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.

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

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

<table>
<thead>
<tr>
<th>Agency</th>
<th>R&amp;D Allocation</th>
<th>Awarded to Caltech</th>
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<tbody>
<tr>
<td>NIH</td>
<td>$10.4B</td>
<td>$11.9M</td>
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<td>NSF</td>
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<td>DOE</td>
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<td>NASA</td>
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<td>DOD</td>
<td>$200M</td>
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</table>
# Award Distribution by Sponsor Division*

*as of September 30, 2009

<table>
<thead>
<tr>
<th>Sponsor Division</th>
<th>NIH</th>
<th>NSF</th>
<th>Grand Total</th>
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<td>No. of Awards</td>
<td>Award Amount</td>
<td>No. of Awards</td>
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<td>PMA</td>
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<td><strong>Grand Total</strong></td>
<td><strong>36</strong></td>
<td><strong>$11,904,674</strong></td>
<td><strong>37</strong></td>
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</tbody>
</table>
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?

• 1\textsuperscript{st} through 10\textsuperscript{th} of month after end of reporting period
  
  All required data elements for each award issued or active during previous quarter must be submitted

• 11\textsuperscript{th} through 21\textsuperscript{st} of month
  
  – Prime awardees review their submitted data \textit{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?

• 22\textsuperscript{nd} through 29\textsuperscript{th} 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

• 30\textsuperscript{th} 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?

Caltech Human Resources → ARRA Reporting Coordinator → Caltech Purchasing → Prime Awardee

Caltech Sponsored Research → ARRA Reporting Coordinator → Caltech Principal Investigator → FederalReporting.gov

Caltech Purchasing → Subawards → Vendors
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

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.
<table>
<thead>
<tr>
<th>Funding Source</th>
<th>Award Number</th>
<th>Sponsor Title</th>
<th>Start Date</th>
<th>End Date</th>
<th>PI</th>
<th>Prev Proj Status</th>
<th>Curr Proj Status</th>
<th>Award Detail</th>
<th>Final</th>
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### ARRA Listing with Project Status

**Reporting Period:** DEC-2009

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<th>Funding Source Award Number</th>
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<td>RO1 DE017911</td>
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Award Detail

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 is the Sponsor Title for NSF.000465/ATM.0340797

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