Research Administration Forum
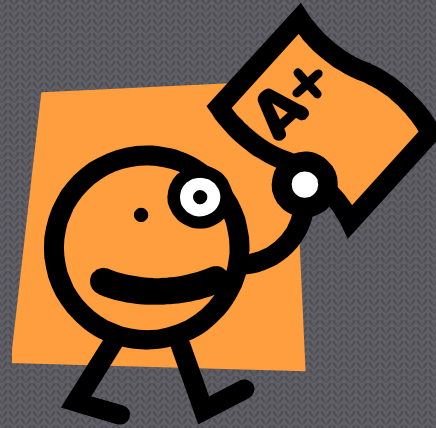
February 15, 2011

Agenda

▸ 2010 Annual Report

▸ Procedure for Proposals/Awards where the sponsor pays less than the minimum indirect cost rate (15%TC)

▸ E-Verify Review

▸ Equipment Fabrication & Proposals

▸ I-129 Requirements

▸ Update on the JPL IA Procedures

▸ Audit Update

▸ Post-Award Administration Training

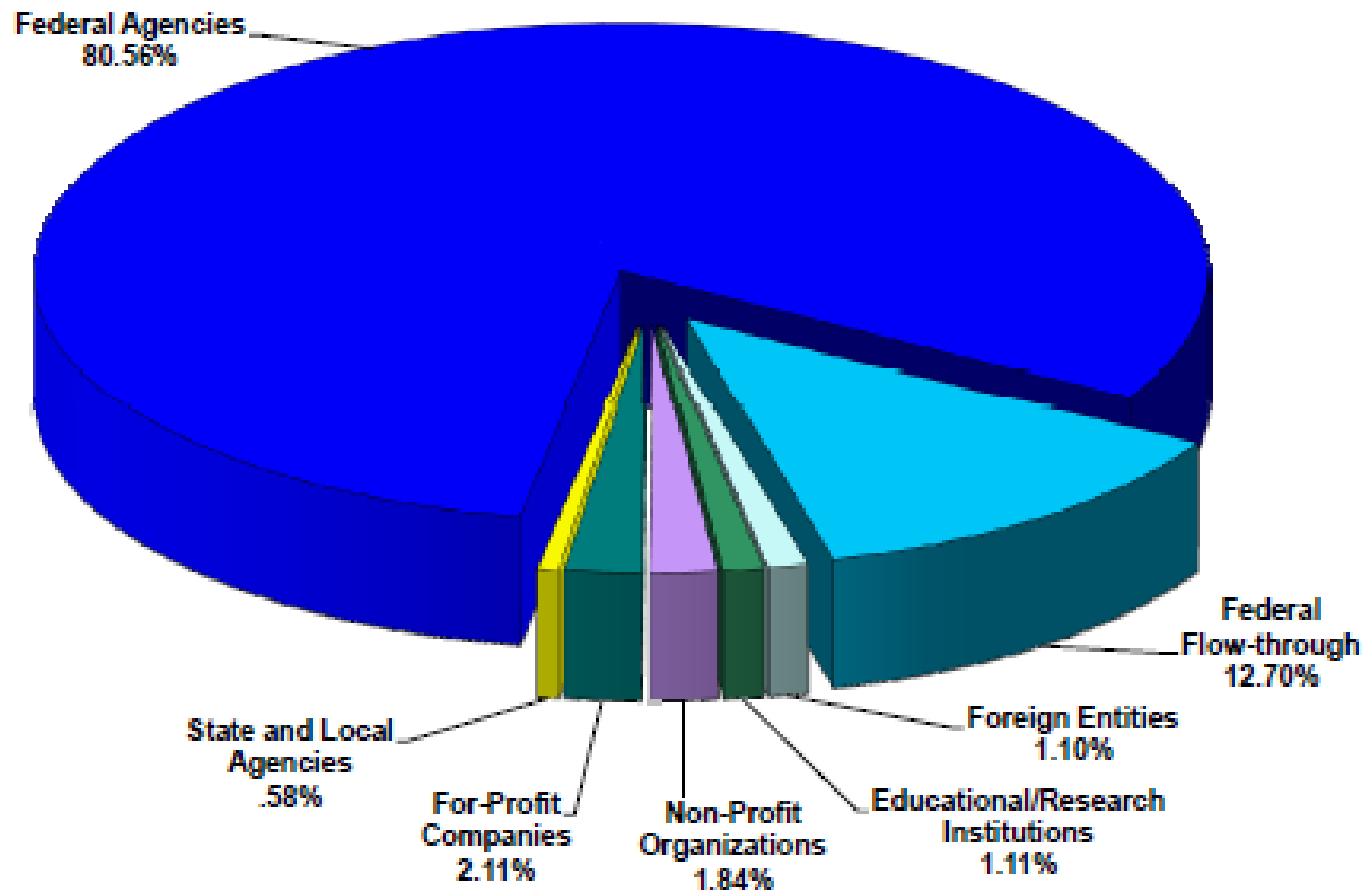# 2010 Annual Report

Dick

2010 Annual Report

California Institute of Technology
Contract and Grant Funding, by Sponsor Type - FY2010

$331,603,709

- Federal Agencies 80.56%
- Federal Flow-through 12.70%
- Foreign Entities 1.10%
- Educational/Research Institutions 1.11%
- Non-Profit Organizations 1.84%
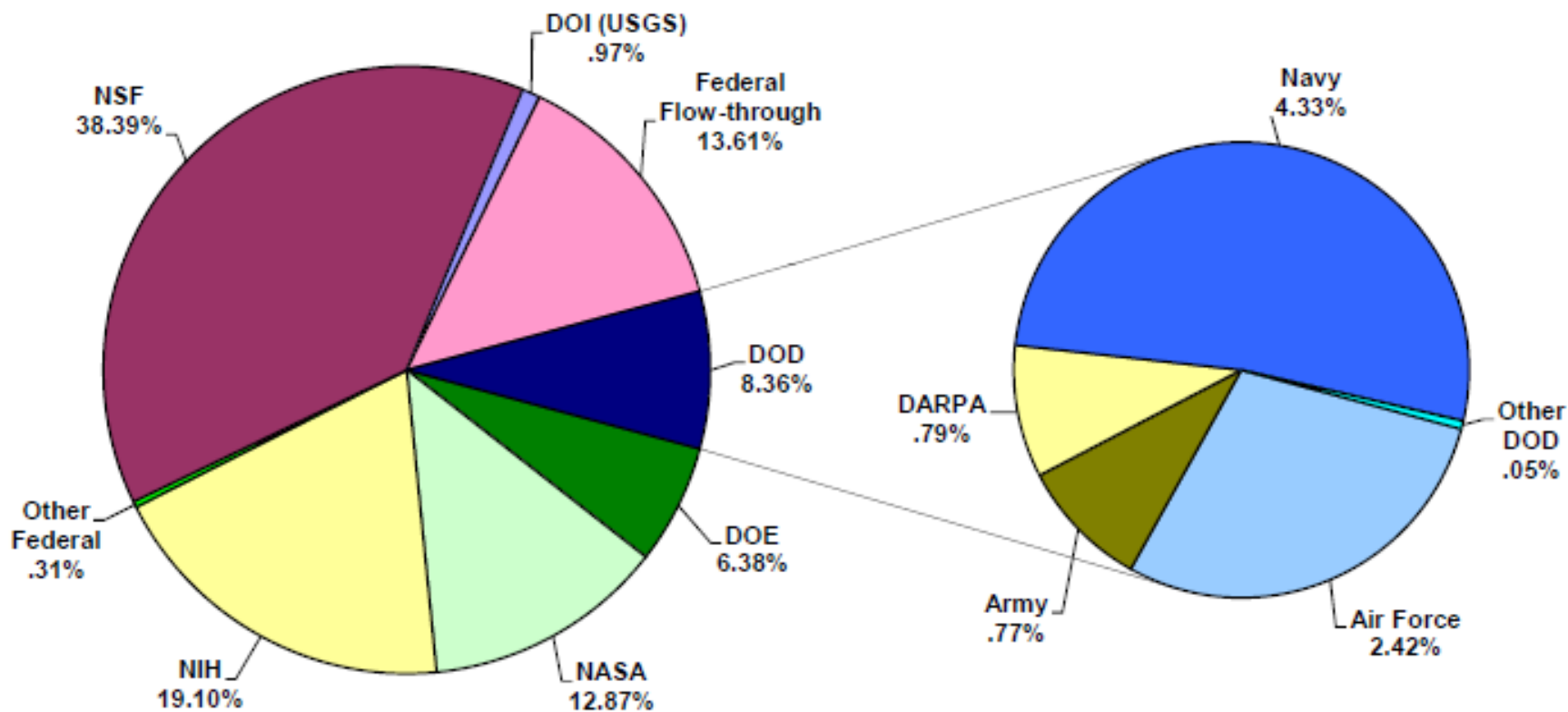- For-Profit Companies 2.11%
- State and Local Agencies .58%

2010 Annual Report

California Institute of Technology
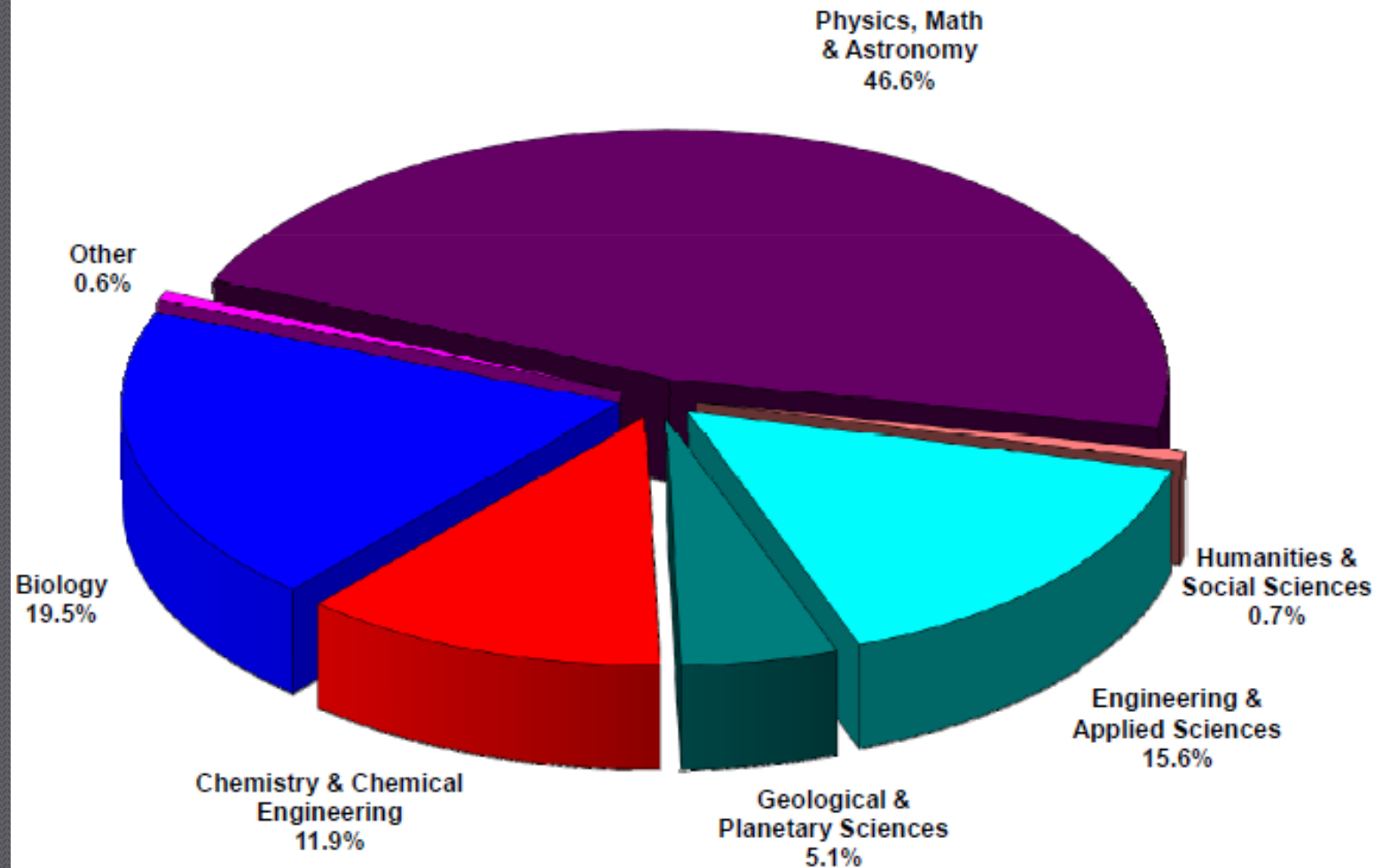Federal Contract and Grant Funding - FY2010

Total Federal Funding:
$309,259,040

Total DOD Funding:
$25,852,156

NSF 38.39%
DOI (USGS) .97%
Federal Flow-through 13.61%
DOD 8.36%
DOE 6.38%
NASA 12.87%
NIH 19.10%
Other Federal .31%

Navy 4.33%
DARPA .79%
Army .77%
Air Force 2.42%
Other DOD .05%

2010 Annual Report

California Institute of Technology
Contract and Grant Funding, by Division - FY2010

$331,603,709

California Institute of Technology
10-Year Contract and Grant Funding - FY2001-FY2010
ARRA, NuSTAR and ALIGO Awards Identified
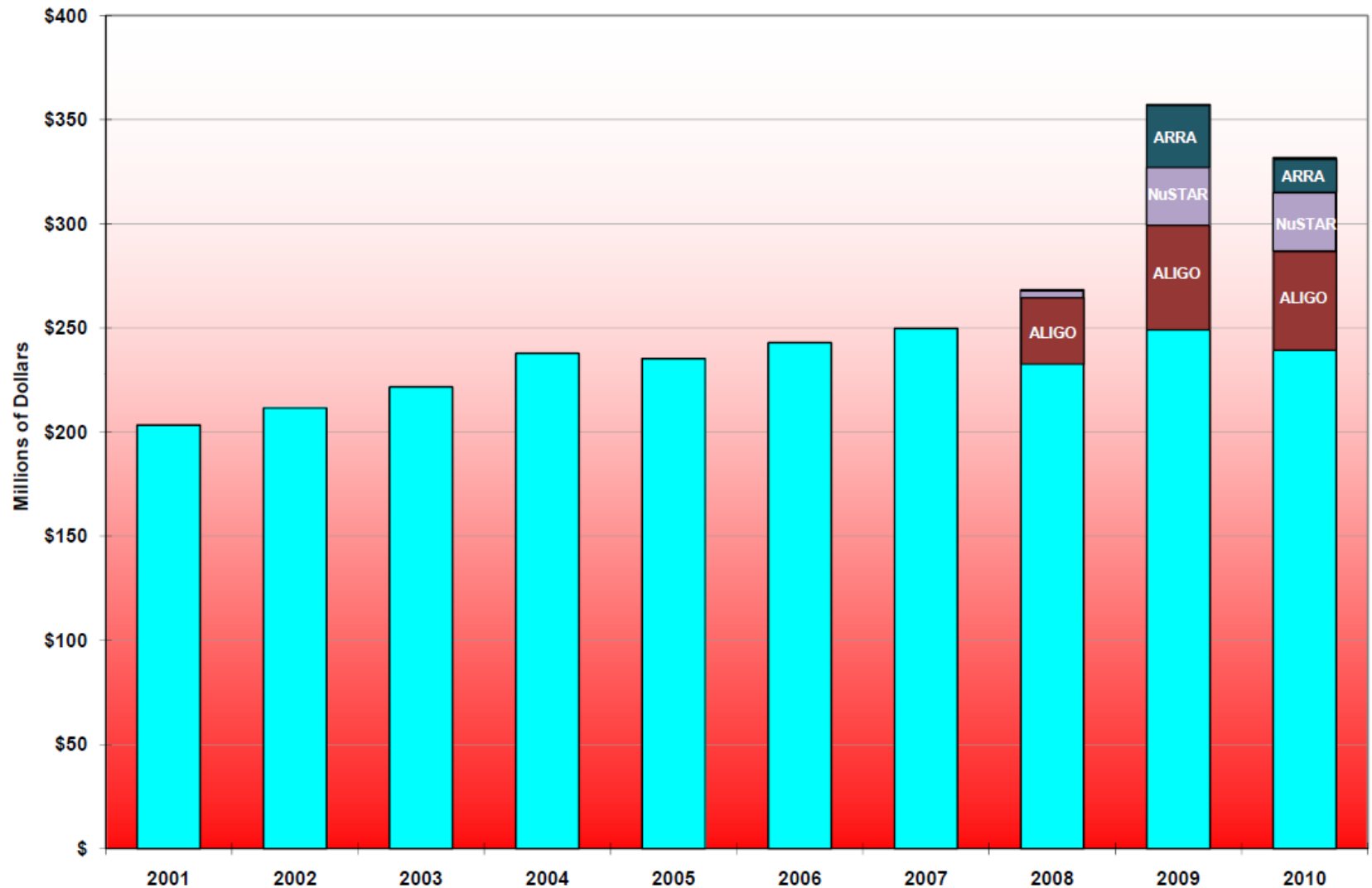
2010 Annual Report

Success Rate of Sponsored Research Proposals
(Including selected federal sponsors, and Institute overall)

	2004	2005	2006	2007	2008	2009
NSF	32%[24%]	42%[23%]	37%[25%]	30%[26%]	35%[25%]	44%[32%]
NIH	35%[26%]	35%[23%]	26%[19%]	33%[22%]	31%[22%]	26%[21%]
NASA	54%	53%	46%	47%	51%	40%
DOD	46%	57%	60%	70%	49%	60%
DOE	53%	35%	36%	38%	35%	36%
OVERALL	43%	49%	44%	41%	42%	42%

Note: Success rates are determined by considering all unfunded, competing proposals older than 1 year as unsuccesful. 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.
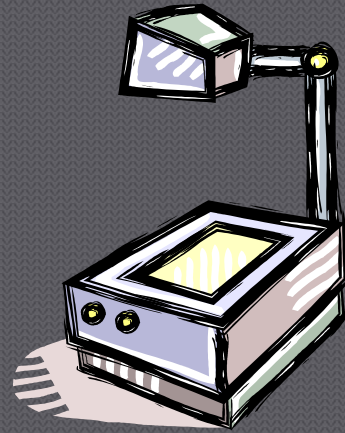
OSR Implementation of Minimum Overhead Requirement & E-Verify

Gayle

OSR Implementation of Minimum Overhead Requirement

- **Applies to awards received 1 Oct 2010 and later from non-profit sponsors**
  - Excludes subawards from non-profits if the prime sponsor is a federal agency
  - Provost review must occur if sponsor policy does not provide for OH equal to or greater than 15% Total Costs (17.65% of TDC)

- **Minimum OH Review & Approval Form**
  - Must be approved by Provost
  - Stacey Scoville is the source of expert advice in the Provost's Office
  - The review and approval form is used when processing the award & tracking the OH

California Institute of Technology
Mail Code 201-15, Pasadena, CA 91125. Tel: 626/395-6357; Fax: 626/795-4571
MINIMUM OVERHEAD REVIEW AND APPROVAL

SAMPLE

DATE: 31Jan 2011

PI: Seligman

DIVISION: Research   Contact/Phone#: x6357

PROPOSAL TITLE: How to Improve Research Administration

SPONSOR (if subaward, also list prime sponsor): UCLA; Prime is Foundation to Improve Research Administration

1. TOTAL BUDGET REQUESTED:$ 50,000

Total minus OH (Direct Costs)	$ 45,455
OH allowed (i.e. 15% TC, 10% TDC, or zero)	$ 4,545

1.A. If sponsor policy does not allow OH, indicate zero dollars and attach sponsor policy. If sponsor allows for partial OH recovery, please indicate the % and amount allowed:

OH % Allowed	Base for calculation (TC, TDC. MTDC)
10%	TDC

*2. **IF SPONSOR DOES NOT ALLOW OH RECOVERY EQUAL TO, OR GREATER THAN, THE CAMPUS MINIMUM OH (15%TC, 17.65%TDC), indicate the amount that cannot be charged to sponsor here:***

*Calculation Total Budget(#1) above: $50,000 x **.**15 = 7,500; 7,500 – 4,545 =* **$ 2,955**

Indicate below how that balance will be covered:

A. PI agrees to provide all/partial overhead:

PTA Number	Amount to Charge
RPS.FREE-1-ENDOW.MONEY	$ 955
	$

B. PI has included **general budget relief** in the budget. (Please describe the general budget relief categories & dollar value.) *PI Salary/Benefits, 1% effort.*

Total budget relief: $ 2,000

C. This type of award is **exempt** from minimum overhead.

D. The PI requests a **waiver** for that portion of the overhead not allowed by the sponsor (include rationale for waiver). $_____

☐ Partial waiver; balance of overhead not allowed by sponsor, and not provided in A. or B. above, has been waived.

☐ Full Waiver

E-Verify

▸ A Federal program to electronically verify employment eligibility of employees working under federal contracts

▸ Required by Executive Order as of September 2009

▸ E-Verify requirement is included in all new (research) contracts/subcontracts, & some continuing contracts/subcontracts

▸ E-Verify software compares information on the I-9 form to data from the Social Security Administration and US Dept of Homeland Security
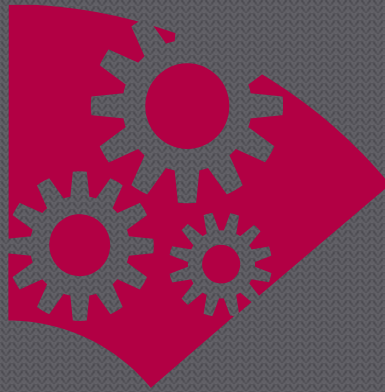
E-Verify

- At Caltech –

  - OSR notes in Oracle & on the Award Summary when a contract/subcontract is subject to E-Verify
  - Caltech HR confirms employee eligibility using the E-Verify system

Equipment Fabrication in Proposals

David

Equipment Fabrication in Proposals -

- Caltech's fabrication policy applies, even at the proposal stage
  - A fabrication must result in an item that meets the definition of "equipment"
  - Inclusion of academic salaries (e.g., faculty, postdocs, & students) are not allowed
  - Ownership and possession of the fabricated item must be with Caltech
- Exceptions to the fabrication policy require approval of Division Chair *and* Provost prior to proposal submission

Equipment Fabrication in Proposals

If there is insufficient time to obtain approval for exceptions prior to submission, proposal must include F&A on questioned fabrication costs in order to be submitted.

▸ Recommend submitting fabrication description to Property Services well in advance of proposal submission OSR in order to ensure that proposed fabrication qualifies under Caltech policy.

New I-129 "Petition for a Nonimmigrant Worker"

Effective February 20, 2011

Adilia

New I-129 Form: Effective 2-20-11

▸ I-129: "Petition for Nonimmigrant Worker" to temporarily bring foreign national employees to the United States.

▸ New Part 6 of the I-129 form imposes new controls into the visa petition process.

▸ Employers filing for workers in the H-1B, H1B1, L-1 and O-1A nonimmigrant categories will have to certify under penalty of perjury, that they have reviewed the export regulations (ITAR & EAR) and declare whether or not an export license is required with respect to the technology or technical data that the employer will be releasing to the employee:

  ▸ 1. A license is not required from either the U.S. Department of Commerce or the U.S. Department of State to release such technology or technical data to the foreign person; or

  ▸ 2. A license is required from the U.S. Department of Commerce and/or the U.S. Department of State to release such technology or technical data to the beneficiary and the petitioner will prevent access to the controlled technical or technical data by the beneficiary until and unless the petitioner has received the required license or other authorization to release it to the beneficiary.

How can you help?

▸ Provide as much information about what the Foreign Person's job description.

　▸ Area of research – publication, weblinks, etc.

　▸ Current information provided for petition is not enough

▸ Complete the "Export Compliance Questionnaire" that contains few questions to help make this assessment: https://researchadministration.caltech.edu/export/export

▸ Allow enough time for review and processing

The new data

PART C: PROJECT INFORMATION

1. Please describe the work and/or activities to be performed by the beneficiary. Please provide as much information as possible to help understand the tasks to be performed. You may also attach a pdf of the Statement of Work to this form.

2. Please describe the type of Technology or areas of research that the beneficiary will work on. (Provide publication, website or other information that provides supporting information about the the area of research.)

3. Is the beneficiary fabricating or developing an instrument or hardware? ☐ No ☐ Yes
   If the individual will be fabricating or developing an instrument or hardware, please provide a brief paragraph on the item's purpose and its role in the project:
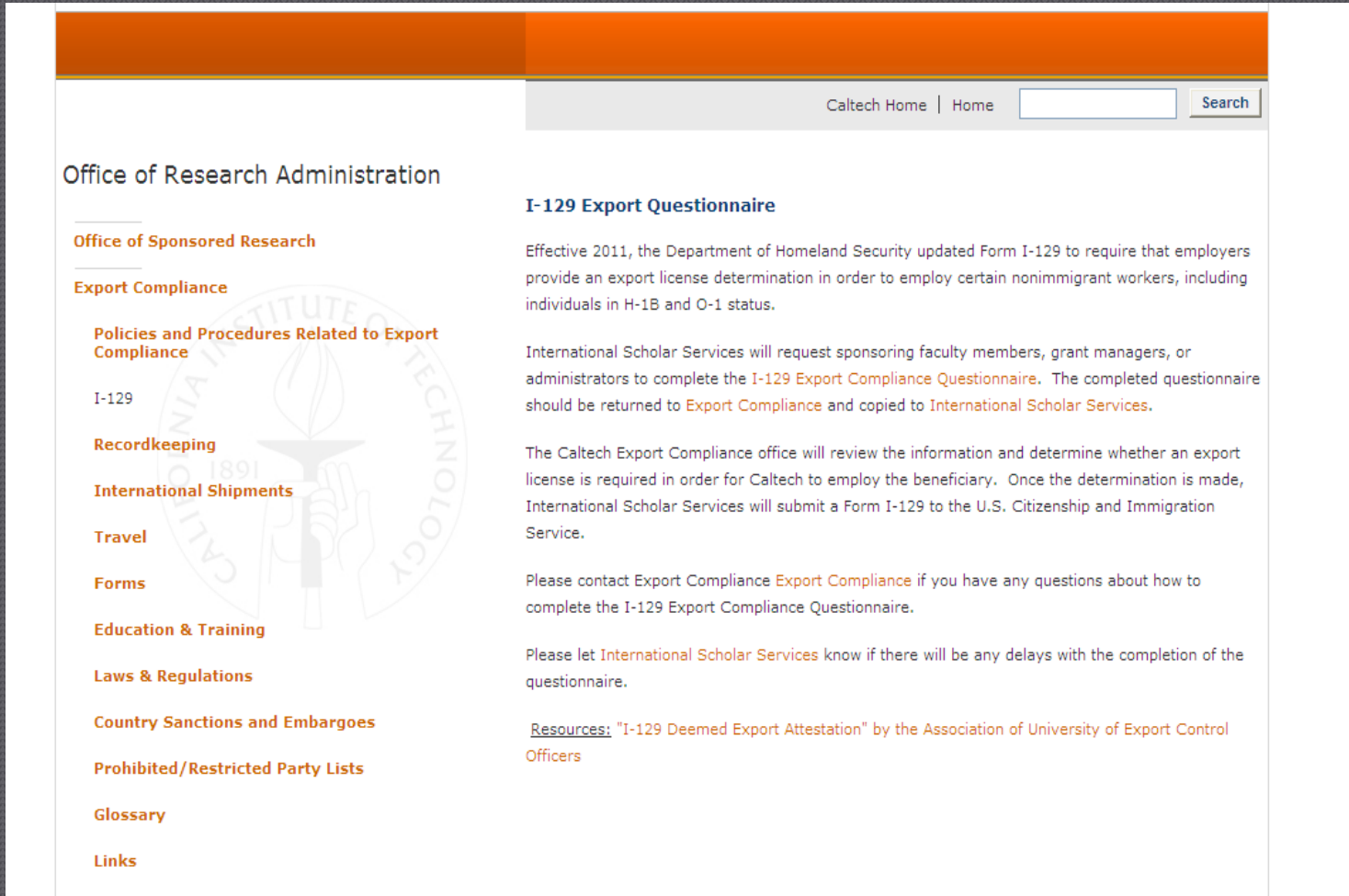
4. Will the area of research be for military application? ☐ No ☐ Yes
   If yes, please describe the items or technology to be specifically designed, modified or adapted for military application.

ECForm #011   Page 1 of 3

5. Will the area of research be for space flight application? ☐ No ☐ Yes

Where can I get the information?

https://researchadministration.caltech.edu/export/export

Help Line

Export Questions about the I-129 Export Questionnaire:

- x2641

- exporti129@caltech.edu

- http://researchadministration.caltech.edu/export

All other questions about your petition status:

- Pease contact the International Scholar Services at iss@caltech.edu
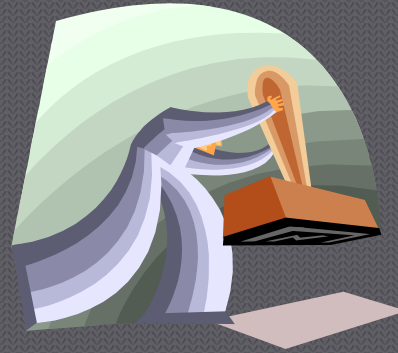
JPL Interdivisional Authorization Update

Process Improvements for Research Collaborations Between Campus & JPL

Adilia

JPL IA Update

▸ What's the current status?

▸ Do I still need to use the manual process?

▸ What about "old" IAs coming up for renewal?

▸ When does the new electronic system start?

▸ Who do I call if I have questions?

▸ How does this process work again?

How does the process work?

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 reviewed by the Vice Provost for Research | No – regular proposal submission process follows |

↓

If the project is approved, regular proposal submission process follows
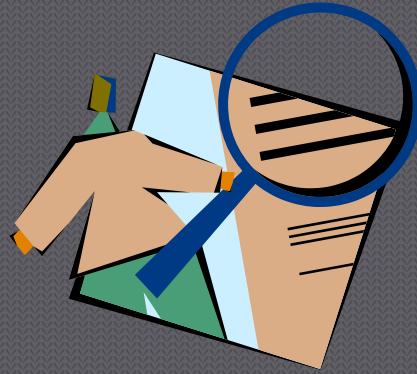
Audit Updates

Urmila

Audit Updates

- Caltech FY 2010 A-133
  - Late Reporting
- DCAA FY 2010 Labor Floorcheck
  - Interviewing employees
    - 1 employee performing non-work related activity
    - Employees unfamiliar with payroll policies and procedures
- DCAA MAAR 13 – Purchase Existence and Consumption audit
  - Review of purchases of equipment, supplies and consulting
  - "Invoice attached" issue – consulting agreements were not executed for these types of invoice payments

Audit Updates

▸ DCAA Records Retention Audit

- ▸ Validating Procurement imaging system
- ▸ Reviewing Caltech's Record Retention Policy and Schedule
- ▸ No issues thus far

▸ DCAA JPL Disclosure Statement Audit

- ▸ Validating JPL DS – primarily HR related items
- ▸ No issues thus far

Post Award Administration Training

Thursday, April 21ˢᵗ

9:00-11:30am

Annenberg 105

RSVP to mika.walton@caltech.edu