



Research Administration Forum

October 6, 2009



Agenda

Exporter/Importer Responsibilities – Adilia Koch

New Rates – David Mayo

ARRA Update – Dick Seligman

ARRA Reporting – David Mayo



Exporter/Importer Responsibilities

Adilia Koch



Caltech Responsibilities

- Caltech is responsible for all information contained on import/export documents;
- “Importer of Record” means you accept full responsibility – not the broker.



Don't sign Power of Attorneys on behalf of Caltech

- All brokers should be vetted to ensure that they comply with export/import regulations and have good business practices.
- Even the best brokers get into trouble!



If it sounds too good to be true...

Then you should be careful:

- Is it really zero value?
- Is it really duty-free?
- Are we using the correct HTS#?
- Did you ask the manufacturer or vendor for the information?
- What can you do to verify the information?



Verify your information

- Make sure your HTS is correct
 - Schedule B (US Census)
 - Harmonized Tariff Schedule
Links can be found at:

<http://www.researchadministration.caltech.edu/export/regs>



Know your broker...



Eastways Shipping is put out of business over export violations

- Eastways Shipping, small freight forwarder was fined \$70,000 for 3 exports to a company, Allied Trading Co. on the Entity List.
- Allied Trading Co. – buyer of technologically sensitive goods which were found in Pakistan's nuclear weapons program.

<http://www.djacobsonlaw.com/2009/09/freight-forwarder-fined-for-export.html>



DHL gets fined 9.44 million dollars

BIS and OFAC fined DHL \$9.44 million for

- Illegal exports to Iran, Sudan and Syria and
- Record keeping requirements violations.

<http://www.exportlawblog.com/archives/540>



New US Customs Requirements

“10+2”



US Customs New Requirement in Effect: 10+2

- Applies to ocean cargo shipments
- Information must be provided 2 days before items are loaded



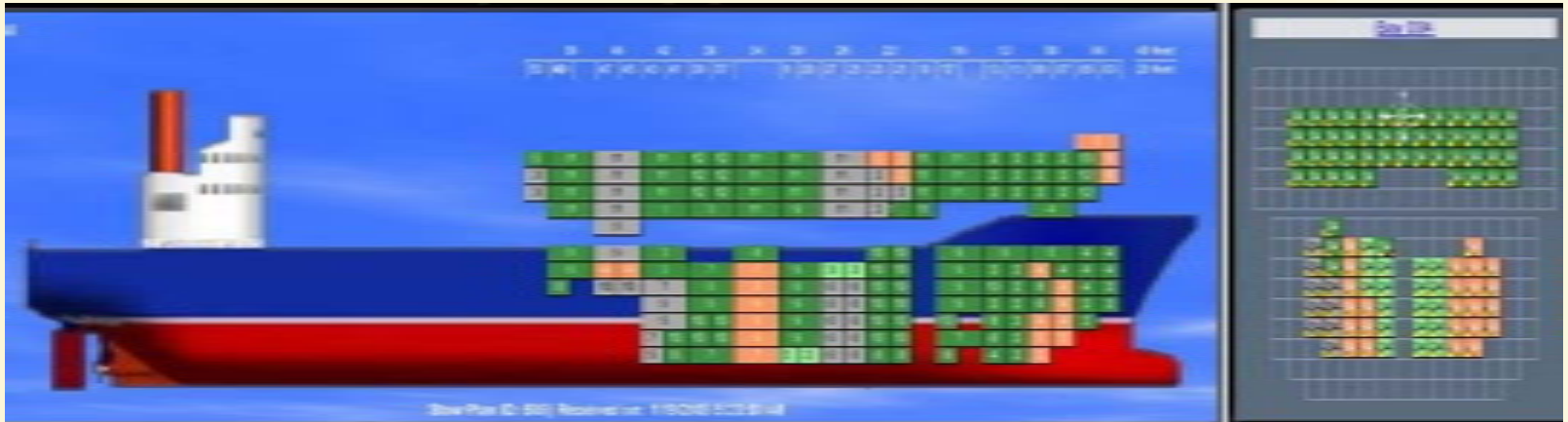
10+2 Program: Importer's 10

- In addition to what we (the importer) normally provide (our address, EIN, HTS and Country of Origin) we will need to provide the following for ocean freight:
 - ***Manufacturer (Supplier) Name and Address***
 - ***Seller Name & Address***
 - Consolidator Name and Address – Party who stuffed the container
 - Container Stuffing Location – Name and Address of where container was stuffed.



10+2 Program: Forwarder's 2

- 2 elements that carriers provide before shipment arrives in the US:
 - Vessel Stow Plan (image from U.S. Customs and Border Protection 10/1/2009)



- Container status messages



Best Practices

- Insert requirement in PO or other agreement that
 - seller will provide completed ISF form or
 - provide required information necessary to complete the ISF Form:
 - Importer Security Filing form



10+2 Program: Compliance

- Shipment will not be loaded until importer provides required information.
- If information is not provided on time, Caltech will be subject to penalties & fines; inspections and other violations.
 - \$5,000 additional penalties per shipment



New Rates

David Mayo



FY2010 Rates

	FY2010	FY2009
On-campus research F&A rate	62.0%	60.5%
Off-campus research F&A rate	25.8%	26.0%
Staff benefit rate	25.5%	25.0%
Paid leave rate	15.5%	15.5%
GRA tuition remission rate (all Fed funds, and those other funds that pay OH of 15% or higher)	65.0%	63.5-85.0%
GRA tuition remission rate (all non-federal funds that pay less than 15% OH)	87.5%	80.0-85.0% %



ARRA Update

Dick Seligman



What is ARRA?

American Recovery and Reinvestment Act (ARRA)

- Signed into law on February 17, 2009
- Will provide approximately \$787B in total with \$21B targeted for R&D projects
- Awards will be made in FY09 and FY10
- Funds must be committed by federal agencies by September 30, 2010
- Projects must generally be completed within two years of award issuance



Who is getting what?

•NIH	\$10.4B
•NSF	\$3.0B
•DOE	\$2.0B
•NOAA	\$830M
•NIST	\$600M
•NASA	\$400M
•DOD	\$200M



Proposal Submissions

April 1 – September 30

NIH Total 107

NIH Challenge Grants 32

NIH Grand Opportunities 8

NIH Summer Research Opportunities 4

NSF 3

DOE 28

NIST 3

Total ARRA Proposals 167



What have we received so far?

	R&D Allocation	Awarded to Caltech
NIH	\$10.4B	\$11.9M
NSF	\$3.0B	\$17.5M
DOE	\$2.0B	---
NOAA	\$830M	---
NIST	\$600M	---
NASA	\$400M	---
DOD	\$200M	---



Award Distribution by Sponsor Division*

	NIH		NSF		Grand Total
	No. of Awards	Award Amount	No. of Awards	Award Amount	
BIO	30	\$9,908,161	1	\$850,000	\$10,758,161
CCE	3	\$1,018,856	3	\$995,000	\$2,013,856
EAS	2	\$462,359	12	\$5,036,455	\$5,498,814
GPS			9	\$2,383,908	\$2,383,908
HSS			2	\$1,199,239	\$1,199,239
PMA	1	\$515,298	10	\$7,029,018	\$7,544,316
Grand Total	36	\$11,904,674	37	\$17,493,620	\$29,398,294

*as of September 30, 2009



Who is the ARC?

David Mayo

ARRA Reporting Coordinator

(+ regular day job)



What is the CART?

Caltech ARRA Reporting Tool

- An impressive accomplishment under any circumstance
- A particularly impressive accomplishment given the very short time frame



ARRA Reporting

David Mayo



Primary ARRA Requirements

- Follow standard agency terms and conditions
- Follow additional ARRA terms and conditions:
 - Track funds separately – no co-mingling
 - Report quarterly on each award
 - Reporting period based on calendar quarter
 - Due by 10th day after end of reporting period
 - Separate report for each ARRA award
 - Submitted electronically



What must be reported?

- Over 70 data elements, including
 - Recipient Identification
 - Funding Agency Identification
 - Award Identification
 - Project Status
 - Subawards valued over \$25K
 - Vendor *payments* over \$25K
 - Vendor payments and subawards under \$25K, aggregated for each ARRA award



Pre-Defined Values

- **Job Descriptive titles** (mapped from Caltech job titles)
 - Senior Researcher
 - Postdoctoral/Associate Researcher
 - Technical/Engineering Support
 - Administrative Support
 - Graduate Research Assistant
 - Undergraduate Research Assistant
- **Product Descriptions for vendor orders** (selected by Buyer)
 - Laboratory Supplies
 - Scientific Equipment
 - Technical Services



What is the ARRA Reporting Schedule?

- 1st through 10th of month after end of reporting period
 - All required data elements for each award issued or active during previous quarter must be submitted
- 11th through 21st of month
 - Prime awardees review their submitted data *and that of delegated subawardees*
 - Correct own data, and notify subawardees of any missing or incorrect data
 - Delegated subawardees correct own data



What is the ARRA Reporting Schedule?

- 22nd through 29th of month
 - Federal agencies review submitted data and notify awardees of any missing or incorrect data
 - Awardees correct own data and notify subawardees of missing or incorrect data
 - Delegated subawardees correct own data
- 30th of month
 - Submitted data is locked and no changes may be made
 - Submitted data is available to public on Recovery.gov

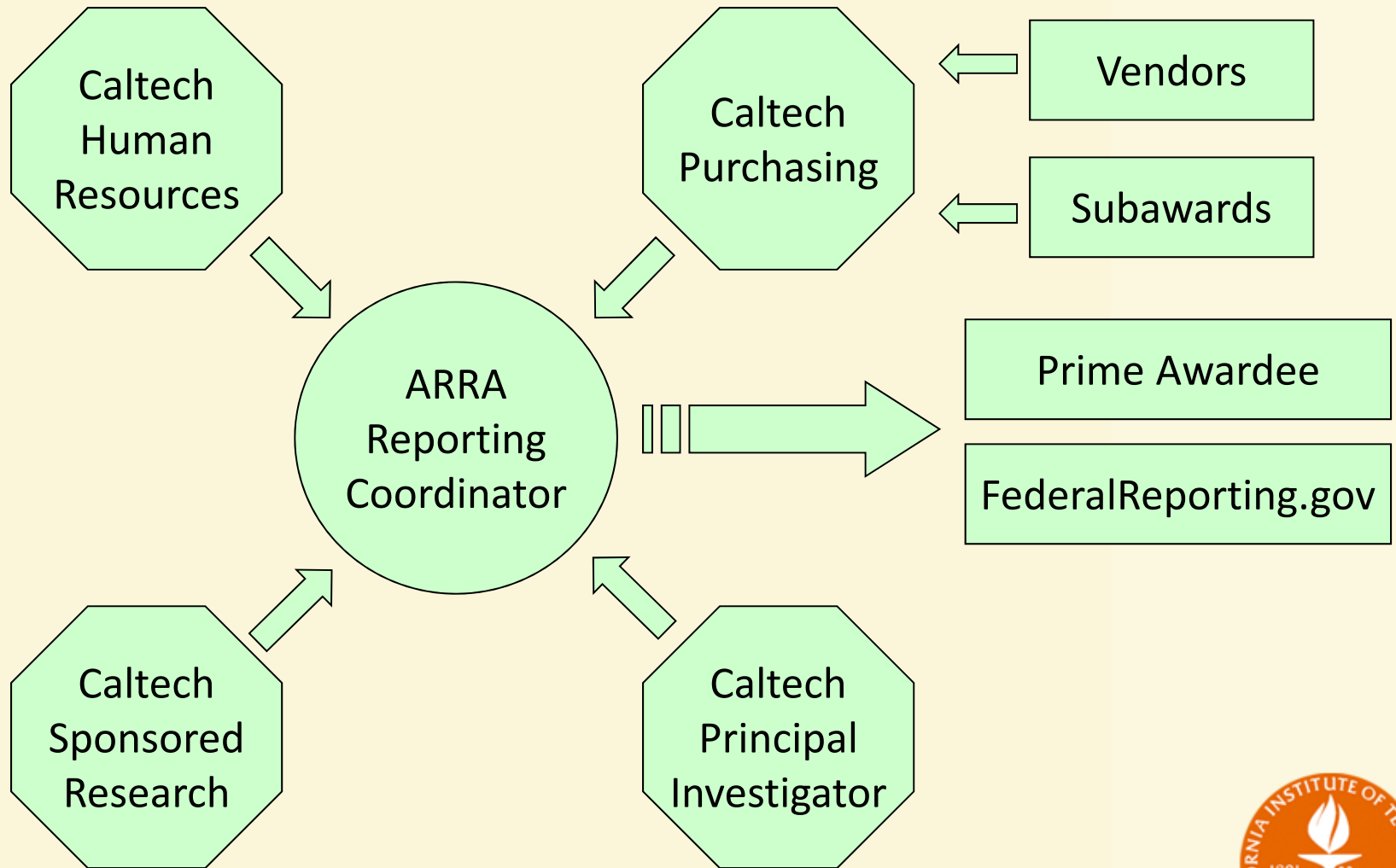


How are ARRA reports submitted?

- By awardee institution, not by individual PIs
- Electronically - three different methods
 - Complete a web form for each prime award
 - Complete an Excel-based form for each prime award
 - Generate an XML file from an institutional database for each prime award



How is ARRA Data Collected?



How will Caltech collect the data?

- Most data will come from financial system, HR or Purchasing
- Principal Investigator will provide 2 elements
 - Select one of four values to designate status for the reporting period:
 - Not started
 - Less than 50% complete
 - More than 50% complete
 - Completed
 - Confirm that project description is accurate



How will PIs report the data?

- Caltech ARRA Reporting Tool (CART)
 - Available via access.caltech.edu
 - Created by IMSS - simple web-based interface
 - PI will only see own awards
 - Access by all personnel will be based on OGM permissions



access.caltech



The screenshot shows the access.caltech website. At the top is a green banner with the 'access caltech' logo and 'ACCESS.CALTECH.EDU'. Below the banner is a navigation bar with buttons for 'access.caltech Home', 'Manage My Password', and 'Set Password Questions'. On the right side of the navigation bar are links for 'Help' and 'Logout All'. The main content area features a 'Welcome to access.caltech' heading, a login status message for 'David J. Mayo', and two columns of links: 'Your Online Applications' and 'Top Stories'. The 'Your Online Applications' column lists several services with green checkmarks, and the 'Top Stories' column features a news item with a photo of a destroyed mobile home.

access caltech
ACCESS.CALTECH.EDU

access.caltech Home Manage My Password Set Password Questions Help Logout All

Welcome to access.caltech

You are logged in as **David J. Mayo**. If you are not David J. Mayo, please [click here](#).

Your Online Applications

- Single Sign-on (SSO)
- ✓ 2009 Annual Enrollment Confirmation Statement
- ✓ Caltech ARRA CART
- ✓ Grants Proposal
- ✓ My Personal Information
- ✓ Parking
- ✓ RADR
- ✓ TQFR Reports

Top Stories

- [2 killed, 2 missing as storms drench Southeast \(AP\)](#)



AP - Floodwaters that swept across the rain-soaked Southeast killed at least three people and left five others missing Monday, including a Georgia toddler who disappeared after her family's mobile home was split apart by a swollen creek.

ARRA Listing

CALIFORNIA INSTITUTE OF TECHNOLOGY

ARRA Reporting

Reporting Period: DEC-2009

Funding Source Award Number	Award Number	Sponsor Title	Start Date	End Date	PI	Prev Proj Status	Curr Proj Status	Award Detail	Final
2R01GM068664-05A1	NIH.RECOMB2		2009-07-16	2011-06-30	Arnold, F	Not started	<input type="text" value=""/>		<input type="checkbox"/>
ATM-0840787	NSF.000465	This the Sponsor Title for NSF.000465/ATM-0840787	2009-06-01	2012-05-31	Yung, Y		<input type="text" value=""/>		<input type="checkbox"/>
EAR-0838244	NSF.GARNET		2009-07-01	2011-06-30	Asimow, p		<input type="text" value=""/>		<input type="checkbox"/>
EAR-0910975	NSF.ZIRCON	Award title for NSF.ZIRCON/EAR-0910975	2009-06-01	2011-05-31	Eiler, J		<input type="text" value=""/>		<input type="checkbox"/>
EAR-0911723	NSF.1723ARRA		2009-07-01	2012-06-30	Rosakis, A		<input type="text" value=""/>		<input type="checkbox"/>
EAR-0922199	NSF.BOULDER		2009-07-01	2012-06-30	Lamb, M		<input type="text" value=""/>		<input type="checkbox"/>
OCE-0929272	NSF.TASMANIA2		2009-07-01	2012-06-30	Adkins, J	Completed	<input type="text" value=""/>		<input type="checkbox"/>
R01 DE017911	NIH.DE017911S		2009-06-01	2010-05-31	Bronner-Fraser, M		<input type="text" value=""/>		<input type="checkbox"/>
SES-0851408	NSF.ARRA1		2009-07-01	2012-06-30	Rangel, A		<input type="text" value=""/>		<input type="checkbox"/>



ARRA Listing with Project Status

CALIFORNIA INSTITUTE OF TECHNOLOGY

ARRA Reporting

Reporting Period: DEC-2009

Funding Source Award Number	Award Number	Sponsor Title	Start Date	End Date	PI	Prev Proj Status	Curr Proj Status	Award Detail	Final
2R01GM068664-05A1	NIH.RECOMB2		2009-07-16	2011-06-30	Arnold, F	Not started	<50% Complete		<input type="checkbox"/>
ATM-0840787	NSF.000465	This the Sponsor Title for NSF.000465/ATM-0840787	2009-06-01	2012-05-31	Yung, Y		<div style="border: 1px solid black; padding: 2px;"> <input type="text"/> <ul style="list-style-type: none"> Not started <50% Complete >50% Complete Completed </div>		<input type="checkbox"/>
EAR-0838244	NSF.GARNET		2009-07-01	2011-06-30	Asimow, P		<input type="text"/>		<input type="checkbox"/>
EAR-0910975	NSF.ZIRCON	Award title for NSF.ZIRCON/EAR-0910975	2009-06-01	2011-05-31	Eiler, J		<input type="text"/>		<input type="checkbox"/>
EAR-0911723	NSF.1723ARRA		2009-07-01	2012-06-30	Rosakis, A		<input type="text"/>		<input type="checkbox"/>
EAR-0922199	NSF.BOULDER		2009-07-01	2012-06-30	Lamb, M		<input type="text"/>		<input type="checkbox"/>
OCE-0929272	NSF.TASMANIA2		2009-07-01	2012-06-30	Adkins, J	Completed	<input type="text"/>		<input type="checkbox"/>
R01 DE017911	NIH.DE017911S		2009-06-01	2010-05-31	Bronner-Fraser, M		<input type="text"/>		<input type="checkbox"/>
SES-0851408	NSF.ARRA1		2009-07-01	2012-06-30	Rangel, A		<input type="text"/>		<input type="checkbox"/>

Save Close



Award Detail

CALIFORNIA INSTITUTE OF TECHNOLOGY

ARRA Reporting

Reporting Period: DEC-2009

The Recovery Act requires that awardees provide an Award Description (summary description of the purpose of the project; maximum 4000 characters) and a Project Description (summary of goals/objectives/deliverables; maximum 2000 characters). Unless the goals or objectives of the ARRA award change, these two fields should remain the same throughout the life of the award.

NIH and NSF have instructed awardees to complete these two fields by using the official Project Summary on file with each agency, therefore OSR will pre-populate these fields according to their instructions. For all other awards, the text for these two fields will need to be provided by the PI. Please contact OSR if you have any questions about this form.

*** Award Description:** This the Sponsor Title for NSF.000465/ATM-0840787

This is the award description for this award. This is the award description for this award. This is the award description for this award. This is the award description for this award. This is the award description for this award. This is more of the award description for this award. This is the Award Description for this Award, but this is not the Project Description for this Award. This is more of the award description for this award. This is the award description for this award.

*** Project Description:**

See Award Description

Back

Save

