Awards and Expenditures
System-wide

FY95 FY96 FY97 FY98 FY99 FY00 FY01 FY02 FY03 FY04 FY05 FY06 FY07 FY08 FY09 FY10 FY11 FY12 FY13 FY14

Millions

$-
$100
$200
$300
$400
$500
$600

Total Awards
Total Research Support Expenditures
## Purdue Awards by Agency

**FY14 awards system-wide: $389 million**

<table>
<thead>
<tr>
<th>Percentage</th>
<th>Agency and Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>5%</td>
<td>USDA, $21 M</td>
</tr>
<tr>
<td>6%</td>
<td>DOE, $22 M</td>
</tr>
<tr>
<td>6%</td>
<td>State/Local Govts, $23 M</td>
</tr>
<tr>
<td>6%</td>
<td>PRF/PU, $24 M</td>
</tr>
<tr>
<td>7%</td>
<td>DoD, $27 M</td>
</tr>
<tr>
<td>11%</td>
<td>DHHS (NIH), $42 M</td>
</tr>
<tr>
<td>13%</td>
<td>Other Fed&lt;$10M &amp; Foreign Govts., $50M</td>
</tr>
<tr>
<td>21%</td>
<td>NSF, $82M</td>
</tr>
<tr>
<td>25%</td>
<td>Industrials &amp; Fdns, $98M</td>
</tr>
</tbody>
</table>

Data Source: Purdue Sponsored Program Services
National Science Foundation
Single PI vs. Multiple PI Awards
Office of Research and Partnerships

Mission: EVPRP supports faculty in their creation of new knowledge, development of exceptional research programs, and production of the most competitive research proposals possible.

- Research Development
- Corporate & Global Partnerships
- Research Compliance
- University Infrastructure
- Discovery Park
Mission: Increase impact, scale and sustainability of corporate partnerships

#1: Intensify Select Corporate Relationships

#2: Broaden Faculty Engagement

#3: Integrate Vital Data Analytics
Strategic Partnership

Preferred Supply Chain

Niche Connections

Open Season

Comprehensive Institutional–level engagement, long-term horizon, interconnected facets joint strategic planning

Broader engagement, focus on mutual benefits

HR-driven relationships primarily for recruiting, testing

Engagement to meet narrow clustered needs

Transactional, one-off Interactions

Acknowledgement : P.J. Hommert, Sandia
Selected Recent Successes

- Indiana Advanced Composites Manufacturing Institute
- GE/Purdue Partnership – Jet Engine plant attraction, and Advanced Manufacturing Center
- Strategic partnerships with selected companies such as Chrysler; a number of others to be announced soon
- Strategic alliance with Sandia National Labs
- Strategic partnership with Catholic Relief Services
- Lilly Endowment support for key campus initiatives
Seeks to catalyze interdisciplinary interactions that transcend academic boundaries of faculty, staff, and students, toward discovery with engagement and learning

- $1bn in total investment
- 148,000 sq. ft. research laboratory space
- 107,000 sq. ft. office and support space
University Programs

- **Pillars of Excellence in the Life Sciences**
  - an effort to coalesce faculty with synergistic research interests into identifiable and cohesive group(s) and provide significant resources to enable high national impact

- **NIH Targeted Initiatives**
  - new R01/U01/P01 Program / Competing Renewal R01 Program
  - NIH Centers Program
  - NIH Training Grant Program

- **Equipment Grants**
  - support infrastructure needs not filled through other federal and private sources for both laboratory and non-laboratory items

- **Research Incentive Fund (F&A return)**
  - a monetary research incentive to Purdue’s colleges, schools, departments and faculty related to external sponsored programs
Faculty Recognition

- Herbert Newby McCoy Award
- Purdue University Research and Scholarship Distinction Award - Humanities and Social Sciences
- Purdue University Research and Scholarship Distinction Award - Pure or Applied Science or Engineering
Purdue University will be the benchmark institution that serves as a model for how a large, public research university can be a global university in the absence of a physical campus presence in multiple countries. We will accomplish this via key strategic partnerships with public and private sector entities around the world.
### Engage Students

- **Diversify and Integrate Student Body**
  - 9,080 students from abroad, representing 122 countries
  - 837 international faculty and staff from 62 nations
  - Ranked 2nd among US public schools; 3rd in nation for international student enrollment

- **Enhance Student International Experience**
  - low % of Purdue students study abroad
  - through immersive study abroad experiences our students can fully understand issues from a world perspective, master a foreign language, and define their place in the international community
EXTERNAL PARTNERSHIPS

- **Private sector**
  - GE
  - Rolls-Royce
  - Caterpillar
  - ADM
  - Nanshan
  - Argos
  - ...

- **NGOs**
  - Lilly Endowment
  - Mellon Foundation
  - Catholic Relief Services
  - Templeton Foundation
  - ...

- **Institutions**
  - Colombia – Colciencias/Colfuturo
  - Costa Rica
  - AUM
  - Mexico – CONACyT
  - ...

- **Government**
  - USAID
  - USDA
  - Navy
  - Missile Defense Agency
  - Coast Guard
  - Colombia
  - ...

- **Alumni/friends**
  - Study Abroad Big Move
  - Policy Scholars
  - ...

- **Colombia office**
  - Fiscal Agency through Purdue International, Inc.
  - LATeRAL model for partnerships
Flagship for Purdue Global Affairs Programs
Nonprofit 501(c)(3) supporting organization
Non-Governmental Organization (“NGO”) status
Associate Deans for Global Programs
Global Resource Committee

Purpose:
Provide recommendations and feedback to Purdue leadership and to the campus community on:
- The academic merit, the potential impact and the risk/benefit characteristics of new and ongoing global partnerships and programs
- Global trends as they affect Purdue’s worldwide activities and profile, and
- Collaborative development of strategic campus-wide global initiatives
QUESTIONS?
Research Hot Topics
April 21, 2015
GLOBAL SUPPORT MODEL

Acronyms:
BOT: Board of Trustees
EVP: Executive Vice President for Research and Partnerships
CFO: Chief Financial Officer and Treasurer
CCGPO: Chief Corporate and Global Partnerships Officer
GAC: Global Academic Council (roster on reverse)
GRC: Global Resource Committee (roster on reverse)
GSS: Global Support Specialist
Support Offices (see list on reverse)

GLOBAL SUPPORT MODEL

Global Strategy

BOT

President

Provost

EVPRP

CFO

CCGPO/
Sponsors of GRC

GAC
Local Strategy

Support Offices

GRC
Local Operations

GSS

Dean/Dept. Head/College GAC Rep.

UNIT/DEPT
Operational/Procedural

PURDUE INTERNATIONAL, INC.
## Global Support Model

### Global Academic Council Membership

- Chief Corporate and Global Partnerships Officer: Dan Hirleman (Chair)
- College of Pharmacy: Eric Barker
- College of Health and Human Sciences: Liping Cai
- College of Technology: Robert Cox
- Krannert School of Management: Greg Hundley
- College of Education: Carla Johnson
- College of Agriculture: Jess Lowenberg-DeBoer
- College of Liberal Arts: Song No
- College of Engineering: Arvind Raman
- Discovery Park: Al Rebar
- College of Veterinary Medicine: Will Smith
- College of Science: Elizabeth Taparowsky

*Ex officio:*
- Faculty Coordinator for Institutional Partnerships: David Janes
- Global Support Specialist: Trent Watkins

### Global Resource Committee Membership

- Business Managers: Chris Martin (co-sponsor)
- Comptroller: Kendra Cooks (co-sponsor)
- Human Resources: Pam Nesbitt (co-sponsor)
- Treasury: Denise Laussade/Terri Mimms
- Risk Management: Mark Kebert
- Payroll Services: Linda Baer
- Procurement: OPEN
- Sponsored Programs: Ken Sandel/Beth Siple
- Managerial Accounting: Kim Hoebel
- Accounting Services: Kathy Thomason
- General Counsel: Steve Schultz/Abby Daniels
- Internal Audit: Peg Fish
- IPFW: OPEN
- Purdue Calumet (Purdue Northwest): OPEN
- Global Support Specialist: Trent Watkins
- Business Office CCGPO: Christy Haddock

*Ex officio:*
- Chief Corporate and Global Partnerships Officer: Dan Hirleman

### Support Offices

- Business Managers
- Comptroller
- Human Resources
- Treasury
- Risk Management
- Payroll Services
- Procurement
- Contracting
- Sponsored Programs
- Managerial Accounting
- Accounting Services
- General Counsel
- Export Control
- International Programs
- Tax
- Et al.
Common indicators of significant overseas operation:

- Opening foreign business bank account
- Hiring local citizens
- Opening an office in a foreign country
- Having employees present in country for more than 183 days (need not be contiguous)
- Leasing buildings or land
**STEPS:**

- Faculty Member/Program Director works with his/her Business Office, Department Head, Dean and college global representative to formulate a strategic plan/business case for a new or expanded program that entails significant operations in a foreign country.

- Business Office and Faculty Member/Program Director sends the high level vision with as many situational details as possible to the Global Support Specialist.

- The Global Support Specialist will act as the liaison for the Department with the Support Offices, Global Resource Committee, Global Academic Council and external consultants to provide guidance and support for the program.
Nonprofit 501(c)(3) supporting organization

- Resulted from the reorganization of longstanding affiliated foundation
- Wholly-controlled by Purdue University

Vehicle for Purdue global partnerships & programs

- Dedicated to facilitating Purdue’s international education, research and exchange activities
WHAT PII OFFERS:

Status as a Non-Governmental Organization (NGO)

- Offers ability to establish in-country legal status as an entity recognized by a foreign government when setting up education, research and exchange activities

- Avoids obstacles typically faced by the University as a ‘governmental organization’
QUESTIONS?

Office of Comptroller
Global Support Resources/
Purdue International

globalservices@purdue.edu

765-494-7536
WHAT IS UNIFORM GUIDANCE?

• Biggest change in Federal regulations in 50 years
• President’s directive to streamline and ease administrative burden and strengthen oversight
• 8 OMB Circulars A-21, A-110 & A-133 - Consolidated into 1
• More lenient and less prescriptive rules
• Greater emphasis on internal controls
• Still True
  o Allowable
  o Necessary
  o Reasonable
  o Consistently Treated
  o Properly Allocated

Creates degree of uncertainty
GUIDANCE – BEFORE AND AFTER

Acronyms & Definitions  
A-110  
A-21  
A-133  

OMB Circulars  
Uniform Guidance  
Purdue Tools

OMB Circulars  
Uniform Guidance  
Purdue Tools

2 CFR 200

FAQs  
COGR  
COFAR  
Agencies

Purdue University Guidance

CAS  
SPS Handbook  
QRCs  
Web Sites
• Updates to documentation/policy and procedural reviews

• Web site updates/maintenance
  http://www.purdue.edu/business/sps/UG/index.html

• Continue to monitor - COGR, COFAR, FDP & OMB

• Communication & Training
IMPLEMENTATION DATE

The Administrative Requirements and Cost Principles detailed within the Uniform Guidance will apply to new and incrementally funded awards effective December 26, 2014. The Audit Requirements detailed within the Uniform Guidance will apply to audits of fiscal years beginning on or after December 26, 2014. For Purdue, that is July 1, 2015. While the opportunity is available to separately track old and new funds under separate guidelines, we have decided to adopt the Uniform Guidance requirements for all existing awards as of Dec. 26, 2014, except for procurement requirements, participant support costs and agency-specific terms and conditions present in existing awards.

EXCEPTIONS

Participant Support Costs
- New guidance for participant support cost budget lines detailed in 2 CFR 200.456 will be applied to new and incrementally funded awards effective December 26, 2014. Budget lines will be established in separate internal orders excluded from the F&A base. Awards made prior to December 26, 2014 will remain subject to regulations cited in their grant specific award documents and continue to be charged F&A as currently established.

Procurement
- Purdue University has delayed the implementation of the new Uniform Guidance Procurement Rules detailed in 2 CFR 200.317 - 200.326 until no later than July 1, 2016 as provided by the waiver of the procurement rules (see COFAR FAQ, Section 110-6 released November 26, 2014). In the interim, OMB circular A-110 will be followed on all existing awards. For additional information, please visit:

Agency-Specific Terms and Conditions
- Agency-specific terms and conditions which provide more explicit guidance on administrative requirements, cost principles and audit requirements will be followed when detailed on existing awards.
UPDATES TO DOCUMENTATION

INVENTORY OF GUIDELINES, POLICIES, PROCEDURES, AND QRS (GOAL 5/31/15)

- SPS Handbook
- Cost Accounting Standards
- Recharge Center Policy and Procedure Manual
- Purchasing Policy
- Cost Sharing Guidelines
- Sub-Recipient Monitoring Guidelines
- Correcting Document Guide
- Prior Approval Guidelines
- Effort Reporting QRS
- Cost Allocation Guidelines
- Record Retention Guidelines

Status of Updates:

<table>
<thead>
<tr>
<th>Status</th>
<th>Count</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pending</td>
<td>5</td>
</tr>
<tr>
<td>In-Process</td>
<td>26</td>
</tr>
<tr>
<td>Updated</td>
<td>27</td>
</tr>
<tr>
<td>Extension</td>
<td>13</td>
</tr>
<tr>
<td>No Changes</td>
<td>22</td>
</tr>
<tr>
<td>Total</td>
<td>93</td>
</tr>
</tbody>
</table>
DESCRIPTION

• If a non-Federal entity is on cash basis of accounting for the cost of leave (recognized in the period that the leave is taken and paid for)

• Then payments for unused leave when an employee retires or terminates are allowable as direct costs in the year of payment

ACTION PLAN

• No additional action is needed

STATUS

• Due to the technical correction issued by the Office of Management and Budget (OMB), Purdue can continue to direct charge terminal leave according to current practice
DESCRIPTION
• Direct costs for items such as stipends, subsistence allowances, travel allowances, and registration fees paid to or on behalf of participants (not employees) in connection with conferences, or training projects
• Now excluded from the (MTDC) base
• Must be explicitly included in the budget
• Prior approval may be needed to transfer funds into or out of the participant support cost line dependent on agency specific guidelines

ACTION PLAN
• Adjust budgeting practices for all projects
• Change the base to exclude participant support costs from the F&A base
• The need to establish separate Internal Orders (IOs) will be dependent upon the terms and conditions within each award
• Must use the appropriate GL

STATUS
• Pre-Award has made changes to COEUS
• New F&A base "P" created
• F&A base document has been updated.
• Guidelines for awards with participant support costs have been updated
FACULTY AND PI INFORMATION

http://www.purdue.edu/business/sps/ug/faculty_info.html
Uniform Guidance Implementation

[Video player]

Ken Sandel
Senior Director
Sponsored Program Services
MONITORING COGR, COFAR, FDP, OMB

OMB – JANUARY 16, 2015 – BACKGROUND AND TECHNICAL CORRECTIONS

• Non-federal entities choosing to delay implementation for procurement standards will need to specify in their documented policies and procedures that they will continue to comply with A-110

http://www.purdue.edu/business/sps/UG/implement.html
http://www.purdue.edu/business/procurement/index.html

• The definition of MTDC modified to clearly state the exclusion is applicable to the first $25,000 of a subaward and is not applicable to subcontracts/vendor agreements

• Fixed amount awards – The federal awarding agency or pass-through entity may use fixed amount if the project scope is specific and if adequate cost, historical, or unit pricing data is available to establish a fixed amount award based on a reasonable estimate of actual cost
• **Direct Cost Allocation Principle** – If a cost benefits two or more projects...in proportions that can be determined without undue effort or cost, the cost must be allocated to the projects based on the proportional benefit

• **Fringe Benefits** – When a non-federal entity uses the cash basis of accounting, the cost of leave is recognized in the period that the leave is taken and paid for. Payment for unused leave when an employee retires or terminates employment are allowable in the year of payment.

• **Cost increases for fluctuations in exchange rates**...prior approval...is required only when...additional funds needed...or...the need to significantly reduce scope of the project

• **Purchased materials and supplies** must be charged at their actual prices, net of applicable credits. Withdrawals from general stores or stockrooms must be charged at their actual net costs under any recognized method of pricing inventory withdrawals, consistently applied

• **Recruitment** – Where relocation costs incurred incident to recruitment of a new employee have been funded in whole or in part to a federal award, and the newly hired employee resigns for reasons within the employee’s control within 12 months after hire, the non-federal entity will be required to refund or credit the federal share of such relocation costs to the Federal Government
1. Conflict of Interest (200.112)

2. Requirements for pass-through entities (200-331)

3. Procurement Standards (200.317-326)

4. Closeout (200.343)

5. DS-2 Requirement (200.419)

6. Compensation – fringe benefits (200.431)

7. Utility cost adjustment (Appendix III)

8. OMB Leadership and Advancing the Partnership
## COGR LETTER

1. **COI** - Confirm it applies to procurement not sub-recipient
2. **Pass-through entity** - Allow “Safe Harbor” for recipients with single audits
3. **Procurement** – add research/scientific reason for sole source and increase micro-purchase to $10,000
4. **Closeout** – establish 120-day closeout requirement for all agencies
5. **DS-2 Requirement** – clarify and facilitate approvals
6. **Compensation** - confirm tuition reimbursement allowability for undergraduates and graduate employees
7. **Utility cost adjustment** – more fair and equitable
8. **Inconsistencies** of effective dates

## OMB RESPONSE

1. **COI** – COFAR reviewing and plans to provide future clarification
2. **Pass-through entity** – COFAR and OMB interested in advancing discussion
3. **Procurement** – COFAR is interested in additional metrics and data. FDP will coordinate data and information
4. **Closeout** – COFAR reviewing Congress mandate and interested in engaging
5. **DS-2 Requirement** – COFAR to issues guidance to ensure compliance
6. **Compensation** – COFAR will revisit based on COGRs urging and issue an update soon
7. **Utility cost adjustment** – COFAR agreeable and provided some clarity
8. **Institutional defined effective date**…is most practical and compliant manner to transition
• BLCA 200 – Cost Principles for Educational Institutions
  Create online course for newer staff
  Use Instructor-led for experienced staff (case studies & learning through scenarios)

• BLCA 220 – Principles of Fund Establishment
  Newer employees - Funds Management Series, PARS training, current Payroll training
  Possibly combine with Account Management Day to Day Tasks

• BLCA 240 – Account Management Day to Day Tasks
  Newer employees - Funds Management Series, PARS training, current Payroll training
  Use Instructor-led for experienced staff (case studies & learning through scenarios)

• BLCA 250 – Signature Delegation
  Create online course for newer staff – focus on why we do what we do
  Use Instructor-led for experienced staff (case studies & learning through scenarios)
  Annual “Certification” WebCert

• BLCA 270 – Cost Sharing
  Instructor led 1) beginner class and 2) advanced class

• BLCA 280 – Corrections and Certifications
  Newer employees - Funds Management Series, PARS training, current Payroll training
  Use Instructor-led for experienced staff (case studies & learning through scenarios)

• BLCA 290 – Pre-Auditor Training
  Pre-Auditor Checklist course for experienced staff, required course for those holding the role

• BLCA 320 – Closings
  On-line only
Research Administration Professionals at Purdue University are responsible for partnering with the research community to manage nearly $400M of research expenditures on an annual basis. Purdue University’s research portfolio has grown significantly over the last ten years, and this trend is projected to continue.

Improving post award support and services for the entire research community is an important and shared goal for Sponsor Program Services, Business Management and Comptroller organizations. This can only be achieved by our units working together and sharing information across organizational lines.

Throughout the organization inquiries are made, questions are asked and information is sought from a variety of sources directed at staff in various research support positions. Presently the skill levels and experience of this group varies around the organization and depending on who and where you ask you may get a different answer.
THANK YOU!

Ken Sandel
Senior Director
Sponsored Program Services
sandel@purdue.edu
(765) 494-1063