

# Research Administration Forum

February 16, 2010



# Agenda

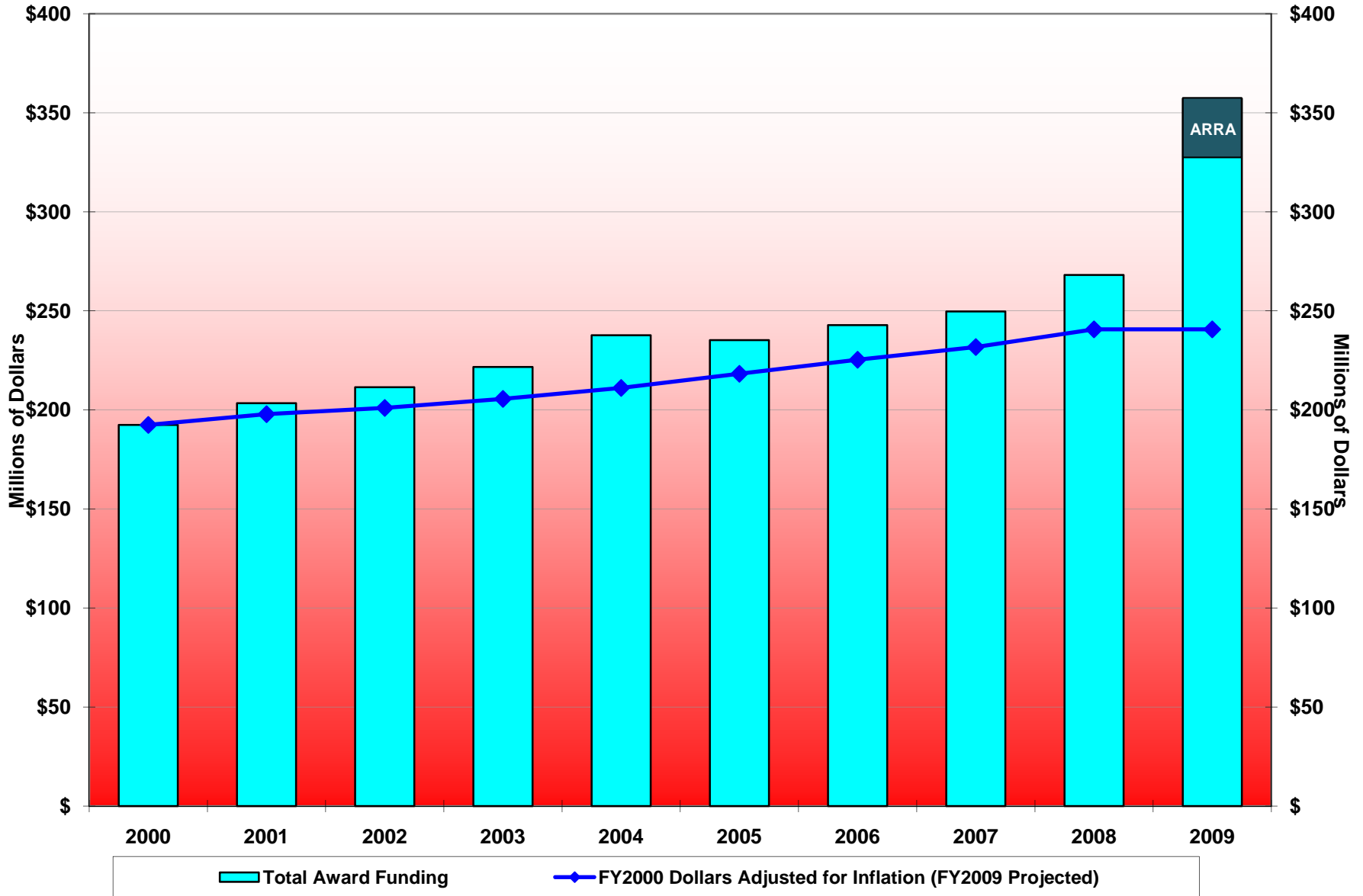


- **Research Administration Annual Report**
- **Recovery Act**
- **NSF OIG Audit**
- **Campus Export Document Requirements**
- **Oracle iExpenses**
- **Non-Faculty PIs**
- **Miscellaneous Announcements**

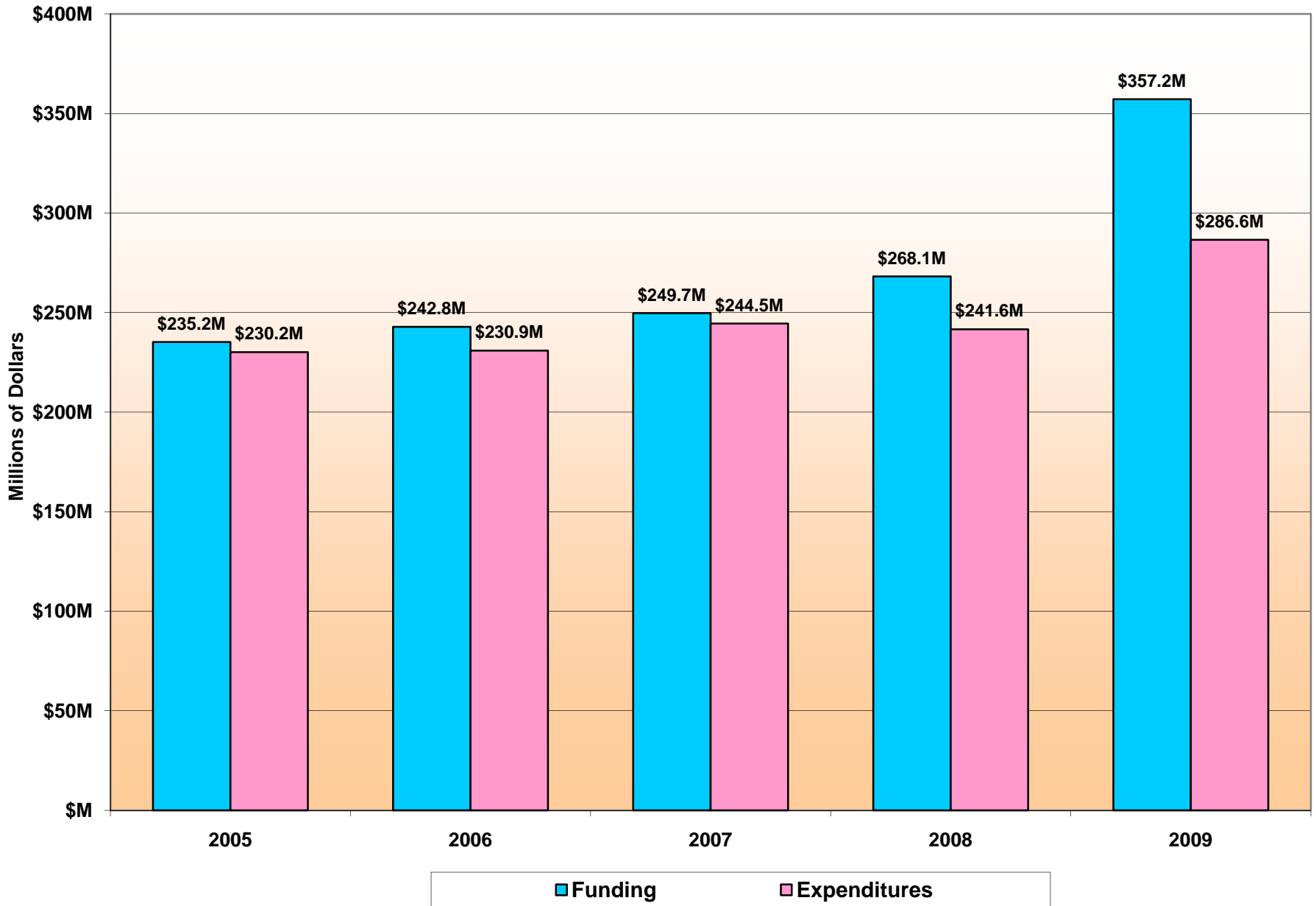
# Research Administration Annual Report



**California Institute of Technology**  
**10-Year Contract and Grant Funding - FY2000-FY2009**  
**Compared to FY2000 Dollars Adjusted for Inflation**  
 (Inflation Rates Based Upon Average Annual Consumer Price Index)

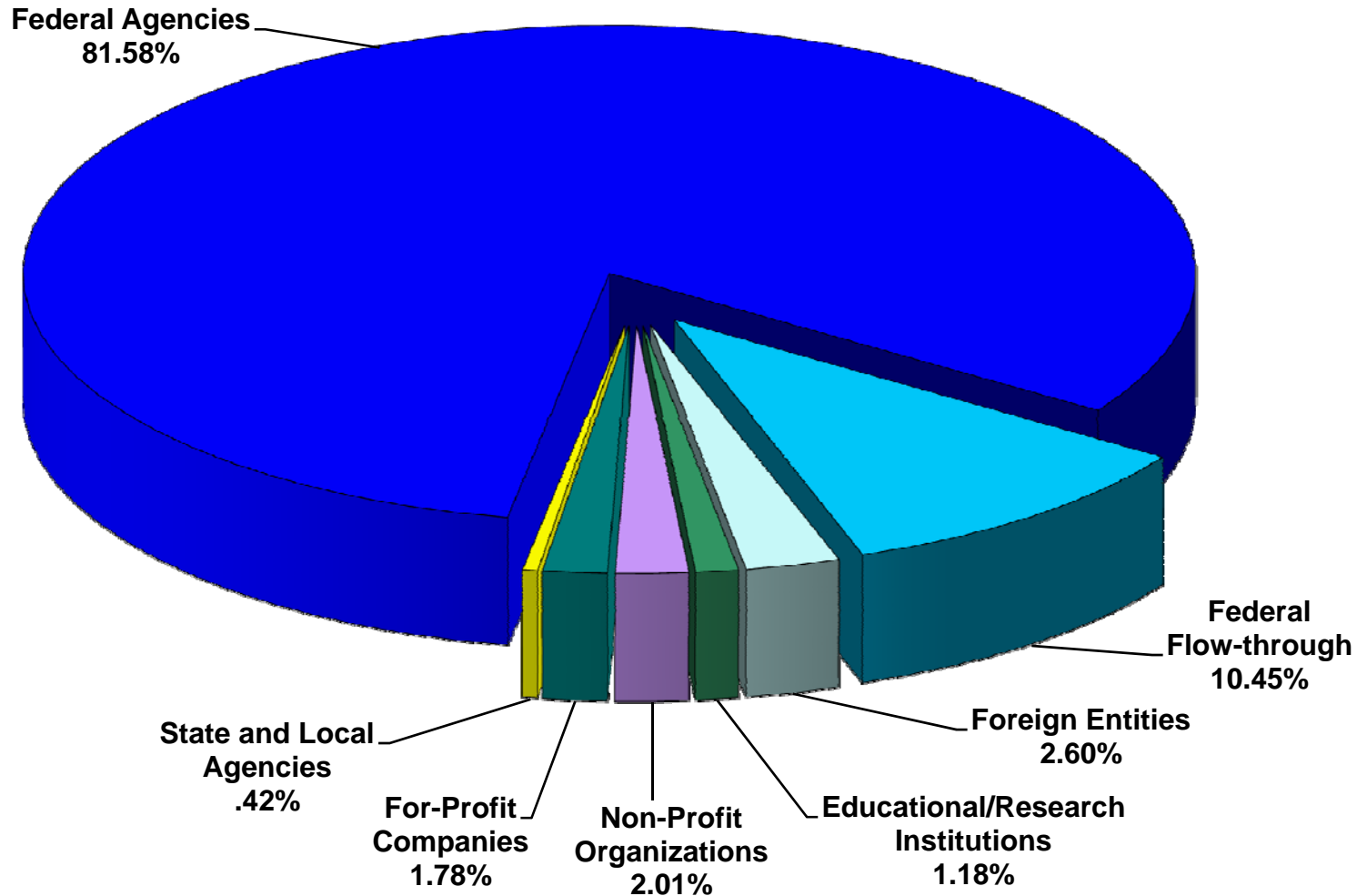


California Institute of Technology  
Contract and Grant Funding and Expenditures: FY2005-FY2009

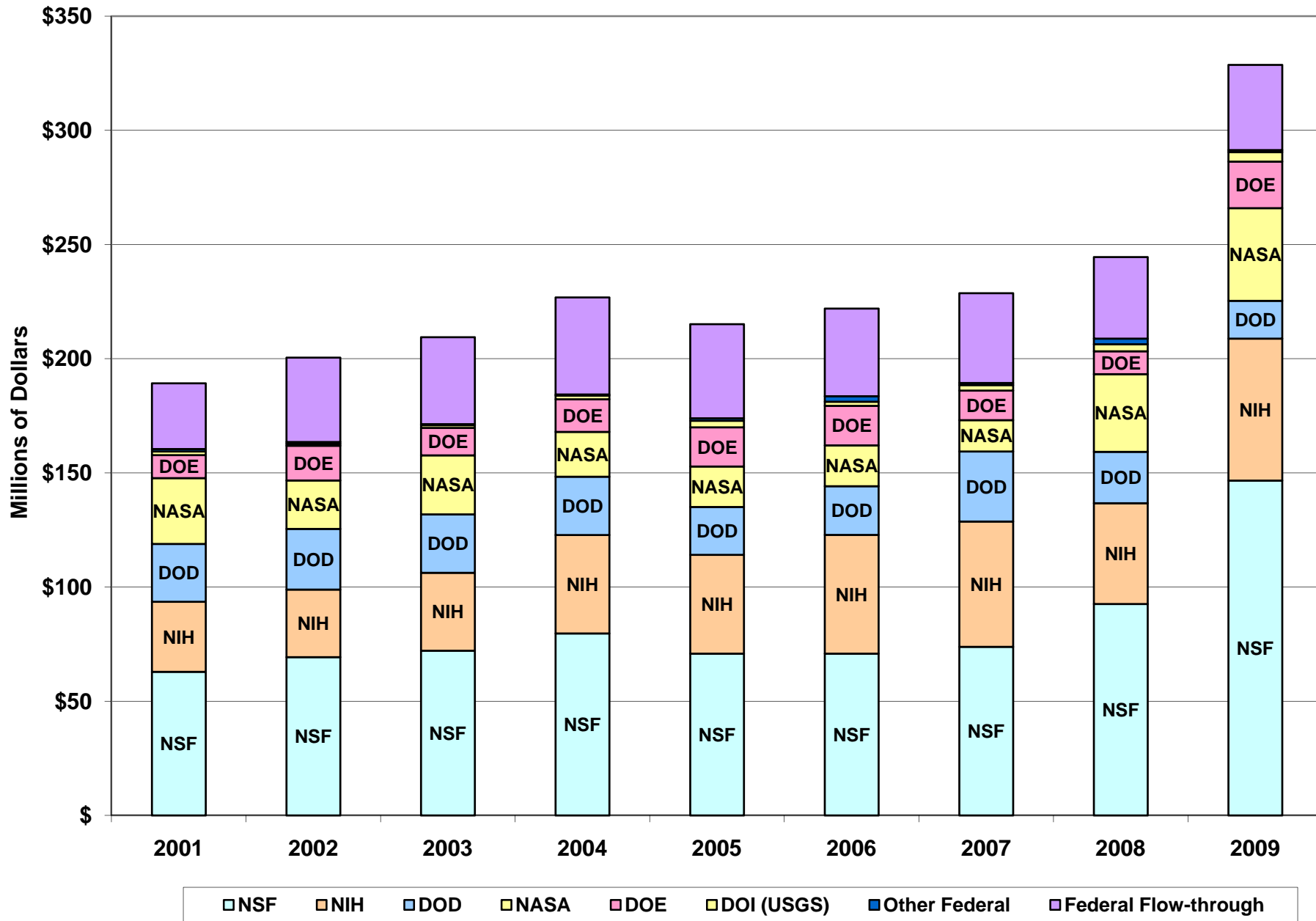


California Institute of Technology  
Contract and Grant Funding, by Sponsor Type - FY2009

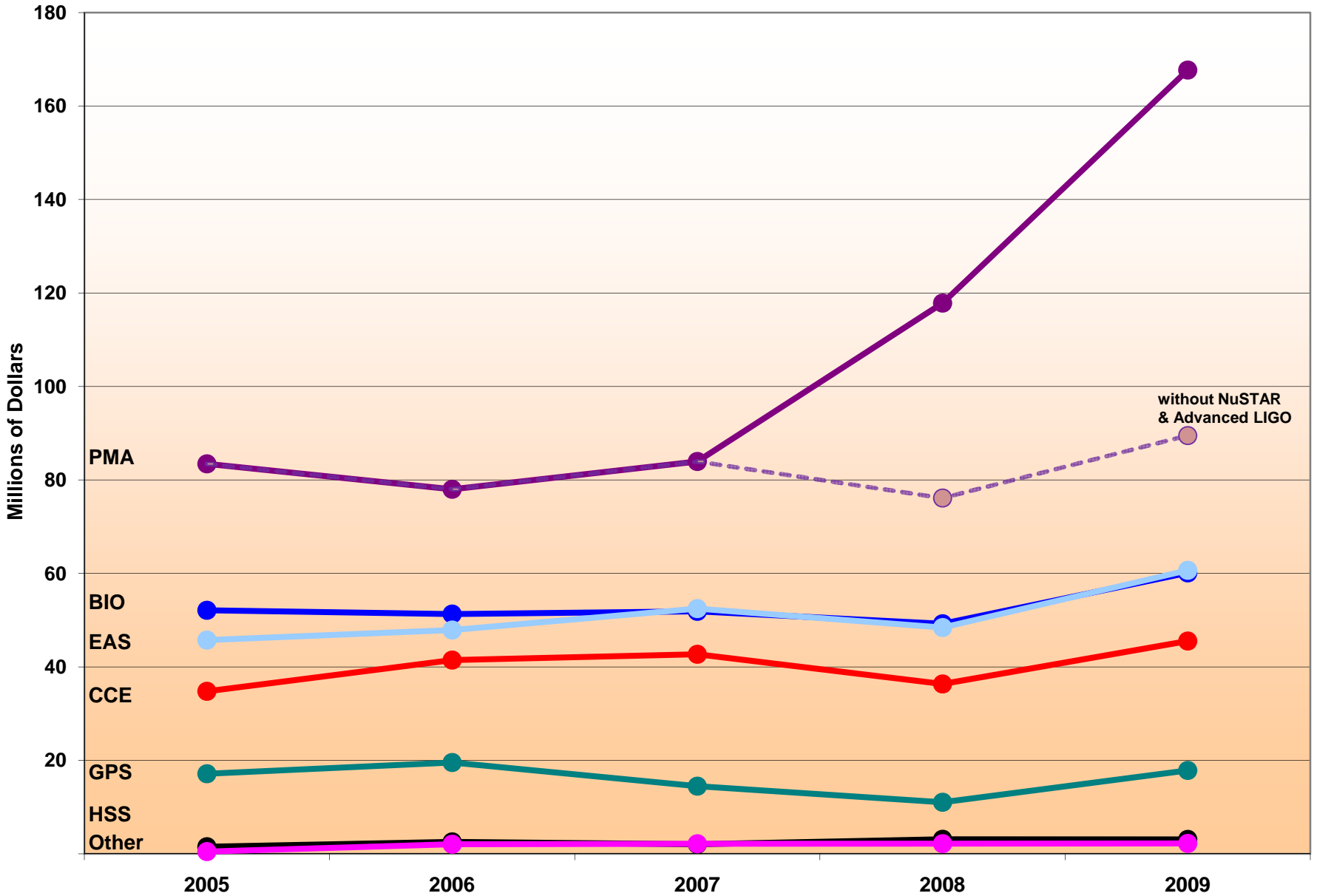
\$357,180,798



# California Institute of Technology Federal Contract & Grant Funding - FY2001-FY2009

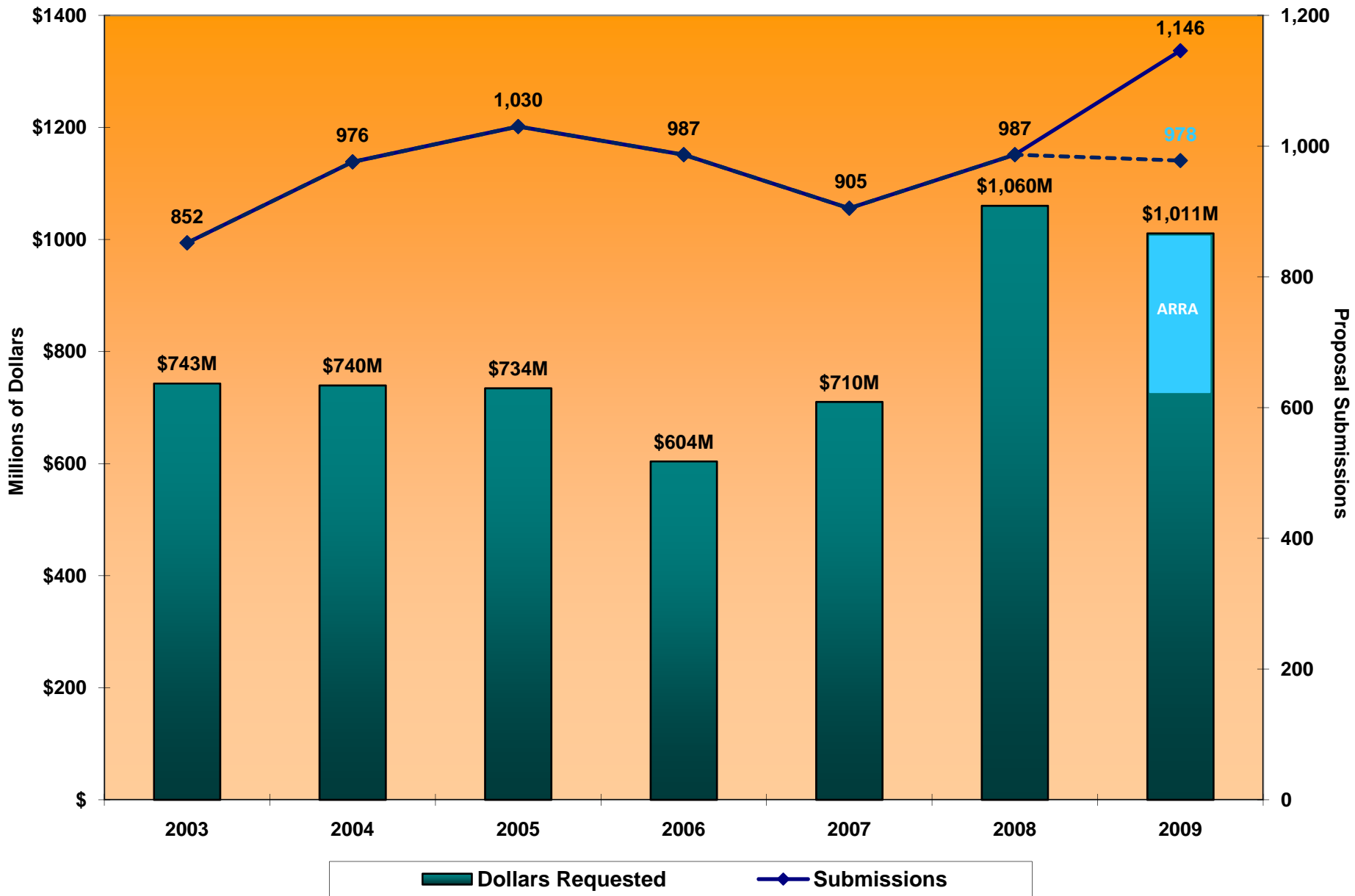


California Institute of Technology  
Contract and Grant Funding, by Division - FY 2005-FY2009





# California Institute of Technology Contract and Grant Proposal Submissions: FY2003 - FY2009



# Caltech Proposal Success Rates



	<b>2004</b>	<b>2005</b>	<b>2006</b>	<b>2007</b>	<b>2008</b>
<b>NSF</b>	32% <sup>24%</sup>	42% <sup>23%</sup>	37% <sup>25%</sup>	30% <sup>26%</sup>	35% <sup>25%</sup>
<b>NIH</b>	35% <sup>26%</sup>	35% <sup>23%</sup>	26% <sup>19%</sup>	33% <sup>22%</sup>	31% <sup>22%</sup>
<b>NASA</b>	54%	53%	46%	47%	51%
<b>DOD</b>	46%	57%	60%	70%	49%
<b>DOE</b>	53%	35%	36%	38%	35%
<b>OVERALL</b>	43%	49%	44%	41%	42%

Note: Success rates are determined by considering all unfunded, competing proposals older than 1 year as unsuccessful. Then funded, competing proposals are divided into total competing proposals for that year.

Super-scripted numbers for NSF and NIH represent those agencies' published proposal success rates for that year.

# Recovery Act



# Recovery Act



- September 30, 2009

- Awards: 75
- Funds: \$30.9M
- Jobs: 17.78 FTE

- December 31, 2009

- Awards: 82
- Funds: \$33.3M
- Jobs: 93.95 FTE

Change in methodology for reporting FTE imposed by federal government for second reporting period:

1<sup>st</sup> quarter: 100% effort for one quarter reported as 0.25 FTE; cumulative

2<sup>nd</sup> quarter: 100% effort for one quarter reported as 1.00 FTE; snap-shot

# NSF OIG Audit



# NSF OIG Audit



- **Milestones**

- Audit - summer 2006
- OIG Report published – 3/30/07
- Caltech Faculty Effort Policy issued – 4/1/08

- **Resulting changes for Caltech**

- Mandatory inclusion of effort and base salary in federal proposals (federal)
- Minimum level of effort commitment in proposal (federal)
- Mandatory tracking of committed effort and cost sharing for federal awards (federal)

# NSF OIG Audit



- **Resulting changes for Caltech (cont.)**
  - Mandatory companion accounts to track committed cost sharing (federal)
  - Mandatory comparison of committed effort to salary charged (federal)
  - Penalty for voluntary cost sharing (Caltech)
- **NSF OIG returning on 2/22/10**
  - Review selected proposals and awards for compliance with Caltech's corrective action plan
  - *Review selected awards for compliance with ARRA requirements*

# Campus Export Document Requirements



Adilia F. Koch  
Director, Export Compliance



# What are Export Documents?



Documents required by customs or other entity

- Requirements vary from one country to another

Requirements will vary depending on country of export or destination

- Commercial Invoice
- License
- Permit, etc.

# Commercial Invoice or Proforma -- Why?



**Buyer &  
Seller**

- Key document
- Describes Commercial Transaction

**Customs**


- Contains Info to clear Customs
- Other agencies requirements

**Duty**

- Describes who's responsible for what
- Insurance, title, payment of duty

# Commercial Invoice



Commercial Invoice							
1. Exporter Name and Address World Trade Press 800 Lindberg Lane, Suite 190 Petaluma, California 94952 USA				2. Shipper Name and Address World Trade Press 800 Lindberg Lane, Suite 190 Petaluma, California 94952 USA			
3. Seller E.I.N. (Tax ID) 94-1234567		4. Date September 18, 2006		5. Invoice # 2006-12516		6. Ship Date September 20, 2006	
7. Forwarder Name and Address				8. Ship to Name and Address Map Import Company 26th Floor, Office Tower, Convention Plaza 1 Harbour Road Wanchai, Hong Kong, China SAR			
9. International Consignee Name and Address				10. Buyer Name and Address Map Import Company 26th Floor, Office Tower, Convention Plaza 1 Harbour Road Wanchai, Hong Kong, China SAR			
11. Affiliate Name and Address				12. Carrier Name and Address XYZ Air Freight Company 1234 Cargo Street Oakland, California 94608 USA			
13. Port of Export Oakland, California USA		14. Country of Export USA		15. Country of Manufacture USA		16. Final Country of Destination Hong Kong China SAR	
17. Customer Account Number 12,345		18. A/VB# AMB123456789		19. Shipment #		20. Terms of Payment Prepaid	
21. Terms of Sale Prepaid		22. Terms of Delivery CIF		23. Currency of Sale USD		24. Letter of Credit #	
25. Method of Transportation Air Freight		26. # of Pkgs/Items/Load Hong Kong		27. Gross Weight 126 lbs.		28. Other Reference #	
Item	Commodity Description	SKU	COO	QTY	Unit Price	Net Weight	Total Price
#1	World Map 140" x 90" Vinyl			4	0\$81,750.00		0\$87,000.00
#2	World Map 120" x 70" Vinyl			10	0\$81,250.00		0\$812,500.00
#3	World Map 90" x 60" Vinyl			20	0\$8600.00		0\$812,000.00
#4	USA Map 90" x 60" Vinyl			5	0\$8600.00		0\$83,000.00
Sub Total							0\$834,500.00
Shipping and Handling Costs							0\$81,800.00
Insurance Costs							0\$8300.00
Total Invoice Value							0\$836,600.00
Kathleen B. Shipper, Shipping Manager							
Name and Title of Authorizing Person							
 Signature of Authorizing Person				September 20, 2006 Date			

# Recordkeeping



- Campus is required to keep a copy of all export documents for 5 years from date of export, including:
  - Commercial Invoice
  - Bill of Lading
  - License & exemptions
- Non-compliance can subject the campus to fines.



# What is our role?



- Help make you aware of the requirements.
- Campus shipper is responsible for determining and indicating agreed upon terms between “buyer and seller.”
- Plan ahead!



# Q & A



# Introducing Oracle iExpenses



## Procurement Services:

**Tina Lowenthal, Director**

**Monica Marquez, Associate Director**

**Muriel Sandoval, PCard and Travel Manager**

**Welby Lai, Project Manager**

**Elaine Reber, Consultant**

# Oracle iExpenses



- **Agenda**
  - Overview
  - System Changes
  - Testing
  - Training
  - Customer Support
  - Questions



# iExpenses Overview



- **Background**

- Rapid Recon customized for Caltech; sold to American Express in 2006; de-supported on December 31<sup>st</sup>, 2008
- iExpenses part of Oracle Financial Suite since 2001; selected as replacement for Rapid Recon in 2009
- iExpenses used by Higher Ed:
  - Carnegie Mellon
  - George Washington Univ
  - San Diego State
  - University of Virginia
  - West Virginia Univ
  - Yale University

# iExpenses Overview



- **Features**

- Self Service Application
- Integrates with Oracle Financials
- Provides capability for electronic attachments of receipts and reduction in paper
- Streamlines business processes for users
- Simplifies approval process
- Fully supported product

# System Changes



- **Single Sign On**
- **Instant Validation of PTAs**
- **Nightly Expenditures to Oracle Payables and Grants**
- **MasterCard Transactions**
  - Transmitted daily
  - Trigger email notifications
  - Carry Cardholder Name ***not*** Bank of America

# System Changes



- Order Logs optional; no Travel Logs
- Reconcilers no longer need send receipts to PCard group if attached electronically
- No self approvers
- Approvers no longer sign or send Monthly Transaction Reports to PCard group

# System Changes



- Canned and ad hoc reporting using Cognos Data Warehouse
- Transaction reports sent monthly; no longer need to be signed and sent to PCard group
- Trip reports sent at close of trip
- Expanded access for Campus Community not just PCard holders

# Testing



- **Lead – David Gardner**
- **IMSS**
  - Business Analysts – Susan Dollar
  - Security – RuthAnne Bevier
- **PCAT team**
  - Muriel Sandoval   Holly Cronin   Michelle Lampe
  - Peggy Burke        Teresa Ponce   Elaine Reber
- **Key Stakeholders**
- **Extended Stakeholders**

# Training



- **Approximately 900 PCard Cardholders**
- **Hands On**
  - Key Stakeholders
  - Extended Stakeholders
  - Paper Travelers
  - Medium Cardholders
  - Light Cardholders
- **TBD**
  - Approvers
- **Stadium**
  - Open

# Customer Support



- **Email address – [pcardhelp@caltech.edu](mailto:pcardhelp@caltech.edu)**
- **Phone Support - x2500**
- **FAQs – compiled from training, general questions, etc.**



# Questions?



## Consider it Done!



# Non-Faculty PIs



# Non-Faculty PIs



- **Caltech Policy**

- Only faculty (assistant professor, associate professor, professor) can act as PI or co-PI *without* prior approval of the Provost's office
- Non-faculty PIs/co-PIs must have a faculty “sponsor” and have the approval of the Provost's office in order to act as PI or co-PI.
- *OSR cannot submit proposals with non-faculty as PI/co-PI without sign-off from the Provost's office*

# Non-Faculty PIs



- **Caltech Practice - Postdocs**

- **Postdocs**

- ✦ Postdocs applying to postdoctoral training and fellowship opportunities (e.g., NIH “F” awards) do not have to have approval of the Provost’s office, however they still need a faculty advisor and the Division Chair’s signature.
- ✦ This exception does not apply to research or transition opportunities (e.g., NIH “R” and “K” awards) – postdocs as PI/co-PI on research applications must still obtain Provost’s approval.
- ✦ If you’re not sure whether a particular postdoc proposal will require the Provost’s approval, please feel free to contact OSR.

# Miscellaneous Announcements



# Miscellaneous Announcements



- **NSF**
  - **Responsible Conduct of Research (RCR) training**
    - ✦ Applies to proposals that include student and postdoc support
    - ✦ Proposals submitted January 2010 or later include certification that institutional training plan is in place;
    - ✦ Caltech does have an RCR plan...
    - ✦ Training requirement applies to all students and postdocs “supported” under awards resulting from proposals submitted January 2010 and later.
    - ✦ Initial Caltech implementation will be NSF-supported students and postdocs, but requirement may be expanded to all postdocs and students (e.g., as part of student orientation)
    - ✦ Vice Provost for Research is overseeing implementation, and will coordinate with Division Chairs

# Miscellaneous Announcement



- NSF (cont.)
  - Mentoring of Postdocs
    - ✦ Specific statement required in each proposal submitted on or after April 6, 2009
    - ✦ No program officer will be permitted to accept proposals that do not include a plan; such proposals will be returned unreviewed
    - ✦ FastLane will be modified:
      - Mentoring plan will be a separate component
      - Lack of a mentoring plan, when the budget shows postdoc support, will prevent FastLane submission
  - Now allows submission through Grants.gov
    - ✦ Opportunity must have application packet available on Grants.gov
    - ✦ Cayuse can be used...

# Miscellaneous Announcements



- **NIH**
  - Changes made to Project Plan effective 1/25/10
    - ✦ What used to be 3 separate sections...
      - Background and Significance
      - Preliminary Studies/Progress Report
      - Research Design and Methods
    - ✦ Combined into one section: **Research Strategy**, addressing
      - Significance
      - Innovation
      - Approach
        - Preliminary studies for new applications
        - Progress report for renewal/revision applications
      - Limited to 12 pages
  - <http://grants.nih.gov/grants/guide/notice-files/not-od-09-149.html>



# Miscellaneous Announcements



- **NIH (cont.)**
  - Adobe Formset B now required – notable differences
    - ✦ **Cover Page**
      - “Areas Affected” field is now gone
      - Zip+4 *required* for all zip code fields
      - Estimated Project Funding now includes a “Total Non-Federal Funds” line item; enter “0” if no cost sharing.
    - ✦ **R&R Other Project Information Form**
      - Known issue with Human Subjects Assurance Number field – doesn’t work properly. NIH has modified JIT module of Commons to collect this information later.
    - ✦ **PHS 398 Cover Page Supplement Form**
      - New Investigator field removed – NIH will rely on profile

# Miscellaneous Announcement



- NASA

- Has issued a Guidebook for Proposers – January 2010
  - ✦ No significant changes

<http://www.hq.nasa.gov/office/procurement/nraguidebook/proposer2010.pdf>

- Will start accepting proposals via Grants.gov on April 1, 2010
  - ✦ NASA proposal submission will **not** be immediately available through Cayuse, due to incompatibilities between NASA Grants.gov application packets and NSPIRES system
  - ✦ Cayuse will attempt to work with NASA to allow for submission via Cayuse

# Questions...?

