



**The Research
Foundation for**

The State University of New York

2013 OPERATING PLAN

Mid-year Supplement

Date: March 1, 2013



Executive Summary

Overview

Six months into the 2013 Operating Plan approved in April, we have taken a midyear pause to assess our direction and ensure the work we dedicate our resources to in the remainder of the year supports the needs of our customers and the direction of “the new RF.”

Accomplishments

Our goals back in July were ambitious and I am happy to say we’ve accomplished so much already, with four months still left to go. We put forth an ambitious action plan for SUNY research that included many layers of activity, from setting up the Research Council as an advisory body, to launching funding programs to advance collaboration and commercialization, to writing system-wide proposals to obtain large awards, to reaching out to our customers in the business community to find out how SUNY’s research and innovation infrastructure can help accelerate business growth and create jobs in New York.

Refer to Appendix A for details on what we’ve accomplished.

Action Agenda

The Action Agenda for the remainder of the year takes into account a thorough review and prioritization of work. To assess progress, we met with all key stakeholders, reviewed the current portfolio of projects and initiatives to identify what we’ve accomplished, what is in progress, and what has not yet been started, and we conducted an environmental scan that helped guide the changes to the original plan.

The three tables in this document outline our action agenda for the rest of fiscal year 2013 (March 1 - June 30). Beginning July 1 the 2014 Operating Plan, under development now, will continue our important work.

The specific changes we’ve made to the plan are detailed in Appendix B.

Financials

The midyear review included an in-depth review of the central office operating budget to identify savings from operations, investments, facilities, and the reduction in scope of some initiatives. The additional funds have been redirected to the Enhancing STEM Research Experiences for SUNY Undergraduates pilot and launching four SUNY Networks of Excellence (see page 4).

Refer to appendix C for the January Operating Plan financials.

2013 Action Items (January 1 – June 30)

The following sections outline the actions, by strategic goal, that the RF will devote resources to in the remaining four months of fiscal year 2013.

RF Strategic Plan Goal 1: Provide outstanding sponsored program administration services and stewardship to the SUNY community (faculty, students and staff) and sponsors, respectively.

Initiative	Objective	FY 2013
Improve tools to assist campus customers		
Streamlined Effort Reporting System	Simplified administration for faculty researchers and scholars and compliance through accuracy and education.	Implementation of electronic effort reporting tool (ecrt) by June 2013
Reporting Dashboards	Easier access for principal investigators to access and manage their sponsored grants and contracts.	PI dashboard pilot rolled out to University at Buffalo by June 2013. The pilot will also be available to other campuses interested in testing the dashboards.
Enterprise Applications and Infrastructure Upgrade	Responsive IT service that supports research innovation and growth	Oracle R12 upgrade work – solution design, development and testing and conference room pilot (CRP)
Hardware Upgrade		New Hardware in place by May 15, 2013.
NEW: Faculty Access to Tools and Data		Solution in place for Effort Reporting and PI reporting dashboard.
Website Redesign	Improved ability for potential partners to access SUNY assets and learn more about SUNY research; Provide faculty and administrators with improved access to tools and information to accomplish their work.	Launch project to redesign public website and implement a new content management system.
Strengthen compliance in cooperation with SUNY System Administration		
NEW: Research Integrity	Support the SUNY Board of Trustees Research and Economic Development Committee focus on integrity guidelines, especially as it relates to SUNY Centers and Institutes and industry-sponsored	Publish policy on research integrity.

Initiative	Objective	FY 2013
	research.	
NEW: Learning Tuesdays	Compliance, sustainable learning, and succession planning	Pilot learning sessions twice a month on Tuesdays until June 30, 2013
NEW: Operations Managers (OM) Task Force	Strengthen the role of OMs	Implement OM task force; discuss with OMs at the May 1 OM retreat
NEW: Operations Managers (OM) Evaluation		Complete pilot program to evaluate OM performance; discuss with OMs at May 1 OM retreat
Internal Controls Testing	Strengthen the RF's control environment	Support development, review, and analysis of annual internal controls testing for the campuses for key financial functions.

RF Strategic Plan Goal 2: *Assist campuses in increasing sponsored program funding.*

Initiative	Objective	FY 2013
Support SUNY programs to increase research		
SUNY Research Council	Increased competitive SUNY research proposals to federal and other funding agencies	Meet and advise
NEW: Faculty Travel Grant Program Pilot	Increased competitive SUNY research proposals to federal and other funding agencies	Launch program to fund faculty travel to federal agencies
NEW: Networks of Excellence	Bring together faculty and facilities from across the SUNY system to advance research and educational excellence in areas of strategic interest.	Launch: <ul style="list-style-type: none"> • SUNY 4E • SUNY Health Now • SUNY Neuroscience • SUNY Materials and Advanced Engineering
NEW: Enhancing STEM Research Experiences for SUNY Undergraduates Pilot	Enhance undergraduate experience and connection to Science, Technology, Engineering, and Mathematics (STEM) research as keys to both state workforce training and high-technology economic development.	Redeploy \$300,000 savings in operations to campuses for the specific purpose of offering opportunities for SUNY undergraduate students to participate in STEM research projects, programs, and initiatives at SUNY locations.

RF Strategic Plan Goal 3: *Increase technology transfer and commercialization in support of SUNY's efforts to revitalize New York's economy.*

Initiative	Objective	FY 2013
Increase access to SUNY's assets		
Technology Accelerator Fund: Class of 2012	Launch new businesses from SUNY technologies	Continue work on Class of 2012 awards.
Technology Accelerator Fund: Class of 2013		Finalize class of 2013 application and guidelines and accept proposals. Proposal submission deadline is March 15, 2013 and funding decisions will be made no later than May 10, 2013.
Entrepreneur-in-Residence (EIR) Program	Valuable real-world knowledge and expertise infused into SUNY's entrepreneurial environment, helping the next generation of startup leaders and companies	Launch program funding EIRs at campuses that apply and are approved for the program.
Inventor Portal (Inteum)	Rapid disclosure of new technologies	Portal will be implemented for University at Buffalo by February 28; system in place to implement at all campuses
NEW: SUNY Innovation Showcase	Create greater connectivity among New York State university innovation-based start-ups, seed stage funders, entrepreneurship supporters and enablers, and the venture and angel investment community	In partnership with the SUNY Levin Institute, select the best early stage SUNY-related innovation based companies and host an event in June at which they will present to Innovate New York Fund investors, angel investors, and venture capital firms.
NEW: Innovation NY Network Listening Session	Transfer technology from academia to commercialization	Host a "listening session" in Spring 2013 for thought leaders from higher education, government, the investment community, and business from within and outside of New York State to share their vision of what the Innovation NY Network should be.

Appendix A: Fiscal Year 2013 Accomplishments

In the first six months of President Tim Killeen’s tenure, the RF accomplished the majority of items on his draft action plan presented in September:



The slide features a background of overlapping circles in shades of blue and green. In the top right corner is the SUNY RF logo, which includes the text 'SUNY RF' in a large font, 'The Research Foundation for' in a smaller font, and 'The State University of New York' in the smallest font. The main title 'DRAFT Action Plan for SUNY Research' is centered in a white box. Below the title is a list of 16 items, each preceded by a checkmark. The items are arranged in two columns.

DRAFT Action Plan for SUNY Research

SUNY RF
The Research Foundation for
The State University of New York

- ✓ SUNY Research Council
- ✓ Governor’s Task Forces
- ✓ Integrate research and education
 - Data Analytics
- ✓ Empire Innovators Fund
- ✓ Research Collaboration Fund
- ✓ Faculty Travel Grant Program
- ✓ Technology Accelerator Fund
- ✓ Entrepreneurs-in-Residence
- ✓ NSF iCorps Node
- ✓ Research Excellence Fund
- ✓ Graduate Student Fellowships
- ✓ NYSERDA Proof of Concept Center (POCC)
- ✓ Patents and Inventions Policy Board (PIPB)
- ✓ Business Council survey
- ✓ Facilitate SUNY Asset conversations (incubators)
 - Launch iNY (Innovate NY) project
 - Enhance SUNY Asset Map
- ✓ SUNY Regional Innovation Hubs

2013 Operating Plan: Six initiatives from the plan are complete. Refer to Appendix B. The [RF Monthly Portfolio Report](#) is another source for Operating Plan status details.

Appendix B: Changes from the Original Board-Approved Plan

Goal 1	
Item	Change
Streamlined effort reporting system	Remains in 2013 Plan
Reporting “dashboards”	Remains in 2013 Plan
SUNY’s new Compliance Committee	Operational (Compliance)
Conflicts of interest and export controls	COI and FCOI complete; assessing export controls for 2014 and beyond.
Transparency guidelines	Planned for March 15 completion
Federal and State administrative requirements	Assessing for 2014 and beyond
Research technology services	Remains in 2013 Plan
Shared administrative services pilots	Remains in 2013 Plan
Identify new opportunities	Operational (Finance)
Veterans and MWBE vendors	Complete!
Diversity and inclusion awareness training	Assessing for 2014 and beyond
Goal 2	
Item	Change
SUNY Research Council	Remains in 2013 Plan
SUNY/RF Research Collaboration Fund	Complete!
Campus plans	Complete!
Goal 3	
Item	Change
SUNY Patents and Inventions Policy Board	Operational (I and P)
Technology Accelerator Fund (TAF)	Remains in 2013 Plan
Entrepreneur in Residence (EIR) pilot program	Remains in 2013 Plan
Assistance for potential partners	Assessing for 2014 and beyond
Business/Industry Web pages	Assessing for 2014 and beyond
Shared facilities/equipment	Assessing for 2014 and beyond
SUNY incubators, Centers of Excellence and Centers of Advanced Technology	Assessing for 2014 and beyond
Additional programs to facilitate commercialization	Assessing for 2014 and beyond
System-wide Collaboration Support	
Item	Change
Corporate Memberships/Sponsorships/ Events	Operational (I and P)
Improvement of RF website	Remains in 2013 Plan
Federal Relations	Operational (I and P)

System-wide Collaboration Support (cont.)	
Item	Change
TTO Regionalization	Operational (I and P)
Regional Legal Counsels	Operational (Legal)
Strategic Sourcing and Other	Operational (Finance)
Licenses for System-wide Tools	Complete!
Succession planning	Operational (HR)
RF staffing service activity	Assessing for 2014 and beyond
Organizational Development	Assessing for 2014 and beyond
Realignment of business services	Complete!
Grant lifecycle education	Assessing for 2014 and beyond
Talent Management	Assessing for 2014 and beyond
National research compliance forum	Assessing for 2014 and beyond
NIH and NSF Days	Assessing for 2014 and beyond
Improve RF policies and procedures	Policies and procedures on public website complete; Assessing remaining work for 2014 and beyond
SUNY Construction Fund	Operational (sponsored programs)
PI Handbook	Complete!
Internal Controls Testing	Remains in 2013 Plan
Sustainable financial model	Canceled
Metrics	Assessing for 2014 and beyond

Appendix C: Year to Date Operating Plan Financials

Account Name	Owner	Project	Task	Approved Budget	Adjustments	Salary Savings	Revised Budget	Expenditures	Encumbrances	Available Budget
ACTION STEPS TO IMPLEMENT STRATEGIC PLAN										
Effort Reporting	Connolly	1103947	1	450,000			450,000	141,019	289,481	19,500
Reporting Dashboards	Paris	1103949	1	105,000	(22,000)		83,000	57,224	-	25,776
SUNY/RF Research Collaboration Fund	Strand	1103950	1	350,000			350,000	3,519	-	346,481
Technology Accelerator Fund Class of 2012 *	Hage	1103951	1	250,000	50,000		300,000	101,964	198,037	-
Technology Accelerator Fund Phase II *	Hage			-	50,000		50,000	-	50,000	-
Action Steps to Implement Strategic Plan				1,155,000	78,000	-	1,233,000	303,726	537,518	391,757
SYSTEM-WIDE COLLABORATION SUPPORT										
Corporate Memberships	Boice	1103973	1	40,000			40,000	19,794	-	20,206
Sponsorships/Events	Boice	1103976	1	100,000			100,000	55,627	16,398	27,976
Research Council	Killeen	1108064	1	-	75,000		75,000	13,003	-	61,997
Improve RF Policies and Procedures	Toas	1103977	1	100,000	(75,000)		25,000	17,907	-	7,093
Web Design	Taubkin	1103979	1	105,000	(48,145)		56,855	6,855	-	50,000
Financial Modeling	Gabriel	1103980	1	450,000	(273,000)		177,000	176,324	-	676
Strategic Sourcing	Gabriel	1103981	1	100,000	23,686		123,686	95,464	28,223	(0)
SSF at CNSE for SCR	Gabriel	1103982	1	50,000	7,992		57,992	47,949	10,042	1
Federal Relations	Boice	1103983	1	440,000	(227,025)		212,975	30,992	41,008	140,975
Federal Relations - Miscellaneous	Boice	1103983	2	-	12,000		12,000	3,430	-	8,570
SUNY Day	Boice	1103983	3		30,000		30,000	-	-	30,000
Community of Science	Sanders	1103984	1	195,000	26,400		221,400	221,400	-	-
Organization Development	Sanders	1103985	1	135,000	(60,800)		74,200	-	-	74,200
Virtual FI Handbook	Sanders	1103986	1	10,000			10,000	840	-	9,160
SUNY Reach	Sanders	1108053	1		68,000		68,000	-	-	68,000
Global Sustainability	Killeen	1108054	1		10,000		10,000	-	-	10,000
Innovation Support Services	Boice	1103987	1	600,000			600,000	406,208	48,787	145,005
TTO Regionalization*	Boice	1103988	1	100,000	72,667		172,667	172,667	-	-
Licenses for System-wide Tools	Boice	1103989	1	22,000	118,600		140,600	52,318	46,113	42,170
System-wide Collaboration Support				2,447,000	(239,625)	-	2,207,375	1,320,776	190,571	696,028
Subtotal Collaborative Support				3,602,000	(161,625)	-	3,440,375	1,624,502	728,088	1,087,785
Total 2013 Budget				28,081,495	(25,502)	(175,000)	27,880,993	16,244,413	9,133,052	2,503,528