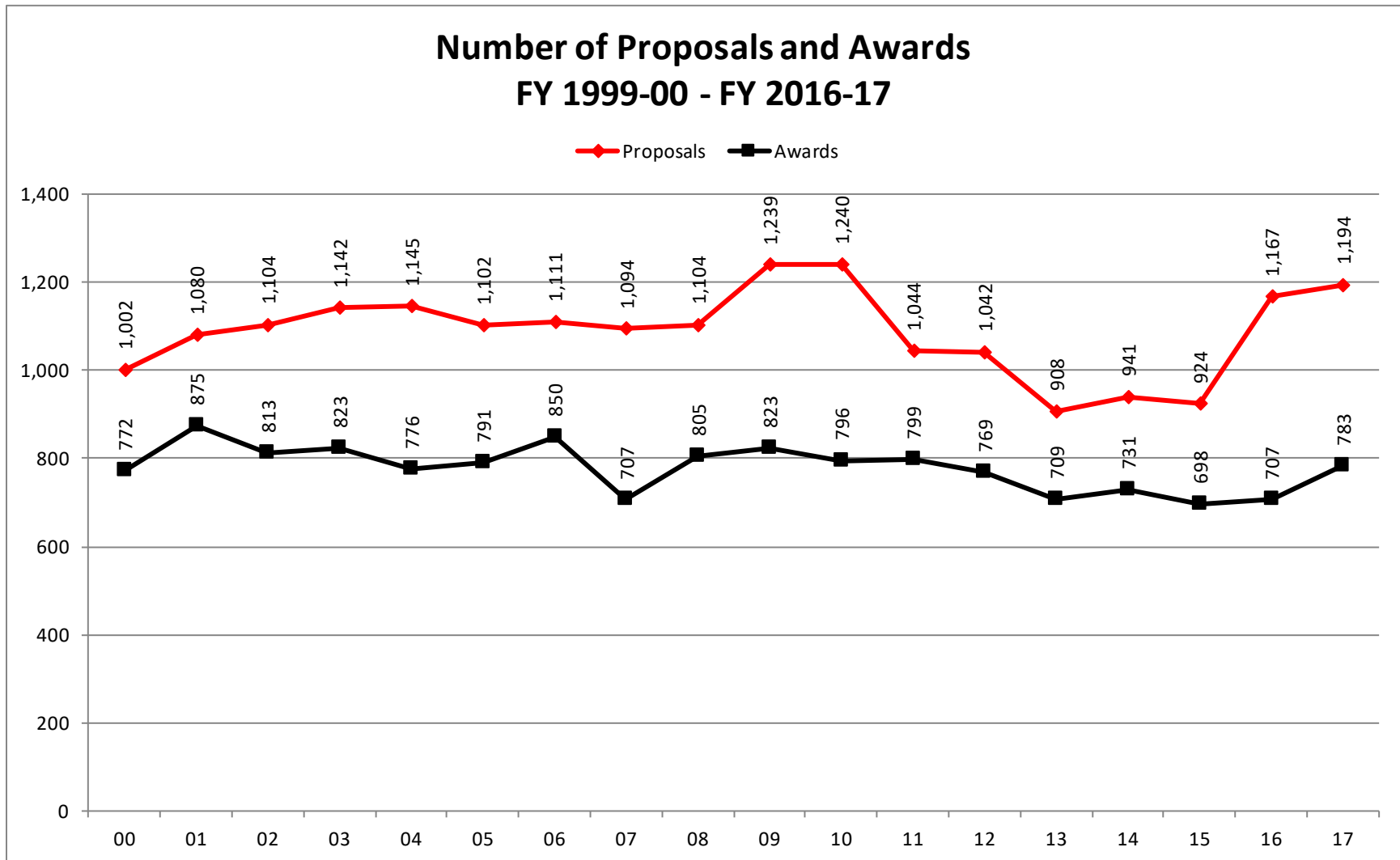
Proposals Submitted

	Fiscal Year 2016-17	Fiscal Year 2015-16	DIFFERENCE BETWEEN FISCAL YEARS
Proposals Submitted	1,194	1,167	27
Total Amt Proposed	\$237,284,730	\$215,660,158	\$21,624,572
F&A Amt Proposed	\$44,494,081	\$40,376,686	\$4,117,395
Proposed FA (%)	23.08%	23.04%	

Awards Received

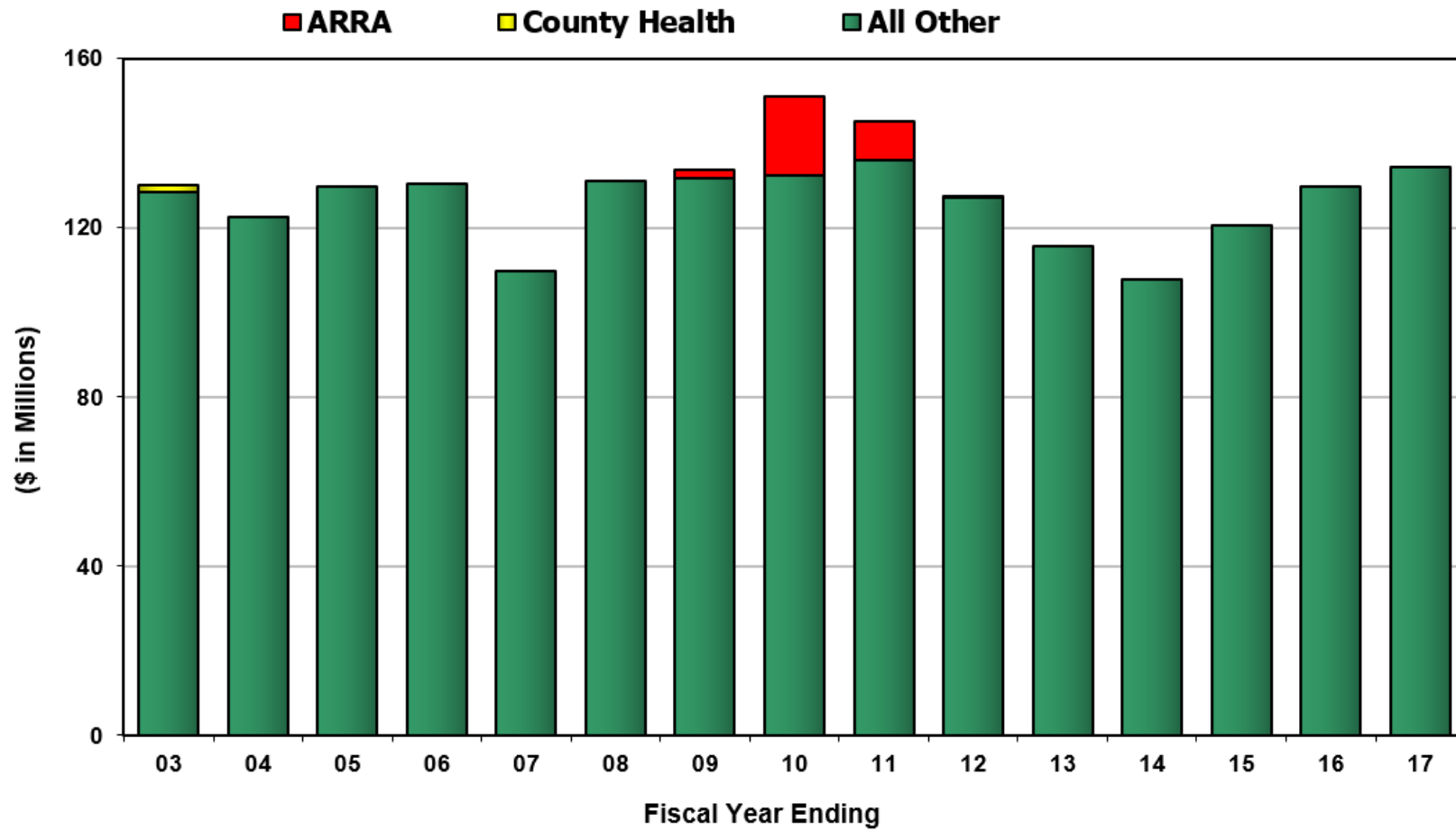
	Fiscal Year 2016-17	Fiscal Year 2015-16	DIFFERENCE BETWEEN FISCAL YEARS
Number of Awards	783	707	76
Total Amt Awards	\$134,264,146	\$129,901,774	\$4,362,372
F&A Amt Awarded	\$20,148,110	\$20,551,772	(\$403,662)
FA (%)	17.66%	18.79%	

Chart B



Note: Supplements are included as of 2015-16

Dollar Amount of Awards

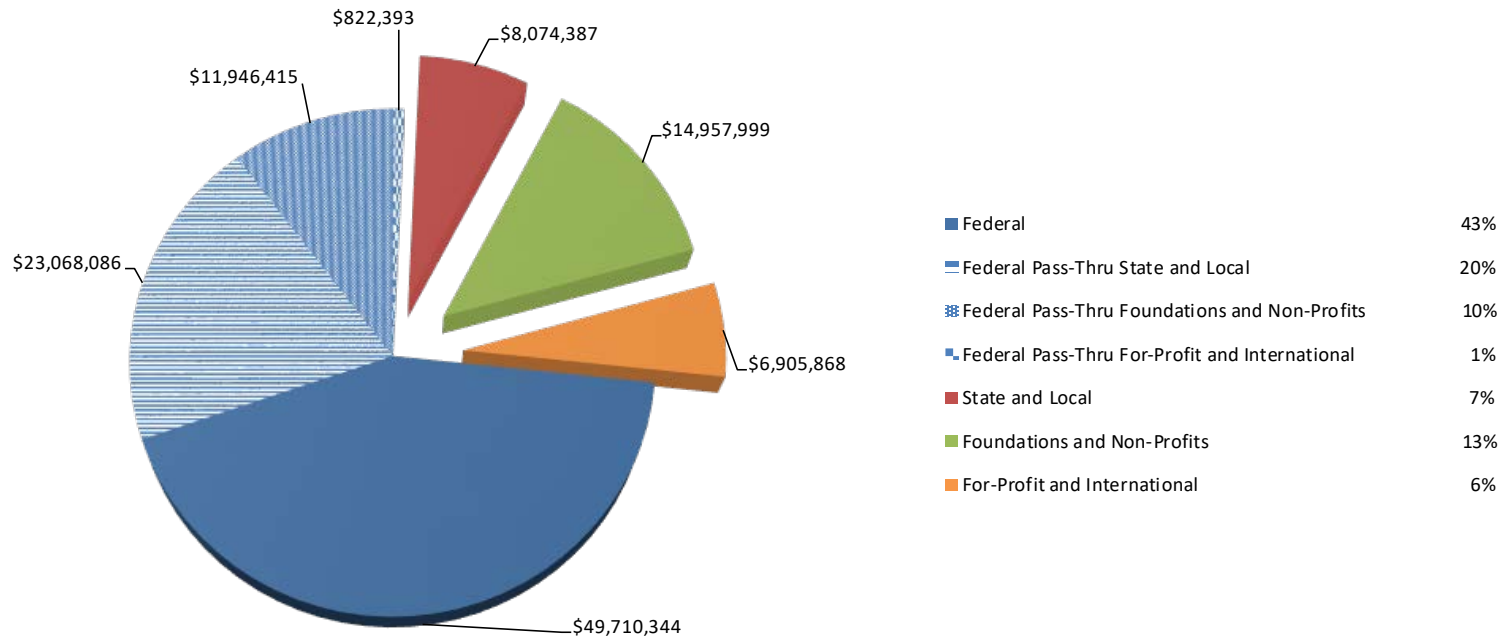


Awards Received on Behalf of San Diego State University FY 2016-2017

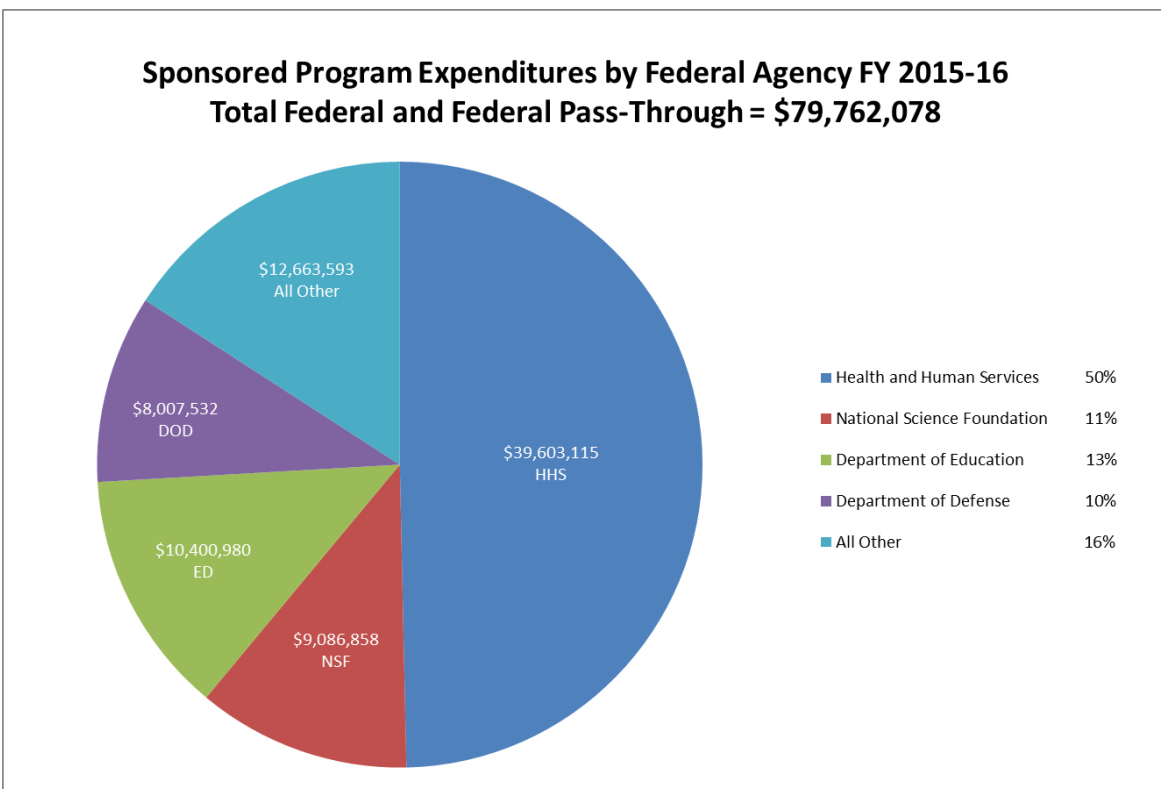
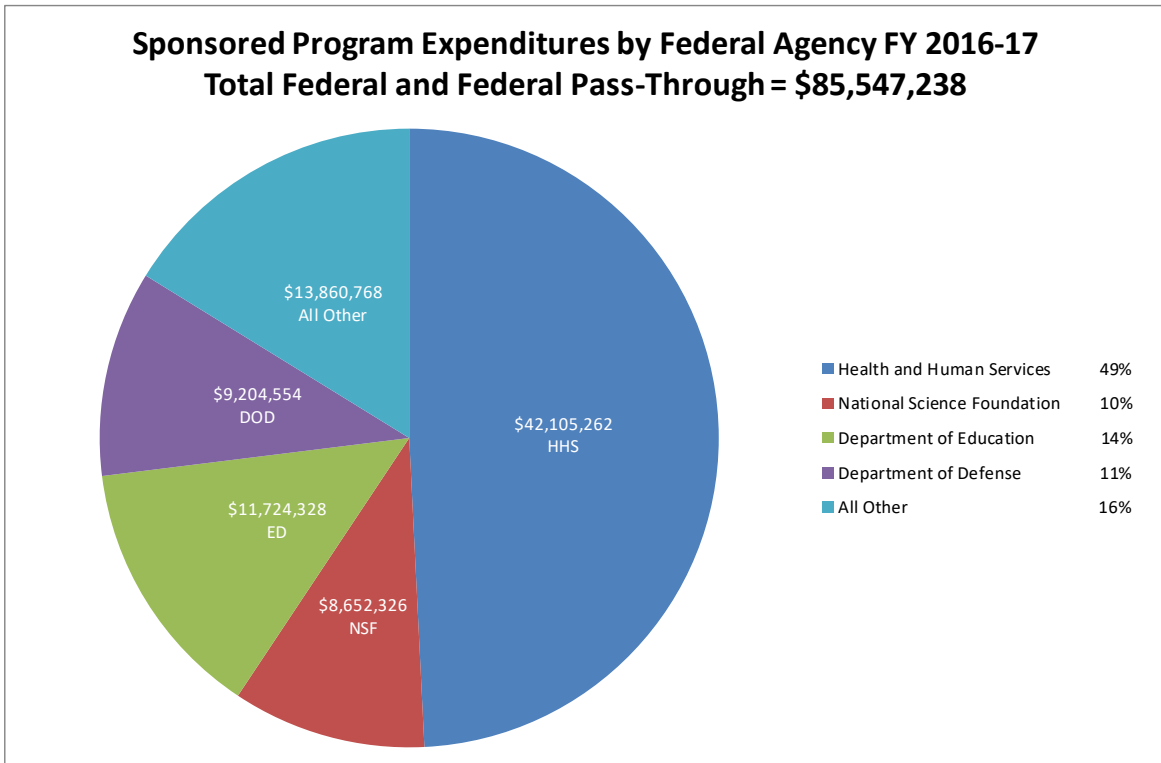
	Total Number of Awards	Number of PIs	Percentage Number of Awards	Total Number of Proposals*	Number of Proposers	Percentage Number of Proposals	Total Dollar Amount of Awards	Percentage Dollars of Awards Received	F&A Dollars Awarded	Number of T/TT Faculty	Award Dollars per T/TT
<i>Arts and Letters</i>	69	21	8.8%	91	37	8.8%	6,727,591	5.0%	1,512,428	168	40,045
<i>Business Administration</i>	8	6	1.0%	16	11	1.5%	878,855	0.7%	128,929	65	13,521
<i>Education</i>	133	36	17.0%	149	48	14.3%	27,275,560	20.3%	2,373,009	61	447,140
<i>Engineering</i>	73	32	9.3%	124	48	11.9%	7,898,305	5.9%	1,649,166	54	146,265
<i>Health & Human Services</i>	132	49	16.9%	189	74	18.2%	38,410,094	28.6%	5,662,714	83	462,772
<i>Professional Studies & Fine Arts</i>	11	10	1.4%	16	11	1.5%	1,146,849	0.9%	243,900	95	12,072
<i>Sciences</i>	224	106	28.6%	363	152	34.9%	35,085,483	26.1%	7,324,832	155	226,358
<i>Imperial Valley Campus</i>	12	3	1.5%	5	3	0.5%	742,235	0.6%	64,150	15	49,482
<i>Georgia Campus</i>	3	1	0.4%	4	1	0.4%	4,951,181	3.7%	682,300		0
<i>Student Affairs</i>	6	4	0.8%	6	4	0.6%	1,225,101	0.9%	51,523		0
<i>Extended Studies</i>	38	1	4.9%	39	2	3.8%	2,406,946	1.8%	136,244		0
<i>KPBS</i>	12	2	1.5%	18	2	1.7%	4,309,553	3.2%	23,105		0
<i>Institutional</i>	62	7	7.9%	19	11	1.8%	3,206,393	2.4%	295,810		0
TOTAL	783	278	100%	1,039	404	100%	134,264,146	100%	20,148,110	696	192,908

Institutional includes: Business & Financial Affairs, Graduate & Research Affairs, Academic Affairs
Proposal count does not include supplements

Sponsored Program Expenditures by Sponsor Type/Federal Pass-through
Total Expenditures = \$115,485,492
Total Federal and Federal Pass-Through = \$85,547,238



Federal	\$49,710,344	State and Local	\$8,074,387
Federal Pass-Through State and Local	\$23,068,086	Foundations and Non-Profits	\$14,957,999
Federal Pass-Through Foundations and Non-Profits	\$11,946,415	For-Profit and International	\$6,905,868
Federal Pass-Through For-Profit and International	\$822,393	Total Other:	\$29,938,254
Total Federal and Federal Pass-Through:	\$85,547,238	GRAND TOTAL:	\$115,485,492



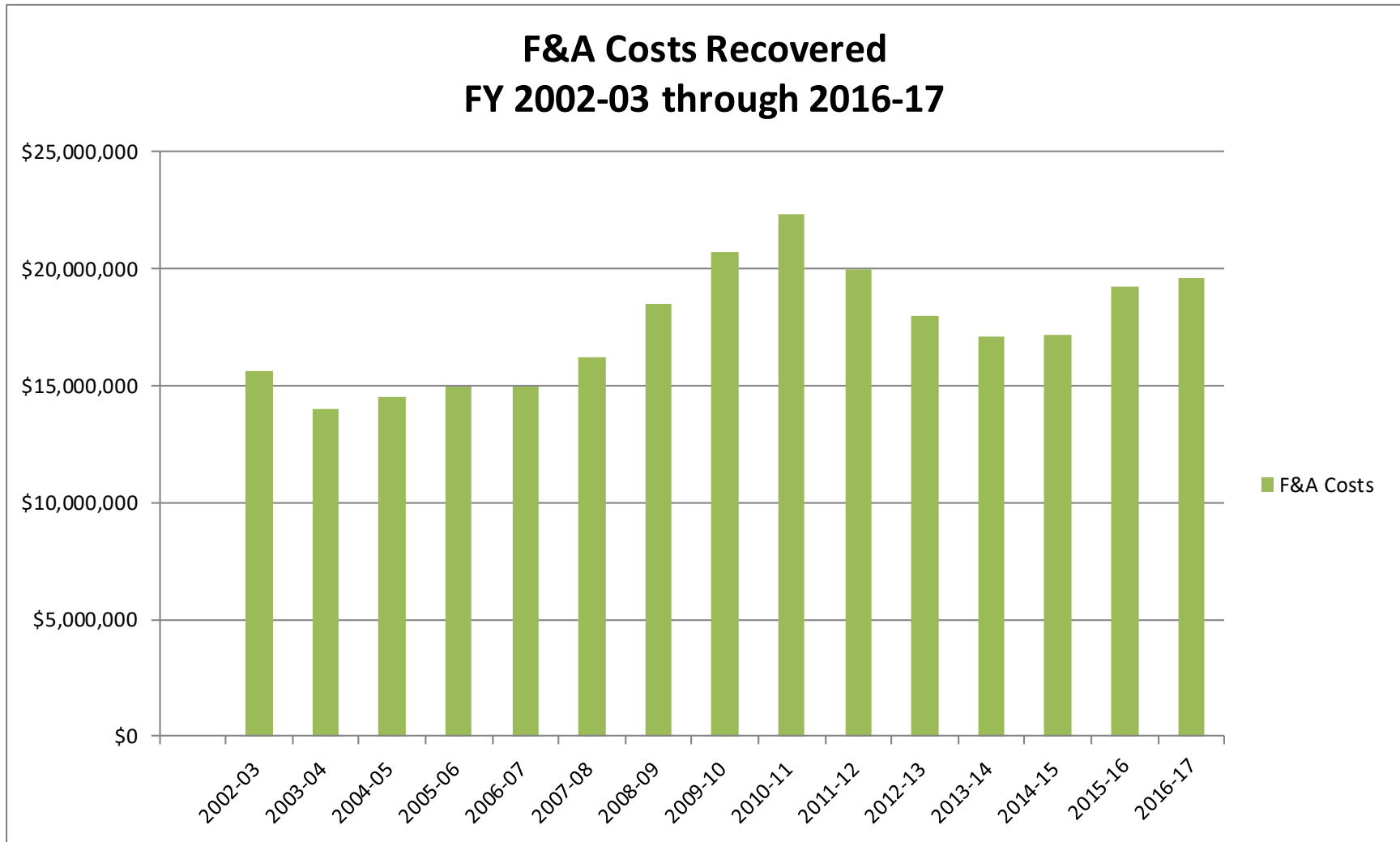
Sponsored Program Expenditures - Detailed Comparison

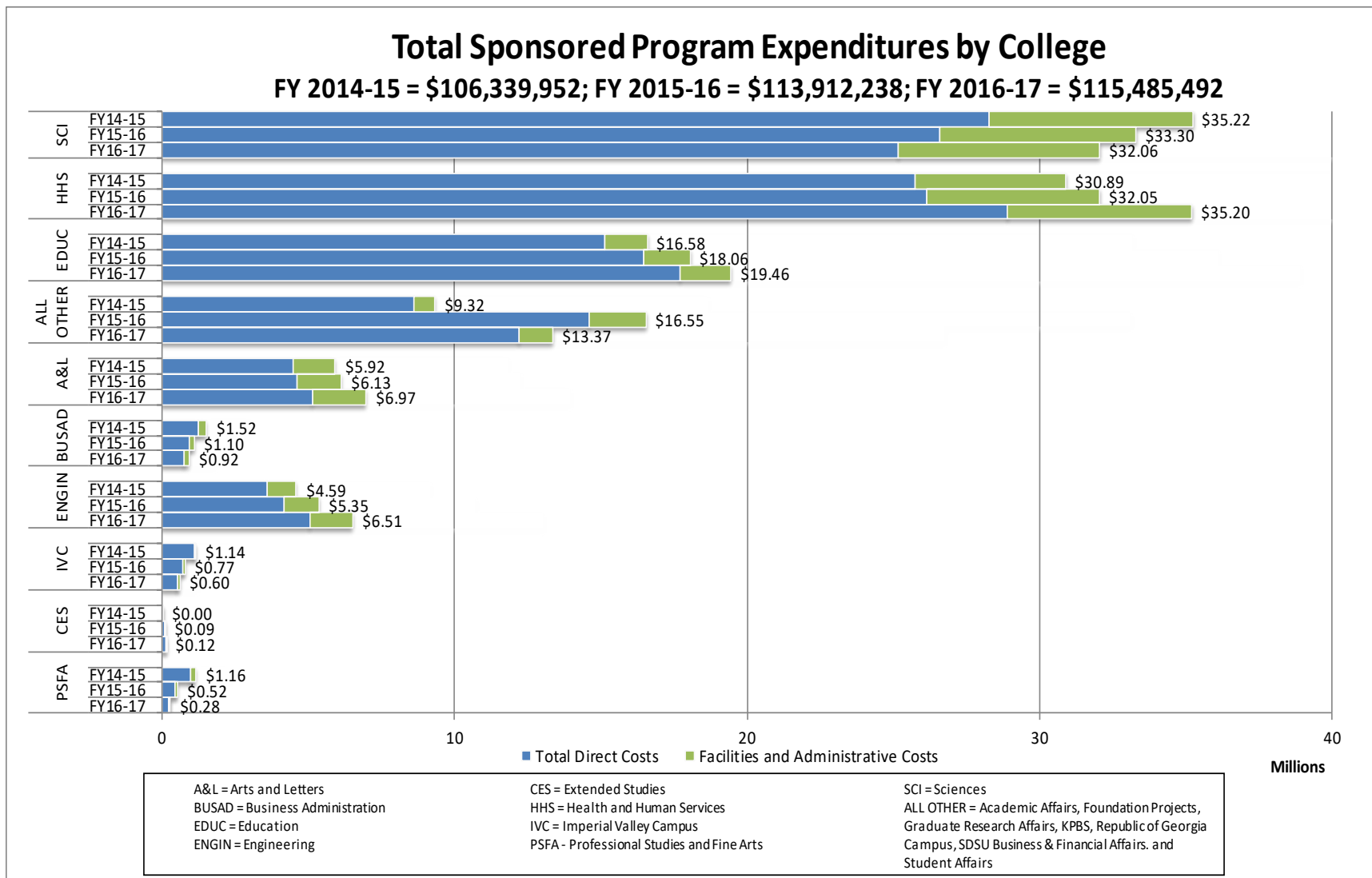
	Actual Fiscal Year 2016-17		Actual Fiscal Year 2015-16		<u>CHANGE</u>	
	TOTAL		TOTAL		\$ Increase (Decrease)	% Increase (Decrease)
Salaries	41,675,248		39,848,939		1,826,309	4.58%
Benefits	12,542,541		12,004,448		538,093	4.48%
Other Direct	18,012,382		17,286,439		725,943	4.20%
 Total MTDC	72,230,170		69,139,826		3,090,344	4.47%
Equipment	1,737,069		2,396,328		-659,259	-27.51%
Student Support	6,761,656		7,074,360		-312,704	-4.42%
Subagreements	10,303,307		9,848,116		455,191	4.62%
Other *	4,821,530		6,245,419		-1,423,889	-22.80%
 Total Other Costs	23,623,562		25,564,223		-1,940,661	-7.59%
Total Direct	95,853,732		94,704,049		1,149,683	1.21%
F&A Costs	19,631,760		19,208,190		423,570	2.21%
Total Costs	115,485,492		113,912,239		1,573,253	1.38%
F&A Costs/MTDC	27.18%		27.78%			

*Space rental costs, transfers, and other miscellaneous accounts

**Sponsored Program Expenditures and F&A Effective Cost Recovery Rates
FY 2002-03 through 2016-17**

Fiscal Year	Total Costs	TDC	F&A Costs	F&A Rate	
				Negotiated Rate/	Effective Rate
2002-03	125,105,523	109,463,032	15,642,491	51%	14.29%
2003-04	106,726,820	92,731,585	13,995,235	51%	15.09%
2004-05	115,229,540	100,736,023	14,493,517	50%	14.39%
2005-06	109,470,605	94,483,798	14,986,807	50%	15.86%
2006-07	105,405,951	90,452,927	14,953,024	49.50%	16.53%
2007-08	109,539,095	93,330,064	16,209,031	49.50%	17.37%
2008-09	119,238,251	100,717,735	18,520,516	49.50%	18.39%
2009-10	126,100,292	105,364,687	20,735,605	49.50%	19.68%
2010-11	135,239,456	112,891,751	22,347,705	49.50%	19.80%
2011-12	122,853,501	102,895,929	19,957,572	49.50%	19.40%
2012-13	108,364,049	90,400,260	17,963,789	49.50%	19.87%
2013-14	106,609,049	89,480,112	17,128,937	49.50%	19.14%
2014-15	106,339,954	89,139,068	17,200,886	50.00%	19.30%
2015-16	113,912,239	94,704,049	19,208,190	50.00%	20.28%
2016-17	115,485,492	95,853,732	19,631,760	50.00%	20.48%





Federal Budget Update: Federal Fiscal Year 2018 (FY18)
(September 18, 2017)

Overview

While October 1st marks the beginning of the new fiscal year (FY18), Congress is still far from reaching agreements on the FY18 spending bills.

Unable to meet the fiscal year deadline and to avoid a government shutdown, Congress passed and the President signed into law a Continuing Resolution Appropriations Bill (CR) to fund government programs at current FY17 levels through December 8th. **This bipartisan agreement sets December 8th as the new deadline for completion of the annual appropriations bills.**

The President's FY18 budget proposal was delivered in late May versus the usual budget delivery timeframe of early March. While this compressed budget calendar did impact the process, the largest impediment to completion of the bills is the absence of a new bipartisan budget agreement that would amend the Budget Control Act of 2011 (BCA) and set the funding amounts for defense and non-defense discretionary spending. There is wide disagreement over funding levels, and Democrats in the Senate have made clear they will not allow for final consideration of FY18 bills until discretionary levels for non-defense programs are aligned with defense spending. (Consideration of funding bills in the Senate requires 60 votes.)

Funding bill status to date:

- House of Representatives - During the week of September 11th, the House passed an omnibus appropriations bill that covers all government programs. House passage was never in doubt given the GOP majority. (Note: The Defense portion of this bill goes \$72 billion over the maximum allowed by the BCA – unless there is a change in funding or budget policy, this could trigger automatic cuts - e.g. sequestration).
- Senate – The Senate Appropriations Committee has cleared most of the individual spending bills, readying them for consideration by the full Senate. However, no bills have been considered by the full Senate absent a new budget agreement.

If Congress cannot agree to a new budget framework, a second short-term continuing resolution may be passed to avoid a shutdown. This extension of funding could last well into 2018, but the administration has indicated there is the potential for a government shutdown.

Sequestration under the Budget Control Act is still current law, which means across-the-board spending cuts could be enacted in the coming fiscal year.

Status of SDSU-relevant Programs under Senate Committee and House-Passed Appropriations Bills

National Institute of Health. There is good news for NIH. The House-passed bill provides \$35.2 billion for NIH, an increase of \$1.1 billion above the FY17 enacted level. This is \$8.6 billion above the President's budget request. The Senate provides \$36.1 billion which represents a \$2 billion increase. **Regarding Facilities and Administration (F&A) costs, the House bill requires NIH to continue reimbursing F&A; the Senate bill prohibits capping F&A at 10%.**

National Science Foundation (NSF). The House and Senate both fund NSF at \$7.3 billion. This amount is \$161 million below the current-year level, but \$658 million above the President’s budget request.

Department of Education. The House-passed bill funds the Department of Education at \$66 billion, which is \$2.4 billion below current year. The Senate, on the other hand, is recommending \$68.3 billion.

- **Pell Grants** - the House maintains the maximum Pell Grant award of \$5,920. The Senate increases the grant to \$6,020. According to the Senate report, the bill also provides “more than sufficient funding to continue Year-Round Pell.”
- **Student Support and Academic Achievement State Grants** – the House bill includes \$500 million - \$100 million above the current level. These flexible funds are intended to be used for states and school districts to expand access, improve school conditions, and increase the use of technology. The Senate bill provides \$450 million, and references technology and STEM education.
- **The TRIO and GEAR UP** programs are intended to help first-generation college students prepare for, enter, and complete college. The House bill increases funding for both: TRIO programs would receive \$1.01 billion and GEAR UP would receive \$350 million. The Senate bill gives TRIO \$953 million and GEAR UP \$340 million.

Corporation for Public Broadcasting. KPBS’s interests are protected by bipartisan support in the House and Senate. Both bills provide an advance appropriation of \$445 million for fiscal year 2020 – this is the same level of advance funding provided in fiscal year 2017. The Senate adds an additional \$20 million in FY18 to continue upgrading the public broadcasting interconnection system.

National Endowments for the Arts and Humanities. The House bill provides \$145 million for each of the endowments, \$5 million below the fiscal year 2017 level for each endowment. The Senate bill is pending in Committee.

Department of Energy. The House provides level funding at \$5.4 billion. This funding supports basic energy research, the development of high-performance computing systems, and research into the next generation of energy sources. The Senate bill provides \$5.55 billion for the DOE Office of Science, \$158 million above the current level, to support these areas.

IV. Staff Activities and Events

Professional Engagement

Many SDSU Research Foundation staff volunteer their time with professional organizations related to their disciplines. These activities provide beneficial educational, training and networking opportunities that enhance their ability to serve SDSU researchers.

Executive director **Michele Goetz** serves as the CSU system representative on the Council on Governmental Relations (COGR) and on the AOA Executive Committee. Michele is also a member of the National Council of University Research Administrators (NCURA) and the Society of Research Administrators International (SRAI). She represents SDSU Research Foundation on the University Research Council and is an Aztec for Life.

Chief Financial Officer **Leslie Levinson** serves in various capacities internally and externally. She is a member of the American Institute of Certified Public Accountants and the California State Board of Accountancy. She also serves on several SDSU committees including the TCF Board Finance & Investment Committee, Gift Acceptance Committee, President's Budget Advisory Committee, and the Advisory Board for the School of Accountancy. Leslie is also an Aztec Club and Aztec for Life member.

Jennie Amison continues to serve as the co-chair of the Basics of Research Administration conference for the Society of Research Administrators International and as a co-content manager for the Introduction to Research Administration and Management certificate for the society. She also received an excellence award – advanced level - from SRAI.



Sandra Nordahl, Janet Stoeckert (USC Kevin School of Medicine) and Jennie Amison, speakers at the SRAI Basics Conference in San Diego

Sandra Nordahl is a member of SRAI's Distinguished Faculty/Speakers Bureau and gave multiple presentations last year from Norway to Nashville. She also sits on the editorial board of SRAI's *Journal of Research Administration*.

Victoria Kuebler, associate director of human resources, chairs the AOA HR Committee and represents SDSU Research Foundation on the university-wide CAFS (Celebrating Aztec Faculty & Staff) committee.

She is also a member of the National Society for Human Resource Management and the International Foundation for Employee Benefit Plan Specialists.

Research Foundation staff serve on these state, national and international organizations: American Payroll Association (APA); Auxiliary Organizations Association (AOA); SRAI; COGR; NCURA; National Association of Procurement Card Professionals; North San Diego County Chapter of the APA; Building Owners and Managers Association; Society for Human Resources Management (local /national chapters); International Facility Management Association; Unified Port of San Diego Environmental Committee; Ad Hoc Committee on Sea Level Change.

Our staff also work closely with their university colleagues on joint projects and programs and serve on university committees and teams. These include the University Research Council; SDSU Communicators; Institutional Animal Care and Use Committee; Explore SDSU, Campus Development Committee; Institutional Biosafety Committee; Aztecs Rock Hunger; University Committee on Patents and Copyrights, and the new P-Card User Group. Several staff members volunteer each year as judges for SDSU's Student Research Symposium.



SDSU Associate VP Andrew Bohonak and SDSURF finance director Vicky Kern staffed the joint SDSU Research Foundation and Graduate and Research Affairs booth at Explore SDSU Day



Victoria Kuebler and colleagues who helped coordinate SDSU Field Day 2017

SDSU Research Foundation Holiday Project



Each year, research foundation staff identify an organization to support at the holidays. The 2016 SDSURF holiday project supported Voices for Children.

The mission of Voices for Children (VFC) is to transform the lives of abused children by providing them with volunteer Court Appointed Special Advocates (CASAs). They believe that every child deserves a safe and permanent home, and to that end, will review and monitor every court file in the system, provide a CASA to every child in the foster care system who needs one, and advocate to improve the lives of foster children. In addition, Voices for Children increases awareness about the foster care system, and advocates for legal policies and practices that enhance the quality of life for foster children.

Principal investigator Tonika Green (College of Education) directs a U.S. Department of Education grant that works with VFC to train School Psychology, School Counseling and School of Social Work students to become Court Appointed Special Advocates.

Photo: research foundation grant coordinator Richard Brandt (standing) with Ashley Williams (VFC), Charlotte Agostinelli (VFC), SDSU student Kaitlyn Armstrong and (front) Dr. Green and SDSU students Cory Way and Maricela Godinez who received the gift cards and books donated by SDSURF staff.

PI Lecture Series

The PI Lecture Series continued in FY 2016-17. Nine principal investigators presented lectures about their work to research foundation staff. This program originated in 2011 at the suggestion of Dr. Rob Edwards (computer science). It remains a positive mechanism for educating staff about the PIs we support and building strong PI/staff partnerships.



Top Row: Dr. Iana Castro (marketing)

Dr. Todd Braje (anthropology), Dr. Jillian Maloney (geology) and Radmila Prislin (associate VP for academic affairs)

Grant specialist Lisa Anderson and Dr. Inna Fishman (psychology)

Row 2: Grant specialist Marlo Martinez introduces Dr. Peter Larlham (theater)

A captive audience

Grant specialist Cheryl Whittemore (second from right) with Center for International Business Education and Research (CIBER) staff Mr. Mark Ballam, Dr. Martina Musteen and Ms. Paige Bryant

Row 3: Executive Director Michele Goetz welcomes the audience

Grant specialist Pascheline Peter and Dr. Georg Matt

Dr. Kim Finley (BioScience Center) and grant specialist Carolyn Martinson

Row 4: Grant specialist Tatiana Bosquet, Dr. Christal Sohl (chemistry & biochemistry) and development specialist Alma Flores

Grant specialist Kim Ruff introduces Dr. Todd Braje and Dr. Jillian Maloney

Grant specialist Steve Vasquez and Dr. Chris Mi (electrical and computer engineering)

OUR STUDENTS!

SDSU students play an important role in the day-to-day operations of the research foundation. They provide significant contributions to all areas of our organization while learning skills that will benefit them in the future. We are fortunate to have these undergraduates on our staff to assist us and to remind us of the important academic mission we support.

Information Systems Department. Lizeth Navarro and Lily Tabuchi are members of the transaction team and are responsible for assisting with the data entry of journal vouchers, cash receipts and purchase requisitions. They provide support to many research foundation departments by filing, scanning, photocopying and tagging fixed assets.



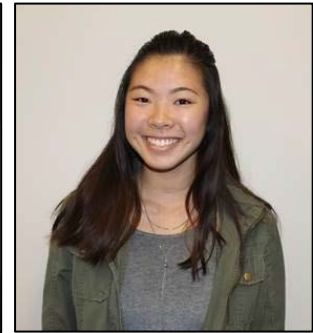
Lily Tabuchi



Lizeth Navarro



Aniel Roderickz



Jenny Zhong

Jenny Zhong and Aniel Roderickz provide excellent customer service to central staff and projects as members of the help desk. Both are able to quickly diagnose a wide variety of system issues and provide successful resolutions to help keep our systems users happy.

Sponsored Research Services Division. Faith Marientes' big smile greets visitors to the sponsored research services division. Her front desk duties include assisting customers, sorting mail and she is often seen delivering important documents on campus. She provides support to the division by assisting with fund close out, scanning/coping and a wide variety of special projects.



Faith Marientes, sponsored research services

Executive Office. Ivonne Molina Garcia and Christian Benavides successfully juggle multiple projects for the communications and executive offices from organizing files and event preparation to conducting internet research and tracking news stories.



Christian Benavides and Ivonne Molina Garcia, executive office

SDSU Research Foundation student assistant and president of the student-run Aztec Racing team, Adam Kuebler (standing, second from right), poses with teammates. Prior to his graduation this past year, Adam worked for several years in the research foundation **human resources department**.



Photo: Aztec Racing

Congratulations to our dedicated staff whose experience and longevity make them valued partners in supporting SDSU research.

**SDSURF Staff Awards
October 25, 2016**



5 Years

Mike Murphy, Eric Sims, Tannaz Niknejadi, Chun Ohl, Alex Delino



10 Years

Andrea Harris, Erika Gonzalez.
(Not pictured: John Crockett)



15 Years

Laura Gardiner
(Not pictured: Frank Sweeny,
Victoria Young)



25 Years

Debbie Brighton,
Cynthia Hicks Droske



30 Years

Joanne Jahn, Tiny Jackson,
Michele Goetz.
(Not pictured: Sandra Nordahl)



35 Years

Bonnie Brown

Congratulations to our valuable team members who retired in 2016-17. Their years of service are much appreciated.



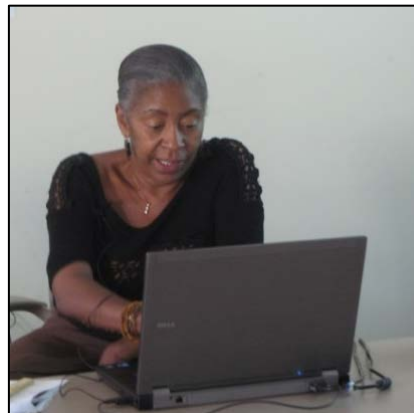
Bruce Wilson, computing services



Frances Fairchild, accounts payable



Norma Clark, facilities



Denise Carroll, purchasing



Bonnie Brown, sponsored research administration



Barry Janov, research advancement

IN MEMORIAM

Dr. Thomas R. Scott

October 1, 1944 – May 15, 2017



Professor, neuroscientist, principal investigator, dean, vice president and SDSU Research Foundation CEO 2006-2008

Mr. Bob Benshoff

1937 – 2016



SDSU Research Foundation executive director and chief financial officer (1971-1999)



SAN DIEGO STATE
UNIVERSITY

Research Foundation

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