San Diego State University
Research Foundation

Annual Report
Fiscal Year 2015-16
**Cover photo:** Chris Goetz
Dr. Thomas Rockwell on a high terrace studying the Cristianitos fault with San Juan Creek drainage in the background (southern Orange County)

**Principal Investigator:** Dr. Thomas Rockwell, geological sciences

Professor Rockwell is an internationally renowned paleoseismologist/geomorphologist and expert on the tectonics and earthquake hazards of southern California and Baja California. He has conducted extensive trenching programs to date earthquakes on faults in the western U.S., South and Central America, the Middle East and Asia. Funding for Dr. Rockwell’s work has come from the National Science Foundation, the U.S. Geological Survey, and the University of Southern California.
# SDSU Research Foundation

## Annual Report

### Fiscal Year 2015-16

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INTRODUCTION

The SDSU Research Foundation management team is pleased to present this report which highlights fiscal year 2015-16 accomplishments and activities.

First, our congratulations go to the SDSU faculty and staff who received 707 awards and $129.9 million for their research programs last year. This represents an 8% increase over the previous year. We thank these prolific researchers whose success in garnering funding for their work makes our success and contributions to the university’s mission possible.

This report is organized into these sections:

Section I – Management and Board of Directors
Section II – Highlights
Section III – By the Numbers (volume indicators/charts and graphs)
Section IV – 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 2015-16 year was one of transition due to the illness and loss of executive director Bob Wolfson. Michele Goetz served as acting executive director from November 1st until Bob’s sad passing on December 30, 2015 and through the search process for a new executive director which concluded with her appointment on June 30, 2016. Research foundation staff displayed tremendous effort and compassion during this difficult time.

The management team guides the organization and includes associate vice president/executive director Michele Goetz and three associate directors of: sponsored research services (currently being filled also by Michele Goetz); finance and operations (Interim Leslie Levinson); and human resources and facilities (Bob Blizinski). Working closely with SDSU’s vice president for research and vice president for business and financial affairs, the team manages resources, sets policies, and guides the efforts of a dedicated staff who seek to facilitate the work of SDSU researchers.

Tim Hushen, associate executive director for research advancement, reports to the Vice President for Research. He and his team are housed on campus within Dr. Welter’s office. Tim serves as an important liaison between the research foundation and the vice president’s office and acts in a consultative capacity to the research foundation management team.
**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, Provost, VP for Research, VP for Business & Financial Affairs, and Associated Students President; four SDSU faculty members recommended by the University Senate and elected for four-year terms; three additional SDSU faculty members and five “public” community members, nominated by the president and elected for three-year terms.

The FY 2015-16 board is composed of the following members (five ex officio; seven faculty; and five community directors). The FY 2016-17 board will be elected on September 23, 2016.

**FY 2015-16 Board of Directors**

<table>
<thead>
<tr>
<th>Name</th>
<th>Position</th>
<th>Institution/University</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dr. Elliot Hirshman</td>
<td>President</td>
<td>SDSU</td>
</tr>
<tr>
<td>Dr. Stephen Welter</td>
<td>VICE PRESIDENT</td>
<td>Vice President for Research and Dean of Graduate Affairs, SDSU</td>
</tr>
<tr>
<td>Mr. Tom McCarron</td>
<td>TREASURER</td>
<td>Vice President for Business and Financial Affairs and CFO, SDSU</td>
</tr>
<tr>
<td>Dr. Karen Emmorey</td>
<td>SECRETARY</td>
<td>Professor of Speech, Language and Hearing Sciences, SDSU</td>
</tr>
<tr>
<td>Dr. Guadalupe Ayala</td>
<td>Associate Dean and Professor, Graduate School of Public Health, SDSU</td>
<td></td>
</tr>
<tr>
<td>Dr. Kim Barrett</td>
<td>Professor of Medicine and Dean of Graduate Studies</td>
<td>University of California, San Diego</td>
</tr>
<tr>
<td>Mr. William Brack</td>
<td>Retired, Self-Employed Financial Consultant</td>
<td></td>
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<tr>
<td>Ms. Paula Brock</td>
<td>Chief Financial Officer</td>
<td>Zoological Society of San Diego</td>
</tr>
<tr>
<td>Ms. Vickie Capps</td>
<td>Certified Public Accountant</td>
<td></td>
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<tr>
<td>Dr. Chukuka S. Enwemeka</td>
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<tr>
<td>Dr. Craig Hauser</td>
<td>Vice President for Scientific Resources</td>
<td>Sanford Burnham Prebys Medical Discovery Institute</td>
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<td>Dr. Samuel Kassegne</td>
<td>Professor of Mechanical Engineering, SDSU</td>
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<tr>
<td>Dr. Mary Ann Lyman-Hager</td>
<td>Professor of European Studies, SDSU</td>
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<tr>
<td>Dr. Randolph Philipp</td>
<td>Professor of Mathematics Education, School of Teacher Education and Center for Research in Math and Science Education (CRMSE), SDSU</td>
<td></td>
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<tr>
<td>Dr. Ming-Hsiang Tsou</td>
<td>Professor of Geography</td>
<td>SDSU</td>
</tr>
<tr>
<td>Ms. Blaire Ward</td>
<td>President, Associated Students</td>
<td></td>
</tr>
<tr>
<td>Dr. Robert Zeller</td>
<td>Professor of Biology, SDSU</td>
<td></td>
</tr>
</tbody>
</table>
Welcome to new board member, Dr. Guadalupe “Suchi” X. Ayala

Thanks to Dean Marilyn Newhoff (left) and Dr. Mary Ann Lyman-Hager for their board service; they completed their terms last year.

LEADERSHIP

New Executive Director. After a national search, associate executive director for sponsored research services, Michele Goetz, was appointed associate vice president/executive director. A nationally recognized expert in research administration, Michele brings 30 years of experience with the research foundation, SDSU, and the CSU to her position. A double alumna, Michele received her bachelor’s in business administration and her MBA from SDSU.

Michele Goetz

Chief Financial Officer. Leslie Levinson, CFO of The Campanile Foundation, was appointed Interim CFO of SDSU Research Foundation under a shared resources pilot after two searches did not identify a successful candidate for the vacant CFO position. Leslie has more than 20 years of experience serving as CFO for both private and public organizations including the San Diego Housing Commission, The San Diego Foundation and Pierce Education Properties. Leslie is familiar not only with SDSU but with the
research foundation, having served as our CFO from 1998 – 2006. She is an SDSU alumna and a Certified Public Accountant.

Leslie Levinson

Facilities Planning & Management. After long-time associate executive director Norma Clark announced her retirement, the department was restructured and Eric Elson was appointed director of facilities. Associate executive director Bob Blizinski was selected to oversee the facilities team in addition to his human resources and legal management responsibilities.

Eric Elson holds over 15 years of facilities planning and construction experience. He attended SDSU where he earned his bachelor’s degree in social science, with an emphasis in environment while working part-time for the research foundation as a shuttle driver. From 2001 - 2005 Eric worked for the San Diego Unified School District as a Facilities Development Project Manager III and Specification Writer and returned to the research foundation in 2005, as Senior Project Manager. In 2010 he was promoted to the position of Associate Director of Facilities Planning & Management.

Eric Elson

Bob Blizinski
Bob Blizinski joined the research foundation in 2012 as Chief Human Resource and Labor Relations Officer. He has 20 years of diverse management experience including 17 years in higher education at Lynn University, the College of the Desert and Michigan State University. Bob holds a bachelor’s degree in political science from Oakland University and a master’s in higher education administration from Michigan State.

**Director of Finance.** A recruitment for a new director of finance/controller was initiated to fill the position vacated earlier last year. Ms. Teresa Loren was selected in the summer of 2016 to fill this important position. Teresa brings more than 30 years of financial management experience in both for-profit and not-for-profit entities. Teresa is familiar with the CSU system, coming to us from CSU Northridge. She graduated from Loyola Marymount University.

Teresa Loren

**II. HIGHLIGHTS**

**Fiscal Stability**

**BUDGET**

The mid-year updated General Fund Budget (GFB) was submitted to the board and approved at a level of $29,670,000, which included a use of reserves to balance the budget totaling $1,496,000.

When the actual results came in for the fiscal year, we were able to balance the budget through a combination of additional revenues and reduction in expenses. Instead of using reserves to balance the budget for the fiscal year, we were able to add $171,683 to reserves in 2015-16.

Although we are still working toward a self-balancing budget model, the university’s continued $1 million waiver of certain research compliance allocations was again critical and greatly appreciated. This generous support enables us to maintain core capacity, provide consistent service to our researchers and stretch remaining reserves.
After several challenging budget years, the research foundation budget outlook is trending toward the positive. While spending on existing awards is still conservative, we are seeing a slow, but steady gain in several other key indicators. Reasons for optimism include:

- SDSU faculty received $129.9 million in grants and contracts (an 8% increase over the previous year)
- Grants awarded included $20,551,772 in F&A (an increase of 12% over FY 2014-15)
- A 7% increase in annual revenue ($168M to $180M)
- An 11% increase in proposals submitted (1,051 to 1,167) and 8% increase in proposals pending (409 to 440)
- The number of awards increased from 698 to 707
- The university’s $2.5 million investment in research programs and infrastructure for Areas of Excellence, facilities improvement and research equipment, graduate fellowships and other direct support for faculty research
- 61 new faculty joined SDSU in the fall of 2016
- Five new principal investigators joined the list of Top 20 F&A producers.

**SIGNIFICANT FINANCIAL TRANSACTIONS**

In collaboration with the University, a **50-year ground lease** was executed in April 2016, which will allow HSRE-Capstone SD, LLC to develop, construct and operate a student housing facility on the currently undeveloped property located at 5030 College Avenue, owned by SDSU Research Foundation. This partnership will enable 307 beds to be integrated into the SDSU residential housing program for non-freshmen, adding capacity to support the university’s growth.

The research foundation continues to provide the infrastructure and business services required to support the **SDSU-Georgia** program. This program generated $1.7 million in F&A and continues to help balance our budget.

A **major grant** from the National Institute on Minority Health and Health Disparities (NIMHD) was awarded to improve the infrastructure that supports population health and health disparities research. The $10 million endowment award will provide $2 million per year for each of the next five years – to be invested and maintained for twenty years. The annual income will be used to improve research collaboration and purchase technology that will allow SDSU researchers to share data and resources. Principal investigators include faculty from the colleges of health and human services, sciences and engineering.

**AUDIT SUMMARY**

Eleven sponsor audits were conducted in FY 2015-16 (three more than the previous year) – none of which resulted in any compliance findings. The triennial CSU Auxiliary Audit resulted in just one finding regarding the administration of petty cash and change funds. The recommendation to close inactive
change funds, develop written policies for change funds and submit timely reimbursements for petty cash, was implemented.

The annual financial statement, compliance audits and employee benefit plan audits all resulted in no findings.

These successful audits demonstrate the effectiveness of our systems as well as the joint efforts of our principal investigators, project and research foundation staff to ensure costs are allowable and appropriately documented.

Research Support

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

NEW FACULTY. As of June 30th, 24 of the 58 new faculty members who joined SDSU in 2015-16 had already submitted 60 proposals. Fourteen had already received 26 awards totaling $3.5 million ($782,000 in F&A).

TRAINING. Sixteen workshops/webinars were offered, including two new ones. The NSF Career Awards Workshop was facilitated by four SDSU faculty recipients of this prestigious award. Eight NSF Career proposals were submitted – three by those who attended the workshop and/or received workshop materials. The Data Management Plan Basics was offered in collaboration with SDSU library faculty.

DMP Workshop Presenters:
Librarians Jenny Wong-Welch, Jordan Nielson and Kathryn Houk

FACULTY RECRUITMENTS. Research foundation staff participated in eight university searches, meeting with more than 30 candidates including all HHS recruitments and the new MRI Director candidates.
GREW. The Grants and Research Enterprise Writing (GREW) fellowship program was established in 2014 to help guide and support new faculty in the development of their research programs. In the last two years, 49 of the 51 participants have submitted 124 proposals. Thirty-four of these proposals have been awarded $7.1 million.

Sahar Ghanipoor and Xianfeng Yang, (both new faculty in civil, construction and environmental engineering) participate in a GREW exercise

Spring 2015-16 GREW Cohort
Standing: Xiaobai Liu, Nicholas Shikuma, John Crockett, Daniel Goble, Vanja Lazarevic, Lisa Linder, Joseph Gibbons, Lourdes Marinez, Bob Briggs
Seated: Sarah Garrity, Sarah Rieth, Jillian Lee Wiggins
Enhanced Service Initiatives

Efforts continue toward automating and improving services to the research community.

**SIGNATURE AUTHORITY.** An outdated, paper-based signature authority process was replaced with a new on-line workflow which streamlines the process for PIs to review and authorize signers when new funds are setup.

**PERSONNEL ACTION FORMS (PAS Sheets).** An on-line workflow prototype for personnel action changes such as extensions, fund changes and terminations was created - saving time for PIs and administrators who process these transactions. This prototype is being presented to principal investigators and project directors for feedback that will be incorporated into the new streamlined processes.

**ELECTRONIC PROPOSAL SUBMISSIONS.** Approximately 90% of proposal applications are submitted electronically using over 40 different sponsor agency systems. While InfoEd had been used primarily for NIH submissions, it is now being used for additional federal programs from agencies such as Substance Abuse and Mental Health Services Administration, the Institute of Museum and Library Services and the U.S. Departments of Justice, Labor, transportation and Housing & Urban Development.

**E-ROUTING.** Electronic proposal routing has been expanded to include all new, continuation and competing continuation proposals. Previously, only new applications were routed for university signatures via the InfoEd system. This automated proposal routing system has successfully streamlined the process, saving time and effort for proposers, development specialists and university administrators.

**NEW LOOK FOR PI PROFILE.** A new dashboard was developed to combine PI Profile with new electronic workflows to make fund management more efficient. PI Profile Log on and welcome pages were updated to enable the development of the dashboard. A contest was held to create a new PI Profile icon to be used on our website and on mobile devices as a quick link to launch PI Profile.

PI Profile continues to evolve as we work toward making it a central hub for many research foundation processes and services. Users will soon see personalized alerts when they have pending transactions and will be able to easily navigate to/log into various research foundation systems from a single site.

![PI Profile logo](image)

PI Profile logo is updated after 22 years! Ray Camello, computing services, submitted the winning entry.
Facilities

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

NEW/EXPANDED RESEARCH SPACE

Chris Mi, electrical & computer engineering. Dr. Mi’s new 1,694 square foot lab is located at 6386 Alvarado Court. Modifications to this space included construction renovations and the addition of two 200 amp electrical services with separate meters to support his increased electrical loads. Dr. Mi’s research focuses on wireless power transfer, including inductive power transfer (IPT) and capacitive power transfer (CPT), especially as applied to vehicle charging applications.

Dr. Mi’s lab – under renovation and completed!

Heather Corliss, graduate school of public health. Dr. Corliss’s space was expanded from 1,400 to 2,800 square feet to accommodate her work with the SDSU Center for Research on Sexuality and Sexual Health.

Linda Gallo, psychology. Dr. Gallo was relocated to Chula Vista where she now has 2,200 square feet of space. This new location allows Dr. Gallo to share resources with SDSU colleagues at the South Bay Latino Research Center and to work in the community where her study participants live, work and receive healthcare.

Space was also identified and provided for these new principal investigators in the psychology department: Jillian Wiggins, Dustin Thoman, Aaron Blashill.

LEASE NEGOTIATIONS

In fiscal year 2015-16, the research foundation executed leases projecting a total income value of $3.6 million over their terms. Staff assisted the American Language Institute/College of Extended Studies to sign $2 million in leases to provide housing for international students.

New leases with the Bureau of land Management and the National Oceanic and Atmospheric Administration were also secured at the Santa Margarita Ecological Reserve to continue the important
work at this field station.
Several new commercial leases were secured for underutilized space, including a new tenant for the former June Burnett Institute building at Alvarado Medical Center.

Xiaofeng Xu (ecology) and Paul Ganster (Director of SDSU’s Field Stations program) review beaver activity and control strategies on the Santa Margarita River

**CAPITAL IMPROVEMENTS**

**Flood Mitigation.** As a result of two devastating floods at 6363 Alvarado court, one in July 2015 and the other in January 2016, facilities staff teamed with university, research foundation and city officials to address the flooding of Alvarado Creek and impacts to buildings and research. Mitigation efforts included city and university-coordinated cleanings of creek channel sections and additional flood walls bordering research foundation buildings.

Flood waters on Alvarado Court during a January rainstorm

**Flood Barrier.** As an additional mitigation measure, staff planned/designed a flood barrier at 6363 Alvarado Court. This project included raising all first floor windows three feet, and integrating a
waterproofing membrane encapsulated by a concrete wall around the building perimeter. Construction is expected to be complete prior to this year’s rainy season.

**FloodBreak.** As protection for subterranean parking at 6386 Alvarado Court, staff installed a 20’ x 4’ hydrostatic dam across the driveway entrance to the parking area. The dam is completely passive, requires no motors or power, and is engineered with buoyancy to lift above the water and erect vertical as water rushes toward it. When un-deployed, the dam lays flat and is hidden.

![New floodbreak at 6386 Alvarado Court](image)

**Emergency Generator.** With a large contribution from the university, staff planned and designed a 200kW emergency backup power generator to maintain power and support critical research at the Alvarado vivarium. Construction is set to begin in fall 2016.

**Xeriscape Expansion.** Water conserving xeriscape was installed around 9245 Sky Park Court. This expansion is part of ongoing efforts to reduce water usage at research foundation-owned properties and will continue as xeriscaping opportunities are identified at additional properties during the 2016-17 fiscal year.

![New xeriscape at Sky Park Court](image)
Regulatory Changes

UNIFORM GUIDANCE UPDATE. In 2013, the federal Office of Management and Budget (OMB) issued new cost principles and audit requirements for federal awards with a goal of streamlining and reducing administrative burden and producing clarity in the regulations. The new “Uniform Guidance” went into effect on December 26, 2014. Staff have been reviewing and streamlining research foundation procedures as needed to align with the new guidance.

RF & SAG-AFTRA. Negotiations between SDSURF and SAG-AFTRA successfully concluded for the initial labor contract for KPBS. This initial contract covers the time period 1/1/15 through 12/31/17. The contract was approved by SDSURF Board of Directors and ratified by KPBS union members on 06/30/15.

AFFORDABLE CARE ACT. Finance, Computing Services, and HR implemented changes to comply with the Affordable Care Act. These included system upgrades, implementation of new tracking reports, creation and distribution of new tax forms to employees, and data shares with the IRS.

BENEFITS ENHANCEMENTS. In order to avoid a 6.7% increase to our Health Net medical renewal, management reviewed several offers and selected Aetna to replace Health Net – resulting in an overall reduction of 7%.

A change was also implemented in dental carriers (again to Aetna) allowing us to maintain the richness of the previous plan and providing more flexibility in enrollment.

Benefits were also expanded to offer employees voluntary, employee-pay-all plans through Aflac (Critical Illness, Hospital, and Accident coverage).

Along with these new products, administrative efficiencies were realized by adopting and implementing HR’s first online benefits enrollment site for handing Open Enrollment changes, new hire benefit enrollments, and mid-year benefit changes. A broad-reaching Open Enrollment campaign was developed with partners Alliant and Aflac; nearly all benefit-eligible employees (~850) attended workshops, webinars, or met with a knowledgeable benefits enroller.

NEW MINIMUM WAGE REGULATIONS. On July 1, 2015, SDSURF complied with the California Healthy Workplaces, Healthy Families Act requiring employers to provide all employees with a minimum amount of paid sick leave. In July, 2016, the City of San Diego followed suit requiring employers provide all employees working within San Diego city limits with sick leave. SDSURF was already in compliance with the requirements when they took effect. Approximately 1,400 employees were impacted.

BACKGROUND CHECK IMPLEMENTATION. In compliance with the 8/3/15 CSU Executive Order to ensure appropriate background checks are conducted on all new hires, SDSURF partnered with Accurate Background to perform employment background checks during the new hire onboarding process. Approximately 200 individuals have been successfully cleared since February 2016.
University Partnerships/Collaborations

**DISCOVERY SLAMS.** We continued to co-host (with Vice President Welter and Dean Maloy) these monthly gatherings to present mini-talks by SDSU researchers.

![Image of Discovery Slam event]

Dean Stanley Maloy introduces Professor Daniel Goble at a Discovery Slam

**SDSU GEORGIA.** Research foundation staff continued to collaborate with SDSU and Georgia partners to administer this international program.

![Image of group of people, including Michele Goetz and Agnes Wong-Nickerson]

Michele Goetz and Agnes Wong-Nickerson join Dean Ken Walsh and colleagues from the Millennium Challenge Corporation and MCA-Georgia during recent negotiations in Georgia
Dean Stanley Maloy tours new laboratories and remodeled classrooms at Leplivane Javakhishvili Tbilisi State University (TSU)

American diplomat Richard Norland visits the SDSU campus. He served as U.S. Ambassador to Georgia from 2012 to 2015
AZURE ACTIVE DIRECTORY (Campus Identity Management System). Research foundation staff members are taking part as pilot users in this campus project which could support a myriad of shared services, including a SharePoint intranet, Office365, and a single user name and password to access many campus systems.

HUMAN SUBJECTS PROTOCOL MANAGEMENT MODULE. Staff collaborated with SDSU research affairs to implement InfoEd’s Human Subjects Protocol Management module. The research foundation hosts the module on our servers. Research Affairs manages the functionality used to support their work with SDSU researchers and students. This shared infrastructure model offers a seamless experience for researchers, and offers efficiencies and cost savings to both units. It also reduces the need to store the same information in separate systems, and decreases duplicative efforts in maintaining IRB compliance records.

ALVARADO CREEK CLEAN-UP. Severe rain during a 48-hour period last January resulted in two 25-year flood events, affecting 6363 and 6361 Alvarado Court, and flooding the entire Alvarado Court cul-de-sac. The Alvarado campus is built in a flood plain, and given that the Creek has a fixed capacity, future rain fall rates similar to those in January may cause the creek to flood. Partnering with the University, members of SDSU’s Soil Ecology and Restoration Group, the city of San Diego and the San Diego River Conservancy, staff worked to swiftly address the risk of flooding which threatens the health, safety, research programs, and property in and around the creek. The habitat restoration being conducted in the upper portion of the creek was able to resume, clearing areas of the creek congested by invasive overgrowth, and better preparing us for future rain/flood events.
DENMARK EXCHANGE
The research foundation partnered with research advancement to host Mr. Rune Nørgaard Jørgensen, Head of Research Support at the University of Southern Denmark for a two-month visit. Expenses were paid by his home institution and Mr. Jorgensen spent this time learning about research administration on our campus.

2014-15 RESEARCH HIGHLIGHTS
The 2014-15 Research Highlights brochure was prepared in collaboration with Vice President Welter. This publication spotlights the important research taking place at SDSU.

III. BY THE NUMBERS (Volume Indicators/Charts and Graphs)
The following indicators compare the last two fiscal years and are intended to provide perspective on business volume.

<table>
<thead>
<tr>
<th>VOLUME INDICATORS</th>
<th>FY 2015</th>
<th>FY 2016</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Business Volume Indicators</strong></td>
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<tr>
<td>Total Annual Revenue</td>
<td>$168,749,899</td>
<td>$180,244,439</td>
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<tr>
<td>Total Grant &amp; Contract Expenditures</td>
<td>$106,339,953</td>
<td>$115,912,239</td>
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<tr>
<td>Number of Proposals Submitted</td>
<td>1,051</td>
<td>1,167</td>
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<tr>
<td>Dollar Volume of Proposals Submitted</td>
<td>$188,888,422</td>
<td>$215,660,158</td>
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<tr>
<td>Number of Awards Received</td>
<td>698</td>
<td>707</td>
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<tr>
<td>Grants/Contracts Award Dollars</td>
<td>$120,593,761</td>
<td>$129,901,774</td>
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<tr>
<td>Number of Active Grant/Contract Funds</td>
<td>870</td>
<td>854</td>
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<tr>
<td>Number of Active Project Directors/Principal Investigators</td>
<td>355</td>
<td>341</td>
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<tr>
<td>Campus and Community Programs Total Revenue</td>
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<td>Number of Active Self-Support Funds</td>
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<td>Number of Invoices Processed</td>
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<td>Number of P-Card Transactions</td>
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<td>Number of Shipping &amp; Receiving Deliveries</td>
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<td>Number of Purchase Orders</td>
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<td>Number of Disclosures</td>
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<td>Number of Copyrights</td>
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<td>Number of Patents</td>
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<td><strong>Employment Indicators</strong></td>
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<tr>
<td>Number of Central Staff Employees (FTE)</td>
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<td>148</td>
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<tr>
<td>Number of Paychecks Issued</td>
<td>48,330</td>
<td>47,101</td>
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<tr>
<td>Number of SDSURF Employees at year end</td>
<td>2,392</td>
<td>2,294</td>
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<tr>
<td>Number of SDSURF Employees Paid in the Calendar Year</td>
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<td>3,607</td>
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<tr>
<td>Number of New Hires</td>
<td>2202</td>
<td>1561</td>
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<td><strong>Real Property Indicators</strong></td>
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<tr>
<td>Properties Owned, Managed and Maintained</td>
<td>33 Properties;</td>
<td>33 Properties;</td>
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<td>Square Footage</td>
<td>686,000</td>
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<tr>
<td>Acreage</td>
<td>667</td>
<td>667</td>
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<tr>
<td>Estimated Value of Owned Properties</td>
<td>$93,123,000</td>
<td>$96,401,000</td>
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### Proposal/Award/Facilities & Administrative (F&A) Cost Comparison
#### FY 2015-16 and FY 2014-15

<table>
<thead>
<tr>
<th></th>
<th>Fiscal Year 2015-16</th>
<th>Fiscal Year 2014-15</th>
<th>DIFFERENCE BETWEEN FISCAL YEARS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Proposals Submitted</td>
<td>1,167</td>
<td>1,051</td>
<td>116</td>
</tr>
<tr>
<td>Total Amt Proposed</td>
<td>$215,660,158</td>
<td>$188,888,422</td>
<td>$26,771,736</td>
</tr>
<tr>
<td>F&amp;A Amt Proposed</td>
<td>$40,376,686</td>
<td>$32,526,522</td>
<td>$7,850,164</td>
</tr>
<tr>
<td>Proposed FA (%)</td>
<td>23.04%</td>
<td>20.80%</td>
<td></td>
</tr>
<tr>
<td>Number Pending</td>
<td>440</td>
<td>409</td>
<td>31</td>
</tr>
<tr>
<td>Total Amt Pending</td>
<td>$83,256,455</td>
<td>$90,931,343</td>
<td>($7,674,888)</td>
</tr>
<tr>
<td>Indirect Amt</td>
<td>$18,522,122</td>
<td>$17,341,540</td>
<td>$1,180,582</td>
</tr>
<tr>
<td>FA (%)</td>
<td>28.61%</td>
<td>23.57%</td>
<td></td>
</tr>
<tr>
<td>Number of Awards</td>
<td>707</td>
<td>698</td>
<td>9</td>
</tr>
<tr>
<td>Total Amt Awards</td>
<td>$129,901,774</td>
<td>$120,593,761</td>
<td>$9,308,013</td>
</tr>
<tr>
<td>F&amp;A Amt Awarded</td>
<td>$20,551,772</td>
<td>$18,389,209</td>
<td>$2,162,563</td>
</tr>
<tr>
<td>FA (%)</td>
<td>18.79%</td>
<td>17.99%</td>
<td></td>
</tr>
</tbody>
</table>

Note: These figures include supplements
Number of Proposals and Awards
FY 1999-00 - FY 2015-16

Proposals
Awards

Note: Supplements are included as of 2014-15
Dollar Amount of Awards

Chart C

Fiscal Year Ending

($ in Millions)
# Awards Received on Behalf of San Diego State University

**FY 2015-16**

<table>
<thead>
<tr>
<th>College</th>
<th>Total Number of Awards</th>
<th>Number of PIs</th>
<th>Percentage of Awards</th>
<th>Total Number of Proposals</th>
<th>Number of Proposers</th>
<th>Percentage of Proposals</th>
<th>Total Dollar Amount of Awards</th>
<th>Percentage of Awards Received</th>
<th>F&amp;A Dollars Awarded</th>
<th>Number of T/TT Faculty</th>
<th>Award Dollars per T/TT</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Arts and Letters</strong></td>
<td>53</td>
<td>21</td>
<td>7.5%</td>
<td>80</td>
<td>39</td>
<td>7.8%</td>
<td>5,069,498</td>
<td>3.9%</td>
<td>1,192,329</td>
<td>171</td>
<td>29,646</td>
</tr>
<tr>
<td><strong>Business Administration</strong></td>
<td>9</td>
<td>5</td>
<td>1.3%</td>
<td>12</td>
<td>8</td>
<td>1.2%</td>
<td>1,023,954</td>
<td>0.8%</td>
<td>177,516</td>
<td>61</td>
<td>16,786</td>
</tr>
<tr>
<td><strong>Education</strong></td>
<td>100</td>
<td>31</td>
<td>14.1%</td>
<td>130</td>
<td>43</td>
<td>12.7%</td>
<td>21,089,980</td>
<td>16.2%</td>
<td>1,601,292</td>
<td>64</td>
<td>329,531</td>
</tr>
<tr>
<td><strong>Engineering</strong></td>
<td>69</td>
<td>28</td>
<td>9.8%</td>
<td>117</td>
<td>43</td>
<td>11.4%</td>
<td>8,781,540</td>
<td>6.8%</td>
<td>1,751,864</td>
<td>55</td>
<td>159,664</td>
</tr>
<tr>
<td><strong>Health &amp; Human Services</strong></td>
<td>113</td>
<td>46</td>
<td>16.0%</td>
<td>170</td>
<td>74</td>
<td>16.6%</td>
<td>42,329,027</td>
<td>32.6%</td>
<td>6,760,545</td>
<td>76</td>
<td>556,961</td>
</tr>
<tr>
<td><strong>Professional Studies &amp; Fine Arts</strong></td>
<td>6</td>
<td>5</td>
<td>0.8%</td>
<td>17</td>
<td>20</td>
<td>1.7%</td>
<td>187,950</td>
<td>0.1%</td>
<td>22,524</td>
<td>90</td>
<td>2,088</td>
</tr>
<tr>
<td><strong>Sciences</strong></td>
<td>214</td>
<td>107</td>
<td>30.3%</td>
<td>402</td>
<td>157</td>
<td>39.2%</td>
<td>32,333,181</td>
<td>24.9%</td>
<td>7,399,281</td>
<td>152</td>
<td>212,718</td>
</tr>
<tr>
<td><strong>Imperial Valley Campus</strong></td>
<td>10</td>
<td>3</td>
<td>1.4%</td>
<td>12</td>
<td>3</td>
<td>1.2%</td>
<td>658,103</td>
<td>0.5%</td>
<td>54,576</td>
<td>14</td>
<td>47,007</td>
</tr>
<tr>
<td><strong>Georgia Campus</strong></td>
<td>2</td>
<td>1</td>
<td>0.3%</td>
<td>1</td>
<td>1</td>
<td>0.1%</td>
<td>5,790,677</td>
<td>4.5%</td>
<td>999,083</td>
<td>0</td>
<td></td>
</tr>
<tr>
<td><strong>Student Affairs</strong></td>
<td>3</td>
<td>3</td>
<td>0.4%</td>
<td>3</td>
<td>3</td>
<td>0.3%</td>
<td>302,095</td>
<td>0.2%</td>
<td>23,539</td>
<td>0</td>
<td></td>
</tr>
<tr>
<td><strong>Extended Studies</strong></td>
<td>55</td>
<td>2</td>
<td>7.8%</td>
<td>56</td>
<td>2</td>
<td>5.5%</td>
<td>4,679,437</td>
<td>3.6%</td>
<td>258,206</td>
<td>0</td>
<td></td>
</tr>
<tr>
<td><strong>KPBS</strong></td>
<td>15</td>
<td>2</td>
<td>2.1%</td>
<td>17</td>
<td>2</td>
<td>1.7%</td>
<td>4,235,129</td>
<td>3.3%</td>
<td>13,957</td>
<td>0</td>
<td></td>
</tr>
<tr>
<td><strong>Institutional</strong></td>
<td>58</td>
<td>6</td>
<td>8.2%</td>
<td>8</td>
<td>9</td>
<td>0.8%</td>
<td>3,421,203</td>
<td>2.6%</td>
<td>297,060</td>
<td>0</td>
<td></td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td>707</td>
<td>260</td>
<td>100%</td>
<td>1,025</td>
<td>404</td>
<td>100%</td>
<td>129,901,774</td>
<td>100%</td>
<td>20,551,772</td>
<td>683</td>
<td>190,193</td>
</tr>
</tbody>
</table>

**Institutional** includes: Business & Financial Affairs, Graduate & Research Affairs, Academic Affairs

* Proposal count does not include supplements

Note: SDSU-Georgia faculty are included in their home colleges
Sponsored Program Expenditures by Sponsor Type/Federal Pass-through
FY 2015-16
Total Expenditures = $113,912,239
Total Federal Pass-through = $79,762,078 (70%)

<table>
<thead>
<tr>
<th>Sponsor Type/Federal Pass-through</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Federal</td>
<td>$48,576,399</td>
</tr>
<tr>
<td>Federal Pass-Thru State and Local</td>
<td>$19,550,483</td>
</tr>
<tr>
<td>Federal Pass-Thru Foundations and Non-Profits</td>
<td>$10,616,186</td>
</tr>
<tr>
<td>Federal Pass-Thru For-Profit and International</td>
<td>$1,019,010</td>
</tr>
<tr>
<td>State and Local</td>
<td>$10,692,953</td>
</tr>
<tr>
<td>Foundations and Non-Profits</td>
<td>$8,823,989</td>
</tr>
<tr>
<td>For-Profit and International</td>
<td>$14,633,219</td>
</tr>
<tr>
<td>Total Federal and Federal Pass-Through</td>
<td>$79,762,078</td>
</tr>
</tbody>
</table>

Grand Total: $113,912,239
Sponsored Program Expenditures by Federal Agency FY 2015-16
Total Expenditures = $79,762,078

- Health and Human Services: $39,603,115 (50%)
- National Science Foundation: $8,007,532 (11%)
- Department of Education: $10,400,980 (13%)
- Department of Defense: $12,663,593 (10%)
- All Other: $9,086,858 (16%)
**Sponsored Program Expenditures - Detailed Comparison**

<table>
<thead>
<tr>
<th></th>
<th>Actual Fiscal Year 2015-16</th>
<th>Actual Fiscal Year 2014-15</th>
<th>$ Increase</th>
<th>% Increase</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>TOTAL</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Salaries</td>
<td>39,848,939</td>
<td>39,194,467</td>
<td>654,472</td>
<td>1.67%</td>
</tr>
<tr>
<td>Benefits</td>
<td>12,004,448</td>
<td>11,757,300</td>
<td>247,148</td>
<td>2.10%</td>
</tr>
<tr>
<td>Other Direct</td>
<td>17,286,439</td>
<td>16,745,589</td>
<td>540,850</td>
<td>3.23%</td>
</tr>
<tr>
<td>Total MTDC</td>
<td>69,139,826</td>
<td>67,697,355</td>
<td>1,442,471</td>
<td>2.13%</td>
</tr>
<tr>
<td>Equipment</td>
<td>2,396,328</td>
<td>643,733</td>
<td>1,752,595</td>
<td>272.25%</td>
</tr>
<tr>
<td>Student Support</td>
<td>7,074,360</td>
<td>7,714,555</td>
<td>-640,195</td>
<td>-8.30%</td>
</tr>
<tr>
<td>Subagreements</td>
<td>9,848,116</td>
<td>10,635,458</td>
<td>-787,342</td>
<td>-7.40%</td>
</tr>
<tr>
<td>Other *</td>
<td>6,245,419</td>
<td>2,447,966</td>
<td>3,797,453</td>
<td>155.13%</td>
</tr>
<tr>
<td>Total Other Costs</td>
<td>25,564,223</td>
<td>21,441,712</td>
<td>4,122,511</td>
<td>19.23%</td>
</tr>
<tr>
<td>Total Direct</td>
<td>94,704,049</td>
<td>89,139,067</td>
<td>5,564,982</td>
<td>6.24%</td>
</tr>
<tr>
<td>F&amp;A Costs</td>
<td>19,208,190</td>
<td>17,200,886</td>
<td>2,007,304</td>
<td>11.67%</td>
</tr>
<tr>
<td>Total Costs</td>
<td>113,912,239</td>
<td>106,339,953</td>
<td>7,572,286</td>
<td>7.12%</td>
</tr>
<tr>
<td>F&amp;A Costs/MTDC</td>
<td></td>
<td></td>
<td>27.78%</td>
<td>25.41%</td>
</tr>
</tbody>
</table>

* Space rental costs, transfers, and other miscellaneous accounts
# Chart H

## Sponsored Program Expenditures and F&A Effective Cost Recovery Rates

**FY 2002-03 through 2015-16**

<table>
<thead>
<tr>
<th>Fiscal Year</th>
<th>Total Costs</th>
<th>MTDC</th>
<th>Other</th>
<th>F&amp;A Costs</th>
<th>F&amp;A Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>2002-03</td>
<td>125,105,523</td>
<td>75,794,336</td>
<td>33,668,696</td>
<td>15,642,491</td>
</tr>
<tr>
<td></td>
<td>2003-04</td>
<td>106,726,820</td>
<td>69,010,179</td>
<td>23,721,406</td>
<td>13,995,235</td>
</tr>
<tr>
<td></td>
<td>2004-05</td>
<td>115,229,540</td>
<td>70,188,758</td>
<td>30,547,265</td>
<td>14,493,517</td>
</tr>
<tr>
<td></td>
<td>2005-06</td>
<td>109,470,605</td>
<td>70,319,851</td>
<td>24,163,947</td>
<td>14,986,807</td>
</tr>
<tr>
<td></td>
<td>2006-07</td>
<td>105,405,951</td>
<td>69,744,247</td>
<td>20,708,680</td>
<td>14,953,024</td>
</tr>
<tr>
<td></td>
<td>2007-08</td>
<td>109,539,095</td>
<td>71,861,260</td>
<td>21,468,804</td>
<td>16,209,031</td>
</tr>
<tr>
<td></td>
<td>2008-09</td>
<td>119,238,251</td>
<td>73,734,590</td>
<td>26,983,145</td>
<td>18,520,516</td>
</tr>
<tr>
<td></td>
<td>2009-10</td>
<td>126,100,292</td>
<td>78,003,589</td>
<td>27,361,098</td>
<td>20,735,605</td>
</tr>
<tr>
<td></td>
<td>2010-11</td>
<td>135,239,456</td>
<td>82,360,529</td>
<td>30,531,222</td>
<td>22,347,705</td>
</tr>
<tr>
<td></td>
<td>2011-12</td>
<td>122,853,501</td>
<td>76,722,184</td>
<td>26,173,745</td>
<td>19,957,572</td>
</tr>
<tr>
<td></td>
<td>2012-13</td>
<td>108,364,049</td>
<td>68,307,579</td>
<td>22,092,681</td>
<td>17,963,789</td>
</tr>
<tr>
<td></td>
<td>2013-14</td>
<td>106,609,049</td>
<td>65,659,861</td>
<td>23,820,251</td>
<td>17,128,937</td>
</tr>
<tr>
<td></td>
<td>2014-15</td>
<td>106,339,954</td>
<td>67,697,355</td>
<td>21,441,713</td>
<td>17,200,886</td>
</tr>
<tr>
<td></td>
<td>2015-16</td>
<td>113,912,239</td>
<td>69,139,826</td>
<td>25,564,223</td>
<td>19,208,190</td>
</tr>
</tbody>
</table>
Chart I

Negotiated Rate Effective Rate FY 2002-03 - FY 2015-16

Rate

55.00%
50.00%
45.00%
40.00%
35.00%
30.00%
25.00%
20.00%
15.00%


Negotiated Rate
Effective Rate
Chart J

F&A Costs Recovered
FY 2002-03 through 2015-16

F&A Costs

$0
$5,000,000
$10,000,000
$15,000,000
$20,000,000
$25,000,000


F&A Costs
Total Sponsored Program Expenditures by College
FY 2013-14 = $106,609,049; FY 2014-15 = $106,339,954; FY 2015-16 = $113,912,239

- ARTS AND LETTERS (A&L)
  - FY13-14: $5.14
  - FY14-15: $5.92
  - FY15-16: $6.13

- BUSINESS ADMINISTRATION (BUSAD)
  - FY13-14: $3.63
  - FY14-15: $1.52
  - FY15-16: $1.10

- ENGINEERING (ENGIN)
  - FY13-14: $4.06
  - FY14-15: $4.59
  - FY15-16: $5.35

- IMPERIAL VALLEY (IVC)
  - FY13-14: $1.42
  - FY14-15: $1.14
  - FY15-16: $0.77

- EXTENDED STUDIES (CES)
  - FY13-14: $0.58
  - FY14-15: $0.00
  - FY15-16: $0.09

- PROFESSIONAL STUDIES AND FINE ARTS (PSFA)
  - FY13-14: $1.26
  - FY14-15: $1.16
  - FY15-16: $0.52

- MODIFIED TOTAL DIRECT COSTS
- OTHER
- FACILITIES AND ADMINISTRATIVE COSTS

A&L = Arts and Letters  BUSAD = Business Administration  CES = Extended Studies  IVC = Imperial Valley Campus  SCI = Sciences  ALL OTHER = Academic Affairs, Aztec Shops, Foundation Projects, Graduate Research Affairs, KPBS, Office of President, Student Affairs, and University Advancement
EDUC = Education  ENGIN = Engineering  HHS = Health and Human Services  PSFA - Professional Studies and Fine Arts
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 educational, training and networking opportunities that enhance their ability to serve SDSU researchers.

Sandra Nordahl, director of sponsored research compliance and contracting, is a member of the Society of Research Administrators (SRA) International and recipient of their Hartford-Nicholsen Service award. She was also an invited speaker last year at the Finnish Association of Research Managers & Administrators. Jennie Amison served as co-chair of SRA’s Basics of Research Administration conference. Michele Goetz serves as the CSU system representative on the Council on Governmental Relations (COGR) and on the AOA Executive Committee.

Research foundation staff serve on these state, national and international organizations: Auxiliary Organizations Association (AOA); SRA; COGR; NCURA (National Council of University Research Administrators); NACUBO (National Association of College and University Business Officers); NORDP (National Organization of Research Development Professionals); InfoEd Community Advisory Group; International Facility Management Association; Building Owners and Managers Association; Unified Port of San Diego Environmental Committee; International Foundation for Employee Benefit Plans and the Society for Human Resource Management.

Last year, members of the research advancement and technology transfer team authored a chapter in the AASCU publication, “Operationalizing Stewards of Place: Implementing Regional Engagement and Economic Development Strategies.”*

Our staff continue to work closely with university colleagues on joint projects and programs and serve on university committees and teams. These include the University Research Council, SDSU Communicators, and the Campus Development, Conflict of Interest, University Copyrights & Patents, Institutional Animal Care and Use, Smoking Policy Implementation, Campus Staff Appreciation, Institutional Biosafety and Zuma committees.

SDSU Research Foundation and Graduate and Research Affairs share a booth at Explore SDSU 2016 (pictured are Vice President Steve Welter, Jennie Amison and Norma Clark)

The PI Lecture Series continued in FY 2015-16. Nine principal investigators presented lectures about their work to research foundation staff. This remains a positive mechanism for educating staff about the PIs we support and building strong partnerships.

Top row: Dr. Robin Weersing (psychology), Grant specialist Erika Gonzalez, Dr. Bruce Appleyard (public affairs) and development specialist Brett Kim
A captive audience

Row 2: Development specialist Alma Flores with Dr. Marie Roch (computer science)
Dr. Fletcher Miller (center) with mechanical engineering colleagues and grant specialist Steve Vasquez (far right)
Mr. Tom Karlo (KPBS)

Row 3: Dr. Leland Beck (computer science chair)
Development specialist Jennifer Lim, Dr. Ignatius Nip (speech, language and hearing sciences), and grant specialist Lisa Anderson
Grant specialist Adriana Estudillo with Mr. Tom Zink (biology and engineering).

Row 4: Ms. Michele Goetz makes an introduction
Dr. Erin Riley (anthropology) with SRA coordinator Richard Brandt
Dr. Trent Biggs (geography)
SDSURF Staff Awards/All Hands
November 3, 2015

35 Years
Jennie Amison

30 Years
Richard Cobble

25 years
Carolyn Martinson and Lillian Parra

20 years
Maggie Lopez and Joanne Cobble

15 Years
Leon Kearse, Oscar Valladares, Janet Harry, Denise Taylor and Steve Vasquez

10 years
Cheryl Whittemore, Brenda Rangel, Pascheline Peter-Marshall, Deborah Collet and Sadie Osborne

5 years
Front row: Jeanine Zuber, Victoria Kuebler, Ashton Ellis, Karyna Castellanos, Marlo Martinez and Dorothy Williamson
Back row: Lisa Anderson, Brahman Gnad, Steve Torok, Constance Rhamy and Karmin Real
Staff Events

KPBS Tour

Kevin Schrader, KPBS Senior Engineering Manager introduces new Evening Edition van Agnes Wong Nickerson, Robert Zeller, Kim Barratt, Michele Goetz, Tom Karlo (General Manager) and Mark Sauer (Senior News Editor)

SDSU Field Day

SDSU Children’s Center staff and kids explore campus and visit SDSURF

Future Board Members
Bonnie Brown (SRA) and Connie Rhamy (HR) attend the mural unveiling of the DUI project and art department collaboration.

IBACH staff Lucy Horton, Jessica Haughton, Mariaelena Concha with SRA Grant Specialist Brenda Rangel.

Allison Bassett and Karen Emmorey at the Tenth Anniversary Celebration of SDSU’s Laboratory for Language and Cognitive Neuroscience.

Professor Steve Barlow gives SRA staff Carolyn Martinson, Steve Vasquez, Brahman Gnad, Richard Brandt and Erika Gonzalez a tour of the Electron Microscope Facility.

Stan Greene, Instructional Technology Services (right) provides equipment training to Brittny Spencer and Annie Holder.

Vince Petronzio (KPBS) and Mel Hovell (GSPH) attend a PI budget Meeting.

Tim Hushen (research advancement), Erin Riley (anthropology) and Pat Gordon (research affairs) chat after Dr. Riley’s PI Lecture.

Deb Collett (facilities), Bonnie Brown and Jenny Sneed (SRA) attend the Exceptional Family Resource Center (EFRC) Open House.
In Memoriam

Bob E. Wolfson

September 23, 1947 – December 30, 2015