

Research Administration Forum

June 26, 2012

Agenda

- OSR Personnel Changes (David)
- Effort in NASA Proposals (David)
- Facilities Use and Technical Service Agreements (David)
- Updates from the Office of Research Compliance and the Provost Office (Grace)
- Foreign Travel on JPL IAs (Urmila)
- Audit Updates (Urmila)

OSR Personnel Changes

- Mary Gibson, Associate Director
- Elizabeth Hisserich, Assistant Director
- Gaylene Ursua, Sr. Contract and Grant Officer
- Lisa Miller, Contract and Grant Officer

- Gayle Lund, soon to be retiree

Effort in NASA Proposals

Table of Personnel and Work Effort

- Must identify each individual who is necessary to perform the work, regardless of whether the individual will receive NASA funding
- Must identify the planned work effort for each individual in fractions of a year (e.g., % time)
- Caltech requires a minimum commitment of effort of 1% for PIs/co-PIs;
- There is no NASA imposed minimum level of effort (such as for non-PIs/co-PIs)

Table of Personnel and Work Effort

- Any effort for an individual listed in the Table of Personnel and Work Effort that is greater than the level of effort listed in the budget to be paid by NASA constitutes committed cost sharing.

Table of Personnel and Work Effort

- **Collaborator** - “a Collaborator is an individual who is less critical to the proposal than a Co-I but who is committed to provide a focused but unfunded contribution for a specific task.”
- A Collaborator identified with a level-of-effort above zero equals cost sharing (if effort is committed, but not paid by the award, it constitutes cost sharing)

Table of Personnel and Work Effort

- However, a Collaborator listed with zero effort makes no sense (how can an individual commit to provide a focused contribution to the project but spend no time doing so?); this may jeopardize a proposal during NASA review.

Facilities Use/Technical Service

- Now handled by OSR, even for amendments to ongoing FUA/TsAs not previously handled by OSR
- Only OSR is authorized to sign FUA/TsAs
- Caltech standard FUA/TSA template must be used, unless OSR determines otherwise.
- Does not permit *any* collaboration between external users and Caltech personnel, other than necessary training to utilize facility

Facilities Use/Technical Service

- Information Form required, includes:
 - SOW – to determine nature of work
 - Physical location of facility to be used – to monitor private use in the case of bond-funded buildings
 - Identify users and their roles
 - Nature of user fee/rate
 - Signed by Division Chair
- No DAF required because its not a sponsored Caltech activity

Facilities Use/Technical Service

- Visitor Patent/Confidentiality Agreements not required because there is no collaboration
- Overhead not *currently* assessed
- Post-award handled by:
 - Project Accounting if federal; each agreement will require a PTA separate from any other funds;
 - Finance (G&E Accounting) if non-federal.

Changes to Chapter 7 in the Faculty Handbook

- Change in policy regarding sponsored research from a company in which a faculty member has an interest
 - Faculty member can accept sponsored research from such a company PROVIDED THAT: the interest has been disclosed through the Caltech CoI system, is indicated on the DAF and the faculty member develops and has an approved Research Management Plan in place PRIOR TO beginning research

<http://provost.caltech.edu/FacultyHandbook/Chapter7.pdf>

Changes to Chapter 7 in the Faculty Handbook

- Change in policy regarding a gift from a company in which a faculty member has an interest
 - Such gifts cannot be accepted if there is a promise made to the company, or the company expects more than simple reporting. A promise can include a separate license agreement to improvements on technology developed in the lab.

<http://provost.caltech.edu/FacultyHandbook/Chapter7.pdf>

Changes to Chapter 7 in the Faculty Handbook

- Change in policy regarding company visitors in Caltech laboratories
 - If a company will support the expenses of one of its employees in a Caltech laboratory, that funding must come through as a gift, with no terms and conditions including no IP rights to the company; OR,

<http://provost.caltech.edu/FacultyHandbook/Chapter7.pdf>

Changes to Chapter 7 in the Faculty Handbook

- Change in policy regarding company visitors in Caltech laboratories (cont.)
 - If a company will support the expenses of one of its employees in a Caltech laboratory, and the company desires IP rights, then the funding to support the visitor must come in as a sponsored research agreement. Such funding must support a portion of the PI's time as well as the time of any Caltech employee with whom the visitor will be working.

<http://provost.caltech.edu/FacultyHandbook/Chapter7.pdf>

Foreign Travel on JPL IAs

- JPL NASA prime contract stipulates that travelers on foreign travel complete a Travel Security Briefing 7 days in advance of the trip
- When foreign travel is anticipated, it must be included in the JPL IA proposal with reason for travel, destination, anticipated travel dates and estimated costs
 - If travel date is not known at the time when proposal is submitted, JPL Business Office needs to be notified at least 30 days in advance of the travel date

Foreign Travel on JPL IAs

- When foreign travel is not included in the proposal but arises during the period of performance
 - JPL Business Office to be notified at least 30 days in advance of the travel date so that necessary approvals can be attained
 - Traveler to complete JPL Foreign Travel Request Form and submit to JPL Business Office 30 days before the travel date
 - ORA link to the form:
[JPL Foreign Travel Request Form](http://researchadministration.caltech.edu/osr/IAMS)
(<http://researchadministration.caltech.edu/osr/IAMS>)

Foreign Travel on JPL IAs

- Unapproved foreign travel expenditures on JPL IAs may be disallowed
 - Necessitates moving expenses to non-sponsored account

Audit Updates

- FY2011 A-133 audit report
 - No findings
 - Caltech continues to stay on “low risk” auditee status
- PwC started FY2012 A-133 audit
- Major program audits by sponsors
 - LIGO and Adv. LIGO
 - DOE major programs

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