

Research Administration Forum

June 22, 2010

Agenda

- Cayuse Update
- Recovery Act/ARRA Update
- NIH Miscellany
- JPL IAs
- Tales from the Audits

Cayuse, ARRA, and NIH

David Mayo

Cayuse

- Limited trial began April 2009
- Purchased and implemented by July 2009
- Proposals submitted to date:
 - NIH: 174
 - DOE: 27
 - DOE: 20
 - Other: 3

Cayuse (cont.)

- Cayuse v4.2
 - Implements new Grants.gov application forms
 - 10-year prime and subaward budget forms
 - Updated SF 424, Other Project Info, and HHS Checklist

Cayuse (cont.)

- Enhancements to subaward functionality
 - Sub synchronizes with prime automatically
 - Sub periods can be forced to reconcile with prime and specific sub budget periods can be inactivated
 - Sub validations now show on prime's subaward screen
 - Tool for subs in-process during upgrade

Recovery Act/ARRA Update

- 3 Audits of Caltech's ARRA administration
 - NSF OIG, PWC (A-133), ASIC
- Caltech passed all audits, with minor recommendations
- NSF recommendation has been implemented nationwide beginning July 10
 - PIs must include a statement of project activities
 - CART will be used to capture and report the statement of activities

NIH Miscellany

- NIH All Personnel Report
 - Concern that new requirement might mean that non-project personnel who are directly charged would need to be included (e.g., glass washer).
 - NIH wording specifically states “all personnel who participated in the project for at least one month should be listed on the form”

JPL Interdivisional Transfers: Research IAs

Adilia Koch

What is ahead?

- Process improvement changes made by Caltech/JPL
 - Provides better transparency and efficiency between campus and the lab
 - Export Issues identified earlier in the process
 - PI better informed about any potential road-blocks to research

What is ahead? (cont.)

- New JPL/Caltech electronic system roll-out date:
 - September 2010 estimated
- Interim Manual Process
 - New forms to be distributed to Caltech/JPL JPL IA submitters: “Interdivisional Authorization Information Set”
 - You will be able to submit comments and improvement suggestions

What is the difference?

- Old
 - Road-blocks were not identified early in the process:
 - Export issues - licenses
 - Denial of Foreign Person participation
 - Restrictions imposed due to export control restrictions
 - Export determination performed by JPL was individual-based rather than content based

What is the difference? (cont.)

- New
 - Information will be obtained at the beginning of the process rather than later
 - Content Based review determinations by JPL export office
 - Approval for all of JPL task rather than individual-by-individual.

Why do we care?

- **Protects** . . . Caltech's ability to perform work under "fundamental research" exclusion in the export regulations
- **Protects** . . . Caltech's ability to freely publish
- **Protects** . . . Caltech's openness in research principle
- **Reduces** the risk of an export violation for both Caltech and JPL
- **Allows PI** to know . . . about restrictions imposed on the IA task or the Foreign Person early in the process rather than later

Next 5 steps

- First Step:
 - Joint Caltech/JPL Communication Letter will go out in the next 30 days to JPL IA users re new process
- Second Step:
 - 2nd Joint Communication Letter with instructions and JPL IA manual form set
- Third Step:
 - Gather comments from users & make any last minute improvements to process

Next 5 steps (cont.)

- Fourth Step:
 - Outreach for both Caltech & JPL re new JPL Research IA Improvement process & export control outreach
- Fifth Step:
 - Electronic Roll-Out
 - Note: Maybe subject to change.

Questions?

We can help you transition to the new process.

Tales from the Audits

Urmila Bajaj

Tales from the Audits

Financial reports

- timely submission

Travel costs

- authorizer's approval on CT
- timely submission of supporting documentation

Tales from the Audits (cont.)

Distribution of costs on federal awards

- proportionate to benefits received
- distributed costs matching supporting docs

Over \$10K purchases

- bids, competitive and non-competitive justifications

Tales from the Audits (cont.)

Cost transfers

- extenuating circumstances for >90 days
- transfers from overdrawn awards

Faculty effort

- pledged on proposals
- being tracked as direct and cost shared

Payroll Distribution Confirmations (PDCs)

- timeliness of PDC certifications

The End

Thank you for coming!