AquaFish CRSP

Purchasing,
Financial Reporting,
Travel,
and Visa Compliance

presented by
Dwight Brimley

May 22, 2007
Washington, D.C.

Purchasing

➢ The cooperative agreement has limitations on purchases made with CRSP funds.

➢ The limitations are covered in the standard provisions included with each sub award.

➢ Purchases in violation of the standard provisions will not be reimbursed.

Financial Reporting

➢ Invoices must be sent quarterly.

➢ Invoices must include Cost Share Information.

➢ Progress reports must be up to date or invoices will not be paid.
Travel

- Domestic travel requires approval from the lead U.S. Principal Investigator.

- International travel must be approved by the U.S. PI and the Director of the CRSP.
Travel

➢ Unbudgeted international travel requires CRSP Director approval and USAID approval. This takes more time so plan ahead.

➢ Approvals (including emergency locator form) must be in place before travel.

➢ A trip report is required for all international travel.

Travel

➢ Travel must be conducted using U.S. flag carriers if service is available.

➢ Lower cost of ticket is NOT an allowable reason to use a non-U.S. flag carrier.

➢ Non-U.S. carrier tickets will NOT be reimbursed.

Visa Compliance

➢ U.S. Principal Investigators are responsible for obtaining visas for participants visiting the U.S.

➢ Each institution should have a person trained to use TraiNet. PIs need to work with these people to process visa applications for visitors.

➢ TraiNet processing takes time. Do not wait for the last minute to start.
Purchases

Purchases of goods and services are limited under the co-operative agreement.

Under the terms of the AquaFish RFP, no equipment is authorized under any sub award. Equipment is defined as an item costing over $5,000.

Purchases of goods and services are also limited by geography of the source and origin of the goods. Approved geographic codes for the agreement are:

- Code 000: The United States
- Code 935: The area or country including the cooperating country.

What this means is that purchases are limited to goods and services that have U.S. origins, or whose origin are in the countries that we have active investigations in. There are some exceptions to this rule (outlined in the standard provisions included in each sub award) and waivers are available in the case of unusual situations.

Overseas shipment of goods is also restricted to U.S. flagged carriers.
Financial Reporting

Financial reporting for projects is dictated by the terms of the sub-award from OSU. Typically these requirements are met by sending a quarterly invoice accompanied by the addition information as attachments.

Invoices for reimbursement must be submitted quarterly to the CRSP and must be submitted within 30 days following the end of each quarter:

1st qtr report (Jan- March) due April 30
2nd qtr report (April-June) due July 30
3rd qtr report (July-Sept.) due Oct. 30

Reimbursements by the U.S. Lead Institution to a HC Institution should be reported in the month/quarter in which they were reimbursed, not the month/quarter in which the original institution incurred the expenditure. Expenditures should be reported on the same line and in the same column as they were budgeted.

There is no required format, but an invoice must at a minimum include the following information:

Name and remittance address of the Lead Institution
Subcontract number
Period covered by the invoice
Expenditures for the period allocated by:

- Salaries and Wages
- Employee Benefits
- Supplies and Services
- Travel
- Indirect costs
- Tuition
- Equipment

Expenditures in these categories must agree to the amounts shown on the original budget, plus or minus 10%. Moving budget line item amounts greater than 10% require the prior approval of the CRSP Director.

Invoices must be accompanied by a cost sharing report (this may be included on the invoice or as an attachment) and an impact report for the period covered by the invoice.

INVOICES WILL NOT BE PAID UNLESS ACCOMPANIED BY COST SHARE AND QUARTERLY PERFORMANCE REPORTS

The cost share amounts reported with the invoice should track with the overall expenditures under the subcontract. So if the cumulative expenditures are 50% of the overall budget the cumulative cost share reported should be about 50% of the budgeted cost share commitment. If the cost share commitment falls significantly below the projected amount payment of the invoice may be held until the cost share amount is brought up to the required amount.
### Aquaculture & Fisheries CRSP

#### Single-Year US Lead Partner Institution Proposal Budget

<table>
<thead>
<tr>
<th>Proposal Title</th>
<th>Institution</th>
<th>Budget Period: Year 1</th>
</tr>
</thead>
<tbody>
<tr>
<td>Watershed Management</td>
<td>Demo University</td>
<td>4/1/07</td>
</tr>
<tr>
<td>Lead Principal Investigator</td>
<td></td>
<td>9/30/07</td>
</tr>
<tr>
<td>Dr. D. Demo</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### Budget Categories

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Salary</td>
<td>$18,323</td>
<td>$20,400</td>
<td>$10,560</td>
<td>$3,000</td>
</tr>
<tr>
<td>Benefits/Fringe</td>
<td>$4,066</td>
<td>$7,752</td>
<td>-</td>
<td>$528</td>
</tr>
<tr>
<td>Subtotal</td>
<td>$22,394</td>
<td>$28,152</td>
<td>$11,088</td>
<td>$3,000</td>
</tr>
</tbody>
</table>

| Supplies and Services   |         |                           |                  |                          |
| (Itemized S&Es)         | $488    | $15,000                   |                  |                          |

| Subcontract to US Inst #1 | $16,150 |                      |                  |                          |
| Subcontract to US Inst #2 | $54,824 | $54,824                 |                  |                          |

| Subtotal                | $71,462 |                           |                  |                          |

| Travel                  |         |                           |                  |                          |
| Domestic                | $1,388  |                           |                  |                          |
| International           | $1,604  |                           |                  |                          |

| Subtotal                | $2,992  |                           |                  |                          |

| Equipment               |         |                           |                  |                          |
| Tuition                 | $7,000  |                           |                  |                          |

| Total Direct Cost       | $103,848| $28,152                  | $65,912          | $18,000                  |

| Indirect Costs          |         |                           |                  |                          |
| Standard Indirect       | $6,727  | $7,320                    | $3,600           |                          |
| Indirect on Subcontracts| $10,699 |                          |                  |                          |

| Subtotal                | $17,426 | $7,320                    | $3,600           |                          |

| Total                   | $121,274| $35,472                   | $65,912          | $21,600                  |

---

Demo University
1234 Lois Ln.
Smallville, USA

Invoice No. 1
Invoice Date: 7/7/07

Subcontract RD01A-5

TO:
Oregon State University
Research Accounting
P.O. Box 1086
Corvallis, OR 97339-1086

Current Period 4/1/07 - 6/30/07
Cumulative

<table>
<thead>
<tr>
<th>Salaries and Wages</th>
<th>$10,996.80</th>
<th>$10,996.80</th>
</tr>
</thead>
<tbody>
<tr>
<td>Employee Benefits</td>
<td>$2,439.60</td>
<td>$2,439.60</td>
</tr>
<tr>
<td>Services &amp; Supplies</td>
<td>$200.00</td>
<td>$200.00</td>
</tr>
<tr>
<td>Travel</td>
<td>$1,604.00</td>
<td>$1,604.00</td>
</tr>
<tr>
<td>Modified Total Direct Costs</td>
<td>$15,240.40</td>
<td>$15,240.40</td>
</tr>
<tr>
<td>Indirect Costs</td>
<td>$4,860.00</td>
<td>$4,860.00</td>
</tr>
</tbody>
</table>

TOTALS $20,100.40 $20,100.40
Travel
All travel paid for with AquaFish CRSP funds must be in direct support of CRSP activities; the Principal Investigator approving travel must have budgeted funds for such travel. Domestic travel requires approval only from the Principal Investigator.

All international travel (travel that crosses ANY international border) must be approved by the PI and the Director of the CRSP. In order for an international trip to be approved, it must be specifically detailed in the subcontract budget. The International Travel request Form is an on-line form that can be filled in and submitted from the AF CRSP website. (see attachment for a sample of this form). In addition to CRSP approval, travel whose primary purpose includes interaction with Host Country Missions or which was not included in the budget also requires USAID Mission approval. The CRSP Director will seek this concurrence on behalf of the traveler via the USAID/Washington office.

All travelers must have the appropriate approvals in place before departure. In addition, all travelers must have up-to-date Emergency Locator Forms on file with the CRSP prior to travel (see attachment for a sample of this form). Travelers are requested to submit an updated Emergency Locator Form with their next travel request if there have been changes (i.e., address of the traveler or the traveler’s next of kin.)

By and large, travel must be conducted using US flag carriers; PIs should consult the CRSP regarding the very limited exclusions to this rule that are available. A trip report is required for all international travel. The travel procedures for each type of travel are delineated below.

Domestic Travel
• Traveler submits travel request to Project PI.

International Travel without Mission Contact
• At least 40 days prior to departure, traveler submits a travel request to Project PI.
• If the PI approves the travel, the request is forwarded to the CRSP Director for approval at least 30 days prior to planned departure.
• The request is returned to the traveler at least 30 days prior to planned departure, with the Director’s approval or disapproval.
• Traveler submits a Trip Report to CRSP within 30 days of return.

International Travel with Mission Contact
• At least 40 days prior to departure, traveler submits a travel request to Project PI.
• If the PI approves the travel, the request is forwarded to the CRSP Director for approval at least 30 days prior to planned departure.
• If the CRSP Director approves, the request is immediately forwarded to the CTO at USAID/Washington.
• The CTO forwards the request to the Mission.
• The CRSP receives a copy of the Mission response via the CTO.
• The CRSP immediately notifies the Project PI about the Mission’s response.
• The traveler is responsible for notifying the CRSP and the Mission of any changes to the itinerary on file.
• Traveler submits a Trip Report to CRSP within 30 days of return.

Trip Reports
Trip reports are an important source of impact information. Therefore, trip reports are required for all international travel and are due 30 days after return. They are also strongly encouraged for all domestic travel. If more than one person is traveling, only one trip report is required for the group. The trip report consists of two parts: a narrative and a logistical summary. The narrative should include:
• Name of traveler(s)
• Scope of Work for the trip
• Technical observations
• Suggestions and recommendations
• Workshops and/or seminars offered by the traveler, with a list of attendees. If possible, the traveler should collect data regarding home country, occupation, and gender of attendees.
• General observations
• Problems noted

The logistical summary should include an itinerary and a list of individuals contacted (name, title, institutional affiliation, address)
### Budget Justification Form for US Lead Partner Institution's

1. Personnel, Benefits, and Cost Share
   1a. Salary Information

<table>
<thead>
<tr>
<th>Name</th>
<th>Title</th>
<th>Annual Salary</th>
<th>Benefits Rate</th>
<th>Project Funds</th>
<th>Cost Share Funds</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>FTE</td>
<td>Salary</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

1b. Student Information (you will be asked to complete a student profile form upon award)

<table>
<thead>
<tr>
<th>Name</th>
<th>Gender</th>
<th>Nationality</th>
<th>Degree Sought</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

1c. Cost Share
Describe non-federal cost-share not outlined above under Salary Information.

2. Services and Supplies

3. Travel
   International Travel
   - Dates: May 7-13
   - Traveler: Dr. D. Demo
   - Departure: Demo University, Destination: Florence, Italy
   - Reason for travel: Attend Technical Committee meeting and WAS conference in Florence, Italy

   - Meals and Lodging @$ /day for 3 days $350
   - Airfare $1,000
   - Airport transport, parking, etc. $200
   - Miscellaneous (departure tax, etc.) $54
   - TOTAL $1,654

   2. Purpose of Travel
   Is the primary purpose of the trip to work with USAID Mission or US Embassy personnel and/or will traveler seek significant administrative or programmatic support from the USAID Mission or the US Embassy? **NO**
   Please explain: **This trip is for David to attend technical committee meetings and WAS conference**

3. Prior Budget Approval
   Is the proposed travel identified in the award budget? **YES**

4. Traveler and PI Signatures

   Traveler
   Principal Investigator

5. AquaFish CRSP Approval
AQUAFISH
COLLABORATIVE RESEARCH SUPPORT PROGRAM
Oregon State University
418 Snell Hall
Corvallis, Oregon 97331-1643 USA
aquafish@oregonstate.edu

AQUAFISH CRSP INTERNATIONAL TRAVEL REQUEST

Date submitted to CRSP:

1. Traveler and Trip Information
   Lead institution/project:

   Principal investigator(s):

   Traveler's name:

   Traveler's institution:

   Destination:

   In-country contact person:

   Proposed departure date:

   Proposed return date:

   Traveler has submitted an AquaFish CRSP emergency locator form to the Management Office:
   ___ yes  _____ no

2. Purpose of Travel
   Is the primary purpose of the trip to work with USAID Mission or US Embassy personnel and/or will traveler seek significant administrative or programmatic support from the USAID Mission or the US Embassy?

   Please explain:

3. Prior Budget Approval
   Is the proposed travel identified in the award budget?

4. Traveler and PI Signatures

   ______________________________________________________________________
   Traveler  U.S. Principal Investigator

5. AquaFish CRSP Approval

   ______________________________________________________________________
   CRSP Director  Date
AquaFish CRSP Emergency Locator Form

Date form completed:

1. Traveler Information

Traveler's name:

Traveler's institution:

Traveler's home address:

Home telephone (& email, if available):

2. If traveler will take up foreign residency, please provide

Overseas address:

Overseas telephone & email, if available:

3. Next of kin (to be notified in case of emergency)

Name:

Relationship to traveler:

Address:

Telephone (& email, if available):

4. Special instructions/conditions (describe below)
USAID VISA COMPLIANCE

INTRODUCTION

With few exceptions, each USAID-sponsored visitor to the U.S. must travel on a J-1 visa.

The Student and Exchange Visitor Information System (SEVIS) is a web-based system for maintaining information on international students and exchange visitors in the United States. In accordance with Departments of State and Homeland Security regulations all exchange visitor program sponsors, including USAID, are required to use SEVIS to print the Certificate of Eligibility for Exchange Visitor (J-1) Status (Form DS-2019), electronically and must update SEVIS with information on all exchange visitors in the United States.

The preparation of the DS-2019 form is a critical step in the process of obtaining a visa for USAID-sponsored visitors to the United States. This form is presented to the Consular Officer, along with supporting documents, to obtain a J-1 visa prior to travel to the United States.

SYSTEMS

USAID Missions and implementing partners must use TraiNet to track and report participants to USAID/Washington. TraiNet is the sole source of information on all USAID sponsored exchange visitors. Because only U.S.-based staff may access SEIS, the Visa Compliance System (VCS) provides an interface between TraiNet and SEVIS. The data flow looks like this:

Data is entered into TraiNet
Data is transmitted to VCS were it is verified, approved, and passed on to SEVIS
SEVIS then produces the Form DS-2019

WORKFLOW

A Sponsoring Unit requests a DS-2019 by entering full training intervention and participant biographical information into TraiNet. When necessary, the organization must report changes in the participant’s data in TraiNet.

The information is transmitted from TraiNet to VCS where it is verified. VCS will communicate any errors to TraiNet for correction if necessary. Once verified, the information is passed on to an USAID Mission Approver.

Once the information has been approved it is forwarded on the USAID Responsible Officer who reviews and submits the information to SERVIS. After the information is processed through SERVIS, the Responsible Officer signs the DS-2019 form and sends it to the Sponsoring Unit.

Signed DS-2019 forms must remain in the control of the USAID Sponsoring Unit until they are submitted with supporting documents to the U.S. Consulate, where the J-1 visa is issued. The organization must ensure that if a participant does not depart for training as planned, the DS-2019 form is expeditiously returned to the Responsible Officer. DS-2019 forms must not be destroyed, as they must be accounted for by the USAID Responsible Officer.