



RESEARCH FOUNDATION 2017 OPERATING PLAN

June 8, 2016

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Research Foundation 2017 Operating Plan

Background

The 1977 Agreement between The Research Foundation (RF) and the State University of New York (SUNY) calls for the submission of an annual financial plan for approval by the RF Board of Directors. The RF Fiscal Year (FY) 2017 Operating Plan (Operating Plan) presents the FY 2017 budget and the targeted strategic initiatives for the year.

RF 2017 Operating Plan Highlights:

- A six module implementation of **Huron Click** is planned and underway at eight campuses to support efficient and compliant pre-award grant proposal and submission processes. The system will also be “rollout ready” for additional campuses as they are scheduled to come on board with the new system.
- Training and support for the **RF Report Center** to improve campus staff ability to access and report on the data relevant to their awards and research activity.
- Improvements to the **RF public website** to help campus users find the information they need to do their jobs.
- A continued focus on learning and development through a **Research Symposium** and another class of the **Leadership Academy**.
- Support for the **comprehensive and technology colleges** in their efforts to grow research in that sector.

See page 12 for a portfolio view of initiatives by strategic goal and pages 13 - 22 for detailed descriptions.

What's Impacting Research in 2016-2017?

A scan of the environment in which SUNY researchers conduct their research reveals a changing funding picture. Campus strategies cited for the coming years to stimulate growth include increasing industry-funded research, increasing large federal grants, and hiring and incentivizing new faculty.

The federal budget includes an \$825 million increase for the National Institutes of Health funding for cancer research, the BRAIN initiative, and precision medicine. Programs like the SUNY Networks of Excellence seek to leverage SUNY research excellence – award-winning faculty and their research – to support collaboration and increase campuses’ ability to win large center grants from federal agencies.

In the innovation/commercialization space, many of SUNY’s doctoral campuses have been leaders in establishing economic ties with their respective communities. This continues to be a goal moving forward with campus priorities focused on the START-UP NY program and increasing industry funding through business and economic development partnerships. The RF has seen a growth in start-up companies formed from SUNY technologies and this trend is expected to continue in the years ahead. RF programs like the Technology Accelerator Fund and the Technology Transfer Toolbox are designed to help faculty and technology transfer staff move SUNY innovation to the marketplace.

The RF’s enterprise risk assessment for 2017 cites several key risks that are addressed in this year’s Operating Plan, including: Clinical Research Management, Funding, Succession Planning/Transitional Leadership, Staffing Services, Fringe Benefit Rates, and Internal Controls/Policy Administration.

Developing the Operating Plan

Each year the RF partners with campus and SUNY customers to identify the most important initiatives that will benefit campuses and support RF strategic goals.

This year campus input sessions were held in March at Binghamton University. The goal of the meetings was to bring campus stakeholders from a variety of roles together to discuss priorities. Thirty-two participants from 10 doctoral campuses attended the first session and 18 participants from 10 comprehensive and technical colleges attended the second session. In addition, five surveys were distributed to RF campus stakeholder groups to gather data on priorities. And finally, the priorities were discussed with stakeholder groups at their meetings in April and May.

From the initial list of priorities, the prioritization process yielded the following results:

- Nearly \$1 million dollars of SUNY System Administration support for system-wide research programs (see page 22 for details).
- The shifting of two events – SUNY Academic Industry Roundtable (AIR) and the Innovation Showcase – to fiscal year 2018.
- A scaled down SUNY Networks of Excellence program, focusing only on workshops and collaboration (instead of seed funding and center grant team support).
- A decision to not pursue projects on research instrumentation, client relationship management (CRM) software, and data analytics software.
- A campus-funded model for the Clinical Trials Alliance and the SUNY TURBO program, aligned with the proposed new campus assessment model.

Funding the FY 2017 Operating Plan

The following table presents the campus research and agency revenue for each of the periods presented. Projected amounts are primarily based on campus estimates.

	2014 Actual	2015 Actual	2016 Plan	2016 Estimate	2017 Plan
<i>Campus Activity</i>	(in millions)				
Grants and Contracts Direct Costs	877.0	776.1	716.2	782.4	761.6
Grants and Contracts Indirect Costs	126.8	123.2	125.9	129.4	131.7
Investment Income (gross)	17.8	8.5	10.5	(3.5)	10.6
Other Campus Activity (net)	37.2	40.6	32.3	28.5	28.9
<i>Total Campus Activity</i>	1058.8	948.4	884.9	936.8	932.8
<i>Agency Activity</i>					
Agency Services Direct Costs	178.1	190.2	190.5	190.9	196.2
Agency Services Indirect Costs	6.9	7.3	7.8	7.4	7.5
<i>Total Agency Activity</i>	185.0	197.5	198.3	198.3	203.7
Total All Activity	1243.8	1145.9	1083.2	1135.1	1136.5

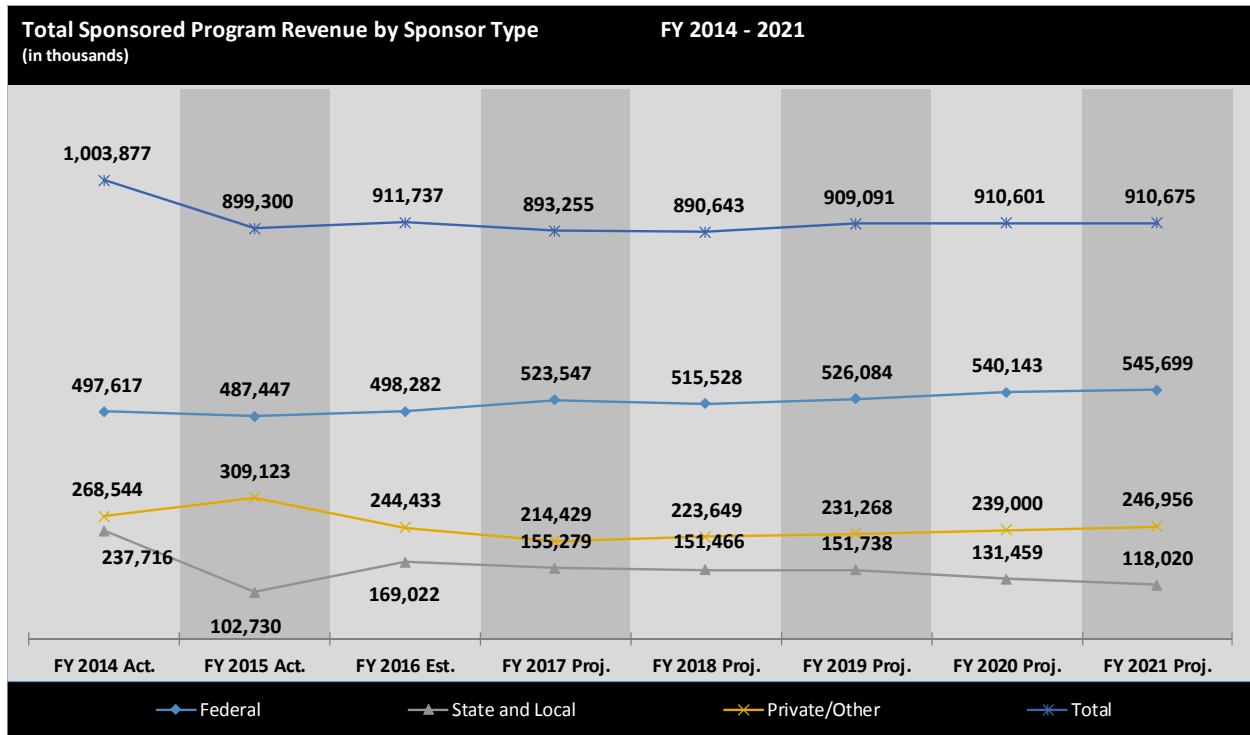
The following table presents the corporate chargebacks to the campuses to fund the Operating Plan under the 2016 Assessment Model.

	2014 Actual	2015 Actual	2016 Plan	2016 Estimate	2017 Plan
<i>Corporate Chargebacks</i>	(in millions)				
Central Office Assessment	25.3	24.5	23.9	24.2	24.0
SUNY Strategic Plan Assessment	2.7	2.6	2.5	2.5	2.5
Agency Services (cost allocation)	2.8	2.9	3.2	3.2	3.2
Campus Initiatives (funded by investment income)	4.0	4.0	2.9	1.3	1.3
Investment Advisory & Treasury Operations (funded by investment income)	2.2	1.9	1.6	1.6	1.7
Corporate Reserve (funded by investment income)	2.8	2.1	2.2	0.0	0.0
<i>Total Corporate Chargebacks</i>	39.8	38.0	36.3	32.8	32.7

Campus Activity

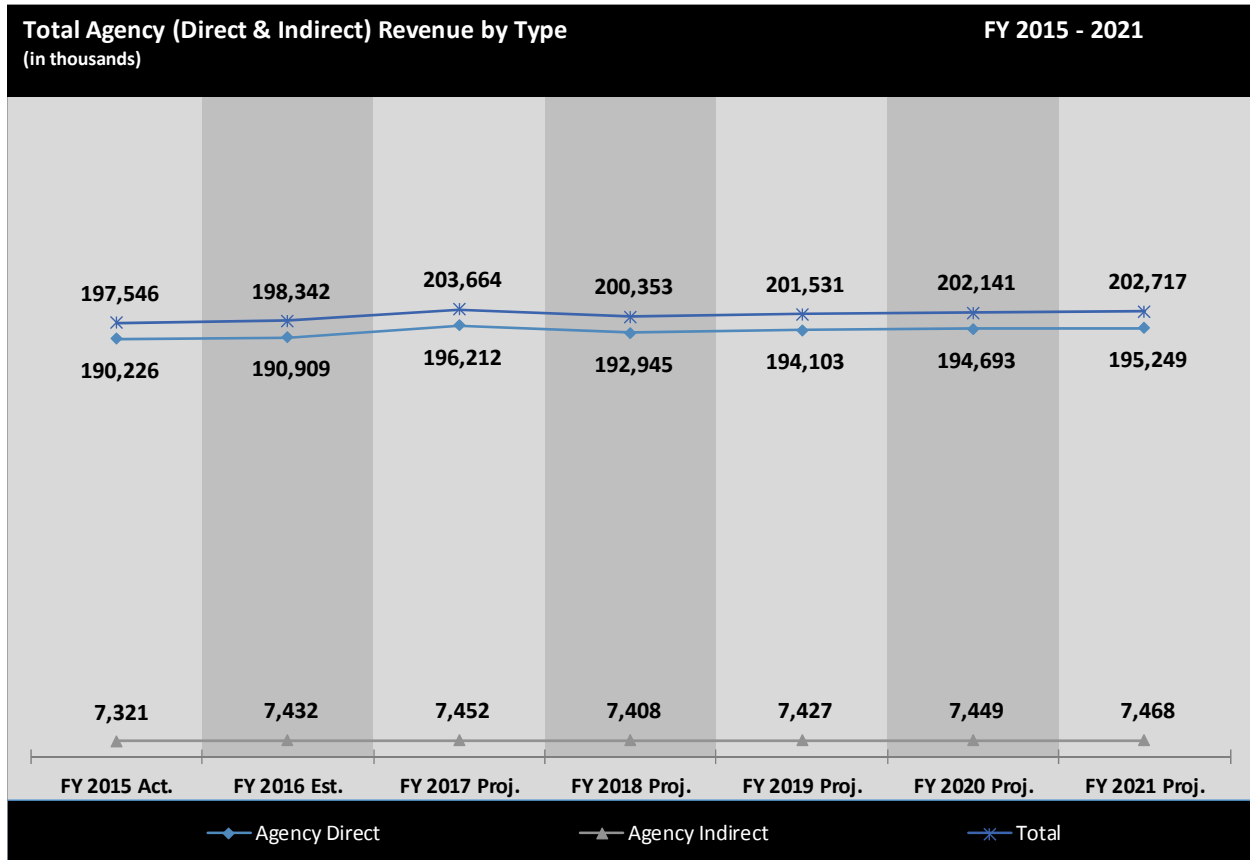
One of the essential services the RF provides to the SUNY research community is Sponsored Programs Administration. Campuses project five years of grants and contracts direct and indirect activity by sponsor type (see Appendix A on page 23 for campus projections). Direct activity has limitations on its use by the grantor or other external third parties.

Direct and Indirect Activity by Sponsor Type



Agency Activity

With systems already in place to support sponsored programs, the RF is able to generate funds by providing “agency services” to campus related organizations. Examples of campus related organizations are Stony Brook’s Clinical Practice Management Plan (CPMP) and the Binghamton University Foundation. Campuses project five years of agency services direct and indirect activity by source of funds.



Indirect Activity and Investment Income

Indirect activity and investment income earned are subject to discretionary control by the RF’s Board of Directors and are used to fund the Operating Plan or are allocated to each campus predominantly based upon the revenue generated by each.

Other campus activity includes primarily revenues for royalties from licensees, net of royalties paid to inventors (40%), fees paid by third parties for service centers, and equity distributions.

Corporate Reserve

The following table shows the activity related to the corporate reserve:

Corporate Reserve (in thousands)	2016 Estimated	2017 Projected
Opening balance	\$9,454	\$9,454
Allocable from undistributed investment income ending balance	290	846
Ending balance	\$9,744	\$10,300

Investment Income and Undistributed Investment Income

The following tables show the projected activity related to investment income and the undistributed investment income balance.

Investment Income (in thousands)	2016 Estimated	2017 Projected
Investment income	(\$3,500)	\$10,640
Treasury/investment expenses	(1,617)	(690)
Net investment income	(5,117)	9,950
Funding to corporate reserve	0	0
Funding to campus initiatives	(1,274)	0
To undistributed investment income	(\$6,391)	\$9,950

Undistributed Investment Income (in thousands)	2016 Estimated	2017 Projected
Opening balance	\$(2,102)	\$(1,449)
Interest charge to campuses	7,044	5,082
Funding from investment income	(6,391)	9,950
Ending balance	\$(1,449)	\$13,583

Fringe Pool

The RF recovers the funds needed for the cost of employee fringe benefit programs, which include health insurance, retirement, Social Security, and other costs, by applying fringe benefit rates to accounts that fund employee salaries and wages. Included within the other costs charged to the fringe benefit pool are \$1.4 million incurred by the RF central office to administer and provide additional fringe benefits. These rates are negotiated each year with the U.S. Department of Health and Human Services.

Fiscal Year	Regular Employees	Graduate Students	Undergraduate Students	Summer Employees
2016	44.00	16.00	5.00	15.00
2017	45.50	14.00	5.00	14.00
2018*	46.50	15.00	5.00	14.00
2019*	47.50	16.00	5.00	15.00
2020*	49.00	17.00	5.00	15.00

* The 2018 rate is a provisional rate and the 2019 and 2020 rates are projections for budgeting purposes only.

Salary Plan

Based on current and projected economic conditions and sponsored research funding levels, campuses may authorize increases up to the following for RF employees:

Employee Type	Cost of Living	Discretionary Pool
Administrative	2%	2%
Sponsored Program	2%	Based on funds availability within each sponsored program

Campus Initiatives

SUNY Strategy for Research and Innovation

SUNY supports research at the campuses through the RF and its annual operating plan, as well as through internal programs focused on growing and supporting the research mission of individual campuses.

The table on page 11 lays out the strategies that SUNY employs, the programs that RF supports, and the areas where SUNY System Administration and the RF work together to achieve results.

The Portfolio View of the Operating Plan on page 12 shows the 2017 RF initiatives supporting this year's plan.

Supporting Faculty across the Sponsored Programs Lifecycle

The initiatives identified in the Operating Plan for the coming year are balanced across the sponsored program lifecycle from pre-award through commercialization.

This year's Operating Plan responds to feedback received from campus stakeholders to focus effort on the core business and ongoing and recently implemented technology solutions and systems.

RF 2017 Operating Plan Timeline

Work is planned out for the year in consideration of RF, SUNY, and campus resources and the operational cycles in all three environments that may impact the successful implementation of projects, system implementations, and programs.

Research Foundation Mission

The Research Foundation works with the academic and business leadership of campuses to support research and discovery at SUNY through efficient and skillful administration of sponsored projects and adept transfer and sharing of intellectual property for public benefit and economic growth.

SUNY-led; RF-supported	Research Foundation-led; SUNY-supported	Jointly-led
Recruit/Retain Top Research Faculty	Proposal Development	Technology Transfer, Businesses, Jobs, Economic Impact
Master Innovators Offer up to \$1 million per start-up package to recruit world-class research faculty to SUNY.	Federal Relations Garner intelligence and bring faculty to Washington.	Industry Partnerships Attract business to NYS (START-UP NY). Develop industry relationships, remove barriers, connect industry with SUNY assets, and advance industry licensing of SUNY technologies.
NY SUNY 2020 Provide capital funding for selected campus projects designed to make SUNY a leading catalyst for job growth throughout the state and to strengthen academic programs and faculty recruitment and retention.	Proposal Development and Submission Provide services and electronic tools for proposal development, routing, and compliance.	SUNY Intellectual Property (IP) Leverage the infrastructure and knowledge base across the enterprise to protect faculty IP and move it to the marketplace. Provide internal opportunity programs to foster innovation.
Research Instrumentation Upgrade and support research instrumentation to ensure the productivity of researchers and advance the science of the future (proposed by VPRs).	System-wide Research Institutes Leverage system-wide research institutes like the Rockefeller Institute of Government and the NY Sea Grant.	Start-up Companies Help launch start-up companies generated from SUNY innovation and support their growth through incubator space, insurance, and venture investment.
Recognition Establish a culture of awards and recognition to celebrate the accomplishments of SUNY faculty.	Interdisciplinary Collaborations (NoEs) Assemble scientists and scholars from SUNY campuses to collaborate on a topic-specific, joint research program and enhance related applied learning of students.	Small Business Development Provide expert management and technical assistance through SBDC to start-up and existing businesses across the state to solve business problems and foster entrepreneurship.
Communication Widely broadcast and disseminate the outcomes of SUNY research and its impact on NYS and the world.	IT Collaboration Platforms Find/connect faculty across and outside the system. Share documents securely, collaborate via video and text chat, and track shared milestones.	Integrated Clinical Trial Network Design and develop a strong foundation for clinical trials to improve quality and compliance, reduce risk, and build SUNY-wide clinical trial information technology.
Sponsored Programs Services	International Partnerships	Students
Reduce Administrative Burden for Faculty <ul style="list-style-type: none"> • Improved electronic tools • Training/ compliance focus in high risk areas • Operational efficiency and cost effectiveness • Talent management and succession planning 	Partnerships in Strategic Areas Sustain a limited set of authentic, mutually beneficial partnerships in strategic areas of the world — countries and institutions that are focused on R&D and are solving similar problems/grand challenges.	Graduates and Undergraduates Expand SUNY students' participation in research to support applied learning.
		New York Academy of Sciences Partner with New York Academy of Sciences to support student engagement in New York State's STEM research community.

Portfolio View of the RF 2017 Operating Plan

Sponsored Programs Services:

\$360,850

- Pre-award and Compliance System (PACS): \$0
- E-time Reporting: \$0
- Report Center: **\$83,000**
- SciQuest Western NY: **\$63,750**
- Campus Risk Profile/Investment Income Distribution Review: \$0
- HR Regulatory Requirements: **\$11,800**
- Fair Labor Standards Act (FLSA): **\$34,800**
- Classification of Postdoctoral Trainees: **\$50,000 (charged to fringe pool)**
- Manager Self Service Support for Current Campuses: **\$64,000**
- Effort Reporting: **\$34,250**
- Fringe Benefit Implementation: **\$120,270 (charged to fringe pool)**
- Research Symposium: **\$50,000**
- Leadership Academy: **\$19,250**
- Succession Planning: \$0

Proposal Development/Students

\$210,000

- Networks of Excellence (NoE) - Workshops/Collaboration: **\$125,000**
- Clinical Trials Alliance: **\$20,000**
- Graduate Student NIH Proposal Incentive: **\$20,000**
- Comprehensive and Technology College Research Growth: **\$25,000**
- Impact Portion of SUNY Agenda: \$0
- New York Academy of Sciences (NYAS) Memberships and Gala: **\$20,000**
- SUNY Research Fellows: **\$75,000 (SUNY Supported)**
- SUNY Research Council: **\$75,000 (SUNY Supported)**
- Federal Relations: **\$594,000 (SUNY Supported)**

Technology Transfer, Businesses, Jobs, Economic Impact:

\$365,400

- Technology Transfer Toolbox: **\$59,000**
- Technology Accelerator Fund (TAF): **\$250,000**
- SUNY Patent Policy Implementation: **\$54,400**
- SUNY Patents and Inventions Policy Board: **\$2,000**
- START-UP NY: \$0

Research Infrastructure (\$381,080)

- RF Public Website Improvements and myRF (SharePoint Build and Rollout): **\$0**
- Measure Project Success/Return on Investment: **\$0**
- Agency Staffing Services: **\$35,280**
- Key Performance Indicators (KPIs) and Data Briefs for SUNY Board of Trustees: **\$46,800**
- Internal Investigation Training: **\$29,000**
- Foundation Initiatives: **\$270,000**

Campus Initiatives

Total Investment \$1,317,330

Sponsored Programs Services \$360,850

Initiative/Program	Description	Investment
Pre-Award and Compliance System (PACS)	<p>A new enterprise-wide Pre-Award and Compliance System (PACS) is currently being designed for the 31 state-operated campuses and is planned to be implemented in 2016-2017 at the University at Buffalo (lead campus) and seven early adopter campuses. The system will then also be "rollout ready" for onboarding and use by the remaining campuses.</p> <p>PACS will enable faculty and administrators to realize:</p> <ul style="list-style-type: none"> • Easier proposal development and faster proposal routing. • Improved and streamlined compliance. • Reporting on proposal data – submittals and wins. 	<p>\$0 new dollars in FY 2017 <i>(staff resources only)</i></p> <p>Total project budget is \$6.4 million to be paid back by campuses starting in FY 2018.</p>
E-time Reporting	<p>In 2016 a campus/RF team designed and implemented an automated time and leave system. Demonstrating a commitment to stabilization and campus adoption of new system implementations, the RF will commit resources in 2017 to maintain this focus.</p> <p>The new system will allow RF employees (faculty and project staff) to:</p> <ul style="list-style-type: none"> • Enter their own time and leave, eliminating an estimated 177,000 pieces of paper per year currently handled by campus HR staff. 	<p>\$0 new dollars in FY 2017 <i>(staff resources only)</i></p> <p>Total project budget is \$350,000 to be paid back by campuses starting in FY 2018.</p>
Report Center – Training and Performance Improvement	<p>The Report Center serves as a gateway to RF business systems data to many audiences across the campuses and central office, including principal investigators. Responding to campus feedback on the tool, this year's work will focus on widespread, comprehensive training and documentation improvements for the Report Center and performance enhancements to allow faster data retrieval within the Grants Snapshot subject areas. This training, documentation, and performance improvement work will:</p> <ul style="list-style-type: none"> • Enable faculty, administrative staff, and central office staff to locate reliable, consistent data to answer questions. 	\$83,000

Research Foundation Fiscal Year 2017 Operating Plan

Initiative/Program	Description	Investment
	<ul style="list-style-type: none"> Provide leadership with key performance indicators for evidence-based decision making. 	
SciQuest Western NY	<p>A group of SUNY campuses in Western New York (University at Buffalo, Buffalo State, Geneseo, Brockport, Fredonia, Alfred State, Alfred University, Erie Community College, and Niagara Community College) are implementing SciQuest, an e-procurement system that automates low risk, transactional procurement activities. This is a SUNY-led project that includes RF in its scope for an all-funds implementation. Successfully implemented at Stony Brook, the new system:</p> <ul style="list-style-type: none"> Decentralizes purchasing to end-user departments, where principal investigators and administrators can access a marketplace catalog and online shopping cart. Provides access to campus, regional, SUNY, and state contracts and pricing agreements. Offers electronic invoicing. 	\$63,750
Campus Risk Profile/Investment Income Distribution Review	<p>A policy review of the financial condition and risk profile of campus operations. Updated policies will:</p> <ul style="list-style-type: none"> Ensure that campus operations are up-to-date with the current environment, fully integrated, and operating as intended. 	\$0 <i>(staff resources only)</i>
HR Regulatory Requirements	<p>This year staff will focus on updating policies and procedures, implementing system changes, and providing education and training to campus staff on new regulations, including new IRS guidance on classifying independent contractors, new immigration regulations, OPT STEM Extension for E-Verify employers, paid leave for federal contractors, increase in NYS minimum wage, and NYS paid leave requirements. Monitoring regulatory changes in the human resources area is one of the core functions of the RF and helps campus administrators and faculty:</p> <ul style="list-style-type: none"> Manage their awards in compliance with federal and New York State laws and regulations. 	\$11,800
Fair Labor Standards Act (FLSA)	<p>This Project is to bring the RF into compliance with the Fair Labor Standard Act regulations, which will increase the minimum salary to be exempt to \$47,476 and establish annual indexed increases every three years to the salary minimum. This analysis of the changes and the impact on research will help faculty and administrators:</p> <ul style="list-style-type: none"> Develop a plan of action to address the impact of the changes on current grants and develop a plan for budgeting for future awards. 	\$34,800

Research Foundation Fiscal Year 2017 Operating Plan

Initiative/Program	Description	Investment
Classification of Postdoctoral Trainees	<p>This project initiated at the request of Vice Presidents for Research and other stakeholders to create a new classification for postdoctoral trainees with an associated lower fringe benefit rate. A review of postdoctoral fellows was also requested as these individuals are not considered employees or students and cost of benefits cannot be paid for by the fringe pool and must be absorbed by the grant or the individual. The review will provide campus leadership with:</p> <ul style="list-style-type: none"> • Recommendations on whether or not to create a new Trainee Classification for future hires and a separate fringe benefit pool for that group, to maintain SUNY's competitiveness in the postdoctoral market. 	<p>\$50,000 <i>(charged to fringe pool – not included in \$1.3 total)</i></p>
Manager Self Service Support for Current Campuses	<p>Manager Self Service is an Oracle product introduced as part of the last Oracle upgrade. This product enables human resources staff or a project administrator to submit and approve HR transactions online and upload into the Oracle business system without re-keying the data. At the time of rollout, five locations including central office implemented the product to varying degrees. There are many efficiencies to be found by using the system, but there a few systematic bugs and one maintenance issue that prevents the product from being used to its full potential. Work to strengthen the existing product implementation will:</p> <ul style="list-style-type: none"> • Ensure the successful adoption of the product by the five campuses and prepare for system-wide adoption in fiscal year 2018. 	<p>\$64,000</p>
Effort Reporting	<p>With the new language in OMB Uniform Guidance regarding documentation of personnel charges, the RF must evaluate the controls required to ensure compliance and reduce audit risk. The RF also needs to evaluate this language to develop an alternative to the ecr effort reporting system, per the University at Buffalo's request. In addition, campuses still struggle with systematic issues with the ecr system but have expressed a need for the RF to continue supporting and improving ecr system. This work will:</p> <ul style="list-style-type: none"> • Ensure faculty and administrators are in compliance with Uniform Guidance regulations on effort reporting. • Improve the existing effort reporting system to ensure the successful adoption of the system by current users. • Provide an alternative solution for effort reporting for the University at Buffalo. 	<p>\$34,250</p>
Fringe Benefit Implementation	<p>Implementation of the following recommendations that resulted from the Fringe Benefit Rate Review project, which were approved by the RF Board of Directors on February 26, 2016.</p>	<p>\$120,270 <i>(charged to fringe pool –</i></p>

Research Foundation Fiscal Year 2017 Operating Plan

Initiative/Program	Description	Investment
	<ul style="list-style-type: none"> • Use a private health insurance exchange for current and future Medicare-eligible retirees and dependents effective 1/1/17 • Add an additional tier ("Tier V") to the Basic Retirement Plan for future employees effective 1/1/18 <p>The implementation of the approved recommendations provides a means to make the fringe benefit rate for the regular employee pool more competitive with RF peers and sustainable over time. At the same time, the recommendations allow the RF to continue to offer a competitive benefits package to attract and retain top talent. The changes will provide an:</p> <ul style="list-style-type: none"> • Estimated savings of approximately \$184,000,000 over the next 10 years. • Approximate 45% reduction in the post-retirement medical plan liability. 	<i>not included in \$1.3 total)</i>
Research Symposium	<p>Plan and hold targeted learning and development workshops for campus participants from multiple RF working groups in the areas of finance, sponsored programs administration, human resources, compliance, legal, and technology transfer. The symposium will offer research administration staff across the SUNY system:</p> <ul style="list-style-type: none"> • Education on regulatory requirements and RF initiatives to facilitate RF compliance. • Networking and cross campus interaction to connect with staff in similar functions and share best practices. 	\$50,000
Leadership Academy	<p>The first RF Leadership Academy graduated 25 participants on February 29, 2016. Research shows that employees who participate in professional development programs are more likely to build their skills and be better prepared for future leadership roles. With one successful cohort, the RF will design the next program this summer for a roll out of January 1, 2017. The program, over time, is expected to deliver:</p> <ul style="list-style-type: none"> • Increased leadership competencies of research administrators. • Support for campus succession planning (see next item). 	\$19,250
Succession Planning	<p>This program will introduce succession planning tools to campuses for identifying candidates for leadership programs. Within 5 years, a quarter of our workforce is eligible to retire, leading to potential gaps in knowledge and skills in carrying out sponsored program administration and project work. This program:</p>	\$0 (staff resources only)

Research Foundation Fiscal Year 2017 Operating Plan

Initiative/Program	Description	Investment
	<ul style="list-style-type: none"> Ensures the leadership pipeline is growing and internal candidates are ready to be promoted when key positions are vacated. 	

Proposal Development/Student Research

\$210,000

Initiative/Program	Description	Investment
Networks of Excellence (NoE) - Workshops/ Collaboration	<p>The Networks of Excellence program will focus in 2017, based on campus feedback, exclusively on workshops and bringing faculty together for collaboration. Anticipated outcomes include:</p> <ul style="list-style-type: none"> Increased proposal submissions, preferably for large center grants in support of campus Performance Improvement Plans. New faculty connections and research teams. 	\$125,000
SUNY Clinical Trials Alliance	<p>The SUNY Clinical Trials Alliance program seeks to bring together the SUNY Academic Medical Centers (Stony Brook, University at Buffalo, Upstate Medical University, and Downstate Medical Center), SUNY Optometry, and Binghamton University to form an integrated infrastructure for conducting clinical trials across SUNY. In the year ahead the program will be further defined and leading campuses identified. The primary goals of the alliance are to:</p> <ul style="list-style-type: none"> Increase multi-site clinical trials across the SUNY system. Present a unified infrastructure – streamlined IRB, contracting, and budgeting and aligned policies, procedures, and training to industry to increase SUNY's ability to win multi-site trials. 	\$20,000
Graduate Student NIH Proposal Incentive	<p>This incentive program in 2016 provided \$1,000 stipends to pre-doctoral graduate students applying for the NIH Ruth L. Kirschstein NRSA F31 or F31 grants after the student completed a prerequisite grant writing training. The University Faculty Senate Graduate and Research committee and the RF administer the program and will conduct a second pilot year of the program in 2017. The program is designed to:</p> <ul style="list-style-type: none"> Increase the number of F31 awards won. Advance graduate student skills in proposal writing and the submission process. 	\$20,000
Comprehensive and Technology College Research Growth	<p>The comprehensive and technology colleges acting through the University College Research Council (UCRC) seek to increase sponsored activity by providing collaborative faculty development opportunities and targeted seed funding to</p>	\$25,000

Research Foundation Fiscal Year 2017 Operating Plan

Initiative/Program	Description	Investment
	<p>encourage faculty engagement. The goal of both these programs is to:</p> <ul style="list-style-type: none"> • Increase sponsored activity across this sector. • Engage teaching faculty in research. 	
Impact Portion of SUNY Agenda	<p>Work with SUNY System Administration to define SUNY's impact as part of the SUNY Agenda, which includes completion, diversity and inclusion, and impact. The project will:</p> <ul style="list-style-type: none"> • Determine how to measure impact and use the data as a means of determining resource distribution. 	\$0 (staff resources only)
New York Academy of Sciences Membership (NYAS) and Gala	<p>The RF provides memberships to graduate students in the New York Academy of Sciences' Science Alliance, with a 50/50 campus match and also hosts a table at the annual NYAS gala. The primary goal of the program is:</p> <ul style="list-style-type: none"> • To assist with student researchers' career development and professional networking. 	\$20,000

Technology Transfer, Businesses, Jobs, Economic Impact:

\$365,400

Initiative/Program	Description	Investment
Technology Accelerator Fund (TAF)	<p>TAF supports the commercialization of SUNY technologies through proof-of-concept and prototyping projects. Since its launch in 2011, the program has advanced the commercial readiness of 31 SUNY innovations, leading to 12 licenses and nine startups, and has catalyzed the investment of \$4 million from external partners, including federal agencies, licensees, and angel investors. TAF provides:</p> <ul style="list-style-type: none"> • Critical financial resources rarely available at this stage of development through other means. • Program profit to the Research Foundation. 	\$250,000
Technology Transfer Toolbox	<p>A collection of best-in-class tools and resources that enable SUNY's technology transfer professionals to make quick, efficient, and cost-effective decisions when negotiating contracts, marketing inventions, and developing intellectual property strategies, while reducing risk and saving costs across the enterprise. Hosted within myRF, the Toolbox includes template agreements and guidelines, royalty benchmarks, patent and market intelligence services, and training programs for compliance areas within tech transfer</p>	\$59,000

Research Foundation Fiscal Year 2017 Operating Plan

Initiative/Program	Description	Investment
	<p>(e.g., iEdison reporting, export controls). Centralized procurement realizes:</p> <ul style="list-style-type: none"> • \$1.5 million savings • Operational efficiency 	
Patent Policy Implementation	<p>This project proceeds on the assumption that SUNY will adopt its new patent policy in calendar year 2016, and the RF will adjust its administrative backbone and internal controls to adapt to the new regulation, which is likely to include significant changes to RF's current IP management and royalty distribution practices. The project will:</p> <ul style="list-style-type: none"> • Align RF business practices to SUNY's new regulation. • Train all those entrusted with RF signatory on the new rules. • Mitigate risk in connection with new flexibility in industry-facing transactions. 	\$54,400
SUNY Patents and Inventions Policy Board	<p>This item supports bringing the SUNY Patents and Inventions Policy Board together. The group:</p> <ul style="list-style-type: none"> • Defines SUNY's intellectual property and commercialization policy objectives and develops and interprets such policies in furtherance of SUNY's strategic goals. 	\$2,000
START-UP NY	<p>The RF supports Governor Cuomo's tax-free incentive program for businesses locating on or near academic institutions. SUNY campuses are a majority participant in the program. START-UP NY:</p> <ul style="list-style-type: none"> • Fosters partnerships between industry and higher education. • Provides academic benefits to students and faculty. • Creates jobs and investment in New York State. 	\$0 (staff resources only)

Research Infrastructure

\$381,080

Initiative	Description	Investment
RF Public Website Improvements/ myRF (SharePoint) Build and Rollout	<p>Responding to campus feedback, this project will implement usability improvements to the public website search functionality, policy and procedure links, and contact information for RF central office staff. Website work will also include completing the build and rollout of myRF – a new RF intranet built on Microsoft SharePoint. Effective, modern websites:</p> <ul style="list-style-type: none"> • Provide an easy to use location where faculty and RF administrators can find the information and tools to do their job. • Connect faculty and administrators for intercampus and or interdisciplinary collaboration. 	\$0 (staff resources only)
Measure Project Success/Return on Investment	<p>Responding to campus feedback and the maturing project management processes at the RF, this work will establish tools and techniques for measuring project success and return on investment in the research administration environment. This work will:</p> <ul style="list-style-type: none"> • Show the value of projects and programs across the system. • Provide analysis that assists in decision making when launching new projects and programs. 	\$0 (staff resources only)
Agency Staffing Services	The RF is looking at various approaches to providing personnel services (including payroll and benefits) to non-SUNY organizations.	\$35,280
Key Performance Indicators (KPIs)	<p>Continue to add KPIs that help evaluate campus and RF performance and the impact of SUNY research. The focus in 2017 is on jobs and operational efficiency/effectiveness data. KPIs provide:</p> <ul style="list-style-type: none"> • RF and campus leadership with data to drive decision making and guide strategy. 	\$46,800
Internal Investigation Training	<p>This training includes a comprehensive 2-day live seminar conducted by nationally known experts teaching cutting edge science based techniques used to ensure that investigations are properly managed and conducted while maintaining independence and credibility for the process. This training will:</p> <ul style="list-style-type: none"> • Strengthen the RF's independent and fair process for evaluating allegations of misconduct. • Assist with rapidly identifying and remedying internal issues and reducing external liabilities and penalties. 	\$29,000

Research Foundation Fiscal Year 2017 Operating Plan

Initiative	Description	Investment
Foundation Initiatives	<p>Support for growth and compliance initiatives that arise during the fiscal year. These funds:</p> <ul style="list-style-type: none"> Provide RF with the ability to quickly react and respond to changes in RF environment, capitalizing on opportunities and responding to threats. 	\$270,000

Investigate in 2017 for Potential Implementation in 2018

Initiative/Program	Description
Records Management	Campus feedback during 2017 planning indicated that records management was an important topic with strong support. The RF is committing to working with stakeholders to define this project in 2017 and bring it back as a potential, funded project in 2018.
SUNY TURBO	A cross-functional team of central office and campus colleagues are conducting a pilot to design and scale a structured program for the RF to partner with campuses and researchers in entrepreneurial ventures built around SUNY innovations. The pilot program provides vehicles to translate innovations into commercial products by creating new, SBIR-eligible ventures and provides an array of services to increase the likelihood of company health, growth, and investment potential. The pilot will be assessed in 2017 to determine the value of continuing this activity centrally.
Venture Fund	SUNY and the RF are exploring opportunities to partner with Empire State Development, as well as a third party fund manager, to develop a new SUNY-focused venture investment program. The proposed program would leverage an investment from New York State with private money and would be managed by a third party fund manager.
SciQuest System-wide	The SciQuest team will evaluate a broader implementation of SciQuest after the SciQuest Western NY project is complete. See page 14 for details on that project.
IP Systems Optimization	This work will explore options for Oracle-Inteum cross-talk to eliminate double entry and inefficient processing and identify business requirements for any proposed solution. Additional requirements to optimize systems support for commercialization transactions will also be explored.

SUNY Support for Research	\$944,000 (not included in the \$1.3 Campus Initiative total)
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This year SUNY System Administration is investing nearly one million dollars in key elements of the SUNY Strategy for Research and Innovation that are traditionally paid for and staffed by the RF.

Initiative/Program	Description	Investment
SUNY Research Fellows	SUNY Research Fellows are identified to focus on an area of strategic interest to identify goals, provide analysis, and/or lead a specific scope of work. Past fellows focused on clinical trials, research growth for the comprehensive sector, and the Networks of Excellence and the data gathered fed into initiatives in this operating plan.	\$75,000
SUNY Research Council	The Research Council is an advisory council to the SUNY Board of Trustees, the RF Board of Directors, the SUNY Provost, and Campus Presidents. The SUNY Research Council lends deep and broad thinking and understanding to the question of SUNY's leadership as a 21st Century public comprehensive research-intensive university system. The council considers and advises SUNY on strategies that encourage and nurture research as one of the primary missions of the University. The work of the council informs strategic and operational planning at SUNY and the RF, resulting in programs like the SUNY Networks of Excellence.	\$75,000
Federal Relations	Support for a presence in Washington, federal relations services that inform and advance SUNY and RF research programs through interaction with the New York delegation, White House staff, agency officials, think tanks, and advocacy organizations, and a federal relations staff person.	\$594,000
Existing Commitment	Funding previously committed.	\$200,000

Appendix A: Sponsored Program Revenue Projections

Campus Name	Actual	Projections						% Change 2015 to 2021
	2015	2016	2017	2018	2019	2020	2021	
University at Albany	80,774,763	86,715,504	104,498,434	90,568,340	94,942,441	100,638,987	106,677,327	32.1%
SUNY Polytechnic Institute (CNSE)	256,783,744	260,919,088	227,773,412	230,192,214	235,856,877	219,778,960	202,973,579	-21.0%
Binghamton University	35,727,510	37,552,391	41,483,358	44,881,072	48,707,631	51,192,480	53,752,103	50.5%
University at Buffalo	157,749,767	163,869,000	160,924,000	162,894,000	164,899,000	166,943,000	169,025,000	7.1%
Stony Brook University	169,066,924	169,012,737	169,517,030	170,025,581	170,535,658	171,388,336	172,245,278	1.9%
SUNY Downstate Medical Center	49,440,828	46,314,453	45,151,656	44,176,616	43,522,244	45,684,718	46,667,660	-5.6%
Upstate Medical University	29,824,041	29,460,178	29,866,000	29,866,000	30,463,320	31,072,305	31,694,037	6.3%
SUNY Brockport	4,695,668	5,933,803	4,608,222	4,746,468	4,888,863	5,035,529	5,186,594	10.5%
Buffalo State College	22,776,578	24,515,987	24,522,000	25,189,830	26,093,627	27,015,499	27,955,808	22.7%
SUNY Cortland	3,171,049	3,125,000	3,125,000	3,286,000	3,286,000	3,446,000	3,446,000	8.7%
SUNY Fredonia	2,599,925	2,801,402	2,832,996	2,861,323	2,889,938	2,918,836	2,948,025	13.4%
SUNY Geneseo	1,398,793	1,311,000	1,536,492	1,800,770	2,035,768	2,300,419	2,369,432	69.4%
Old Westbury	2,711,032	2,025,535	2,045,790	2,066,247	2,086,910	2,107,779	2,107,779	-22.3%
SUNY New Paltz	3,619,884	2,902,677	2,931,703	2,961,019	2,990,631	3,020,536	3,050,742	-15.7%
College at Oneonta	5,423,984	5,845,732	5,853,609	5,915,975	5,896,675	5,878,170	5,860,686	8.1%
SUNY Oswego	5,481,440	6,085,073	6,272,839	6,529,248	6,725,124	6,934,975	7,143,025	30.3%
SUNY Plattsburgh	4,250,454	4,861,000	5,501,000	5,501,000	5,761,000	5,761,000	6,071,000	42.8%
SUNY Potsdam	2,721,782	2,835,521	2,863,876	2,892,523	2,921,449	2,950,663	2,980,169	9.5%
Purchase College	1,724,193	1,960,577	1,417,675	1,051,172	1,075,976	1,103,986	1,133,116	-34.3%
SUNY Polytechnic Institute (SUNYIT)	1,514,681	1,023,450	556,956	497,488	428,170	428,170	253,170	-83.3%
Empire State College	1,602,730	1,401,601	1,507,747	1,610,119	1,739,521	1,847,022	1,956,512	22.1%
Alfred State College	487,855	1,375,500	2,384,500	2,414,300	800,000	899,100	1,000,000	105.0%
SUNY Canton	1,339,904	1,236,200	1,580,000	1,740,000	1,740,000	1,740,000	1,740,000	29.9%
SUNY Cobleskill	1,531,788	1,608,383	1,636,714	1,772,170	1,828,884	1,899,093	1,981,558	29.4%
SUNY Delhi	283,628	277,403	224,700	184,550	179,300	179,300	162,500	-42.7%
Farmingdale State College	3,720,438	4,451,000	3,617,000	3,631,000	3,631,000	3,631,000	3,631,000	-2.4%
Morrisville State College	1,032,745	955,000	1,264,000	1,273,750	1,278,750	1,273,750	1,268,750	22.9%
SUNY ESF	15,645,173	15,756,000	16,105,000	18,004,000	19,080,000	20,035,000	21,090,000	34.8%
Maritime College	886,072	843,461	707,568	257,154	264,869	272,816	280,999	-68.3%
College of Optometry	3,222,881	3,702,984	3,868,466	4,040,909	4,123,748	4,254,249	4,388,948	36.2%
Sys. Admin - Provost	28,089,450	21,059,158	17,077,372	17,811,699	18,417,296	18,969,816	19,633,761	-30.1%
Grand Total	899,299,704	911,736,798	893,255,115	890,642,537	909,090,670	910,601,494	910,674,558	1.3%

Appendix B: Central Office Operations

The RF central office exists to support SUNY faculty, staff, and students at 31 SUNY campus locations as well as programs around the world. Staff at central office provide the administrative, legal, financial, regulatory, and technical infrastructure required to manage sponsored programs and technology transfer at the campus level that otherwise would have to be performed at individual sites, necessitating additional FTEs, equipment, tools, and systems at each location. These critical shared services promote efficiencies of scale and brings subject matter expertise to bear on complex and difficult matters, providing each site with up-to-date information, expert counsel, and efficient execution.

The following tables provide a reconciliation of the Corporate Chargebacks per the Operating Plan to the funding of the central office budget. The surplus is to address contingencies, partially fund the transition to a new assessment model, or be returned to the campuses.

	2016 Plan	2016 Estimate	2017 Plan
Funding of Central Office Budget	(in millions)		
Corporate Chargebacks	36.3	32.8	32.7
SUNY Strategic Plan Assessment	(2.5)	(2.5)	(2.5)
Corporate Reserve	(2.2)	0.0	0.0
External Borrowing	4.6	4.0	1.6
Total	36.2	34.3	31.8

	2016 Plan	2016 Estimate	2017 Plan
Central Office Budget Expenses	(in millions)		
Salaries (including Fringe and net of reimbursements)	16.8	16.6	17.2
Campus Initiatives and External Borrowing	7.8	5.6	2.9
IT (outsource and pass thru)	6.5	6.4	6.9
Facilities	0.8	0.9	0.8
Insurance/Fees	1.2	1.1	1.0
Other Costs	2.1	2.2	2.0
Total	35.2	32.8	30.8

Surplus	1.0	1.5	1.0
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Central Office Function Descriptions

Executive & Support

Executive Office: Leads the RF in providing services to the SUNY research community in sponsored programs administration, commercialization of innovation and intellectual property, industry collaboration, and public/private partnership creation and support. The RF President provides visionary leadership, management, and direction to establish and accomplish strategic goals while collaborating with and supporting the SUNY community and private partners.

Strategy and Planning: Develops the RF strategic and annual operating plans, monitors corporate projects, develops a coordinated timeline for the fiscal year, and coordinates leadership stakeholders of the organization (Research Council, VPRs, and Sponsored Program Management Council). Strategy and Planning ensures timely response to changes in the environment, efficient and stable strategic planning and project management, appropriate use of resources, enterprise-wide planning, and quality customer service for all stakeholders. Strategy and Planning interacts with a large and diverse audience across the enterprise to develop and facilitate the definition, collection, analysis, and reporting of metrics and key performance indicators that will enable data-driven decisions in support of RF and SUNY strategic efforts. Strategy and Planning supports major system-wide research growth initiatives, such as the Networks of Excellence, Clinical Trials Alliance, SUNY Research Fellows, and the comprehensive and technology college growth agenda in coordination with campus and system leadership.

Legal: Provides legal services for the RF and individual SUNY campuses in the areas of sponsored programs, innovation and partnerships, technology transfer, labor and employment, and other key areas. Legal office staff responds to requests for legal advice from operations staff and leadership, identifies and solves legal problems, resolves disputes and manages litigation, and also proactively provides training and template development to mitigate various risks. Centralizing this service conserves resources and promotes standardization and legal compliance across all campuses.

Internal Audit: Provides independent assessment, recommendations, analyses, and other pertinent comments on the financial and operational controls of all offices, identifies changes in procedures to improve efficiencies, eliminates duplicate efforts, and reduces risks. Internal audit staff identifies areas of potential exposure, and shares process improvement suggestions across all locations. The function also assists sites with external audit processes and responses (i.e., OMB A-133, sponsor audits, regulatory audits), giving each campus access to expertise in these areas.

Office of Compliance Services: Responsible for the implementation of the RF's Board approved Compliance Program. Helps the RF and SUNY prevent, detect, and correct fraud, waste, and abuse and support compliance with the laws, rules, and policies governing the RF's business including the proper administration of sponsored research. It does this by developing, managing, and monitoring ethics policies (such as the Code of Conduct and Conflict of Interest policies), establishing an internal control methodology and supportive risk management solutions, overseeing information security, developing/maintaining policy governance, providing education and training on corporate ethics, and evaluating allegations of misconduct. Compliance Services also provides day-to-day support for campus research administrators, including reviewing award documentation and sponsor assurances of compliance, implementation of the OMB requirements, and responding to federal and state mandated reporting requirements. Staff members

serve campuses by solving business problems involving grant proposals and awards, compliance with terms and conditions, financial administration, effort reporting, education and training, conflicts management, and satisfactorily resolving audit findings.

Innovation and Partnerships: Supports technology transfer and commercialization activity across the enterprise. Innovation and Partnerships' Innovation Services unit is responsible for all intellectual property management and licensing activity for 23 centralized campuses, while the Commercialization unit supports both centralized and decentralized campuses to create innovation partnerships with companies large and small. RF's internal controls for technology transfer and incubator transactions, as well as the functions of Joint Ventures, Affiliated Corporations, and Innovation Analytics, all reside within Innovation and Partnerships. The nature of this work demands an agile, cross-functional approach to ensure RF's administrative backbone satisfies the rapidly evolving demands of a wide array of industry partners while maintaining the highest standards of ethics, compliance and risk management.

Sponsored Program Services/Operations

Grants and Contracts Administration: Provides day-to-day and as-needed support for research administrators across campus locations system-wide, and serves as Oracle Business System point of contact for Grants and Accounts Receivable. Staff negotiate and execute grants, contracts, and subcontracts, establish and invoice accounts, and prepare required financial reports, helping the RF achieve efficiencies by sharing the service and cost of grant and contract administration for 23 campuses. In addition, the department is first liaison to sponsoring agencies, and offers critical training events. This team is consulted by both centralized and decentralized campuses with business problems arising from state and federal sponsorship and mandated system and reporting requirements, and assists with successful resolution of audit findings.

Human Resources: Takes a proactive approach to maintain positive employee relations at campuses. In addition to developing and maintaining competitive compensation and benefit programs to attract, retain, and motivate a talented workforce, the function provides guidance and training to campus administrators and faculty to resolve HR issues in laboratories and offices, and ensures compliance with state, federal, and sponsor employment and workplace regulations. HR also creates a learning environment across campuses by offering professional development services, including: Learning Tuesdays on "hot topics," WeComply learning management system for compliance training, onboarding RF overview sessions, a semi-annual Symposium, RF/CPD scholarship program, SPA Fundamentals training, mentoring and leadership academy programs, as well as a succession planning process that can be adapted to individual campuses.

External Relations and Corporate Communications: Responsible for external and internal communications. In close coordination with campuses and SUNY System Administration, staff produces and distributes original research articles, reports and presentations across multiple channels including web and social media that amplify and promote SUNY research and explain the RF's supporting role. The function handles media inquiries and FOIL/FOIA requests, working with campus communications officers, operations managers and other personnel as needed. The function supports project communications and communications needs of other RF departments. Centralizing this function gives each site access to communication resources, corporate public relations and issue management support.

Finance

Treasury: Responsible for various functions including payroll, investments, debt, insurance, facilities and treasury. This includes daily cash management and payroll operations. The Treasury function also includes investment oversight of operational funds, VEBA trust, pension plans, and debt/line of credit borrowing strategies. This function provides a shared payroll service for seven campuses and manages corporate facilities as well as other back-office corporate support including corporate-wide insurance and the corporate office at 35 State Street. Centralization of the Treasury function is an efficient and cost effective approach to dealing with the complexities of its role.

Cost Accounting and Accounts Payable/Purchasing: Prepares large, complex Facilities and Administrative (F&A) rate proposals for 31 operating locations and negotiates rates with the federal Department of Health and Human Services. It also oversees fixed assets, service center administration, and assists campus staff in other areas of federal compliance. The accounts payable/purchasing unit disburses funds (checks, electronic payment) for all operating locations, provides corporate oversight for procuring goods and services, and provides guidance for campus staff regarding compliance with laws and regulations, particularly in regard to the IRS.

Financial Accounting: Ensures the integrity of the business system and provides appropriate accounting methods and reliable financial information that are critical for operational success. The function completes annual audited financial statements and tax returns and fulfills campus requests for assistance with financial information and foreign tax exemption. It is responsible for the annual operating budget for the RF Operating Plan, including establishing and overseeing campus accounts and campus assessments and allocations.

Information Services

Information Services (IS): Information Services is a trusted IT partner, collaborating with the RF central office and campuses on IT services that enhance and support the mission of the RF. The RF central office IS organization is responsible for the information technology strategy to provide the infrastructure and services for central office to support the campuses in managing their research portfolio. IS works closely with their customers to create, deliver, and support applications and services such as; customer services, RF business systems, data services, business analysis, desktop support, and infrastructure. This includes technology upgrades and customized technical support to increase compliance, reduce costs, and provide end users enhanced usability, performance, flexibility, and availability. IS strives to be easy to work with, and to serve as a trusted partner to the RF central office and the campuses.

Glossary

Agency Services Direct Costs

Campus-related organizations using RF human resources, payroll, and purchasing/payables administration services (for example, clinical practice plans and campus-based foundations).

Corporate Chargebacks

In fulfilling its responsibilities, the RF charges the campuses for the services it provides through either an assessment formula, allocation of costs, or direct offset to investment income.

Corporate Reserve

The RF maintains and periodically funds a corporate reserve to provide additional liquidity to cover cash flow and contingencies.

Equity Distribution from Brookhaven Science Associates

The RF is a partner in Brookhaven Science Associates LLC (BSA), which runs Brookhaven National Laboratory. The LLC provides equity distributions to the members.

Fees Paid by Third Parties for Service Centers

The RF recovers costs from businesses and industries using RF-owned facilities, such as an MRI facility or nanotechnology clean room.

Grants and Contracts Direct Costs

Grants and contracts to faculty researchers and scholars provide direct dollars for expenditures that can be identified specifically with a particular sponsored project. Examples include salaries, supplies, equipment and travel.

Grants and Contracts Indirect Costs

Grants and contracts to faculty researchers and scholars provide indirect costs for overhead, or “facilities and administrative” costs. Cost recoveries come in the form of reimbursements by sponsors for things that cannot be directly and uniquely assigned to any particular project such as utilities and libraries.

Investment Income

Investment income is projected based upon an assumed average investment balance and a targeted long-term investment return.

Royalties from Licensees

Intellectual property commercialization generates royalties from companies that have licensed RF-owned intellectual property.

Royalties Paid to Inventors (40% of total)

The SUNY Patent Policy dictates that 40% of royalties be paid to the inventor of intellectual property.

SUNY Strategic Plan Assessment

SUNY System Administration receives a formula-based allocation that may be used in support of its strategic plan.