Hot Topics: The Changing Landscape of Research at Purdue

Mary Anne Sloan & Ken Sandel
November 4, 2015
CHANGING LANDSCAPE

External Forces
- Budget
- Funding
- Competition
- Need

Internal Drivers
- Budget
- Priorities
- Mission
- Leadership
Research Data Overview

Hot Topics

Ken Sandel
Senior Director, SPS
November 4, 2015
SPONSORED RESEARCH AWARDS

Research awards $401M: ↑3.1% over FY14—RECORD
### SPONSORED RESEARCH AWARDS

#### Federal Awards $4.9M: 2% over FY09

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<td>1.0</td>
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<td><strong>Total Federal</strong></td>
<td><strong>223.8</strong></td>
<td><strong>344.8</strong></td>
<td><strong>306.7</strong></td>
<td><strong>242.1</strong></td>
<td><strong>216.1</strong></td>
<td><strong>228.4</strong></td>
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<td>Industrial/Found</td>
<td>83.2</td>
<td>56.6</td>
<td>65.6</td>
<td>73.2</td>
<td>70.3</td>
<td>98.0</td>
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<tr>
<td>State/Local Govt</td>
<td>24.7</td>
<td>27.9</td>
<td>27.2</td>
<td>22.4</td>
<td>17.8</td>
<td>23.4</td>
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<td>PRF/Purdue</td>
<td>9.0</td>
<td>7.2</td>
<td>12.9</td>
<td>13.7</td>
<td>10.9</td>
<td>23.7</td>
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<td>Foreign Government</td>
<td>1.5</td>
<td>1.5</td>
<td>7.2</td>
<td>2.2</td>
<td>5.0</td>
<td>16.3</td>
<td>3.7</td>
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<tr>
<td><strong>Total Purdue</strong></td>
<td><strong>342.2</strong></td>
<td><strong>438.0</strong></td>
<td><strong>419.6</strong></td>
<td><strong>353.6</strong></td>
<td><strong>320.1</strong></td>
<td><strong>389.7</strong></td>
<td><strong>401.1</strong></td>
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<td><strong>System-wide</strong></td>
<td><strong>342.2</strong></td>
<td><strong>438.0</strong></td>
<td><strong>419.6</strong></td>
<td><strong>353.6</strong></td>
<td><strong>320.1</strong></td>
<td><strong>389.7</strong></td>
<td><strong>401.1</strong></td>
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SPONSORED RESEARCH AWARDS

Industry/Foundations Awards $134M: ↑36% over FY14

FY10-FY15

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<tr>
<th>Year</th>
<th>For Profit</th>
<th>Foundation &amp; Other</th>
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<tbody>
<tr>
<td>FY10</td>
<td>$28</td>
<td>$29</td>
</tr>
<tr>
<td>FY11</td>
<td>$37</td>
<td>$29</td>
</tr>
<tr>
<td>FY12</td>
<td>$35</td>
<td>$39</td>
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<td>FY13</td>
<td>$33</td>
<td>$38</td>
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<tr>
<td>FY14</td>
<td>$47</td>
<td>$51</td>
</tr>
<tr>
<td>FY15</td>
<td>$56</td>
<td>$78</td>
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## AWARDS BY AGENCY

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

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

### FY15 Awards System-wide: $401 million

<table>
<thead>
<tr>
<th>Percentage</th>
<th>Agency/Program</th>
<th>Amount</th>
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<tbody>
<tr>
<td>3%</td>
<td>PRF/PU</td>
<td>$14 M</td>
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<tr>
<td>3%</td>
<td>DOE</td>
<td>$14 M</td>
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<tr>
<td>5%</td>
<td>State/Local Govts.</td>
<td>$21 M</td>
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<tr>
<td>6%</td>
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<tr>
<td>9%</td>
<td>DoD</td>
<td>$38 M</td>
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<tr>
<td>10%</td>
<td>DHHS (NIH)</td>
<td>$42 M</td>
</tr>
<tr>
<td>11%</td>
<td>Other Fed&lt;$41M &amp; Foreign Govts., $4M</td>
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<tr>
<td>17%</td>
<td>NSF</td>
<td>$68 M</td>
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<tr>
<td>33%</td>
<td>Industrials &amp; Fdns, $134M</td>
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### Awards $32M: ↑28% over FY15 (through September)

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<th>Fiscal Period</th>
<th>2016</th>
<th>2015</th>
<th>Percent Change</th>
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<tbody>
<tr>
<td>1</td>
<td>$38,938,879</td>
<td>$29,431,186</td>
<td>32%</td>
</tr>
<tr>
<td>2</td>
<td>$51,172,258</td>
<td>$41,706,625</td>
<td>23%</td>
</tr>
<tr>
<td>3</td>
<td>$56,146,771</td>
<td>$43,494,740</td>
<td>29%</td>
</tr>
<tr>
<td>4</td>
<td>$0</td>
<td>$30,228,072</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>$0</td>
<td>$13,677,223</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>$0</td>
<td>$76,826,964</td>
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</tr>
<tr>
<td>7</td>
<td>$0</td>
<td>$22,717,054</td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>$0</td>
<td>$22,099,882</td>
<td></td>
</tr>
<tr>
<td>9</td>
<td>$0</td>
<td>$32,941,651</td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>$0</td>
<td>$27,411,827</td>
<td></td>
</tr>
<tr>
<td>11</td>
<td>$0</td>
<td>$24,474,107</td>
<td></td>
</tr>
<tr>
<td>12</td>
<td>$0</td>
<td>$36,133,374</td>
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<tr>
<td>Grand Total</td>
<td>$146,257,909</td>
<td>$401,142,704</td>
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<tr>
<td>FYTD</td>
<td>$146,257,909</td>
<td>$114,632,550</td>
<td>28%</td>
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<table>
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<tr>
<th>Sponsor</th>
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<th>2015</th>
<th>% Change</th>
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<tr>
<td>Federal</td>
<td>$110,404,246</td>
<td>$85,388,564</td>
<td>29%</td>
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<td>Corp./Foundation</td>
<td>$22,206,329</td>
<td>$19,515,556</td>
<td>14%</td>
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<tr>
<td>State/Local</td>
<td>$5,761,634</td>
<td>$3,619,592</td>
<td>59%</td>
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<td>PU/PRF</td>
<td>$7,414,662</td>
<td>$5,548,294</td>
<td>34%</td>
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<tr>
<td>Foreign</td>
<td>$471,038</td>
<td>$560,545</td>
<td>-16%</td>
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<tr>
<td>FYTD</td>
<td>$146,257,909</td>
<td>$114,632,550</td>
<td>28%</td>
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## Awards $41M: 28% over FY15 (through October)

<table>
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<th>2015</th>
<th>Percent Change</th>
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<tr>
<td>1</td>
<td>$38,938,879</td>
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<td>4</td>
<td>$39,600,482</td>
<td>$30,228,072</td>
<td>31%</td>
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<td>12</td>
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<td>$36,133,374</td>
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<tr>
<td><strong>Grand Total</strong></td>
<td>$185,858,390</td>
<td>$401,142,704</td>
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<tr>
<td><strong>FYTD</strong></td>
<td>$185,858,390</td>
<td>$144,860,622</td>
<td>28%</td>
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Office of Corporate & Global Partnerships

Hot Topics

Mary Anne Sloan
Managing Director
Corporate Partnerships, OCGP

November 4, 2015
**MISSION & STRATEGIES**

**Mission:** Increase *Impact, Scale, & Sustainability* of Corporate Partnerships

1. Intensify. Select Corporate Relationships
2. Broaden Faculty Engagement
3. Integrate Vital Data Analytics
#1: INTENSIFY SELECT CORPORATE RELATIONSHIPS

- **Open Season**: Transactional, one-off Interactions
- **Niche Connections**: Engagement to meet narrow clustered needs
- **Preferred Supply Chain**: HR-driven relationships primarily for recruiting, testing
- **Partnership**: Broader engagement, focus on mutual benefits
- **Strategic Partnership**: Comprehensive Institutional–level engagement, long-term horizon, interconnected facets joint strategic planning

Acknowledgement: P.J. Hommert, Sandia
Presidential Partners

This program is to cultivate corporate and global partners who have both a broad and deep relationship throughout the University. Our goal is to intensify these relationships and identify additional synergies by providing:

- Customized Virtual Access
- Exclusive On-Site Access
- Enhanced Responsiviveness
We will broaden faculty participation and relationship building opportunities with corporations.

• Help early-career and mid-career faculty collaborate more effectively with corporations.

• Strengthen linkages between corporations and Purdue’s strongest multi-disciplinary research teams.
OCGP works closely with Corporations and Faculty to Address their Many Shared Goals and Challenges:

Research Goals
• Long-term relationships (and/or Master Agreements) streamline research.
• Multi-disciplinary approaches are highly valued.

Recruitment and Communication
• Student internship / employment opportunities a priority.
• Improved methods for communicating is a priority.

Use of Time & Resources
• It is a priority for corporations and faculty that time and resources are used wisely.
• Coordinating the business and academic calendar is a challenge.
#3 INTEGRATE VITAL DATA ANALYTICS

We are integrating Purdue’s extensive network of business intelligence into one dashboard - known as **Purdue Partners Platform (P³)** - to enhance Purdue’s predictive analytics, agility, responsiveness and other business intelligence capabilities.
$P^3$ will enable Purdue faculty, administrators and staff to engage with corporate and global partners after reviewing information they never had ready access to before.

They can review diagrams that answer questions such as:

- Over the past five years, has this company been steadily hiring from the same programs they have been investing in research?
- What is the geographic distribution of our alumni and how does that compare to the location of our key corporate partners?
- How many different initiatives on campus is the company involved and with which colleges/schools?
$P^3$ is only the first of many Internet-based projects planned by OCGP.

We are working toward streamlining communication several different ways:

- A password-protected “Portal” for each Presidential Partner. It will be tailored to showcase that specific corporation’s priorities with Purdue’s research, education and engagement strengths.

- A password-protected “Portal” for Faculty, staff and administrators. A summary of Presidential Partner’s research focus areas, prior giving to Purdue and other related engagements to help inform future partnerships.

- An online database with a searchable database of keyword-faculty expertise. It is vital that corporations be able to find Purdue collaborators as needed. OCGP is working toward building this continually updated resource.

https://tableau.itap.purdue.edu/#/views/PPP-POC/PPP-POC
DESIRED OUTCOMES

- Increase impact, scale and sustainability of corporate partnerships
- Improved metrics that enhance responsiveness
- Purdue recognized as a “one-stop shop” for grand challenges
- More effective use of faculty and partners’ time
- Improved communication with more relevant and timely data
- Quick “access points” to the university for corporate partners
- Talented graduates with relevant skills in cutting-edge fields
- Rapid growth of strategic partnerships and faculty research
THANK YOU!
Enhanced Responsiveness
ENHANCED RESPONSIVENESS

Increase impact, scale and sustainability of corporate partnerships

OTC Philosophy Change
IP Policy Revisions
Contracting Options
Information Assurance
Strategic Partnership Master Agreement
Life Cycle of Account Training/RAP
Systems/Support
Contracting Options

Hot Topics

http://www.purdue.edu/business/sps/contractmgmt/appliedresearch.html
1 of 8 universities
featured in 2014 edition of
“New Models for University-Industry Collaborations” by University-Industry Demonstration Partnership

“... some schools are starting to develop new approaches aimed at making it easier to provide sponsor access to (or outright assignment of) foreground intellectual property rights concurrent with the negotiation of sponsored research agreements ...”

Georgia Tech, Iowa State, NC State, Penn State, Michigan, Minnesota, Oregon
CONTRACTING MODELS

Traditional

1. Basic Research - Early stage research - to explore solutions in a broad technical area
   - Purdue owns Project IP
   - Sponsor receives non-exclusive royalty-free (NERF) license to w/first option to a royalty bearing exclusive license

2. Testing - Expertise, labs and equipment to provide feedback with sponsor-identified protocol
   - Sponsor owns project-generated data
   - Any other IP outside scope
Applied Research - Sponsor seeking to identify solutions on proprietary issues, explore viability and solve practical challenges

2. Existing Technology
   • Sponsor pays an IP Fee of 5%
   • Purdue owns Project IP
   • Sponsor gets 5-year royalty-free exclusive license, retained license by Purdue research/education

3. Work for Hire
   • Sponsor pays an IP Fee of 10%
   • Sponsor owns Project IP

<table>
<thead>
<tr>
<th>Success</th>
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<tbody>
<tr>
<td>• After 2 years - 22 option 2 &amp; 3 - $5.8M</td>
</tr>
<tr>
<td>o 2 Option 2H</td>
</tr>
<tr>
<td>o 20 Option 3 (5H)</td>
</tr>
<tr>
<td>o 5 Option 3H</td>
</tr>
<tr>
<td>• Deviations</td>
</tr>
<tr>
<td>o Negotiate a majority of the time</td>
</tr>
<tr>
<td>o Faculty led vs Industry driven</td>
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</tbody>
</table>
**SPS Contracting**

Contract consulting
  — Decision-making guidance
  — IP terms explained

Approval process assistance

- Laurie Kuhl
  Phone: 765-494-1059
  Email: lkuhl@purdue.edu

- Ken L. Sandel
  Phone: 765-494-1063
  Email: sandel@purdue.edu

**Industry Research & Outreach**

Industry
  - Connections
  - Areas of interest
  - Leaders

- E. Daniel Hirleman
  Phone: 765-494-9095
  Email: dhirleman@purdue.edu

**Faculty Advisory Committee**

- Jan Allebach, Hewlett-Packard Distinguished Professor, ECE
  Phone: 765-494-3535
  Email: jan.p.allebach.1@purdue.edu

- Peter Dunn, Professor, Entomology
  Phone: 765 494-4609
  Email: pedunn@purdue.edu

- Jessica Huber, Professor, Speech, Language and Hearing Sciences
  Phone: 765-494-3796
  Email: jhuber@purdue.edu

- Mike Ladisch, Distinguished Professor, Agricultural and Biological Engineering/LORRE
  Phone: 765-494-7022
  Email: ladisch@purdue.edu

- Alyssa Panitch, Leslie A Geddes Professor, Biomedical Engineering
  Phone: 765-496-1313
  Email: apanitch@purdue.edu

- Rex Reklaitis, Burton and Kathryn Gedge Distinguished Professor, Chemical Eng
  Phone: 765-494-9662
  Email: greklait@purdue.edu

- Riyi Shi, Professor, Basic Medical Sciences
  Phone: 765-496-3018
  Email: riyi@purdue.edu
Intellectual Property Policy
Hot Topics

https://www.purdue.edu/research/research-compliance/intellectual-property.php
POLICY CHANGES

- Defined roles in administration of policy:
  - Senior IP Officer
  - Campus IP Officers

- Incorporate new options for industrial contracting

- Incorporate additional Supporting Organizations for technology commercialization

- Clarify requirements for Assignment of Purdue Intellectual Property (Stanford v. Roche)

- Commitment to timely decision on investment in commercialization or reconveyance by Supporting Organization (6 Months)
IP POLICY BASICS

• Intellectual Property arises in any part in the course of employment or enrollment at the University, or in the course of a work-for-hire relationship or visiting scholar relationship with the University.

• IP:
  - An Invention
  - A Copyrightable Work
  - A Trademark and any associated registration
  - Research Data
  - Tangible Research Property
  - A trade secret

• Not IP:
  - Instructional Copyrightable Works and Scholarly Copyrightable Works
  - Student IP (for credit, without compensation)
  - Funded under a Works for hire
  - Exempted by contract
  - Outside activity

• Individuals who create Purdue Intellectual Property must periodically (including prior to departing the University for sabbatical, leave of absence, termination of employment, or graduation) execute a general assignment of title in favor of the University for all Purdue Intellectual Property. In most instances the assignee will be Purdue Research Foundation.

• Net Proceeds from licensing/commercialization of University Intellectual Property (1/3\(^{rd}\) PI, 1/3\(^{rd}\) Department, 1/3\(^{rd}\) Trask Fund)
<table>
<thead>
<tr>
<th>Officers</th>
<th>Contact</th>
<th>Telephone</th>
<th>Email/Web Address</th>
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<tbody>
<tr>
<td>Senior IP Officer</td>
<td>Dan Hirleman</td>
<td>765-494-9095</td>
<td><a href="mailto:dhirleman@purdue.edu">dhirleman@purdue.edu</a></td>
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<tr>
<td>Campus IP Officers</td>
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<tr>
<td>Calumet &amp; North Central: Niaz Latif</td>
<td>219-989-3251</td>
<td><a href="mailto:nlatif@purdue.edu">nlatif@purdue.edu</a></td>
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<td>Fort Wayne: Sean Ryan</td>
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<td>West Lafayette: Dan Hirleman</td>
<td>765-494-9095</td>
<td><a href="mailto:dhirleman@purdue.edu">dhirleman@purdue.edu</a></td>
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Protection of Confidential and Proprietary Information

Web site: Under development
Key Evaluation Points

• Identification of what is confidential
  • Best Practice
    • clear marking requirement
    • Export Control jurisdiction, if applicable

• Identification of the purpose or reason it is being shared and what it will will be used for
  • Best Practice
    • Limit Use to only the purpose

• Determination of who will have access
  • Best Practice
    • Limit to those who truly have a need to know
    • Inventory and Tracking
    • Make sure all with access understand the requirements
IP PROTECTION INITIATIVE

GOALS

• Provide Institutional Framework that works efficiently with existing export control compliance processes

• Complement effective lab-based controls in place

• Allow faculty new to industry engagements to ramp quickly

• Position Purdue as the strategic partner of choice for industry
Proposed Process (Pilot Phase)

- Information gathered up front
  - Industrial Projects – through the Pre Award Proposal Worksheet
  - For NDAs – through an intake form

- Risk Analysis
  - Low Risk – Prime Recipient provided best practices for securing confidential/proprietary information
  - High Risk – project-based measures
    - Discussion between Primary Recipient and Research Information Assurance

- Annual training required for those granted access to third party confidential information – webinar format and certificate
INFORMATION ASSURANCE PROCESS

EXPORT CONTROL COMPLIANCE PROCESS

- Publication approval
- Restrictions on participants
- Dissemination limits

- Contract received/reviewed for triggers

- Jurisdiction review (EAR v. ITAR)
- Lab review

- Includes both physical and digital controls

- Technology Control Plan (if necessary)

- Account establishment

EVPRP Export Controls Team
Support/Training

Web site: Under development
The “Policy Training for the Lifecycle of an Account—Pre-award through Closeout” project was initiated in Spring 2008.

Today, the series is offered annually, starting every October.

Each session covers a critical piece of the lifecycle of an account, focusing on the “why’s” behind the University’s policies and practices. However, the “how to’s” are often referenced or demonstrated.
Discussion

Hot Topics

Mary Anne Sloan & Ken Sandel
November 4, 2015
“Research Administration Professional’s Evolving Mission” 10:20 – 11:05 and 11:15 – 12:00
Discuss: This is a follow-up to the general session where research professionals can explore how the changing landscape of research at Purdue will impact them. This session will allow research administrators to openly discuss the changing environment, risks, opportunities, business needs, and how to be successful supporting Purdue's research enterprise.

Room: STEW 202

“Auditors – What are they looking for?” 10:20 – 11:05 and 11:15 – 12:00
Discuss: This session will introduce attendees to audit results at Purdue and other Universities. The session will share results of internal reviews, external assessments, and discuss how the University prepares for and responds to an audit. This session will also give attendees an insight into the current NSF audit and review potential impact of audits on PIs, Departments, and the University.

Room: STEW 218

“What’s New? – The Purdue Foundry” 10:20 – 11:05 and 11:15 – 12:00
Discuss: The Foundry is Purdue's new hub for innovators and entrepreneurs. This session will introduce attendees to the Foundry, discuss their integrated approach to support entrepreneurs, and move Purdue innovations from the university to the market.

Room: STEW 206