October 12, 2010

RESEARCH ADMINISTRATION FORUM

Agenda

- New Indirect Cost, Staff Benefit, and Other Rates for FY 2011

- Provost Office Approval of Projects Involving Export Controlled Information

- New Procedures for JPL Research IAs

- The Caltech Guide to Sponsored Projects

New Indirect Cost, Staff Benefit, and Other Rates for FY 2011

	FY 2011	FY 2010
On-campus research F&A rate	62.0%	62.0%
Off-campus research F&A rate	25.8%	25.8%
Staff benefit rate	27.5%	25.5%
Paid Leave rate	16.0%	15.5%
GRA tuition remission rate (all Fed funds and funds that pay OH of 15% or higher)	65.0%	65.0%
GRA tuition remission rate (all non-federal funds that pay less than 15% OH)	65%-90.0%	87.5%
Minimum overhead on endowment income	15.0%	15.0%
Minimum overhead on restricted funds	15.0%	15.0%
Minimum overhead on research funded by non-government, non-profit agencies	15.0%	

New Indirect Cost, Staff Benefit, and Other Rates for FY 2011

- What's New?
  - Indirect Cost and Staff Benefit Rates are "provisional"
  - 15% Minimum indirect cost rate applied to research projects funded by non-government, non-profit sponsors

New Indirect Cost, Staff Benefit, and Other Rates for FY 2011

- 15% Minimum Indirect Cost Rate:
  - Research Projects funded by non-government, non-profit sponsors
  - Applied to new awards with a begin date on or after October 1, 2010
  - The rate: 15% of Total Costs; can also be expressed as 17.65% of Total Direct Costs

Provost Office Approval of Projects Involving Export Controlled Information

- Policy dated October 1, 2010
- Posted on ORA and EC websites

Provost Office Approval of Projects Involving Export Controlled Information

- What requires approval of the Vice Provost for Research?
  - Acceptance of external funds (grant, contract, cooperative agreement, subaward, purchase order) <u>IF</u>
    - it is necessary to receive export controlled information and/or technical services from the sponsor or other third party in order to carry out the project

Provost Office Approval of Projects Involving Export Controlled Information

- This policy is consistent with Caltech's Openness in Research principle and is supported by the Faculty Handbook
- When is approval obtained?
  - Ideally, before the proposal is submitted.
  - Definitely before the award can be accepted.

Provost Office Approval of Projects Involving Export Controlled Information

- Division Approval Form (DAF) will be modified – questions about need for export controlled information and/or technical services

Provost Office Approval of Projects Involving Export Controlled Information

- Why is this necessary?
  - Minimize the risk of inadvertent or unknowing acceptance of export control restrictions
  - Minimize the likelihood of violations

New Procedures for JPL Research IAs

The "Old Sequence"

Proposal preparation

↓

Proposal submission

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JPL Review

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IA Issued
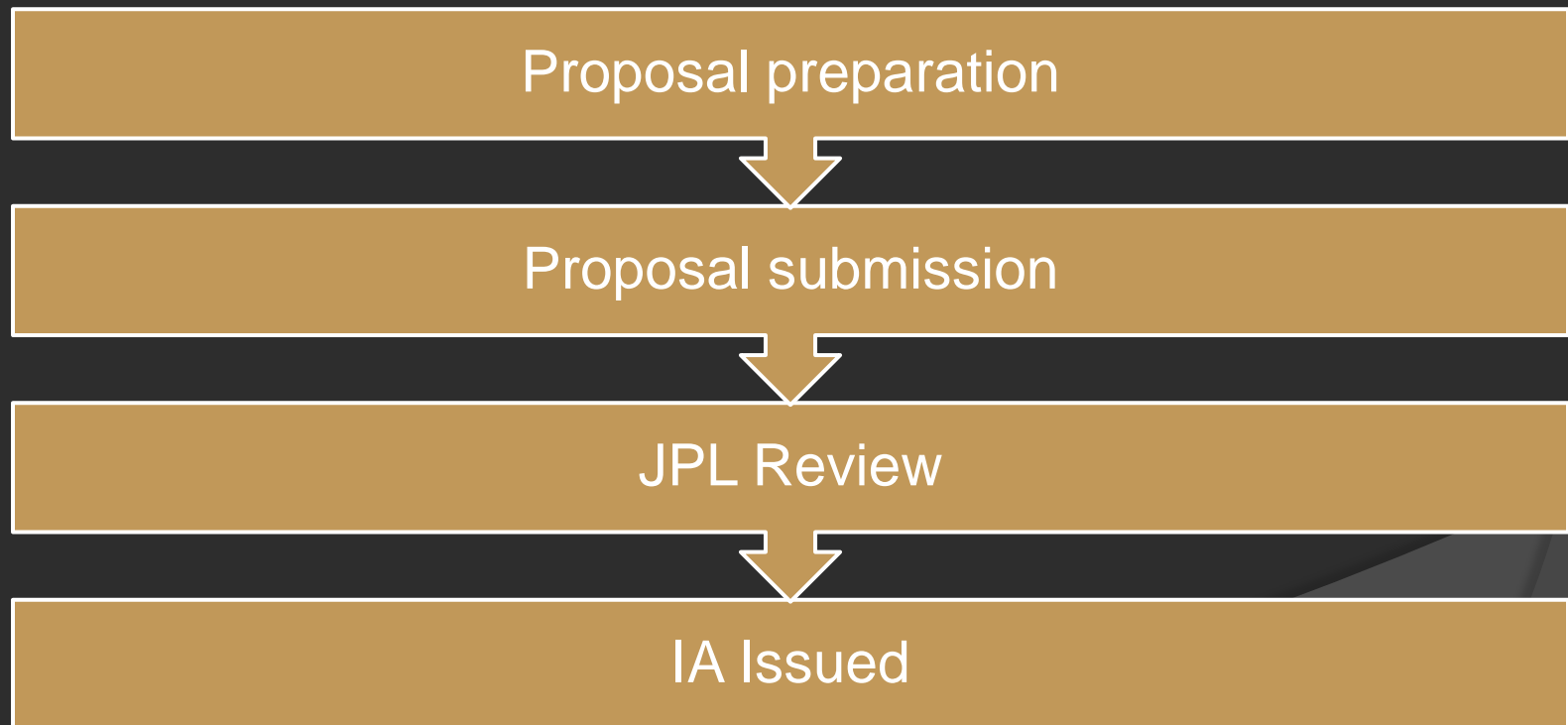
New Procedures for JPL Research IAs

The New Procedure

Involves the use of "IA Required Information Set" Forms
(currently manual, but soon to be electronic)

Process begins with JPL Principal Investigator (task manager)

JPL PI completes Sections A and B of the "Required Information" Form

Descriptive information about the project, including: what does the JPL PI want the Caltech PI to do?

Forms sent to Caltech PI for completion of Section D

Scope of work for the project; information concerning the need for export controlled information and/or technical assistance

New Procedures for JPL Research IAs

The New Procedure (cont.)

Forms returned to JPL PI

Forms reviewed by the JPL Office of Export Compliance; and if necessary, by Campus Export Compliance Office

Determination: Project does/does not involved export controlled information and/or technical services?

| Yes – the project is reviews by the Vice Provost for Research | No – regular proposal submission process follows |

If the project is approved, regular proposal submission process follows

New Procedures for JPL Research IAs

- Is my project dead in the water if JPL determines that export controlled items or data needs to be transferred to campus?

New Procedures for JPL Research IAs

- Why does the Vice Provost want to know about export controlled tasks?
  - Ensure that faculty and campus both understand the responsibility undertaken at acceptance.

New Procedures for JPL Research IAs

- The new process will work.
- It requires patience, tolerance, and knowledge.

The Caltech Guide to Sponsored Projects

- Information for the Faculty and Campus
- On-line document
- Links to Caltech Policies and Procedures

http://www.researchadministration.caltech.edu/theguide

The Caltech Guide to Sponsored Projects

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The Caltech Guide to Sponsored Projects

Questions?