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!