

PROGRAM AGENDA

HOT TOPICS

Session	Time	Room
General Session – “Hot Topics in Research Administration” Ken Sandel	8:30 - 9:20	STEW 214
Breakout Session 1a & 2a – “Research Financial Conflict of Interest” Voichita Dadarlat Panel: Amber Everest, Tod Presutti, Ken Suter, Tammy Emilson	9:30 - 10:40 and 10:50 - noon	STEW 214
Breakout Session 1b & 2b – “New Faculty – Institutional Support Perspective” Sue Grimes, Selena McNeal, Christy Haddock, Beth Siple	9:30 - 10:40 and 10:50 - noon	STEW 202
Breakout Session 1c & 2c – “NSF Audit: Lessons Learned” Tom Wright	9:30 - 10:40 and 10:50 - noon	STEW 206

<https://www.purdue.edu/business/sps/Training/hottopics.html>

Hot Topics in Research Administration

Update

Ken Sandel, Senior Director
Sponsored Program Services



GENERAL SESSION AGENDA

INTENT OF TODAY'S DISCUSSION

Focus on recent national trends and active conversations occurring at the federal level and the CIC related to:

- Fiscal Outlook (Federal Budget)
- Administrative Burden
- Uniform Guidance
- Other regulatory/compliance issues and initiatives

Discuss strategic initiatives and projects being undertaken at Purdue and within SPS to address:

- National and regional trends
- Purdue specific needs
- Improve the efficient and effective delivery of research administration services at Purdue University

Federal Trends



FEDERAL DATA

OFFICE OF MANAGEMENT AND BUDGET ([HTTP://WWW.AAAS.ORG/PAGE/HISTORICAL-TRENDS-FEDERAL-RD](http://www.aas.org/page/historical-trends-federal-rd))

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BUDGET

- President's Message
- The Budget
- Overview
- Analytical Perspectives
- Historical Tables
- Supplemental Materials
- Appendix
- OMB Contributors to the Budget
- Agency Fact Sheets
- Key Issue Fact Sheets
- Past Budgets
- Supplementals, Amendments, and Releases
- Mid-Session Review

Historical Tables

Historical Tables provides data on budget receipts, outlays, surpluses or deficits, Federal debt, and Federal employment over an extended time period, generally from 1940 or earlier to 2017 or 2021.

To the extent feasible, the data have been adjusted to provide consistency with the 2017 Budget and to provide comparability over time.

To download the Historical Tables as a PDF, [click here](#) (363 pages, 1.8 MB)

To download the Historical Tables Introductory Text as a PDF, [click here](#) (24 pages, 230 KB)

Spreadsheets

To download all Historical Tables in XLS format as a single ZIP file, [click here](#) (944 KB)

Document	Size	File Format
Table 1.1—Summary of Receipts, Outlays, and Surpluses or Deficits (-): 1789–2021	42 K	XLS

FEDERAL BUDGET

FY 2016

FY16 OMNIBUS DEAL BOOSTS RESEARCH FUNDING AND PELL GRANT MAXIMUM AWARD

- “**NATIONAL INSTITUTES OF HEALTH.** NIH received \$32 billion, an increase of \$2 billion or 6.3% over FY15”
- “**NATIONAL SCIENCE FOUNDATION.** NSF received \$7.46 billion, an increase of \$119 million or 1.6% over FY15”
- “**NASA.** The Space Agency received \$19.3 billion, an increase of \$1.3 billion or 1.6% over FY15”
- “**DEPARTMENT OF ENERGY OFFICE OF SCIENCE** is funded at \$5.35 billion, an increase of 5.5% over FY15”
- “**DEPARTMENT OF DEFENSE SCIENCE AND TECHNOLOGY (S&T)** programs increased by nearly \$1 billion to \$13.2 billion, an increase of about 7.5%”
- “**AGRICULTURE AND FOOD RESEARCH INITIATIVE.** AFRI is funded at \$350 million, an increase of \$25 million or 7% over the FY15 level”
- “**NATIONAL ENDOWMENT FOR THE HUMANITIES .** NEH is funded at \$147.9 million, an increase of \$1.9 million or 1.3% above the FY15 level”

FEDERAL BUDGET AUTHORITY

BY AGENCY

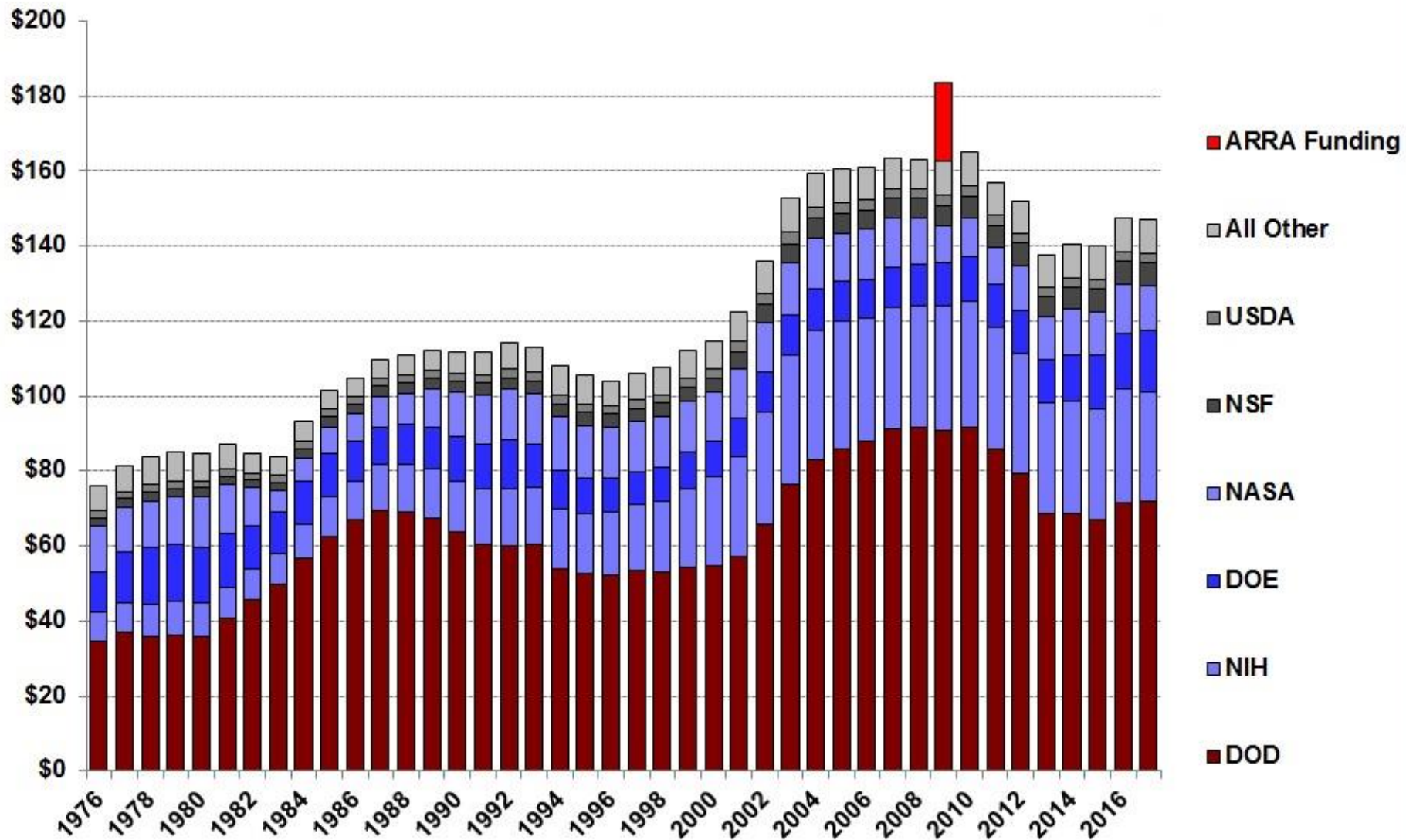
Table 5.2—BUDGET AUTHORITY BY AGENCY: 1976–2021

(in millions of dollars)

Department or other unit	2015	2016 estimate	2017 estimate	2018 estimate	2019 estimate	2020 estimate	2021 estimate
Legislative Branch	4,506	4,582	4,959	5,060	5,163	5,264	5,367
Judicial Branch	7,404	7,591	7,837	7,998	8,180	8,371	8,554
Department of Agriculture	142,471	164,035	155,351	153,106	153,066	154,326	156,596
Department of Commerce	13,819	10,132	12,133	10,323	11,604	15,890	10,582
Department of Defense—Military Programs	570,861	587,090	590,577	564,689	572,861	578,202	593,129
Department of Education	87,258	77,956	79,422	82,188	91,412	95,188	100,587
Department of Energy	25,393	28,870	30,820	29,724	31,575	33,787	34,984
Department of Health and Human Services	1,045,158	1,116,839	1,150,141	1,167,055	1,245,532	1,312,262	1,378,449
Department of Homeland Security	45,272	46,870	48,504	40,097	41,448	42,193	42,961
Department of Housing and Urban Development	44,115	47,890	48,227	49,122	50,280	51,830	52,942
Department of the Interior	12,538	13,959	15,861	16,389	16,518	16,447	16,554
Department of Justice	29,371	34,980	33,289	34,476	35,103	35,714	36,344
Department of Labor	45,953	46,824	64,863	53,548	54,853	57,459	59,325
Department of State	29,118	29,491	29,648	22,571	23,015	23,474	23,947
Department of Transportation	71,898	75,810	95,350	108,774	112,137	121,668	119,022
Department of the Treasury	485,987	530,480	622,370	722,832	825,056	904,827	972,950
Department of Veterans Affairs	160,466	163,864	178,695	182,918	194,237	202,705	211,231
Corps of Engineers--Civil Works	5,477	5,916	4,558	4,639	4,731	4,829	4,927
Other Defense Civil Programs	62,584	59,021	59,315	61,513	63,569	64,880	66,611
Environmental Protection Agency	7,845	8,134	8,585	8,599	8,671	8,850	9,024
Executive Office of the President	3,508	397	419	418	427	435	444
General Services Administration	-481	600	3,319	336	344	354	358
International Assistance Programs	32,730	30,145	27,763	13,326	15,628	18,531	21,081
National Aeronautics and Space Administration	18,009	10,272	10,012	10,014	10,000	10,000	20,355
National Science Foundation	7,485	7,560	8,067	8,218	8,382	8,547	8,716
Office of Personnel Management	92,356	94,030	97,504	101,503	103,504	109,698	113,690
Small Business Administration	-734	-503	2,077	736	748	766	781
Social Security Administration (On-Budget)	89,340	94,594	95,235	99,064	108,590	114,327	119,927
Social Security Administration (Off-Budget)	861,067	900,187	937,004	993,209	1,053,826	1,117,622	1,180,188
Other Independent Agencies (On-Budget)	29,533	29,576	42,695	33,679	33,376	34,553	36,472
Other Independent Agencies (Off-Budget)	-143	277	282	288	294	299
Allowances	7,500	18,303	22,642	25,365	20,652	30,178
Undistributed Offsetting Receipts	-257,594	-252,651	-255,832	-244,339	-246,511	-250,721	-258,020
(On-budget)	-145,618	-145,092	-150,158	-140,634	-141,410	-148,357	-157,065
(Off-budget)	-111,976	-107,559	-105,674	-103,705	-105,101	-102,364	-100,955
Total budget authority	3,772,713	3,990,913	4,234,877	4,374,189	4,674,166	4,933,090	5,178,555

Trends in R&D by Agency

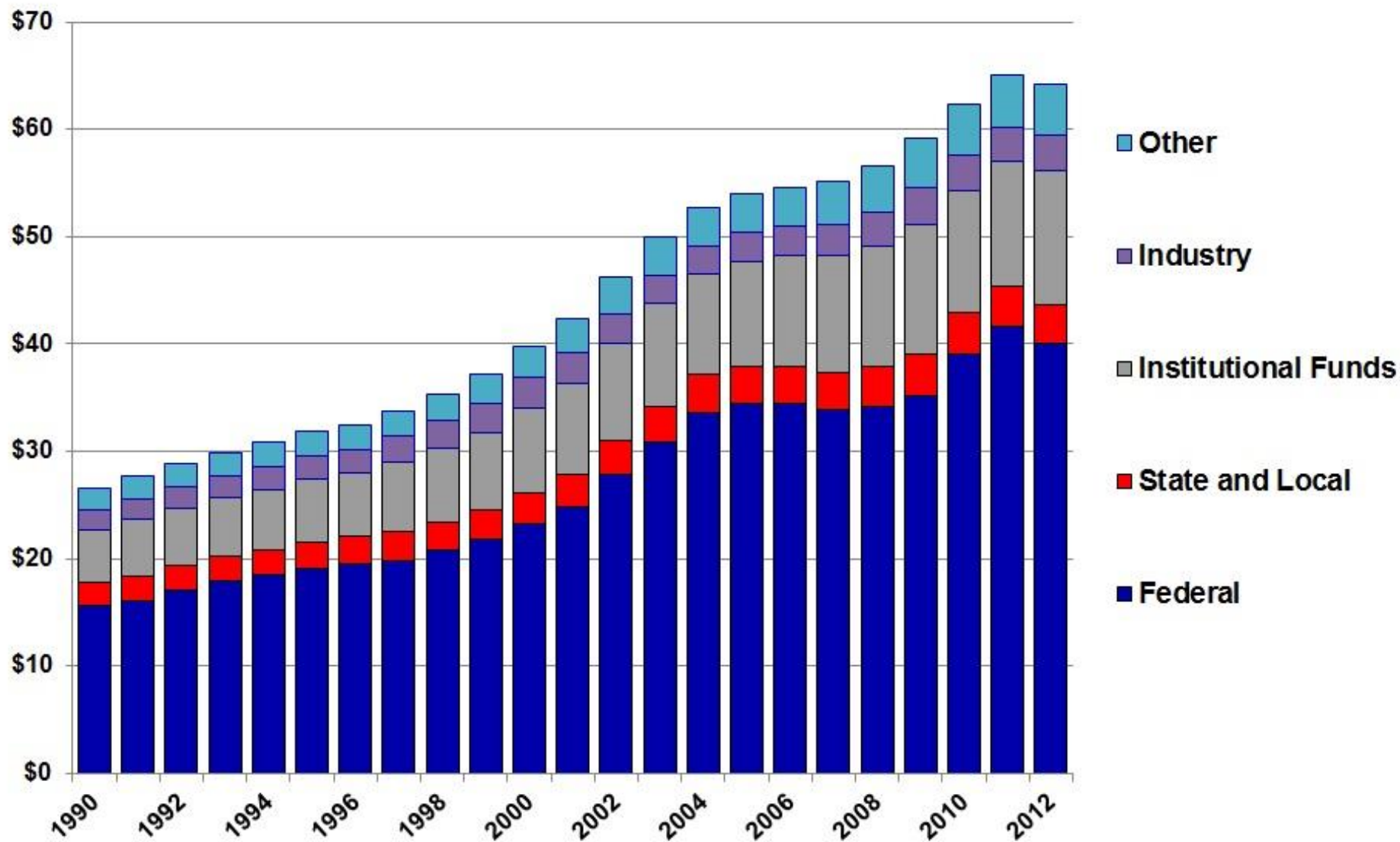
in billions of constant FY 2016 dollars



Source: AAAS Report: Research & Development series and analyses of FY 2017 budget request. 1976-1994 figures are NSF data on obligations in the Federal Funds survey. © 2016 AAAS

University R&D Funding by Source

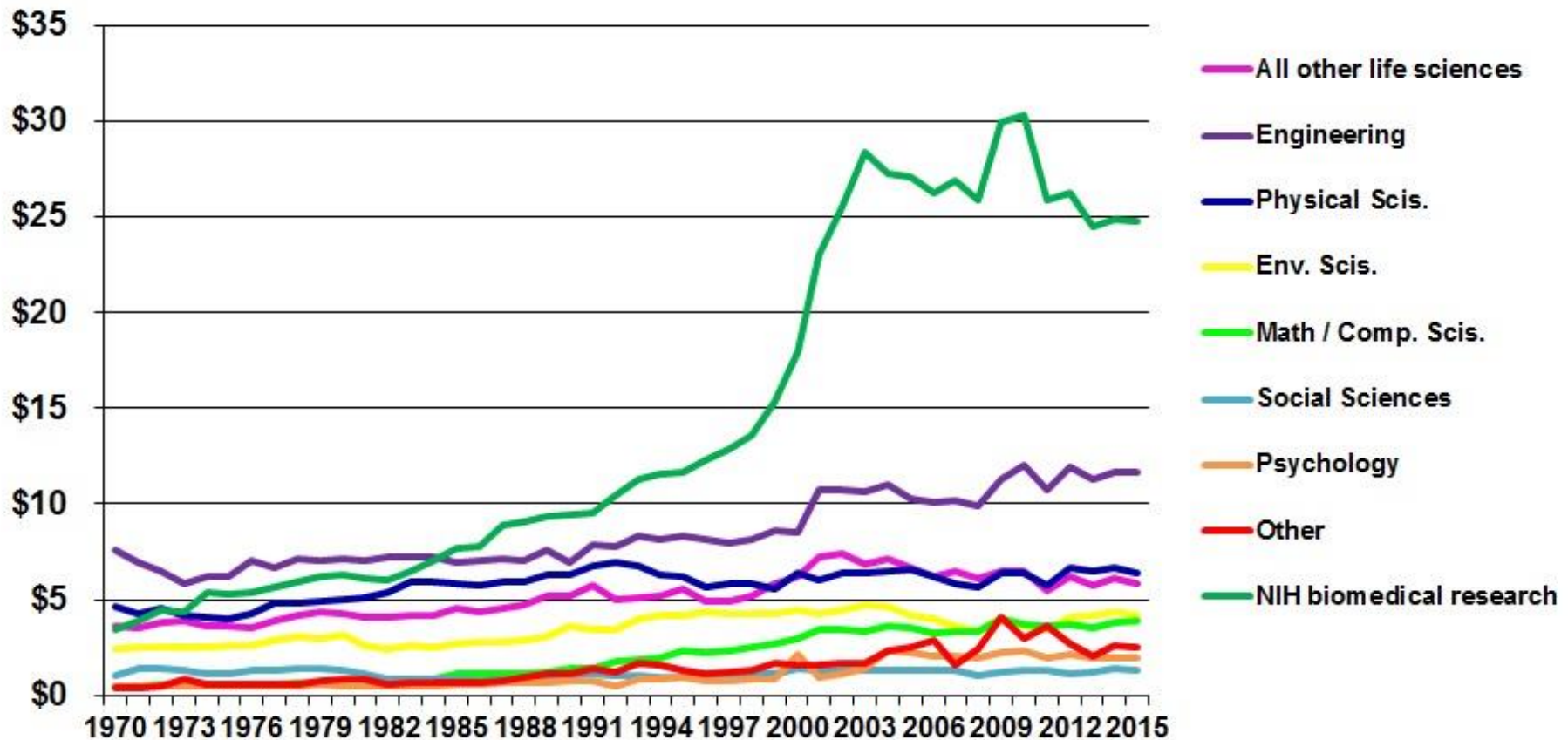
expenditures in billions, FY 2014 dollars



Source: NSF, National Center for Science and Engineering Statistics, *Higher Education R&D* series, based on national survey data. Includes Recovery Act funding. © 2014 AAAS

Trends in Federal Research by Discipline, FY 1970-2015

obligations in billions of constant FY 2015 dollars

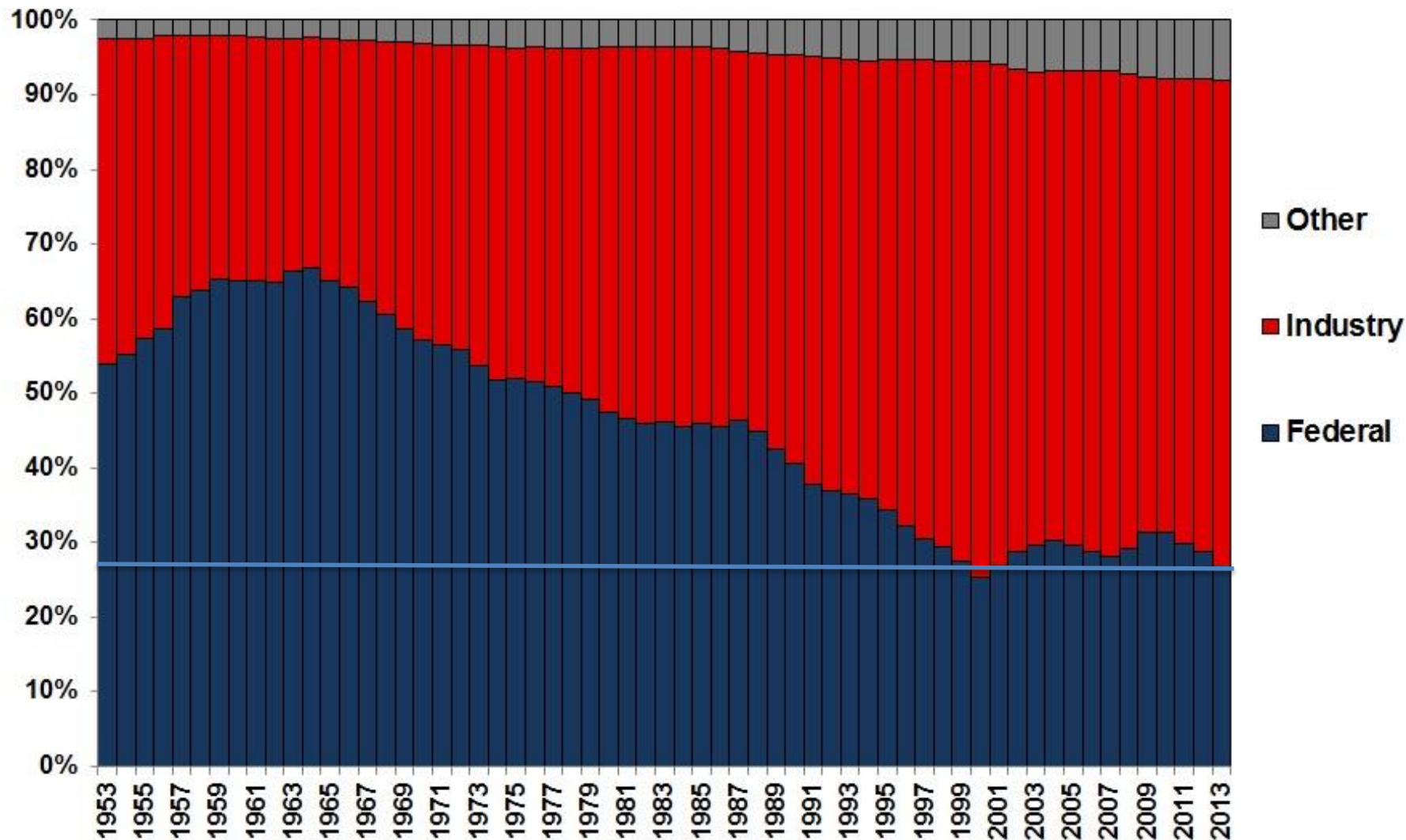


"Other" includes research not classified (includes basic research and applied research; excludes development and R&D facilities). Life sciences are split into NIH support for biomedical research and all other agencies' support for life sciences.

Source: National Science Foundation, *Federal Funds for Research and Development* series. FY 2014 and 2015 data are preliminary. Constant-dollar conversions based on OMB's GDP deflators. © 2015 AAAS

National R&D by Funder

Share of total expenditures



Source: National Science Foundation, *National Patterns of R&D Resources* series. Constant-dollar conversions based on GDP deflators from *Budget of the U.S. Government FY 2016* © 2015 AAAS

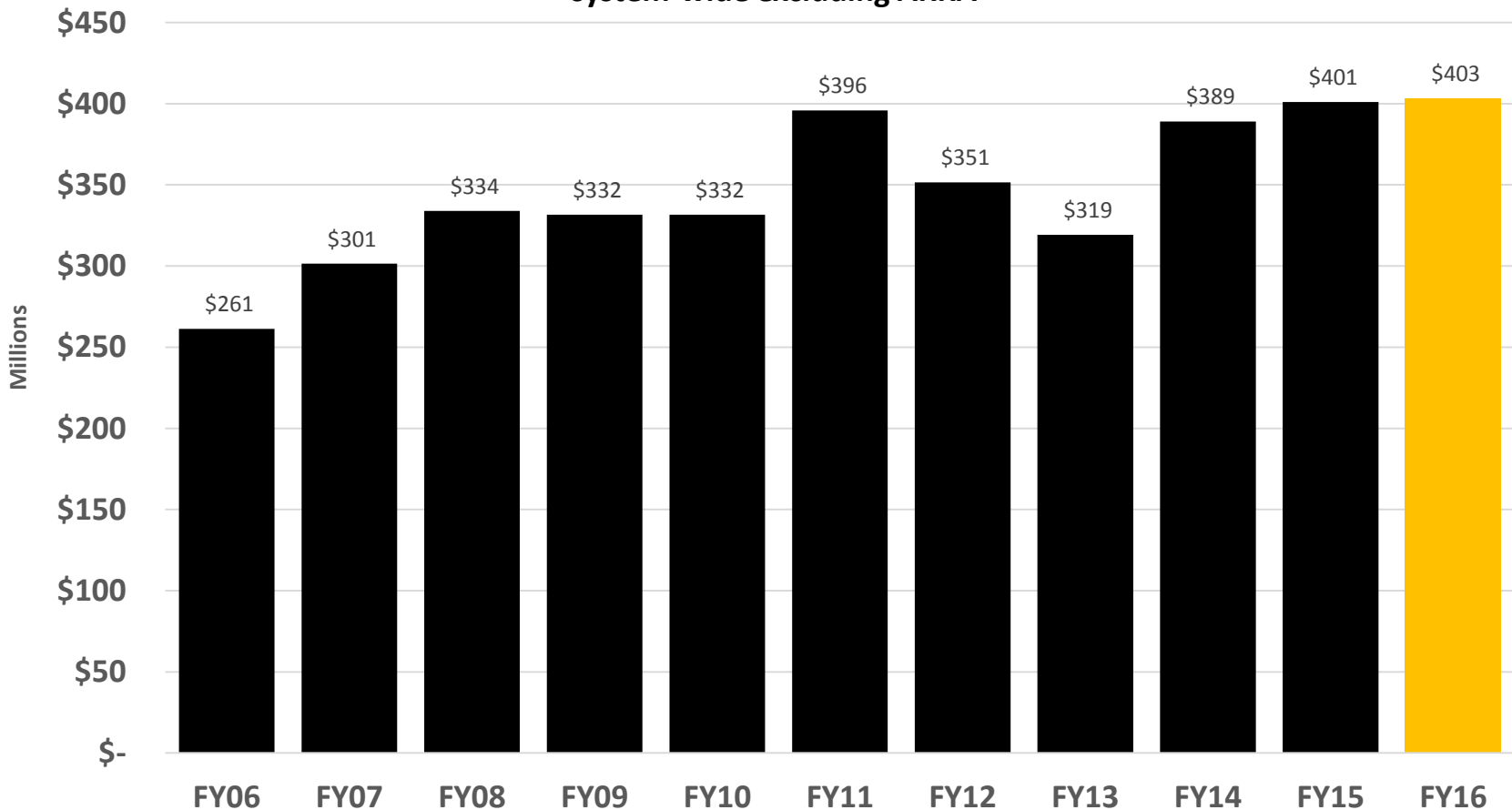
Purdue Trends



SPONSORED RESEARCH AWARDS

Research awards **\$403M**:  — *RECORD*

Sponsored Research Awards
system-wide excluding ARRA



AWARDS IN FY 2016

Award Trend by Sponsor Category, FY2012 to FY2016

Sponsor Category	2012	2012 Percentage	2013	2013 Percentage	2014	2014 Percentage	2015	2015 Percentage	2016	2016 Percentage
1. Federal	242,022,335	60%	216,161,513	54%	228,357,645	59%	228,680,190	57%	250,217,779	62%
2. Industrial/Foundations	73,224,587	18%	70,324,354	18%	98,004,984	25%	133,635,225	33%	82,232,076	20%
3. State/Local Gov'ts	22,391,985	6%	17,846,954	4%	23,350,508	6%	21,439,672	5%	39,266,060	10%
4. PRF/Purdue	13,682,936	3%	10,884,846	3%	23,674,556	6%	13,681,132	3%	28,904,378	7%
5. Foreign Gov'ts	2,230,533	1%	4,962,668	1%	16,341,478	4%	3,706,484	1%	2,786,898	1%
Grand Total	353,552,376		320,180,335		389,729,171		401,142,704		403,407,192	

Industrial/Foundation Award Trends FY2012-FY2016

	FY2012	FY2013	FY2014	FY2015	FY2016
Industrial/Foundation	73,224,587	70,324,354	98,004,984	133,635,225	82,232,076
Profit	38,556,950	37,612,455	47,059,797	55,606,110	48,456,225
Non-Profit	34,667,637	32,711,900	50,945,187	78,029,115	33,775,851
Profit Percentage of Industrial/Fdn.	53%	53%	48%	42%	59%
Total Award Amount	353,552,376	320,180,336	389,729,171	401,142,704	403,407,192
Profit Percentage of Total Award Amount	11%	12%	12%	14%	12%

AWARDS BY AGENCY

FY16 awards system-wide: \$403.4 million

4%	USDA, \$16 M
7%	PRF/PU, \$29 M
8%	DOE, \$32 M
9%	Other Fed & Foreign Govts., \$34M
10%	State/Local Govts, 39 M
10%	DoD, \$40 M
12%	DHHS (NIH), \$50 M
20%	NSF, \$81M
20%	Industrials & Fdns, \$82M

AWARDS BY AGENCY

FY14 Awards System-wide: \$389 million

5%	USDA, \$21 M
6%	DOE, \$22 M
6%	State/Local Govts, \$23 M
6%	PRF/PU, \$24 M
7%	DoD, \$27 M
11%	DHHS (NIH), \$42 M
13%	Other Fed <\$10M & Foreign Govts., \$50M
21%	NSF, \$82M
25%	Industrials & Fdns, \$98M

FY15 Awards System-wide: \$401 million

3%	PRF/PU, \$14 M
3%	DOE, \$14 M
5%	State/Local Govts, \$21 M
6%	USDA, \$25 M
9%	DoD, \$38 M
10%	DHHS (NIH), \$42 M
11%	Other Fed <\$41M & Foreign Govts., \$4M
17%	NSF, \$68M
33%	Industrials & Fdns, \$134M

FY16 Awards System-wide: \$403 million

4%	USDA, \$16 M
7%	PRF/PU, \$29 M
8%	DOE, \$32 M
9%	Other Fed & Foreign Govts., \$34M
10%	State/Local Govts, 39 M
10%	DoD, \$40 M
12%	DHHS (NIH), \$50 M
20%	NSF, \$81M
20%	Industrials & Fdns, \$82M

PURDUE DATA - SYSTEM

FY 2016 FINAL



Sponsored Program Activity Report ⁽¹⁾ for Purdue University (SYSTEM-WIDE)

	Current Period June 2016		Fiscal Year to Date 2015-16		Fiscal Year to Date 2014-15		12 Months 2014-15		12 Months 2013-14	
	Count	Amount	Count	Amount	Count	Amount	Count	Amount	Count	Amount
Proposals										
Proposals Submitted	383	\$ 185,477,406	3,468	\$ 1,249,544,323	3,340	\$ 1,100,868,941	3,340	\$ 1,100,868,941	3,141	\$ 1,012,118,586
Discovery Park Proposals	57	\$ 42,129,679	502	\$ 359,051,829	409	\$ 373,225,152	409	\$ 373,225,152	397	\$ 370,904,898
Total Proposals	440	227,607,084	3,970	1,608,596,153	3,749	1,474,094,093	3,749	1,474,094,093	3,538	\$ 1,383,023,484
Awards										
Proposals Awarded	202	\$ 25,168,422	1,686	\$ 231,319,017	1,654	\$ 272,202,574	1,654	\$ 272,202,574	1,605	\$ 228,585,393
Increases	27	\$ 4,888,963	328	\$ 51,589,016	358	\$ 46,727,745	358	\$ 46,727,745	408	\$ 54,424,181
Decreases	6	\$ (252,664)	73	\$ (8,546,500)	60	\$ (3,213,060)	60	\$ (3,213,060)	92	\$ (3,487,800)
B Awards ⁽²⁾	253	\$ 6,861,936	1,685	\$ 26,700,252	1,739	\$ 29,767,898	1,739	\$ 29,767,898	1,709	\$ 29,033,629
Sub Total Awards	488	\$ 36,666,657	3,772	\$ 331,061,784	3,811	\$ 345,485,156	3,811	\$ 345,485,156	3,814	\$ 308,555,403
Discovery Park	31	\$ 4,489,332	297	\$ 72,345,407	305	\$ 55,657,547	305	\$ 55,657,547	289	\$ 81,173,768
Total Awards	519	\$ 41,155,988	4,069	\$ 403,407,192	4,116	\$ 401,142,704	4,116	\$ 401,142,704	4,103	\$ 389,729,171
Not Funded	320	\$ 104,044,430	1,294	\$ 569,097,803	1,394	\$ 650,040,969	1,394	\$ 650,040,969	1,098	\$ 438,451,779
Discovery Park	53	\$ 33,072,459	233	\$ 236,319,661	228	\$ 296,722,663	228	\$ 296,722,663	186	\$ 240,778,943
Total Not Funded	373	\$ 137,116,889	1,527	\$ 824,617,559	1,622	\$ 946,763,632	1,622	\$ 946,763,632	1,284	\$ 679,230,722
Outstanding as of 06/30/16	2,871	\$ 1,382,715,265								
Discovery Park	437	\$ 418,048,454								
Total Outstanding	3,308	\$ 1,800,763,718								
Expenditures										
Sponsor Expenditures			\$ 301,190,440		\$ 268,708,873		\$ 268,708,873		\$ 256,870,670	
Discovery Park Expenditures			\$ 71,338,896		\$ 76,354,174		\$ 76,354,174		\$ 94,197,835	
Total Sponsor Expenditures			\$ 372,529,337		\$ 345,063,047		\$ 345,063,047		\$ 351,068,504	
Cost Sharing ⁽³⁾			\$ 9,798,384		\$ 7,580,821		\$ 7,580,821		\$ 8,035,857	
Disc Park Cost Sharing			\$ 3,623,865		\$ 3,584,179		\$ 3,584,179		\$ 5,154,800	
Total Cost Sharing			\$ 13,422,248		\$ 11,165,000		\$ 11,165,000		\$ 13,190,657	
Total Expenditures			\$ 385,951,585		\$ 356,228,047		\$ 356,228,047		\$ 364,259,162	

PURDUE DATA - WL

FY 2016 FINAL

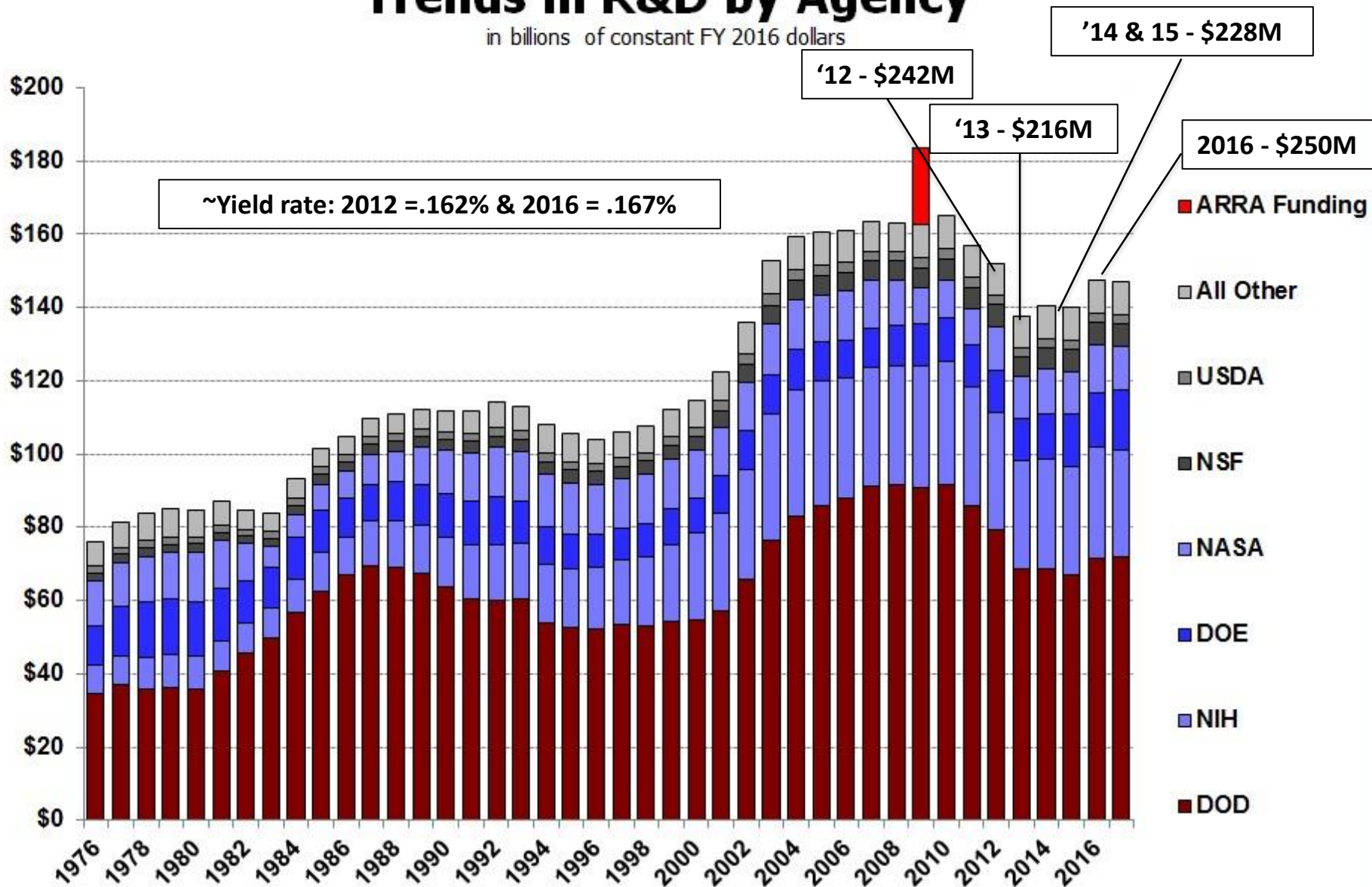


Sponsored Program Activity Report ⁽¹⁾ for the West Lafayette Campus

	Current Period June 2016		Fiscal Year to Date 2015-16		Fiscal Year to Date 2014-15		12 Months 2014-15		12 Months 2013-14	
	Count	Amount	Count	Amount	Count	Amount	Count	Amount	Count	Amount
Proposals										
Proposals Submitted	359	\$ 183,524,202	3,286	\$ 1,218,561,137	3,132	\$ 1,065,385,977	3,132	\$ 1,065,385,977	2,937	\$ 977,276,354
Discovery Park Proposals	57	\$ 42,129,679	502	\$ 358,977,388	409	\$ 373,225,152	409	\$ 373,225,152	396	\$ 370,416,253
Total Proposals	416	\$ 225,653,880	3,788	\$ 1,577,538,525	3,541	\$ 1,438,611,129	3,541	\$ 1,438,611,129	3,333	\$ 1,347,692,607
Awards										
Proposals Awarded	169	\$ 22,415,842	1,556	\$ 242,646,771	1,520	\$ 262,166,938	1,520	\$ 262,166,938	1,486	\$ 217,609,190
Increases	27	\$ 4,888,963	320	\$ 51,000,495	353	\$ 46,536,620	353	\$ 46,536,620	402	\$ 53,940,806
Decreases	5	\$ (252,624)	69	\$ (8,472,692)	55	\$ (3,095,224)	55	\$ (3,095,224)	88	\$ (3,395,680)
B Awards ⁽²⁾	252	\$ 6,816,936	1,045	\$ 36,010,257	1,704	\$ 29,545,160	1,704	\$ 29,545,160	1,703	\$ 28,447,080
Sub Total Awards	453	\$ 33,869,117	3,590	\$ 321,193,832	3,632	\$ 335,153,495	3,632	\$ 335,153,495	3,679	\$ 296,601,397
Discovery Park	31	\$ 4,489,332	297	\$ 72,345,407	305	\$ 55,657,547	305	\$ 55,657,547	289	\$ 81,173,768
Total Awards	484	\$ 38,358,449	3,887	\$ 393,539,239	3,937	\$ 390,811,042	3,937	\$ 390,811,042	3,968	\$ 377,775,165
Not Funded	317	\$ 99,736,332	1,262	\$ 548,001,124	1,270	\$ 620,772,178	1,270	\$ 620,772,178	1,065	\$ 425,970,242
Discovery Park	53	\$ 33,072,459	233	\$ 255,445,220	228	\$ 296,543,753	228	\$ 296,543,753	186	\$ 240,296,798
Total Not Funded	370	\$ 132,808,791	1,495	\$ 804,366,344	1,498	\$ 917,315,931	1,498	\$ 917,315,931	1,251	\$ 666,267,040
Outstanding as of 06/30/16	2,755	\$ 1,361,312,906								
Discovery Park	437	\$ 418,048,454								
Total Outstanding	3,192	\$ 1,779,361,360								
Expenditures										
Sponsor Expenditures			\$ 291,875,759		\$ 258,516,552		\$ 258,516,552		\$ 246,742,078	
Discovery Park Expenditures			\$ 71,325,368		\$ 76,364,085		\$ 76,364,085		\$ 94,171,233	
Total Sponsor Expenditures			\$ 363,201,127		\$ 334,880,637		\$ 334,880,637		\$ 340,913,311	
Cost Sharing ⁽³⁾			\$ 9,285,851		\$ 7,180,717		\$ 7,180,717		\$ 7,502,639	
Disc Park Cost Sharing			\$ 3,618,284		\$ 3,573,015		\$ 3,573,015		\$ 5,145,958	
Total Cost Sharing			\$ 12,904,136		\$ 10,753,732		\$ 10,753,732		\$ 12,648,597	
Total Expenditures			\$ 376,105,263		\$ 345,634,369		\$ 345,634,369		\$ 353,561,908	

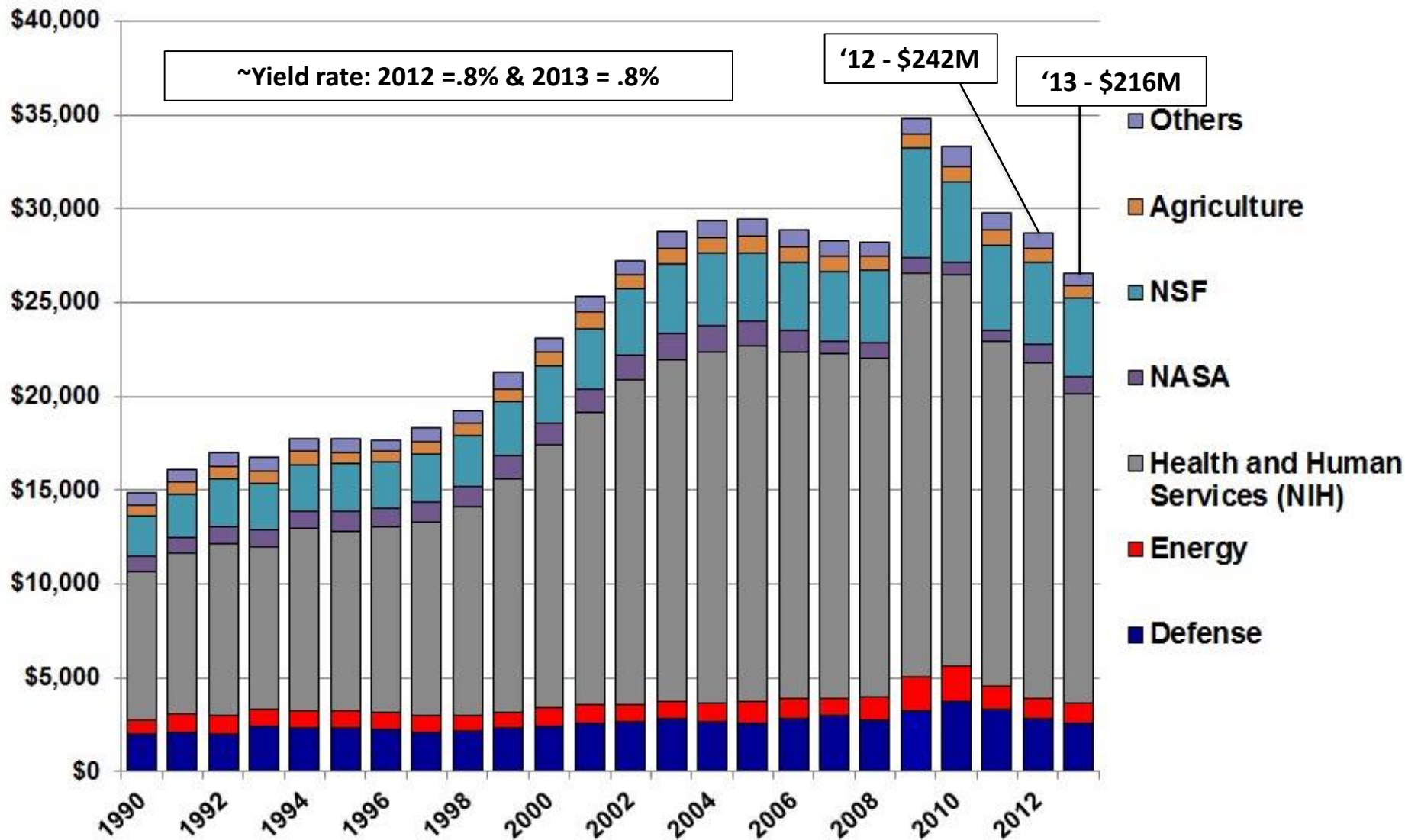
Trends in R&D by Agency

in billions of constant FY 2016 dollars



Federal Support for University R&D by Agency

obligations in millions, FY 2015 dollars



Source: National Center for Science and Engineering Statistics, *Federal Science and Engineering Support to Universities, Colleges, and Nonprofit Institutions* series, based on national survey data. Includes R&D and R&D plant. FY 2009 and FY 2010 includes Recovery Act funding. © 2015 AAAS

**What are they
talking about?**



ADMINISTRATIVE BURDEN

CURRENT LANDSCAPE

Over the past decade, there has been a variety of reports suggesting that administrative requirements are an increasing burden for both academic researchers and the institutions that support them. A 2012 report by the National Research Council's (NRC) Committee on Research Universities found that "the problem of excessive regulatory burdens is itself an issue that puts a drag on the efficiency of all university research... [potentially costing] billions of dollars over the next decade" (Research Universities and the Future of America, 2012). NCURA Magazine August 2014

RECALIBRATING REGULATION OF COLLEGES AND UNIVERSITIES

Report of the Task Force on
Federal Regulation of Higher Education

Regulatory Burden and Research Administration

Administrative burden is frequently identified by scientists as a barrier to the efficient conduct of research. FASEB recognizes that compliance and regulatory oversight are essential to the conduct of federally-supported research, it also supports efforts to harmonize and streamline reporting of this information. FASEB supports solutions that significantly reduce administrative burden while continuing to maintain accountability, integrity and safety in the research enterprise.



Administrative Burden Continues to Be Problematic in Higher Education

The Chronicle of Higher Education has posted an article about yet another report on the administrative burden faced by institutions of higher education, this one by Lamar Alexander (R-TN). Of course, the "red tape"

Regulatory burden undermining US science

Reforming Regulation of Research Universities

by [Tobin L. Smith](#), [Josh Trapani](#), [Anthony Decrappeo](#), [David Kennedy](#)

infoEDGE

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Reducing Administrative Burden in Research

Higher Ed Institutions Facing Increased Pressure to Meet Research Compliance, Reporting and Productivity Demands

ADMINISTRATIVE BURDEN

CURRENT LANDSCAPE

<http://www.faseb.org/Portals/2/PDFs/opa/2014/6.7.13%20FASEB%20NSB%20Survey%20findings.pdf>

Findings of the FASEB Survey on Administrative Burden

Table 3: Areas of Administrative Burden

Area of Burden	Highest Burden	Second Highest	Third Highest	Total Selected
Grant Proposal Preparation and Submission	675	186	88	949
Laboratory Animal Use and Care / IACUC	211	259	129	599
Training Requirements	42	124	181	347
Human Subject Research Protection / IRB	102	142	98	342
Personnel Management	55	120	131	306
Grant Effort Reporting	50	92	125	267
Laboratory Safety Oversight and Requirements	44	87	128	259
Grant Financial Reporting	33	82	95	210
Conflict of Interest Reporting	17	40	78	135
Administrative Support Funding	30	42	55	127
Management of Sub-contracts	15	39	41	95
Biosecurity/Safety and Select Agents Program	11	34	42	87
Agency Specific and Multi-Agency Funded Projects	17	17	32	66
FDA Requirements for Studying Drugs and Devices	11	16	25	52
Data Sharing	5	13	26	44
Other	-	-	-	70

<http://www.nap.edu/catalog/21803/optimizing-the-nations-investment-in-academic-research-a-new-regulatory>

- “many are concerned that the unintended cumulative effect of federal regulations undercuts the productivity of the research enterprise and diminishes the return on the federal investment in research”

UNIFORM GUIDANCE PERSPECTIVE

WHAT WAS THE UG INTENDED TO DO?

- Consolidate the Guidance ✓
- Focus on Internal Controls ✓
- Eliminate Duplicative and Conflicting Guidance
- Provide For Consistent and Transparent Treatment of Costs
- Strengthen Oversight
- Target Audit Requirements on Risk of Waste, Fraud, and Abuse

WHAT IS THE COGR TALKING ABOUT?

TOPICS – FY 2016

- Open issues related to Uniform Guidance (UG)
- Procurement standards in the UG
- FLSA – Department of Labor overtime rule
- Research terms and conditions

UG UPDATE

OPEN ITEMS FROM MARCH 16 COGR LETTER TO OMB

- 1) **Procurement.** Survey and Letter submitted. Extend grace period and re-open rulemaking?
- 2) **Conflict of Interest.** OMB is interested in reviewing COGR analysis. Some solutions discussed included “harmonizing definitions” and other basic clarifications. Is it talking about research COI or procurement?
- 3) **1.3% UCA and REUI weighting factor.** CAS and ONR have stated they don’t have engineering background. OMB will work with the Energy. If/when a change is approved, OMB will post the new REUI on their web site.
- 4) **DS-2.** OMB is interested in the COGR proposed language (i.e., eliminate the 6 month approval process). OMB and the COFAR are committed to work with the Federal community, including CAS, ONR, and the IGs, to gauge support for such a change.
- 5) **Subrecipient Monitoring and Safe Harbor.** OMB is open to technical corrections and/or FAQs to clarify subrecipient monitoring responsibilities per 200.331(d). Clarify safe harbor.
- 6) **For-Profits/10% de minimus and Foreign Entity Subrecipients.** OMB is open to technical corrections and/or FAQs. They understand the challenge to a for-profit to accept 10% and the challenge to our institutions of having to do rate negotiations. They will take this issue to the COFAR. As to foreign entities and monitoring responsibilities and the expectation of foreign entity compliance with the UG, they are willing to help clarify if we can be very specific as to what our concerns and recommendations are prior to sharing with OMB.
- 7) **Research Terms and Conditions (RTCs) and Uniformity.** OMB is supportive and will promote uniformity when possible. Though OMB stated a uniform 120-day grant close-out model currently is not being considered, we suggested that this could be an ideal Data Act pilot.
- 8) **Codification of the Preamble and FAQs.** OMB provided a detailed explanation in their May 16 letter. They reiterated in the letter that the FAQs would continue to be incorporated in the annual Single Audit Compliance Supplement.
- 9) **Cost Share and F&A deviations.** The problem is when deviations show up in funding announcements and are too late to address. Ombudsman solution?
- 10) **OMB Ombudsman.** While the establishment of a specific position is not possible at this time, OMB is committed to being informed of agency deviations. We suggested that OMB establish a “process” where we share specific situations with OMB, OMB follows up with the agency, and then we reconnect at a later date to monitor/confirm action.

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NATIONAL SCENE

FROM COGR

Procurement Standards (2 CFR 200.317-326)

In the May 2016 COGR Update (dated May 24, 2016) and at the June COGR Meeting COGR provided updates on recent developments and the implementation status of the Procurement Standards (2 CFR 200.317-326).

- We know that OMB and the COFAR have reviewed the COGR/AIRI Letter (*Administrative and Cost Impact of the \$3,000 Micro-purchase Threshold*) and the corresponding Procurement Survey that were submitted on June 1, 2016.
- An extension of the grace period for implementation of 2 CFR 200.317-326 is expected to be approved. The grace period will be extended to FY 2019 (i.e., July 1, 2018 for most institutions) and will be announced in the Preamble to Proposed Rulemaking.
- The Proposed Rulemaking will invite comments specific to 2 CFR 200.320(a), Procurement by Micro-purchases. The timeline for the Federal Register Notice is September/October 2016.
- Over the remainder of 2016 and into the first-half of 2017, the Rulemaking process will unfold. Under this timeline and due to an extension of the grace period, regardless of any modifications, 2 CFR 200.317-326 will become effective in FY 2019.
- Hope is for a higher limit and the ability to move the Micro-purchase level to something like \$7,500 or \$10,000 or higher if it meets the institutional risk threshold.

NATIONAL SCENE

FROM COGR

Department of Labor Overtime Rule

- On May 18, DOL released its Final Rule increasing the salary threshold from \$23,660 to \$47,476 with automatic increases every three years.
- COGR voiced its concerns in its comment letter, and invited Josh Ulman, Chief Government Relations Officer, CUPA-HR, to its June meeting to discuss the latest developments since the release of the Final Rule. CUPA HR, will try and block the regulations before the Dec 1st implementation. *Stands little chance, we should get prepared.*
- COGR continues to advocate its cause however will be focusing its efforts on sponsor outreach for any guidance that may be available as agencies prepare for final implementation on December 1, 2016.
- NIH NRSA support stipends will be raised to the minimum. If you have pending applications in, you do not have to do anything to adjust. NIH will adjust. NIH will have these remain as fellowship-type stipends, not employee awards.
- Postdoctoral researchers on research grants, news not as great. It is likely to be left up to the institutions to deal with how they want to handle. If they want to raise the salary, consider OT, etc. Funding will most likely be the institutions responsibility, either through OT or additional salary.

NATIONAL SCENE

FROM COGR

Dr. Jean Feldman and Michelle Bulls joined COGR in June to present the latest developments regarding the PAPPG and RTCs

Research Terms and Conditions (RTCs)

- COGR is encouraged by the changes to the RTCs at this juncture and will update the membership when the RTCs have been released to the research community.
- COGR will continue its advocacy to encourage other agencies to join the Federal-wide RTCs. Participating Agencies for RTC NIFA, NIST/NOAA, DHS, DOE, FAA, EPA, NASA, NSF, NIH
 - Will incorporate entire UG by reference, and provide clarity for select provisions.
 - Incorporate by reference the OMB FAQs which have the full force and effect of the UG.
 - Apply to an award when included as part of the award or when incorporated in the award by reference.
 - Apply to research and research-related grants made by participating agencies made to participating institutions of HE and non-profit.

Post Award Policy and Procedure Guide (PAPPG)

- COGR had no comments to the PAPPG and will submit its response to the Federal Register Notice to thank the NSF for the improvements and clarification made to the Guide.
- Purpose of PAPPG was to develop a standard format for use in reporting final progress reports.
- Participating Agencies include: NISF, NIST/NOAA, **DOD**, DOE, **DE**, DHS, **DOT/FAA**, **DOJ**, EPA, NASA, **NEH**, NIH, NSF.

WHAT IS THE CIC TALKING ABOUT?

TOPICS – FY 2016

- Prior approval for accepting grants and contracts
- Financial supported and management of Centers and Institutes
- Clinical Trials management systems
- Cloud/campus computing services
- Cost sharing expectations of sponsors
- Accepting credit card payments for sponsored projects
- Crowd funding
- Effort Reporting routing and approval
- Practices for returning F&A back to the PI and/or the PI's department
- Subrecipients without a federally-negotiated rate
- Facility clearance/classified research
- Post Docs – FLSA impact
- Up-front IP or technology access fees and terms (IP Fees in contracts)
- IRB Systems
- Proposal Policies
- NSF Analytics Audits
- NDAs/MTAs
- Payment Terms
- F&A
- Dependent Care

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- Clinical Trials management systems
- Cloud/campus computing services
- Cost sharing expectations of sponsors
- Accepting credit card payments for sponsored projects
- Crowd funding
- Effort Reporting routing and approval
 - John Hanold PSU “At Penn State, mules drag stone tablets from department to department. I once suggested converting to paper, but concerns were raised about putting so many mules out of work.”
- Practices for returning F&A back to the PI and/or the PI’s department
- Subrecipients without a federally-negotiated rate
- Facility clearance/classified research
- Post Docs – FLSA impact
- Up-front IP or technology access fees and terms (IP Fees in contracts)
- IRB Systems
- Proposal Policies – “Is anyone charging for late proposal submission?”
- NSF Analytics Audits
- NDAs/MTAs
- Payment Terms
- F&A - Are states paying F&A?
- Dependent Care

SPS LANDSCAPE

WHERE ARE WE TODAY?



BUILDING BLOCKS

HOW DOES IT ALL TIE TOGETHER?

FY 2015

- IP Policy Review
- ImageNow
- Customer Service
- Web Presence
- Contracting Options
- Uniform Guidance
- Professional Growth & Development
- Regional Campus Engagement

FY 2016

- COEUS Replacement
- Cash Management
- Strategic Partnerships
- Update Contract Templates
- Life Cycle of an Account
- Quality Assurance Reviews
- Professional Growth & Development
- Regional Campus Engagement

FY 2017

- Job Family Structure
- Proposal Deadline
- COEUS Replacement
- SPS Dashboard
- Internal Training Plan
- Quality Assurance Reviews
- Professional Growth & Development
- Regional Campus Engagement

Assessment

Improvement

Refinement

HIGHLIGHTS

FY 2015 GOALS

- Modified University IP policy – 7/1/15 effective date
- Implemented ImageNow
- Explored ways to improve customer service
- Improved our web presence
- Fully launched and promoted new Applied Research Contracting Models
- Implemented the Uniform Guidance 12/26/14

1 of 8 universities
featured in 2014 edition of
“New Models for
University-Industry
Collaborations” by
University-Industry
Demonstration
Partnership”

FY 2015

- IP Policy Review
- ImageNow
- Customer Service
- Web Presence
- Contracting Options
- Uniform Guidance
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PURDUE UNIVERSITY Sponsored Program Services

Home General Directory Pre-Award Post Award Contracting Data Quality Assurance Cosus Research & Partnerships PRF

Uniform Guidance

Uniform Guidance Home
Key Changes / Action Plan
Faculty/PI Information
Resources
Implementation
Purdue Committee
Contact Us

Uniform Guidance

Effective December 26, 2014, the rules related to federally-sponsored awards are changing. Institutions of Higher Education, the Federal Government's Office of Management and Budget, its other non-federal partners (state, local governments and nonprofit organizations) and the audit community have been working together to streamline the Federal Government's guidance on Administrative Requirements Cost Principles, and Audit Requirements for Federal Awards. These modifications are a key component of a larger Federal effort to more effectively focus Federal resources on improving performance and outcomes while ensuring the financial integrity of taxpayer dollars. The Federal Government is referring to this effort as Uniform Guidance.

What is the Uniform Guidance?

The Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance) was issued on December 26, 2013. This final guidance supersedes and streamlines requirements from eight separate OMB Circulars into one document. Included in the new guidance along with definitions are uniform administrative requirements for pre and post award, cost principles, and audit requirements. For Purdue's grant administration the Uniform Guidance will supersede OMB Circulars A-110, A-21, and A-133. The overarching goal is that the reform of OMB guidance will improve the integrity of financial management and operations of Federal programs while strengthening accountability of Federal dollars by improving policies that protect against fraud and waste.

The new OMB Guidance is located at 2 CFR 200. The regulations are broken into the following subparts:

- Subpart A - Acronyms and Definitions
- Subpart B - General Provisions (From A-110)
- Subpart C - Pre Award (From A-110)
- Subpart D - Direct Award (From A-110)

Diagram: A flowchart showing the relationship between OMB Circulars (A-110, A-21, A-133) and Purdue University Guidance (PUG). The OMB Circulars are grouped under 'OMB Circulars'. Below them is a box labeled '2 CFR 200' containing 'A B C D E F'. Below this box are 'FAQs', 'COBR', 'COFAR', and 'Agencies'. An arrow points down to 'Purdue University Guidance (PUG)'. Below PUG are 'CAS', 'SPS Handbook', 'ORCs', and 'Web Sites', which are grouped under 'Purdue Tools'.

HIGHLIGHTS

FY 2016 GOALS

- 26% reduction in average daily cash deficit of federal funds
- Improved billing and follow-up procedures
- Improved our contract payment terms
- Assessed the market for eRA systems
- Created a contract template for Strategic Partnerships
- Created (6), reviewed/updated (11) contracting templates
- Created, modified and rolled-out the Life Cycle of Account series (9 modules - 681 attendees)
- Completed 6 RQA reviews
- Completed 7 audits (3 Underway)
- Made 7 regional campus visits
- Developed a new proposal worksheet (in testing)
- Continued implementation of ImageNow and Perceptive Content
- Launched Purdue Partner's Platform
- Storage Footprint Reduction



FY 2016

- COEUS Replacement
- Cash Management
- Strategic Partnerships
- Update Contract Templates
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- Quality Assurance Reviews
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- Regional Campus Engagement

CASH MANAGEMENT

Goal: Review, draft and implement revised account management procedures to improve cash management and reduce bad debt and administrative write-offs and implement new payment term contractual guidelines for industrial and foundation sponsors; and evaluate, study and alter the letter of credit draw schedule to improve the 3-year average cash balances

Average Daily Cash Balance - Federal Funds

FUND NUMBER	FUND NAME	3-Year Average	FY 16 - Spring
4041015010	PU NSF RESEARCH	(4,030,437.99)	(1,286,474.63)
4041025110	PU DHHS RESEARCH	(2,993,255.49)	(936,478.07)
4041035210	PU NASA RESEARCH	(388,542.32)	(125,274.14)
4041045310	PU DOD RESEARCH	(3,937,114.70)	(4,626,014.14)
4041055410	PU DOE RESEARCH	(2,215,675.64)	(2,808,564.67)
4041065510	PU AID RESEARCH	(475,997.47)	(480,816.51)
4041075610	PU DOI RESEARCH	8,793.72	(22,804.83)
4041085710	PU DOT RESEARCH	(392,103.98)	(721,777.60)
4041095810	EPA	(91,409.47)	(89,829.29)
4041105910	PU USDA RESEARCH	(1,434,579.24)	(922,420.25)
4041116010	PU ED RESEARCH	(176,383.41)	(43,230.15)
4041126410	PU OTHER FEDERAL RES	(1,841,703.80)	(1,226,266.14)
	Total	(17,968,409.79)	(13,289,950.42)
	Difference		4,678,459.37
	Percent Change		-26%

FY 2016

- COEUS Replacement
- **Cash Management**
- Strategic Partnerships
- Update Contract Templates
- Life Cycle of an Account
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LIFE CYCLE ACCOUNT TRAINING

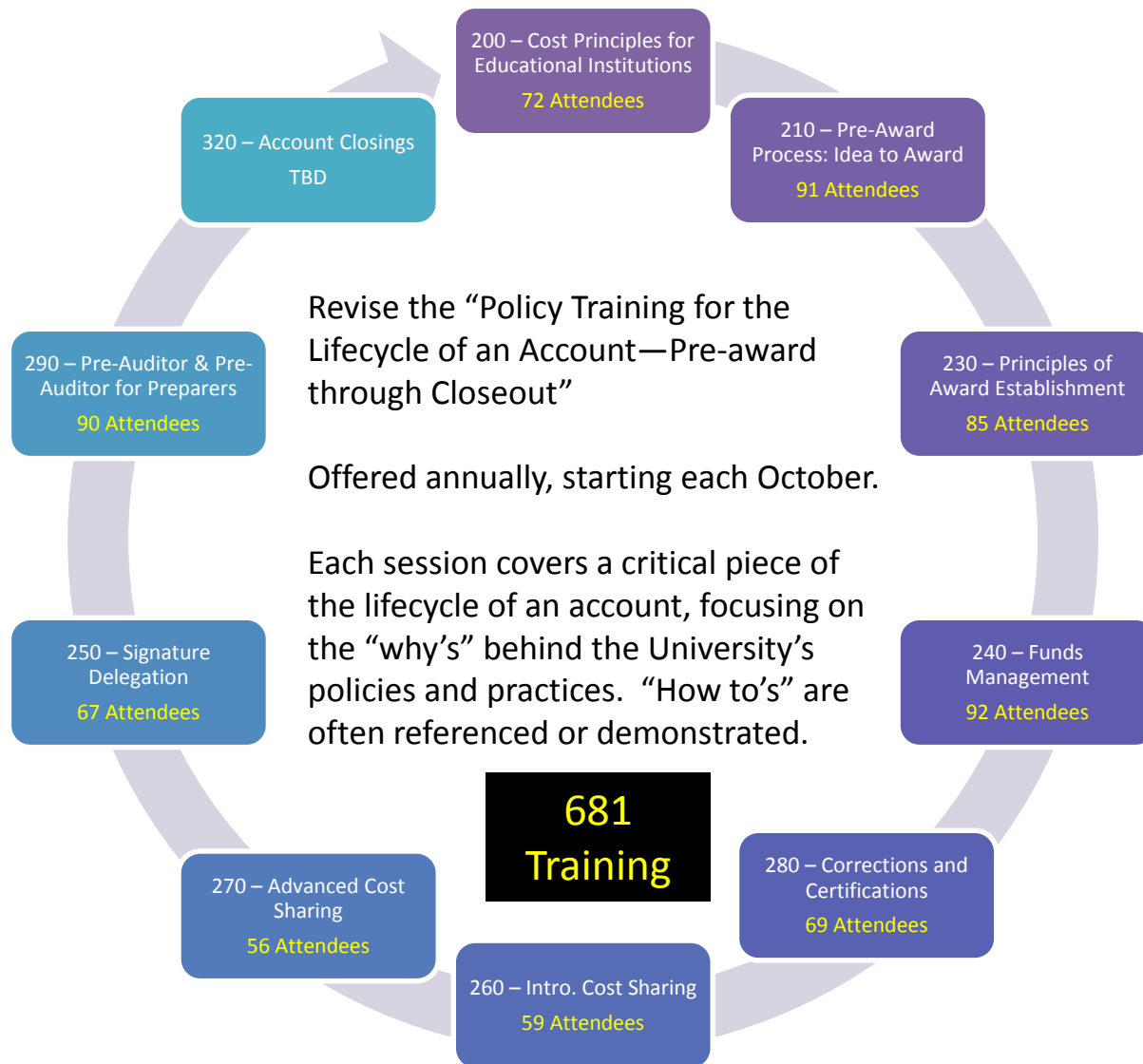
Goal: Partner with Business Management and the Comptroller's Office to create/revise the life cycle of accounts curriculum, implement and deliver training targeted at new and experienced staff on the life cycle of accounts.

Life Cycle Course Name:	Actual Attendance	Schedule
BLCA 200 - Cost Principles for Educational Institutions	72	10/9/2015 10/15/2015
BLCA 210 – The Pre-Award Process: Idea to Award	91	10/27/2015 11/10/2015
BLCA 230 – Principles of Award Establishment	85	11/18/2015 12/2/2015
BLCA 240 – Account Management (Day-to-Day Tasks)	92	12/12/2015 01/21/2016
BLCA 280 – Corrections and Certifications	69	2/11/2016 2/17/2016
BLCA 260 – Introduction to Cost Sharing	59	3/8/2016 3/16/2016
BLCA 270 – Advanced Cost Sharing	56	4/14/2016
BLCA 250 – Signature Delegation	67	5/5/2016 5/11/2016
BLCA 290 – Pre-Auditor Training	22	6/16/2016
BLCA 290N - Pre-Auditor Training for Preparers	68	6/30/2016 7/29/2016
BLCA 320 – Closing (online development)		TBD
Total	681	

FY 2016

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- Update Contract Templates
- **Life Cycle of an Account**
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LIFE CYCLE OF AN ACCOUNT SERIES



AUDITS IN FY 2016

Open:

1. NSF Audit for the period April 2012 – March 2015 - \$238M – Pending/In-Process
2. U.S. AID Afghanistan Audits. Grant 105252 for Jan-Dec 2014 \$691K and Grant 100589 Closeout(Sep 2006-Mar 2011) \$7M – Report submitted by OIG to USAID – [One finding on sub-recipient monitoring that was not withheld](#) – awaiting final closing by USAID
3. USDA APHIS Review – Grant 106303 - Audit completed and [no findings noted](#) - waiting on final report

Closed:

1. IN DWD Audit/Inventory of Equipment 2006-14 (Grant 202096 & 204077) – [No material findings](#) – inventory updated
2. Single Audit – A-133 Federal Awards Audit - [No findings or material weaknesses](#)
3. Health Research Inc. - Grant 105278 - Provide documentation to support invoices for the period Jan-Mar 2014 (\$11,760.66) - [No material findings](#)
4. Uniform Guidance (Purdue Internal Audit) – audit of implementation of Uniform Guidance – [two recommendations 1\) invoice notification and 2\) follow-up](#) – changes implemented
5. ONR Audit by HHS OIG – Grant 103743 - [No findings](#)
6. DOL Monitoring Review – Grant 106804 at Calumet - [No findings](#)
7. Sandia National Labs Desk Audit – 25 Grants – [No Findings](#)

FY 2017

WHAT CAN YOU EXPECT IN FY 2017

1. Finalize job family, subfamily and job definitions for the job family structure implementation in SPS; work collaboratively with HR to update job descriptions in accordance with established deadlines
2. Evaluate a proposal deadline policy, assess its potential implementation and deliver a report to the Senior Vice President and Assistant Treasurer
3. COEUS Replacement – Develop a set of operational priorities, needs and metrics for a new eRA system, participate in RFP process as approved and supported by the Treasurer’s Office, begin implementation of identified system elements in support of proposal, negotiation, IRB, COI and IACUC migration to a new system
4. Training – Develop a comprehensive training program for new and existing staff
5. Develop and rollout a web based dashboard that provide executive leaders (Treasurer, EVPRP, etc.) and internal units with information to monitor, track and manage sponsored program activity and identify key trends
6. Engage in and bring to resolution approximately 4 external audits and 8 internal quality assurance reviews and share the results with the research community at all Purdue University campuses

FY 2017

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FY 2017

WHAT ELSE CAN YOU EXPECT

- Rollout an enhanced proposal worksheet tool (Proposal Information Portal PIP)
- Finalize NSF Audit, assess findings and develop system-wide process and procedural improvements to ensure strong internal controls, business office understanding and SPS support
- Develop and implement RAP goals for Business Offices and SPS
- Upgrade Perceptive Content (Imaging System) and roll it out to business offices and Regional Campuses
- Targeted process improvements initiatives

FY 2017

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Thank You!