RESEARCH QUALITY ASSURANCE

WHO WE ARE,

WHAT WE DO,
We are ..... 

A unit in Sponsored Program Services ...

Providing services to SPS and the Office of Executive Vice President for Research and Partnerships

Note: Prior to March 2015 we were part of the EVPRP office.
About RQA unit ..... 

- formed in the Fall 2011
- will be comprised of four to five staff with knowledge in
  - financial management,
  - sponsored program management
  - research regulatory areas
- will provide services to the research community to review & suggest improvements to processes / procedures

“Over the past several years, the number, size and complexity of sponsored projects awarded to Purdue researchers have increased many fold. This presents increasing challenges to Purdue faculty, OVPR regulatory staff and Sponsored Programs Services staff in their responsibilities to assure compliance with applicable federal, state, and University policies “ 2011
RQA Staff

Senior Director, SPS
Ken Sandel

Associate VP for Research
Howie Zelaznik

Director, RQA
Mike Szczepanski

Sr Operations Manager, Financial Compliance and Audits
Tom Wright

Quality Assurance Specialist, Financial Management
Randy Bryant

Quality Assurance Specialist, Research Regulations
Chris Horton
Research Quality Assurance

The Research Quality Assurance (RQA) unit reviews and monitors Purdue’s research administration and research regulatory compliance practices and provides leadership when conducting comprehensive reviews of the University’s compliance activities. The RQA staff will coordinate education and training of Principal Investigators, project staff, and departmental and business office staff regarding compliance with federal and state regulation and Purdue policies relating to research.

The RQA unit does not assume the duties of the operational regulatory or business areas, and all compliance and sponsored program support activities will exist in their respective reporting structures. The RQA’s role is to monitor these efforts and assess University-wide performance.

RQA unit services include:

- Financial Management Reviews
- Research Regulation Reviews
- Recommend improved procedures
- Development of best practice training material
- Provide training to researchers, research administrators, and business offices at Purdue
- Coordinate the response to audits
Services we provide

- Financial Management Reviews
- Research Regulation Reviews
- Recommend improvements to procedures
- Assist with implementation of recommendations
- Develop best practice training material
- Provide policy training, training materials, etc.
- Coordinate the response to audits
Financial Grant Mgmt Reviews

- Administrative & Clerical Expense
- Computer Purchases
- Cost Transfers
- Overload Pay on SPS accounts
- Vacation Payout
Research Regulatory Reviews

- Animal Exposure Occupational Health Program
- Central Animal Ordering Process
- Human Subjects – Post Approval Monitoring
- Technical Reporting Requirements
Liaison with auditors

- Project Closeout Audits
- Uniform Guidance Annual Audit (previously A-133 Audit)
- Reviews/Monitoring Visits during the life of the project
Who we interact with...

Research Integrity & Regulatory Affairs
  Howie Zelaznik

Animal Care & Use (LAP)
  Lisa Snider

Human Research Protection Program
  Elizabeth Campbell

Research Regulatory Compliance
  Cookie Bryant-Gawthrop
Who we interact with...

- **Sponsored Programs**
  - Ken Sandel

- Pre-Award
  - Amanda Hamaker

- Post-Award
  - tbd

- Ag Field Office
  - Beth Siple

- Tech & Admin Support
  - Stephanie Willis
Who we interact with...

- Faculty/PI's
- Center Directors
- Researchers

- Research support staff
- Managing Director Operations Mgrs

- Business Office staff
  - Bus Mgr Liaison
  - Dept B.O. staff
  - DP Business Ofc
  - Procurement Svcs
  - Managerial Accting

- Others
  - Internal Audit
Outcomes

- Quick Reference Sheet (QRS)
- Quick Reference Card (QRC)
- Hot Topics Program
- Responsibility Matrix
- Updated Procedures
- Data, Documentation to Auditors