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, by Sponsor Type - FY2009

$357,180,798

Federal Agencies 81.58%
Federal Flow-through 10.45%
Foreign Entities 2.60%
Educational/Research Institutions 1.18%
Non-Profit Organizations 2.01%
For-Profit Companies 1.78%
State and Local Agencies .42%

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Federal Agencies 81.58%
## Caltech Proposal Success Rates

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

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

<table>
<thead>
<tr>
<th>Date</th>
<th>Awards</th>
<th>Funds</th>
<th>Jobs</th>
</tr>
</thead>
<tbody>
<tr>
<td>September 30, 2009</td>
<td>75</td>
<td>$30.9M</td>
<td>17.78 FTE</td>
</tr>
<tr>
<td>December 31, 2009</td>
<td>82</td>
<td>$33.3M</td>
<td>93.95 FTE</td>
</tr>
</tbody>
</table>

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

1st quarter: 100% effort for one quarter reported as 0.25 FTE; cumulative
2nd quarter: 100% effort for one quarter reported as 1.00 FTE; snap-shot
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
What are Export Documents?

- Requirements vary from one country to another

- Commercial Invoice
- License
- Permit, etc.

Documents required by customs or other entity

Requirements will vary depending on country of export or destination
Commercial Invoice or Proforma -- Why?

- Key document
- Describes Commercial Transaction

Buyer & Seller

- Contains Info to clear Customs
- Other agencies requirements

Customs

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

Duty
# Commercial Invoice

<table>
<thead>
<tr>
<th>Item</th>
<th>Description</th>
<th>UOM</th>
<th>QTY</th>
<th>Unit Price</th>
<th>Subtotal</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>World Map 14&quot; x 10&quot; Wholesale</td>
<td>PC</td>
<td>1</td>
<td>10.00</td>
<td>10.00</td>
</tr>
<tr>
<td>2</td>
<td>World Map 12&quot; x 16&quot; Wholesale</td>
<td>PC</td>
<td>1</td>
<td>15.00</td>
<td>15.00</td>
</tr>
<tr>
<td>3</td>
<td>World Map 9&quot; x 12&quot; Wholesale</td>
<td>PC</td>
<td>1</td>
<td>20.00</td>
<td>20.00</td>
</tr>
<tr>
<td>4</td>
<td>USA Map 9&quot; x 12&quot; Wholesale</td>
<td>PC</td>
<td>1</td>
<td>25.00</td>
<td>25.00</td>
</tr>
</tbody>
</table>

Sub Total: $100.00

Discount and Handling Costs: $10.00

Insurance Costs: $10.00

Total Invoice: $120.00
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!
Introducting 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\textsuperscript{st}, 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
- 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
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
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...
• **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

**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
NASA

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


- 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...?