Caltech

Institute Business Systems | IMSS

Cost Transfers

Release II

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Overview

The Cost Transfers application is an access.caltech, single sign-on web application for requesting, approving, and processing cost transfers.

Cost Transfers application:

1. Generates Cost Transfer Requests (CTR) for the processing of non-labor expenditures from one Project-Task-Award (PTA) to a different PTA. – **Non Labor Requests**
2. Import LD batches from Oracle LD module for the processing of Labor expenditures from one or more Project-Task-Award (PTAs) to different PTAs. – **Labor Requests**

The application automates the current creation and submission process, as well as the routing for approval within the proper Finance processing areas (Controller Office or Project Accounting).

Non Labor Requests

<u>Note:</u> If the cost transfer 'crosses' processing areas, finance procedures require the 'From' PTA processing area to review and approve the transfer prior to being reviewed, approved for processing by the TO processing area.

The **Non-Labor Request** will:

- Identify cost transfer requests subject to the Federal Cost Transfer Policy (i.e. High Risk), thus ensuring the appropriate justification questions are completed and the proper approvals are obtained. (see Cost Transfer Policy in appendix A);
- identify transfer that require review by the Property Services group;
- identify cost transfer expenditures that are nearing 90 days and/or have been previously transferred;
- allow s for transfer of a partial amount;

The **Non-Labor Request** will *not*:

- allow transfers to more than one PTA;
- process Expenditure Type (E-type) changes;
- process Labor Distribution Adjustments (LDA)

CTR creating & processing steps for Non-Labor Request

Creating

Preparation	•Run COGNOS Report •Identify Expenditures
Create Expenditure List	•Load Expenditure Item IDs •Add/Delete/Split
Build Justification Form	•TO PTA, Justification questions and validations •Route for approval
Submit Request	•Approve/Return/Reject •Submitted to Central Finance

Processing (Central Finance)

Receive Request	•Property Services •Controllers Office •Project Accounting
Review Request	•Process splits •Approve/Route/Return/Reject
Submitted for Oracle procesing	•Expenditures Validated •Nightly Processing

Approval Levels, Groups, Actions, and User Roles

Each CTR creates a hierarchy based on several factors including; preparer's role, 'To' and 'FROM' PTA, expenditure type being transferred (equipment), expenditures subject to Federal Cost Transfer policy (high risk). This hierarchy ensures the CTR has the proper approvals as well as routed to the appropriate processing areas for review and submission for processing in Oracle and loading into Cognos. This hierarchy consists of the Approval Level, Approval Group, and Approval Action based on the user's role. The 'creation' of the hierarchy is used when the CTR is ready for its next 'step'. (see Routing section)

Approval Level

Preparer:

Cognizant Admin

Property Services:

From PTA First Review

From PTA Certified Level 1 or 2

To PTA First Review

To PTA Certified Level 1 or 2

Approval Group

Preparer:

Cognizant Admin:

Property Services:

Controller's Office 1 & 2:

PA Reviewer:

PA Certifier 1 & 2:

Approval Actions

Submit: Used to route the CTR to the next Approval Group, and sends an email to the next approval group

Submit; route for PI online approval: Used to route the CTR for the PI's on-line approval (if the CTR is High Risk), and sends an email to the next approval group

Submit; PI/DC approval attached: Used to route the CTR to Central Finance when the CTR is a High Risk. The Justification must be signed by both the PI and Division Chair and the scanned document has been attached to the CTR, and sends an email to the next approval group.

WIP – Assign to Me: Used by someone in either Project Accounting or the Controller's Office to indicate they have 'grabbed' the CTR for review.

WIP – Reassign to Group: Used to 'release' the CTR if it had been previously 'grabbed.'

Approve: Used in central finance to route the CTR to the next Approval Group, and sends an email to the next approval group.

Return: Used to return the CTR to the Prepare for additional information. The expenditures are still 'linked to the CTR and may not be selected by any other CTR. An email is sent all who have taken action on the CTR.

Rejected: Used to essentially void the CTR. The preparer receives an email that the CTR has been rejected, the CTR may not be updated and the expenditures are 'released' and available for transfer by a new CTR. An email is sent all who have taken action on the CTR.

Submit CTR: Used for final approval and processing by central finance.

Completed: Used to indicate the CTR has been sent to the queue to be processed overnight. An email is sent to the preparer and cognizant admin who have taken action on the CTR.

Cost Transfer User Roles

Campus

Preparer: The Preparer begins the CTR, typically a Grant Manager or admin assistant. A Preparer can see only their CTRs. A Preparer may attach pertinent documents, and route the CTR to a Cognizant Admin for approval and routing to Central Finance.

Cognizant Admin: The Cognizant Admin can do everything a Preparer can, plus see all CTRs for their Organization and can submit the CTR to Central Finance.

Principle Investigator: The Principle Investigator (PI) approval is required if any expenditure on the CTR is subject to the Federal Cost Transfer Policy (High Risk)

Division Chair: The Division Chair (DC) approval is required if required if any expenditure on the CTR is subject to the Federal Cost Transfer Policy (High Risk)

Central Finance

Preparer: A Project Accounting or Controller's Office Preparer may create a CTR. However they cannot submit the CTR for processing. They must route the CTR for submission to Oracle. The CTR is routed to Controller's Office Review 2 if non-sponsored, or Certifier 1 or 2, if sponsored.

Property Services: A CTR is routed to Property Services if the CTR contains either expenditure type; Equipment–Caltech, or Equipment-Govt, or Equipment-Other Owned. Property Service reviews the CTR, updates the Fixed Asset record (if applicable) then routes the CTR (Project Accounting or the Controller Office based on the TO PTA

Controller's Office Review 1 and Controller's Office Review 2: The Controller's Office Reviewer receives the CTR, from either campus, Property Services or Project Accounting. The CTR is reviewed and the appropriate routing action is selected

PA Reviewer: The PA Reviewer receives the CTR, from either campus, Property Services or the Controller's Office. The CTR is reviewed and the appropriate routing action is selected

PA Certifier 1: The PA Certifier 1 receives the CTR from the PA Reviewer, if the CTR is not a High Risk transfer. The CTR is reviewed and the appropriate routing action is selected

PA Certifier 2: The PA Certifier 2 receives the CTR from the PA Reviewer, if the CTR is a High Risk transfer. The CTR is reviewed and the appropriate routing action is selected

View Only: The View Only role allows the user to view all pending and completed CTRs. The user of this role would typically be PA Accountants and Internal Audit.

What Can be Done and Seen in the Cost Transfers Application

What Campus Can Do (based on role)

Preparer

- The person who
  - Searches/uploads expenditures to be transferred
  - Creates the cost transfer request
  - Prepares the on-line justification form
  - Can upload supporting documents
- ***Cannot*** **SUBMIT** request to Project Accounting/Finance

Cognizant Admin

- **Can do everything a CTR *Preparer* can do**
- For all requests prepared by his/her **Division**
  - ***Reject, Request Rework by Preparer, or Approve***
  - ***SUBMIT*** request to Project Accounting/Controller's Office

PI/Div Chair

- For requests routed to **them** for approval:
  - ***Reject, Request Rework, or Approve***
  - ***SUBMIT*** requests to Project Accounting/Controller's Office
- Online approval routing ***WILL*** need to be sequential – PI first, then Div Chair

What Campus Can See (based on role)

Preparer

- **View only requests created by herself/himself**

PI

- **View only requests** assigned to him/her for approval by the Cognizant Admin

Division Chair

- **View only requests** assigned to him/her for approval by the PI

Cognizant Admin

- **View all requests *created by*** all Preparers and Cognizant Admins for their **Division**
- **For Cross Division Transfers** – can **View all requests** *routed for approval from* another Division to their Division's Cognizant Admins

What Central Finance Can Do and See

Controller's Office 1 & 2 • View all request • Approve, Return, Reject CTRs on their Approval Level • Submit CTRs for processing in their Approval Level • Prepare CTR	**PA Reviewer** • View all request • Approve, Return, Reject CTRs on their Approval Level • Submit CTRs for processing in their Approval Level • Prepare CTR
PA Certifier 1 • View all request • Approve, Return, Reject CTRs on their Approval Level • Submit CTRs for processing in their Approval Level	**PA Certifier 2** • View all request • Approve, Return, Reject CTRs High Risk CTRs (as well as non High Risk) • Submit CTRs CTRs High Risk CTRs (as well as non High Risk)
Property Services • View all request • Approve, Return, Reject CTRs that contain Equipment Expenditure types	**View Only** • View all request

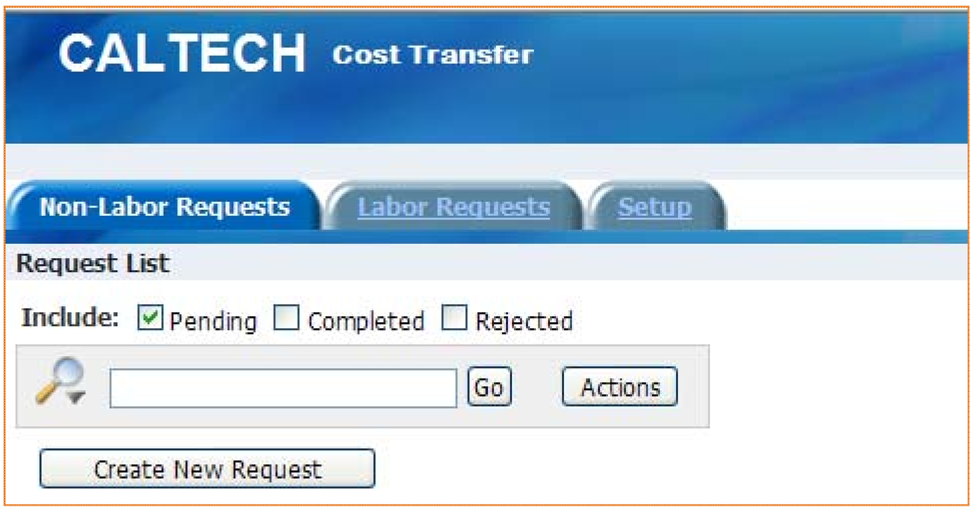
Creating a New Request

Preparation

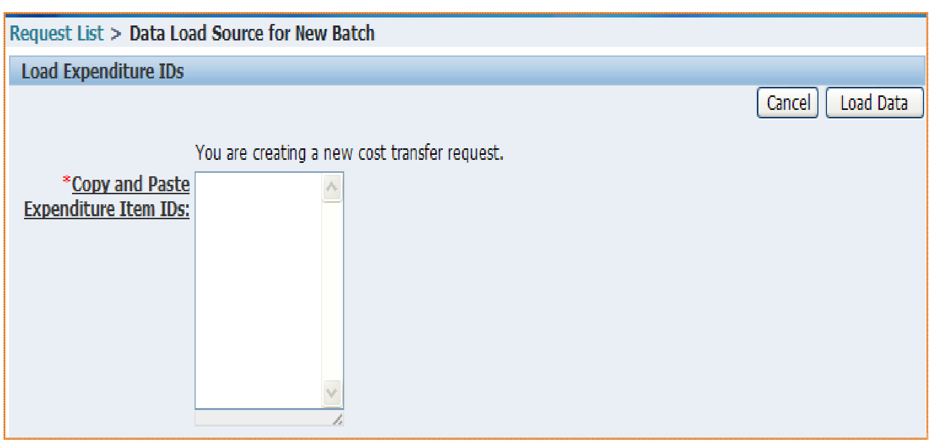
1. Run the ***PTA Cost Detail for Cost Transfer*** report in the Cognos Data Warehouse (see Campus Reports – Descriptions and Uses, available on the IMSS Campus Training & Guides WEB site)
2. Determine the expenditure(s) that will be transferred
3. Copy the applicable Expenditure Item IDs (for pasting into the Cost Transfer application)

Create Expenditure List

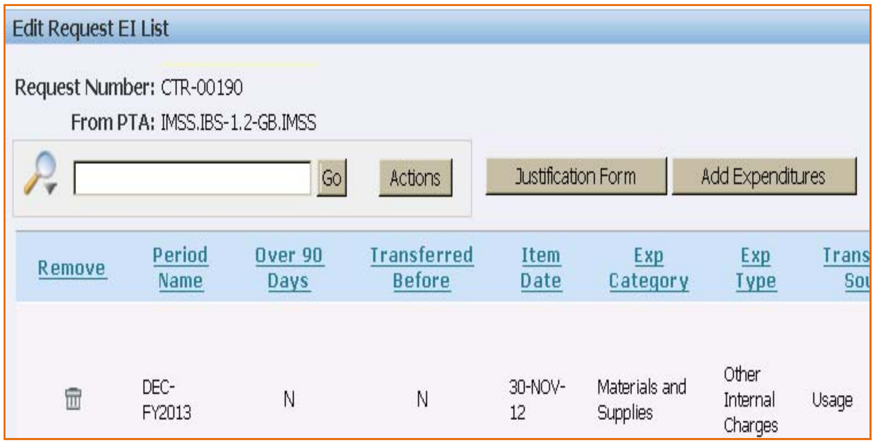
1. From the Request List select *Create New Request*



2. Paste (or manually enter) the Expenditure Item IDs identified in the PTA Cost Detail for Cost Transfer report, select *Load Data*



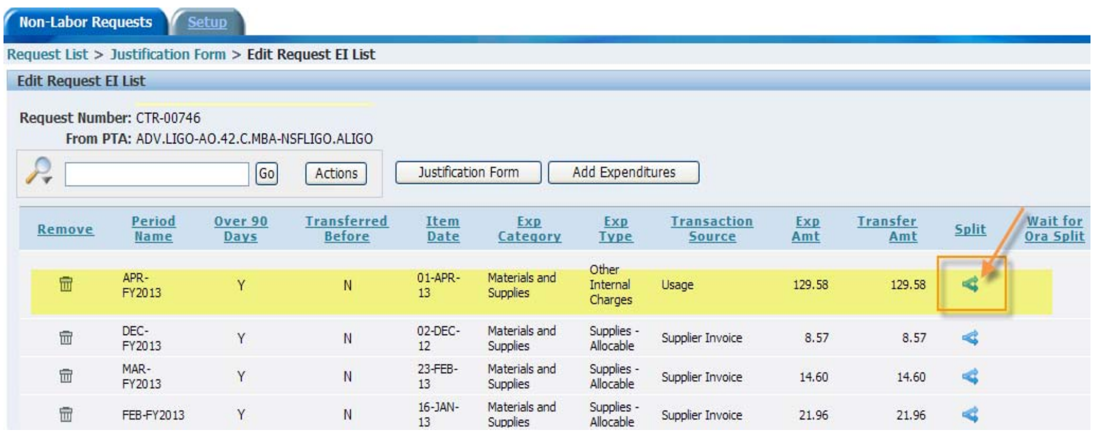
3. Add additional Expenditures or go to the Justification Form



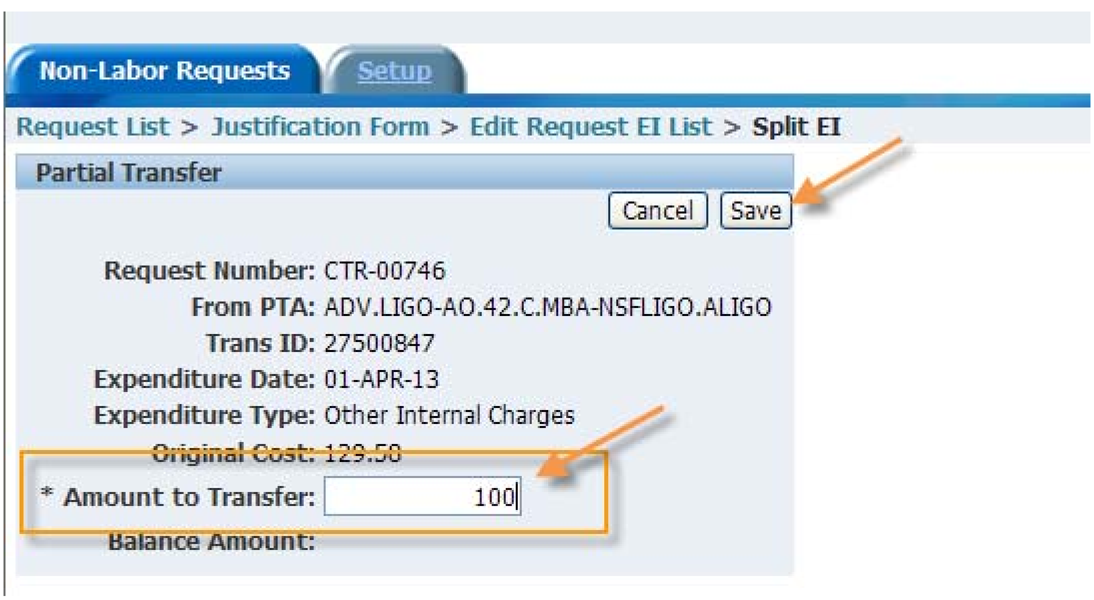
Splitting the Expenditure Item Amount

To move only a specific amount of the expenditure amount, the amount may be split into two separate amounts. Enter the amount that should be moved, as described below:

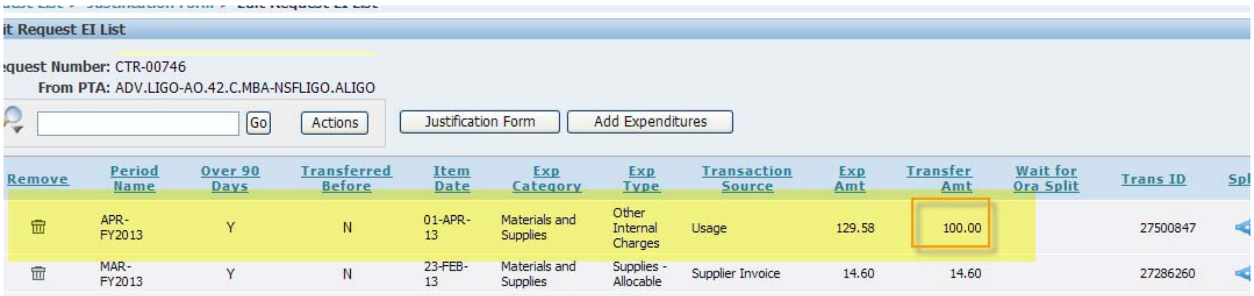
Click on the Split icon  on the expenditure lines



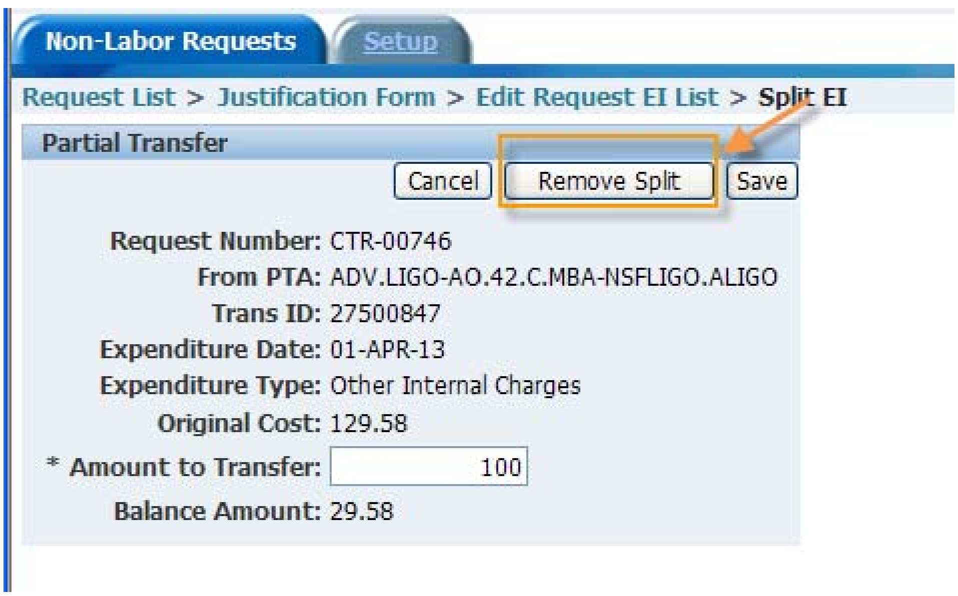
Enter amount to transfer and save.



The example below displays the result of the split (Expenditure amount of 129.58 and the Transferred amount of 100)



To remove split go back to split EI page by clicking on the split icon 
And click on the Remove split button.



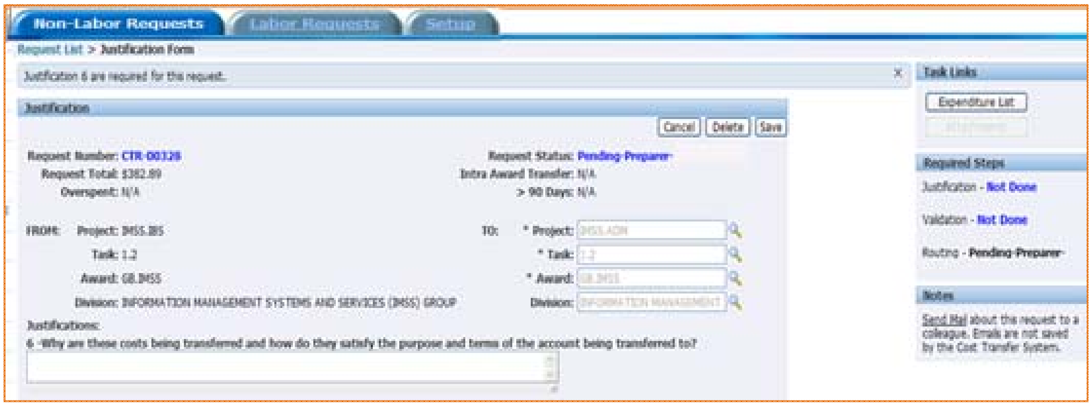
Building Justification Form

The Justification form is the 'hub' of the CTR. It contains four distinct regions or sections; Justification, Task Links, Required Steps, and Notes:

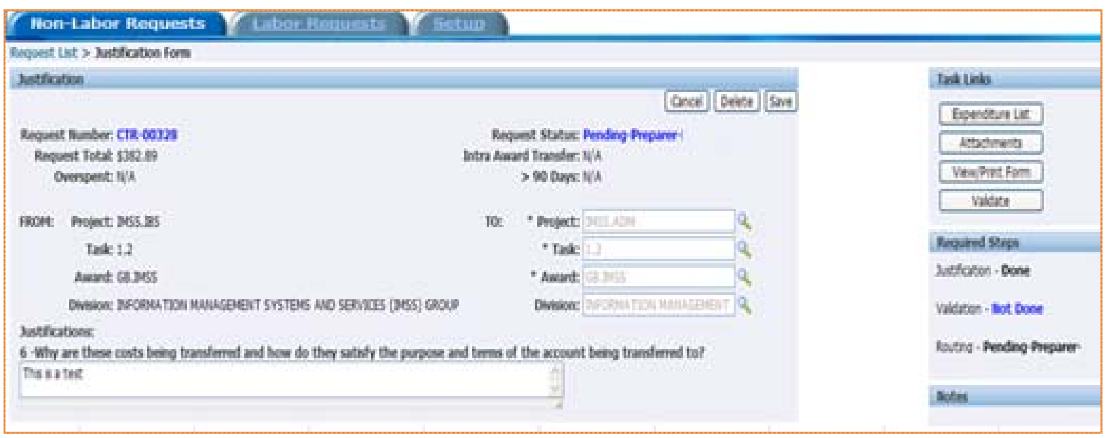
A. Justification section – contains the FROM and TO PTAs, action buttons (Cancel, Delete, and Save), and Justification question(s) The justification form is auto populated with the 'FROM PTA' information based on expenditures from the Load Expenditure ID process.
B. Task Links – contains processing buttons
C. Required Steps – lists the required steps for the CTR, and whether the have been completed
D. Notes –allows the user to send an email about the CTR, the email is ***not*** saved in the CTR. This may be used if the preparer or cognizant would like a 'pre-review' prior to submitting the CTR to Central Finance or the "validation" process has failed and help is required to resolve the issue (see Validation in the Task Links Section)

1. Enter the 'TO' PTA in the Justification section and select Save. The Project, Task, and Award must be selected from a List of Values, search by using magnify glass icon .

2. Once the 'TO' PTA is entered and save is selected, the applicable Justifications questions will be displayed. If the cost transfer is a High Risk transfer, the applicable justification questions will be displayed. When the justification question(s) have been entered, select save.



3. When the Justification question(s) have been completed and saved, additional task buttons appear on the Task Links

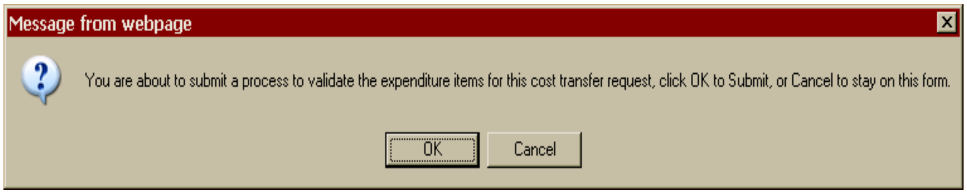


Task Links Processing Buttons

Validation

The validation process is required before the CTR can be routed to the next Approval Level. This process confirms the 'TO' and 'FROM' PTAs are chargeable, the expenditure item dates are valid, and the expenditures are allowable on the 'TO' PTA.

1. Select Validation button from the Task Links section, then OK from the following:

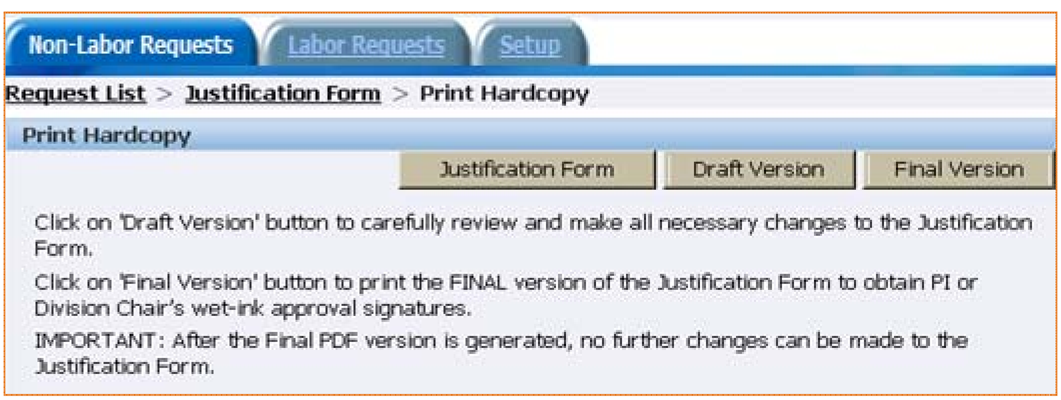


2. The following Validate Request form is displayed. Once completed (see Phase column) check the Comments column. If the Comment s column displays Passed, return to the Justification Form, for further action. If the Comments column displays Failed, review the error on Expenditure List. Click on the Failed hyperlink to view the Expenditure list. Contact your accounting specialist in Central Finance for assistance.

View/Print Form

The View/Print Form generates a PDF version of the justification form. A draft and final version can be generated and printed.

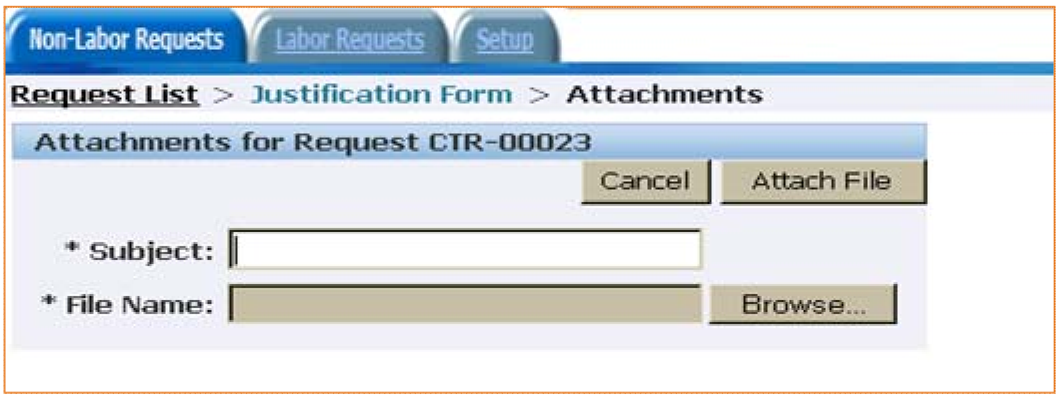
1. Select View/Print Form from the Task Links section.



Attachments

Use the Attachment button, on the Task Links section, to attached relevant documents, associated with the CTR. Most document types may be attached (i.e. PDF, Word, Excel, emails, etc). If the CTR is a High Risk, the signed Justification Form **must** be attached. The attachment may be viewed/opened by those who have access to the CTR.

1. Enter the Subject, select Browse. Once the file is located and chosen, select Attach File



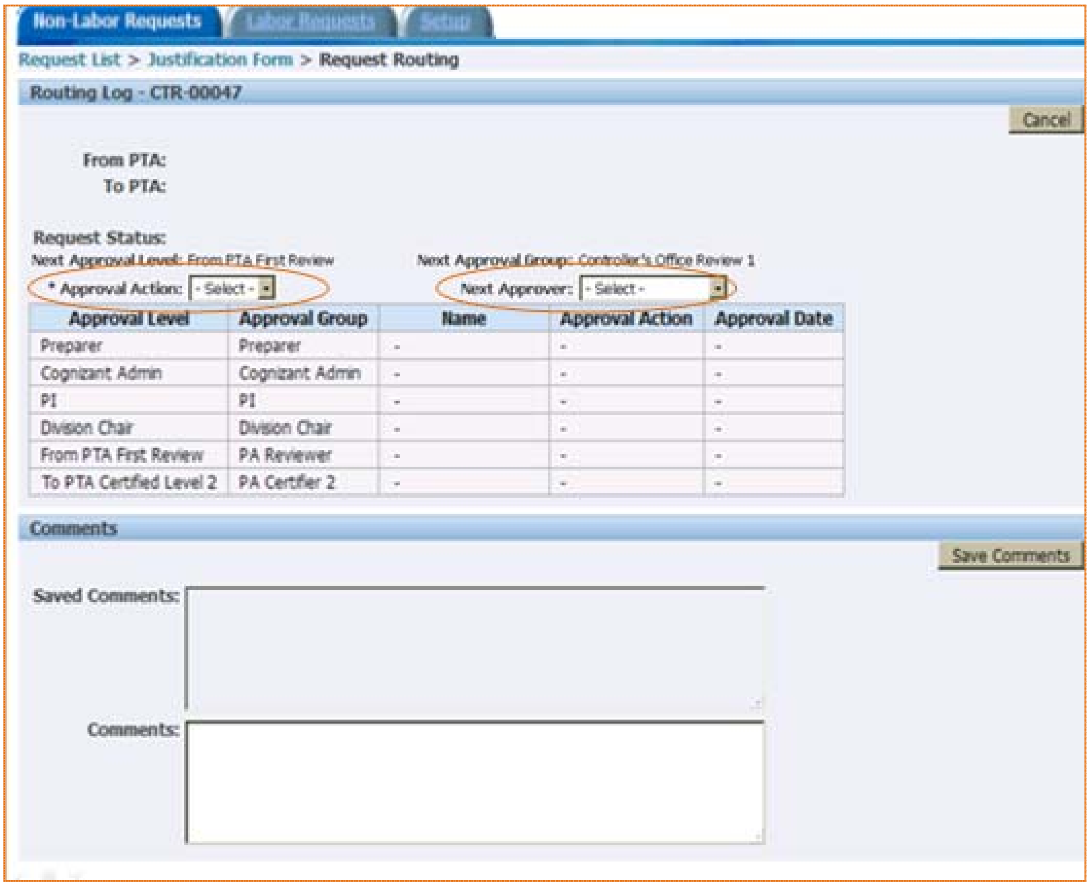
2. The attachment is saved within the CTR. To view the attached click on the name in the Name column. To remove the attached click on the Delete icon

Route for Approval

The Routing Log displays all the Approval Levels and Approval Groups required for the CTR. Once an 'action' has been performed the name of the person performing the actions, the action and the date are populated on the applicable action line. The Approval Level will vary for each CTR based on; the preparer's role, the 'To' and 'FROM' PTA, if an Equipment expenditure type is being transferred, and if the transferred expenditure(s) is subject to

Federal Cost Transfer policy (high risk). Each Approval Level requires the user select and Approval Action and Next Approver. Select the Approval Action and Next Approver from the dropdown list. Selections for both dropdown lists will vary based on Approval Level and User Role.

Comment may be added to the CTR, in the Comments section of the Routing Log. Anyone with access to the CTR may add a comment. The Comment, the name of the user who created the comment, the date and time are all saved are viewable by anyone with access to the CTR.



Approval Level	Approval Group	Name	Approval Action	Approval Date
Preparer	Preparer	-	-	-
Cognizant Admin	Cognizant Admin	-	-	-
PI	PI	-	-	-
Division Chair	Division Chair	-	-	-
From PTA First Review	PA Reviewer	-	-	-
To PTA Certified Level 2	PA Certifier 2	-	-	-

Note: The Routing Log form will displays the following if the current Approval Level/Group is either Cognizant Admin or PI:

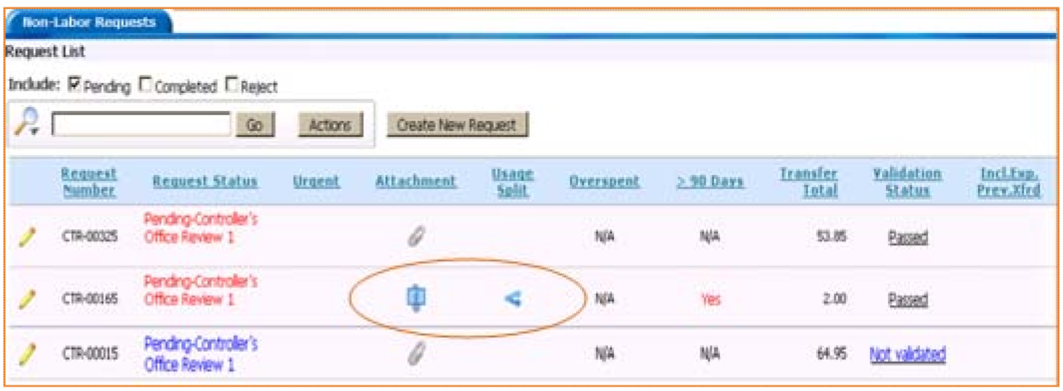
By approving this justification form, I certify, to the best of my knowledge and belief, that the information contained in this document is accurate and reasonable.

Processing Request for Central Finance

Once the CTR has been routed to Central Finance, updates to the CTR may not be made, other than comments added to the comments section of the Routing Log form. The CTR is 'routed' through the appropriate central finance processing area; Property Services (if applicable) Controller's office, and Project Accounting based on the 'TO and 'FROM' PTAs. If the CTR contains either expenditure type; Equipment–Caltech, Equipment-Govt, or Equipment-Other Owned, the CTR will be routed to Property Services First. An email is generated and sent to the Approval Group or the specific name selected when a CTR has been routed.

Receive Request

The CTR is accessible from the Request List form. (the first form displayed when logging into the Cost Transfers application). If the CTR was routed to your Approval Group, the Request Status column will have the Pending details in Blue. If the CTRs was routed specifically to the person logged into the Cost Transfers application, the Request Status column will have the Pending details in Red.



Request Number	Request Status	Urgent	Attachment	Usage Split	Overspent	> 90 Days	Transfer Total	Validation Status	Incl.Exp. Prev.Xfrd
CTR-00325	Pending-Controller's Office Review 1				N/A	N/A	53.85	Passed	
CTR-00165	Pending-Controller's Office Review 1				N/A	Yes	2.00	Passed	
CTR-00015	Pending-Controller's Office Review 1				N/A	N/A	64.95	Not validated	

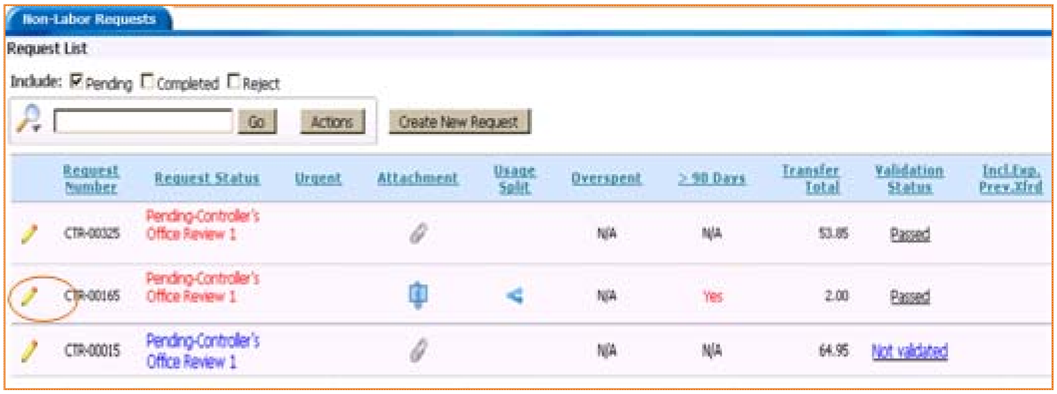
If the CTR s contains the Usage Split Icon, there is at least one expenditure that must be split, using Expenditure Inquiry split functionality, in Oracle®, prior routing the CTR (not applicable for Property Services). The justification form will display a message indicating a split is required. The expenditure(s) may be viewed by clicking on the Usage Split icon (which will open the Expenditure List) or select the Expenditure List from the Task Links section of the Justification Form

If the CTR contains the Attachment Icon, there is at least one attachment (view using the Attachment button from the Task Links section, in the Justification). The attachment(s) may be viewed by clicking on the Attachment icon (which will open the Attachments form) or select the Attachments from the Task Links section of the Justification Form

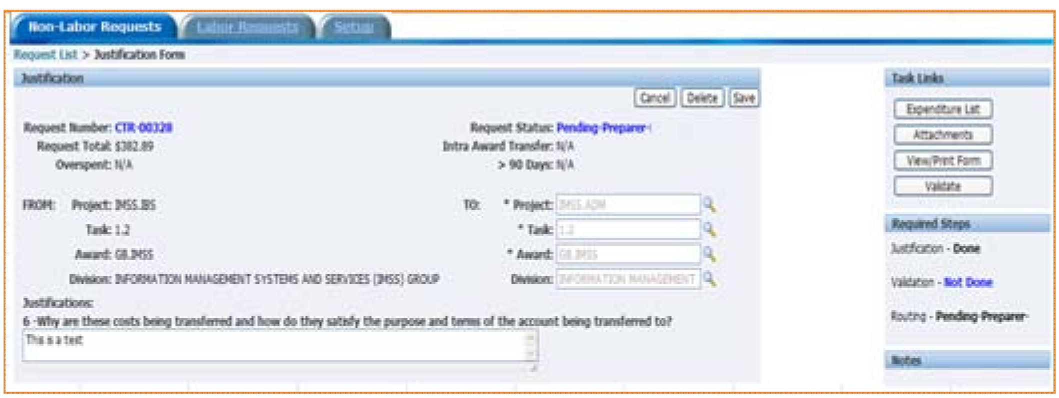
Review, Route and Submit Request

Begin the review, approving, routing and submitting to Oracle® processes by retrieving (opening) the Justification Form, by selecting the CTR from the Request List.

1. Retrieve the CTR by selecting the pencil icon



2. The Justification Page will be displayed.



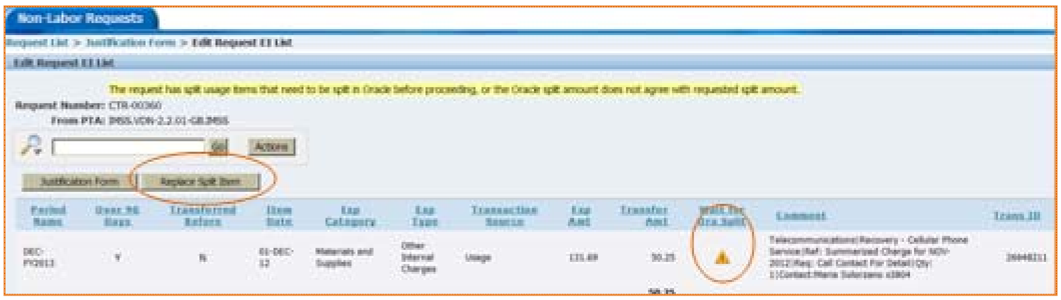
The applicable justifications question(s) and answer(s) are displayed in the Justification Form.

Note: The following message is displayed, in the Justification form, if an expenditure item requires splitting.

This cost transfer includes one or more Usage split items. Either the split hasn't yet been completed in Oracle, or the Oracle split amount does not match the user's request. Please go to the Expenditure List page to see the details.

Processing CTR with split item:

Select the Expenditure List button, in the Task Links sections of the Justification form.



The expenditure item(s) that require splitting will designated with a 'caution' icon in the *Wait for ORA Split* column. Process the split in Oracle® using the Expenditure Inquiry form. After closing the Expenditure Inquiry form, return to the On-line Cost Transfer application and select the Replace Split Item button. The original Transaction ID will be replaced with the new Expenditure ID, created in Oracle

Task Links Processing Buttons

Expenditure List

Use the Expenditure List button to view the expenditure(s) that will be transferred

Attachments

Use the Attachment button to view the attachment(s) linked to the CTR

View/Print Form

Use the View/Print Form button to view a printable (PDF) version of the Justification Form

View Validation

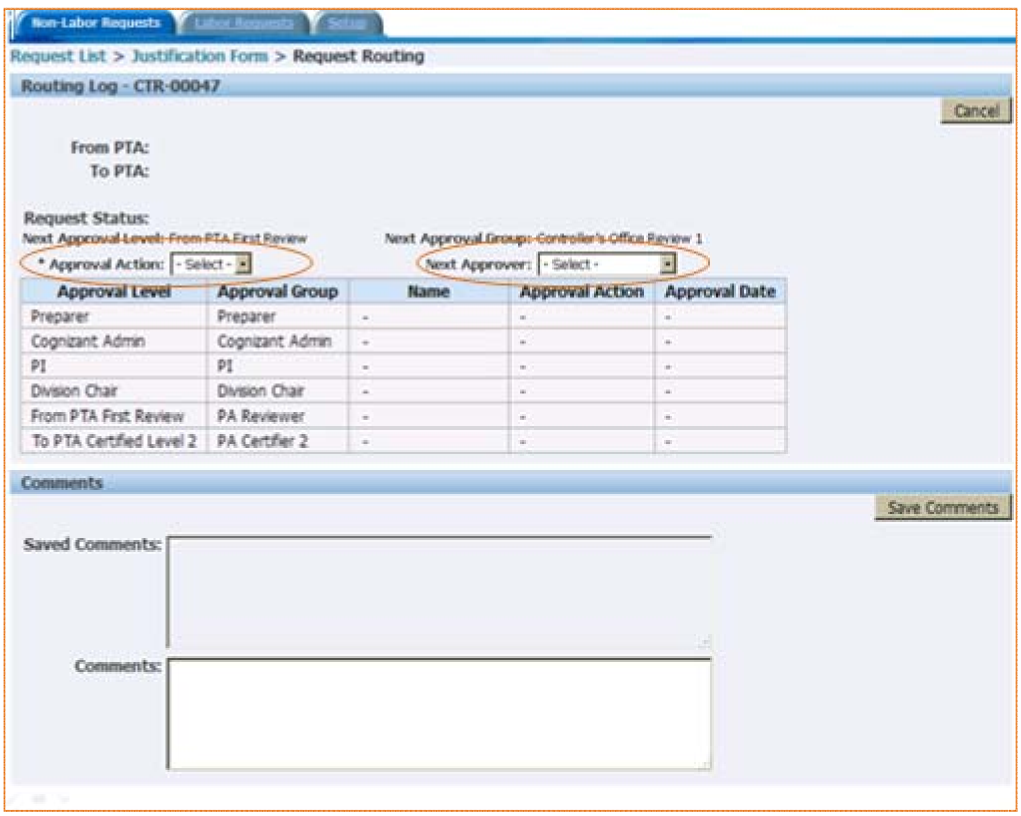
Use Validation button to view detail of the validation concurrent request.

> Note: The validation process confirms the 'TO' and 'FROM' PTAs are chargeable, the expenditure item dates are valid, and the expenditures are allowable on the 'TO' PTA.

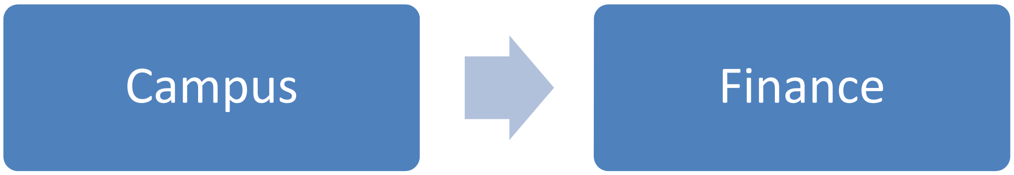
Route for Approval

Use the Routing Log form to Approve, Return or Reject the CTR. A comment may be added to the CTR, in the Comments section of the Routing Log. The Comment, the name of the user who created the comment, the date and time are all saved are viewable by anyone with access to the CTR.

If the CTR is at the last Approval Level, of the approval hierarchy, the options are Return, Reject or Submit CTR



Labor Requests



The **Labor Request** will:

- Identify cost transfer requests subject to only Federal Cost Transfer Policy (i.e. High Risk), thus ensuring the appropriate justification questions are completed and the proper approvals are obtained. (see Cost Transfer Policy in appendix A);
- allow transfers to more than one PTA;

The **Labor Request** will *not*:

- process Expenditure Type (E-type) changes;
- process Non-labor Request

CTR creating & processing steps for Labor Request

Creating

Preparation in Oracle LD Module	• Create LD Batch in LD Module • Assign Cog Admin • Add/Split
LD Batches	• LD batches loads automaticallt to CTR
Build Justification Form	•Choose PI and DC, Justification questions •Route for approval
Submit Request	•Approve/Return/Reject •Submitted to Central Finance

Processing (Central Finance)

Receive Request	•Project Accounting
Review Request	•Approve/Route/Return/Reject
LD Admin	•Approve/Route/Return/Reject
Submitted for Oracle procesing	•Nightly Processing

Approval Levels, Groups, Actions, and User Roles

Each CTR creates a hierarchy to ensure the proper approvals as well as routed to the appropriate processing areas for review. This hierarchy consists of the Approval Group, and Approval Action based on the user's role. The 'creation' of the hierarchy is used when the CTR is ready for its next 'step'. (see Routing section)

Approval Group

Cognizant Admin

PI

Division Chair

PA Review

PA Certified Level 2

Approval Actions

Submit; route for PI online approval: Used to route the CTR LD batch for the PI's on-line approval and sends an email to the next approval group

Submit; PI/DC approval attached: Used to route the CTR LD batch to Central Finance. The Justification must be signed by both the PI and Division Chair and the scanned document has been attached to the CTR, and sends an email to the next approval group.

WIP – Assign to Me: Used by someone in Project Accounting to indicate they have 'grabbed' the CTR LD batch for review.

WIP – Reassign to Group: Used to 'release' the CTR LD batch if it had been previously 'grabbed.'

Approve: Used in central finance to route the CTR LD batch to the next Approval Group, and sends an email to the next approval group.

Return: Used to return the CTR LD batch to the Cognizant for additional information. The expenditures are still 'linked to the CTR and may not be selected by any other CTR. An email is sent all who have taken action on the CTR LD batch.

Rejected: Used to essentially void the CTR LD batch. The Cognizant receives an email that the CTR LD batch has been rejected, the CTR may not be updated and the expenditures are 'released' and available for transfer by a new CTR after LD admin deletes the batch in oracle LD Module. An email is sent all who have taken action on the CTR.

Completed: Used to indicate the CTR has been sent to the queue to be processed overnight. An email is sent to the preparer and cognizant admin who have taken action on the CTR LD Batch.

Cost Transfer User Roles

Campus

Preparer: The Preparer begins to create LD batch in Oracle LD module, typically a Grant Manager or admin assistant. A Preparer can see only their CTR LD batches. A Preparer may attach pertinent documents, and route the CTR LD batches to a Cognizant Admin for approval and routing to Central Finance.

Cognizant Admin: The Cognizant Admin can do everything a Preparer can, plus see all CTR LD Batches for their Organization and can submit the CTR LD batches to Central Finance.

Principle Investigator: The Principle Investigator (PI) approval is required if any expenditure on the CTR LD batches is subject to the Federal Cost Transfer Policy (High Risk)

Division Chair: The Division Chair (DC) approval is required if required if any expenditure on the CTR LD batches is subject to the Federal Cost Transfer Policy (High Risk)

Central Finance

PA Reviewer: The PA Reviewer receives the CTR, from campus. The CTR is reviewed and the appropriate routing action is selected.

PA Certifier 2: The PA Certifier 2 receives the CTR from the PA Reviewer. The CTR is reviewed and the appropriate routing action is selected

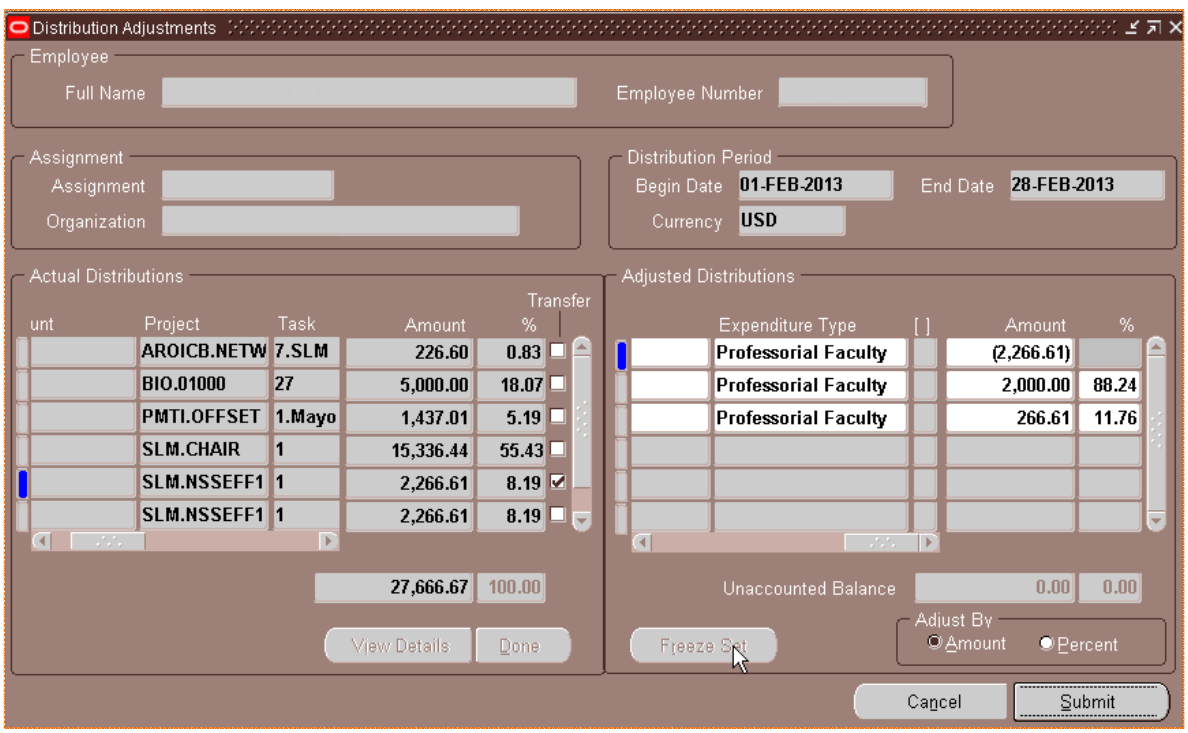
View Only: The View Only role allows the user to view all pending and completed CTRs. The user of this role would typically be PA Accountants and Internal Audit.

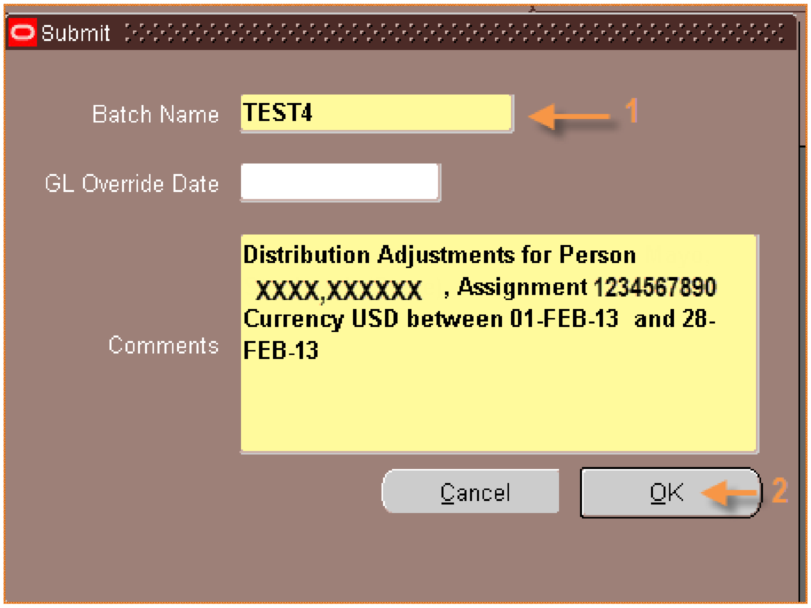
Creating a LD Batch in oracle LD Module

Preparation

1. The Preparer begins to create LD batch in Oracle LD module, typically a Grant Manager or admin assistant

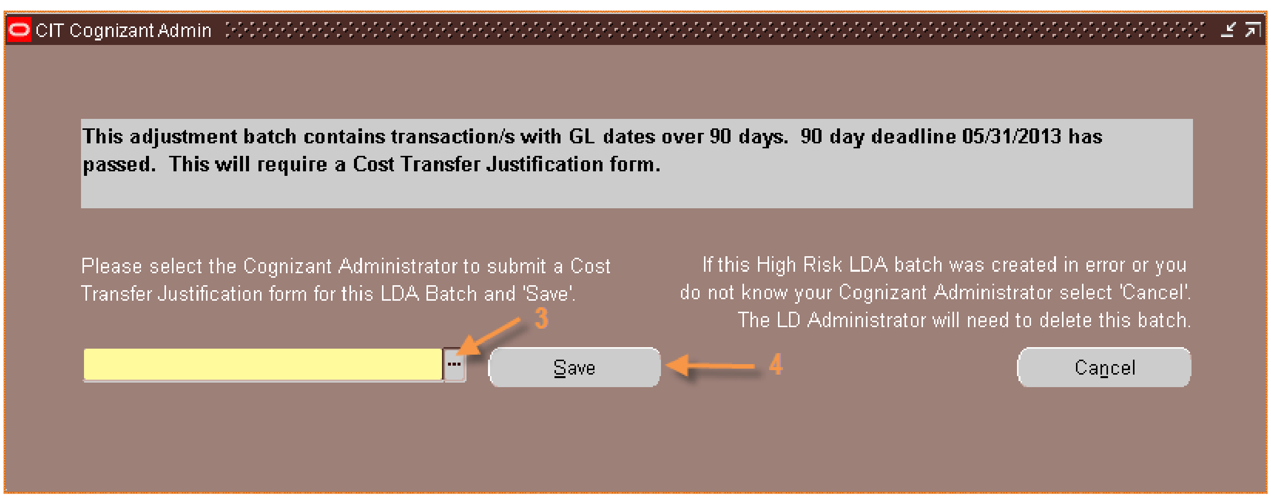
No changes in Distribution adjustments screen:





1. Enter batch name
2. Click OK

New Screen



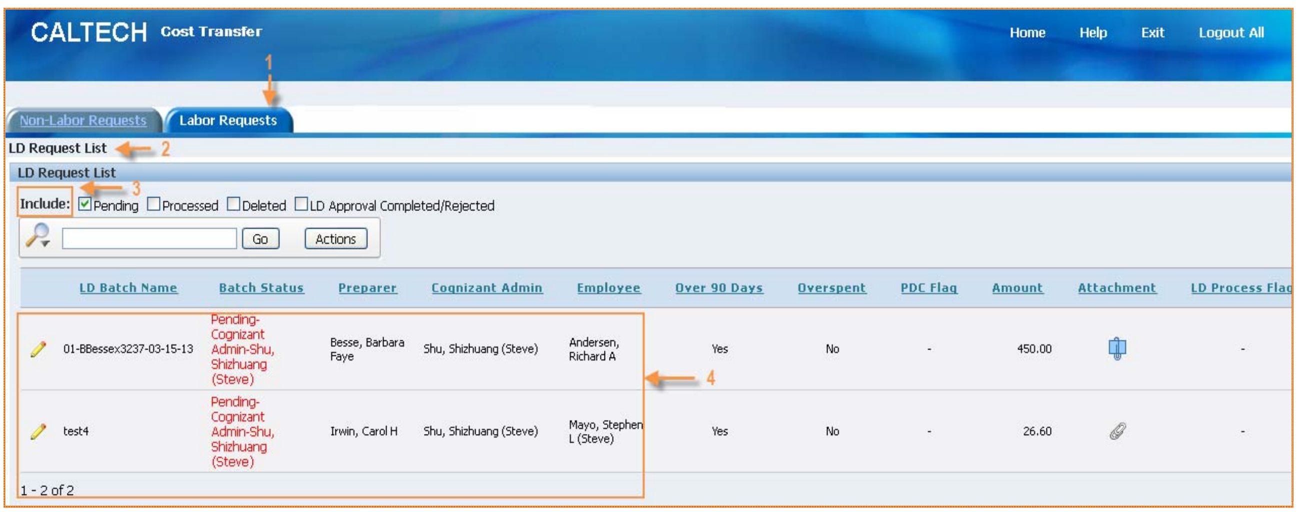
3. Select the cognizant Administrator from list of values.
4. Click Save.

The Cognizant Administrator will receive notification via e-mail that the adjustment has been entered. The Cognizant Administrator will need to log on to the Cost Transfer System to complete the justification process.

CTR LD Request List

Login to access.caltech home page and click on the Cost Transfer link.

1. Select the Labor Request Tab.
2. LD Request List page

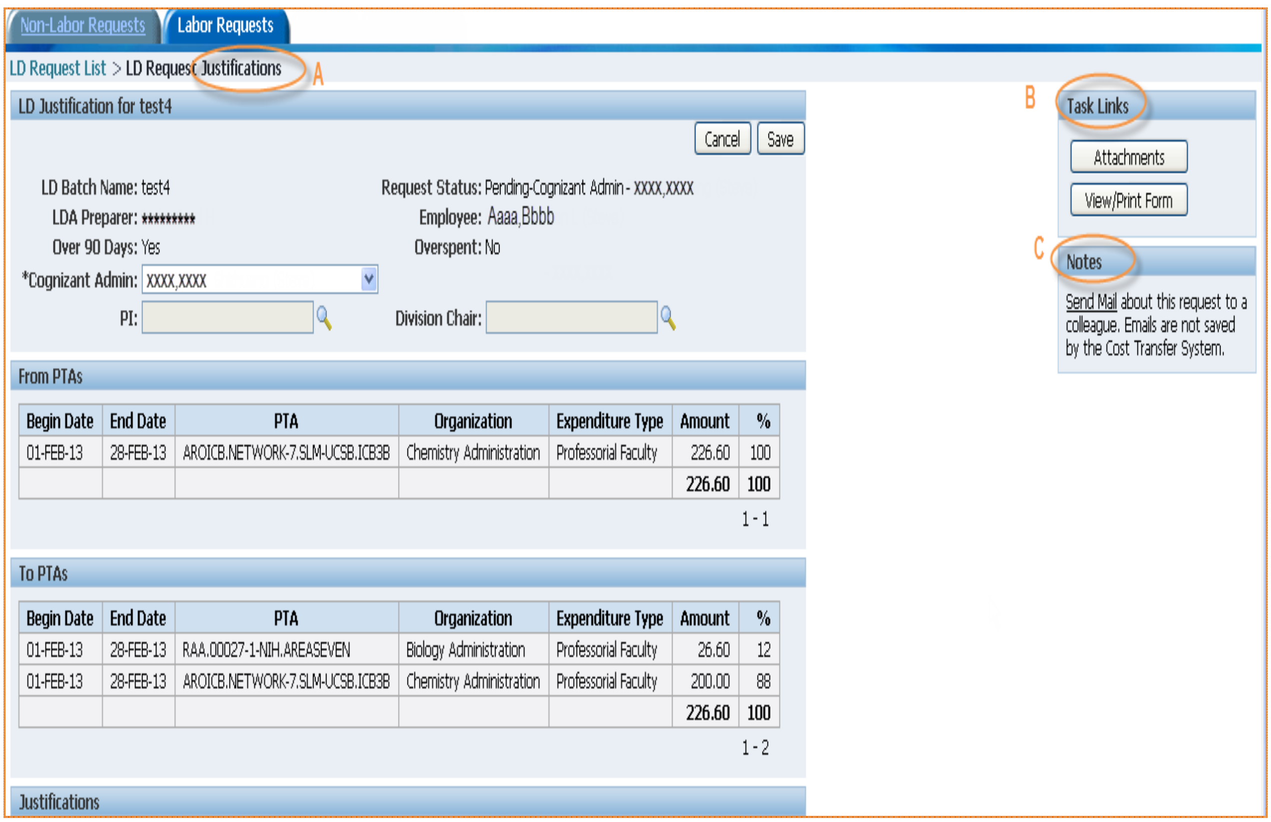


3. Check box to group/filter the request list.
4. LD batch list that requires action from approval group.

Building Justification Form

The Justification form is the 'hub' of the CTR. It contains three distinct regions or sections; Justification, Task Links, and Notes:

A. Justification section – contains the FROM and TO PTAs, action buttons (Cancel, and Save), and Justification question(s) The justification form is auto populated with the 'FROM PTA' and 'TO PTA' information from the LD Batch created in oracle.
B. Task Links – contains processing buttons
C. Notes –allows the user to send an email about the CTR, the email is ***not*** saved in the CTR. This may be used if the cognizant would like a 'pre-review' prior to submitting the CTR to Central Finance.


Non-Labor Requests | Labor Requests

LD Request List > LD Request Justifications A

LD Justification for test4

Cancel Save

LD Batch Name: test4 | Request Status: Pending-Cognizant Admin - XXXX,XXXX
LDA Preparer: ******** | Employee: Aaaa,Bbbb
Over 90 Days: Yes | Overspent: No
*Cognizant Admin: XXXX,XXXX
PI: | Division Chair:

From PTAs

Begin Date	End Date	PTA	Organization	Expenditure Type	Amount	%
01-FEB-13	28-FEB-13	AROICB.NETWORK-7.SLM-UCSB.ICB3B	Chemistry Administration	Professorial Faculty	226.60	100
					226.60	100

1 - 1

To PTAs

Begin Date	End Date	PTA	Organization	Expenditure Type	Amount	%
01-FEB-13	28-FEB-13	RAA.00027-1-NIH.AREASEVEN	Biology Administration	Professorial Faculty	26.60	12
01-FEB-13	28-FEB-13	AROICB.NETWORK-7.SLM-UCSB.ICB3B	Chemistry Administration	Professorial Faculty	200.00	88
					226.60	100

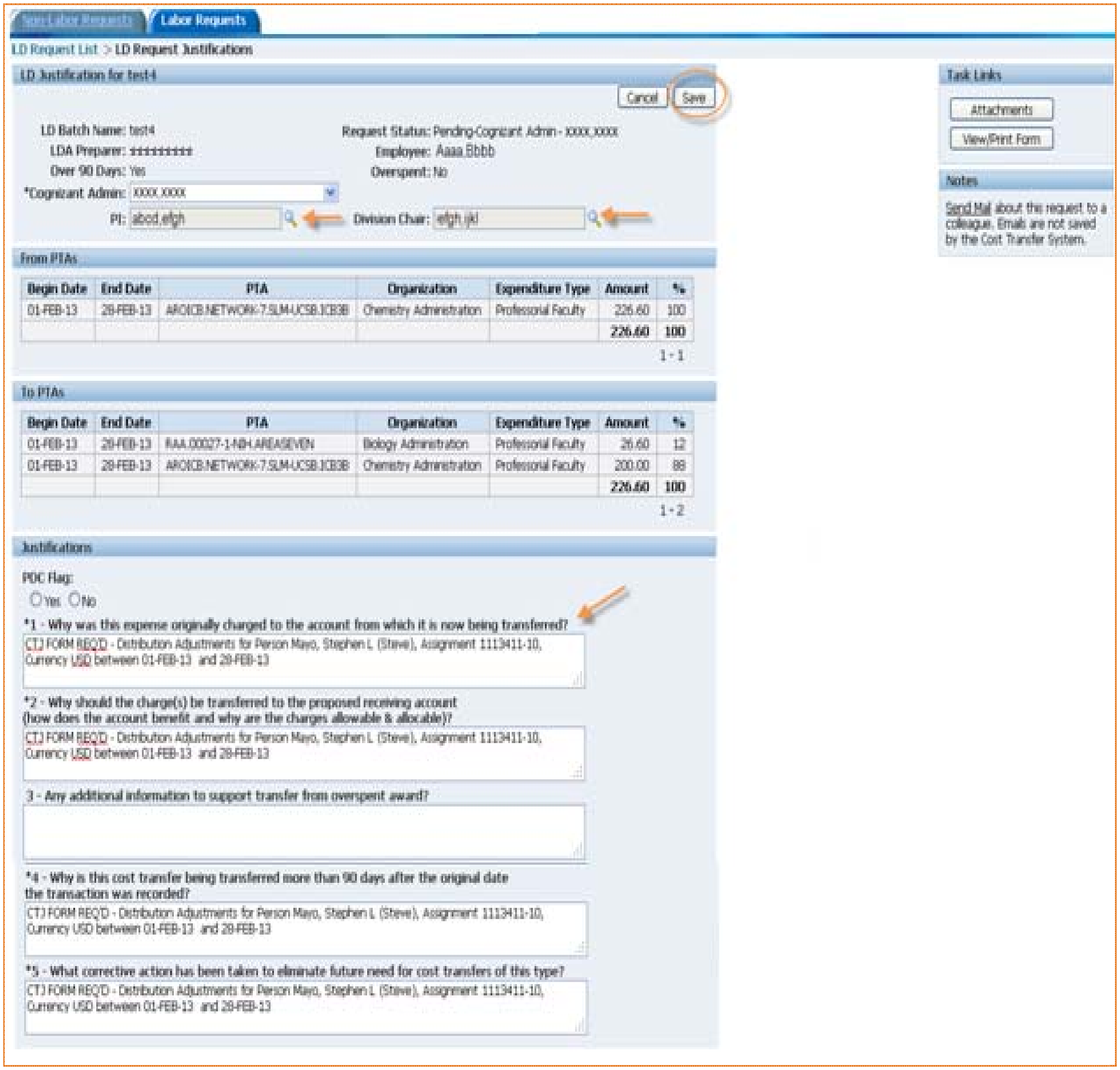
1 - 2

Justifications

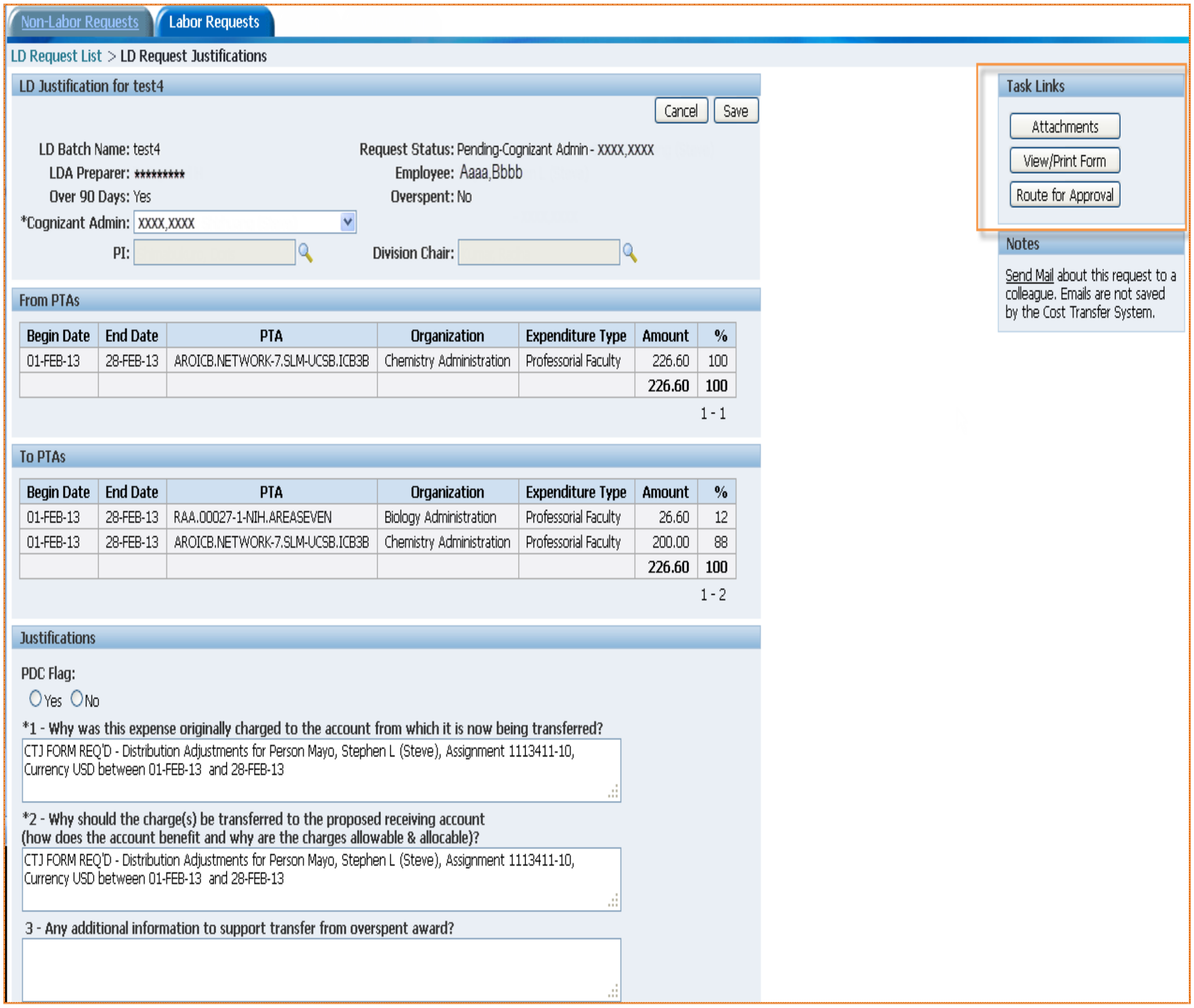
B Task Links
Attachments
View/Print Form

C Notes
Send Mail about this request to a colleague. Emails are not saved by the Cost Transfer System.

1. Choose PI and DC from the list of values and enter the justification question(s) and, select save.



2. When the Justification question(s) have been completed and saved, additional task buttons appear on the Task Links.

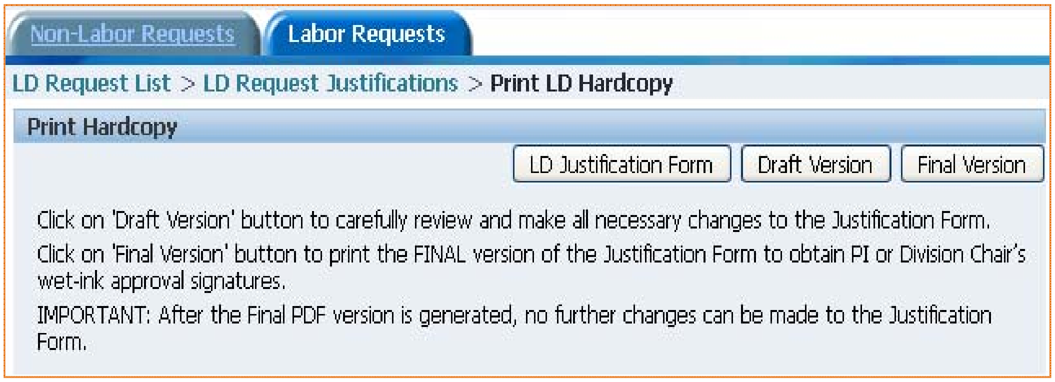


Task Links Processing Buttons

View/Print Form

The View/Print Form generates a PDF version of the justification form. A draft and final version can be generated and printed.

1. Select View/Print Form from the Task Links section.

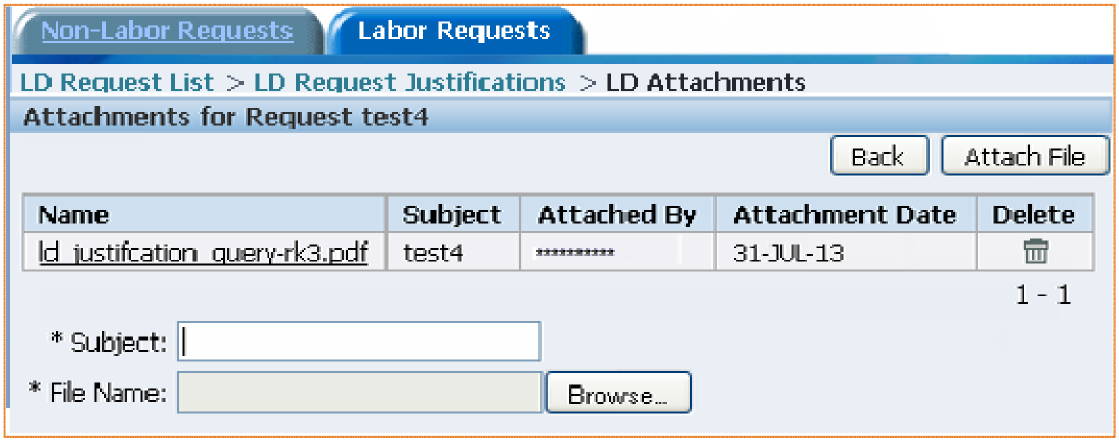


Attachments

Use the Attachment button, on the Task Links section, to attached relevant documents, associated with the CTR. Most document types may be attached (i.e. PDF, Word, Excel, emails, etc). The attachment may be viewed/opened by those who have access to the CTR.

2. Enter the Subject, select Browse. Once the file is located and chosen, select Attach File

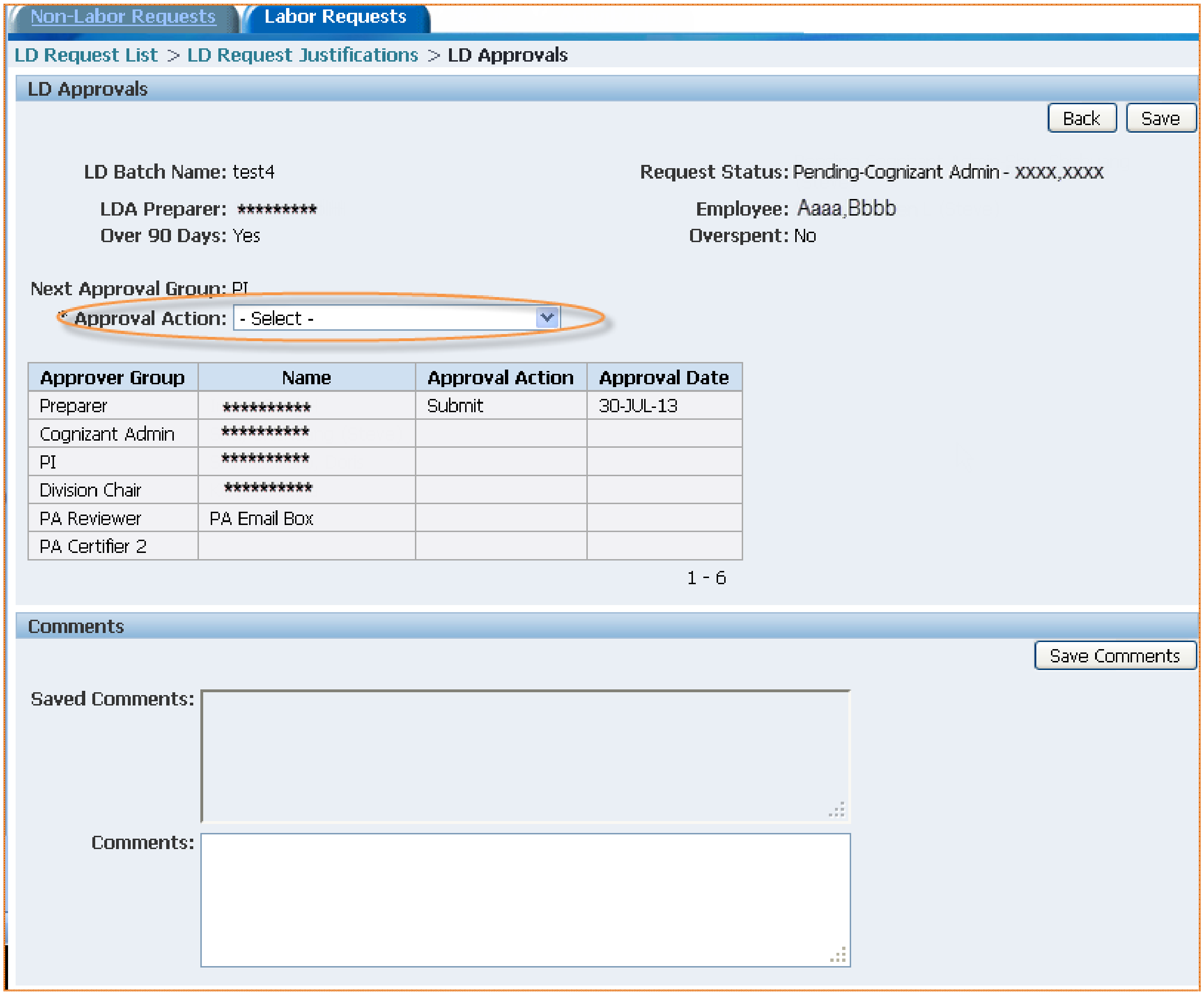
3. The attachment is saved within the CTR. To view the attached click on the name in the Name column. To remove the attached click on the Delete icon



Route for Approval

The Routing Log displays all the Approval Groups required for the LD Approval. Once an 'action' has been performed the name of the person performing the actions, the action and the date are populated on the applicable action line. Each Approval Group requires the user to select an Approval Action. Select the Approval Action from the dropdown list. Selections for dropdown lists will vary based on Approval Level and User Role.

Comment may be added to the CTR, in the Comments section of the Routing Log. Anyone with access to the CTR may add a comment. The Comment, the name of the user who created the comment, the date and time are all saved are viewable by anyone with access to the CTR.

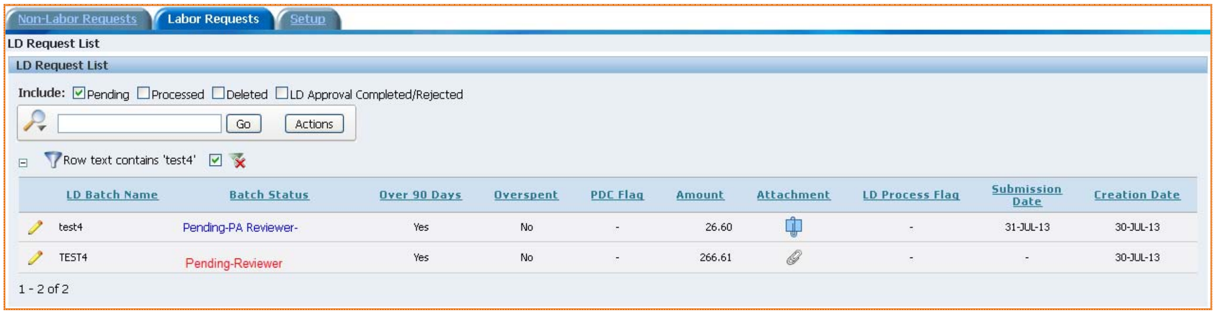


Processing Request for Central Finance

Once the CTR has been routed to Central Finance, updates to the CTR may not be made, other than comments added to the comments section of the Routing Log form. The CTR is 'routed' through the appropriate central finance processing area; Controller's office, and Project Accounting based on the 'TO and 'FROM' PTAs. An email is generated and sent to the Approval Group or the specific name selected when a CTR has been routed.

Receive Request

The CTR is accessible from the LD Request List form. If the CTR was routed to your Approval Group, the Request Status column will have the Pending details in Blue. If the CTRs were routed specifically to the person logged into the Cost Transfers application, the Request Status column will have the Pending details in Red.



Non-Labor Requests | Labor Requests | Setup

LD Request List

LD Request List

Include: ☑ Pending ☐ Processed ☐ Deleted ☐ LD Approval Completed/Rejected

Go Actions

Row text contains 'test4'

	LD Batch Name	Batch Status	Over 90 Days	Overspent	PDC Flag	Amount	Attachment	LD Process Flag	Submission Date	Creation Date
	test4	Pending-PA Reviewer-	Yes	No	-	26.60		-	31-JUL-13	30-JUL-13
	TEST4	Pending-Reviewer	Yes	No	-	266.61		-	-	30-JUL-13

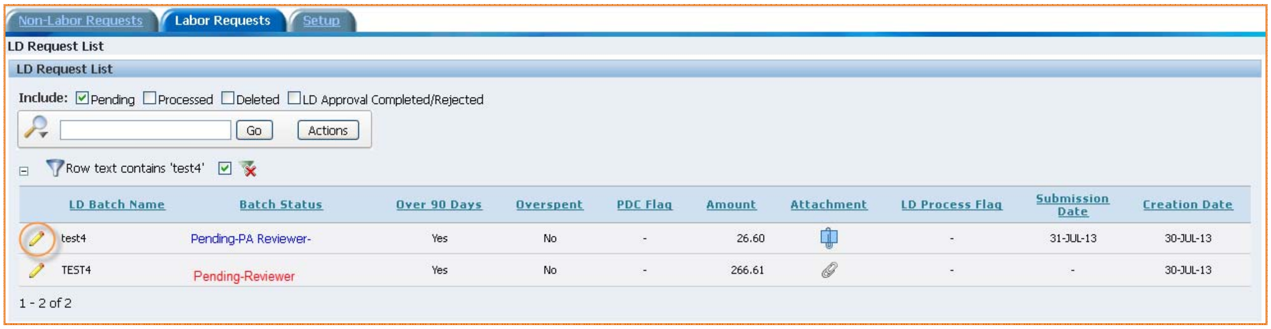
1 - 2 of 2

If the CTR contains the Attachment Icon, there is at least one attachment (view using the Attachment button from the Task Links section, in the Justification). The attachment(s) may be viewed by clicking on the Attachment icon (which will open the Attachments form) or select the Attachments from the Task Links section of the Justification Form

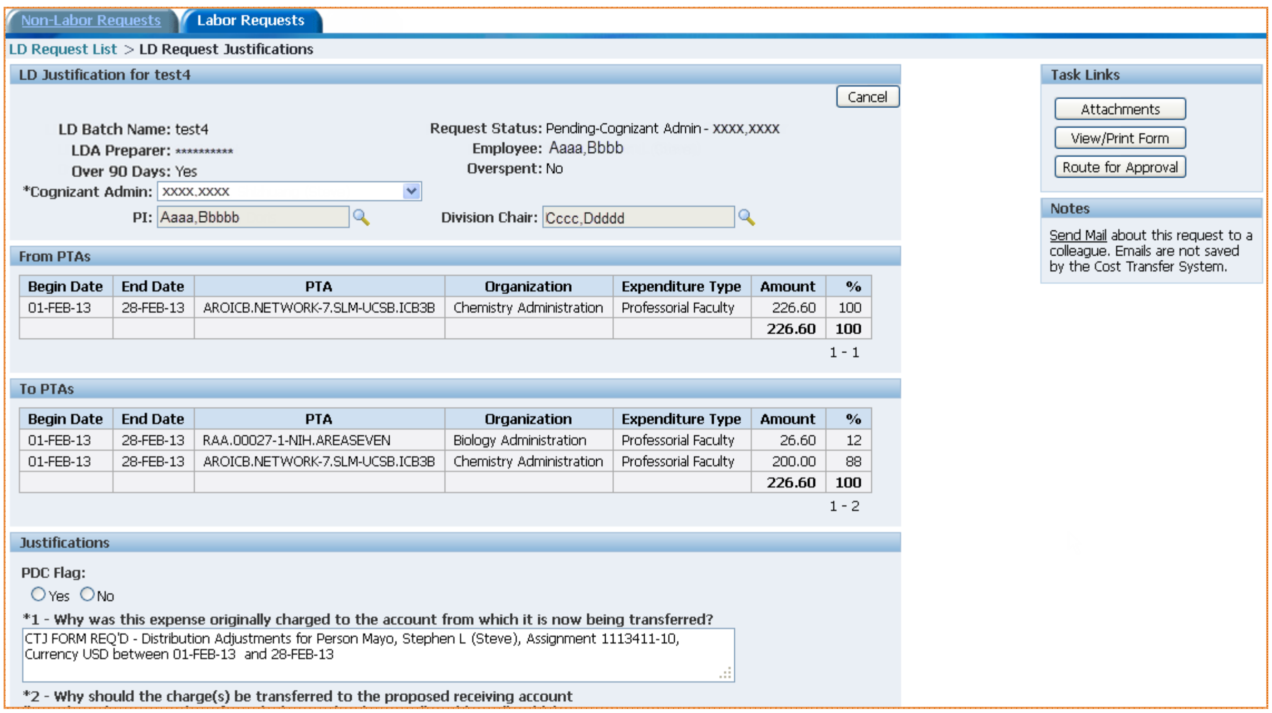
Review, Route and Submit Request

Begin the review, approving, routing and submitting to Oracle® processes by retrieving (opening) the Justification Form, by selecting the CTR from the Request List.

3. Retrieve the CTR by selecting the pencil icon



4. The Justification Page will be displayed.



The applicable justifications question(s) and answer(s) are displayed in the Justification Form.

Appendix A – Cost Transfer Policy

COST TRANSFERS TO FEDERALLY FUNDED AWARDS California Institute of Technology
Pasadena, California 1
Issuing Authority: Office of Research Administration
Last Updated: October 20, 2011

Definition and Policy:

A **cost transfer** is an after-the-fact transfer of costs (labor or non-labor) from a sponsored or non-sponsored award to a federally funded award. Ideally, all costs should be charged to the appropriate federal award when first incurred. However, there are circumstances where it may be necessary to transfer expenditures to a federal award subsequent to the initial recording of the charge.
Caltech is committed to ensuring cost transfers are made in accordance with federal (Office of Management and Budget "OMB" Circular A-21) and agency regulations and Institute policy. To comply with these requirements, it is necessary to explain and justify the transfer of charges to federal awards from other federal or non-federal accounts. Timelines and completeness of transfer explanations are important factors in supporting allowability and allocability in accordance with the principles set forth in the Circular.

When is a Cost Transfer Allowed?
Federal requirements concerning the management of awards made to institutions such as Caltech limit the circumstances under which costs transfers are allowed. Examples of typical circumstances where costs transfers are allowed (if submitted on a timely basis) are as follows:

- Error Correction – May include clerical errors (transposition, typographical) or other errors identified during the review of expenditure reports (labor distribution schedules not updated, purchase charged to a PTA that was not the one that benefited, etc.).
- Reallocation of effort and other non-labor expenses where multiple projects benefited.
- Reallocation of shared services.
- Transfer of pre-award costs – It is recommended that a pre-award account be established to prevent the need for such transfers.

Overspent Accounts
Special provisions apply to cost transfers to Federal awards from overspent Federal awards. If an award is overspent, there is a presumption that the cost transfer is being made to alleviate the overspending. In general, cost transfers from overspent awards will not be allowed. For the purposes of this policy, Caltech defines an account as overspent when expenditures exceed funding based on the funding source award number. Note that one award from a funding agency may have been divided amongst more than one award for internal accounting purposes at Caltech. If one Caltech award is overspent but the overall award from the agency (based on funding source award number) still has available funding then the award will not be considered overspent. Requests for transfers from overspent awards to other Federal awards must be approved by the Division Chair.

Cost Transfer Deadlines

Cost transfers should be prepared as soon as the need for the transfer is identified. The deadline is 90 days from the date when the charge is first posted in OGM (which will not necessarily be the date the cost was originally incurred). For example: for a charge first posted in OGM on May 2nd, the 90-day period would begin on June 1st and end on August 31st. Any cost transfer request submitted after 90 days or three months requires the completion of a Cost Transfer and Justification Form signed by the Principal Investigator and the Division Chair. These requests will be approved **only in extenuating circumstances**

The full text, of Caltech's Cost Transfer to Federally Funded Awards Policy, may be found at:

http://researchadministration.caltech.edu/pa/policies

Appendix B – Application Administration

CTR users need to be set up in the CTR application. The Business users are set up by CT admin and the Campus users are set up by Org admin.

CT Admin

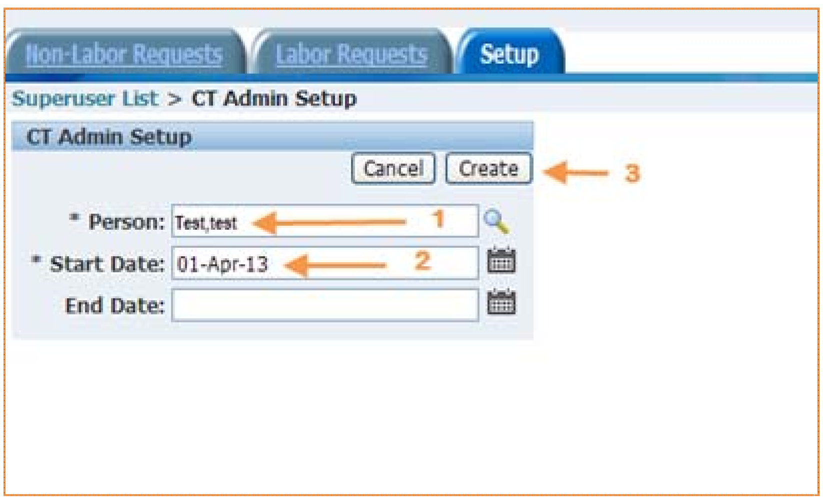
CT Admin is a super user who has access to set up and view all Org Admin users, Business users and Campus users

1. Click on the create button to set up user
2. CT Admin will have access to all user set up links

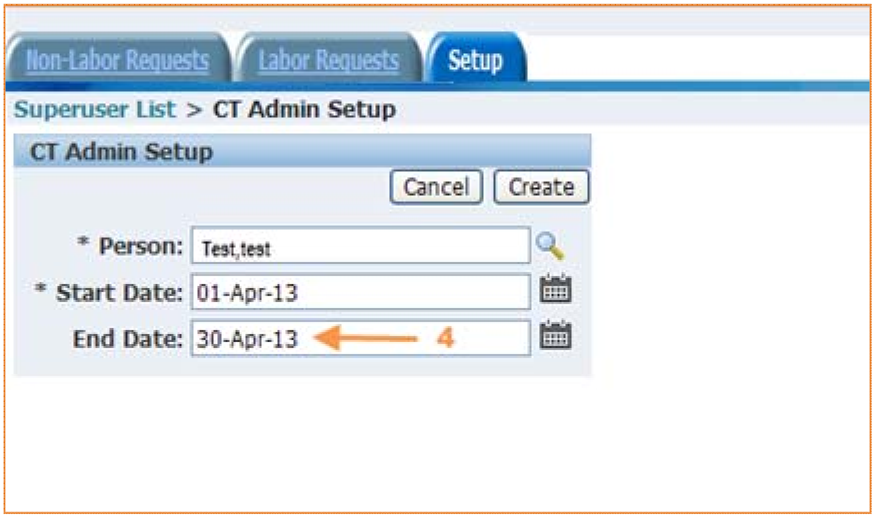
To Setup a CT Admin:

1. Choose a Person from LOV
2. Enter Start Date
3. Click Create

The screen shot below shows CT Admin Setup**:**



4. To End Date a person from CT Admin Access - Enter End Date



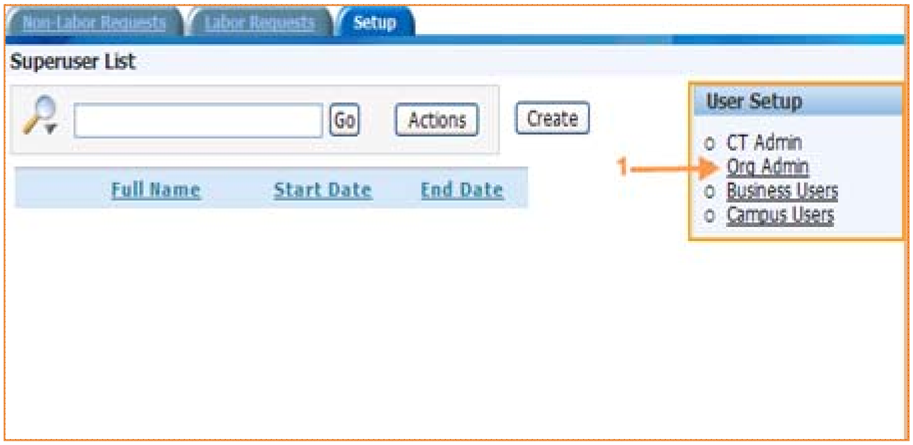
List of super user setup in the system:

Org Admin

The CT Admin will set up an Org Admin (Organization Administrator) for each division. The Org Admin is responsible for adding or removing division preparers and/or cognizant admins.

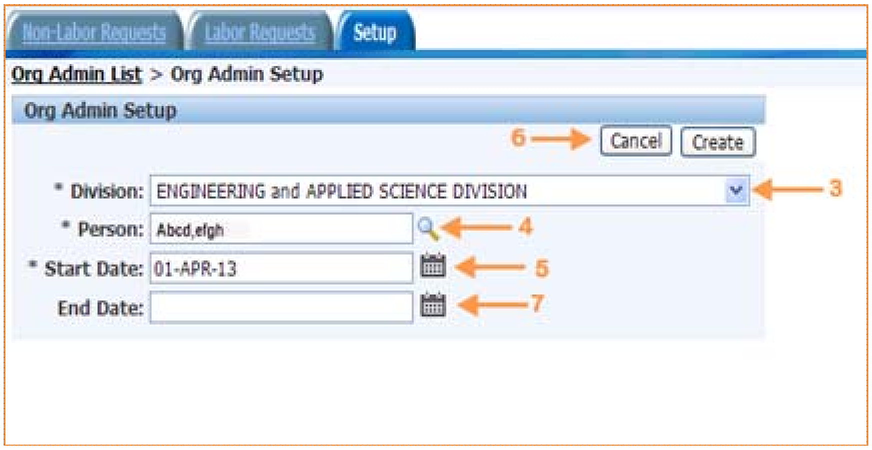
To Setup an Org Admin:

1. Choose Org Admin link from the User setup list

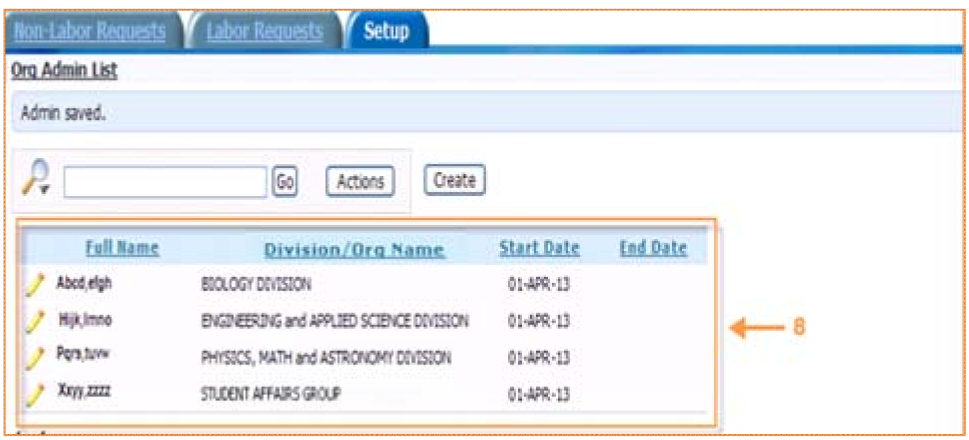


2. Click on the create button

The screen shot below shows Org Admin Setup:



3. Choose Division from dropdown list
4. Choose Person from LOV
5. Enter Start Date
6. Click Create
7. To End Date a person from CT Admin Access - Enter End Date
8. List of Org Admin setup in the system

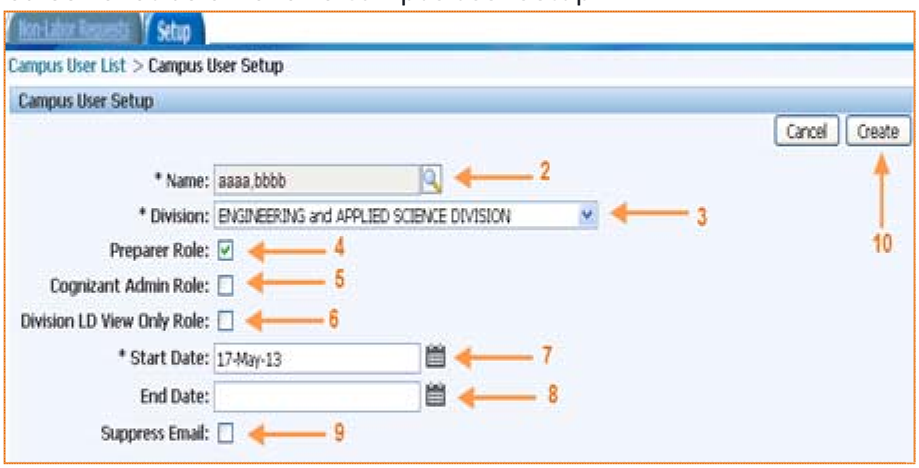


To Setup Campus users

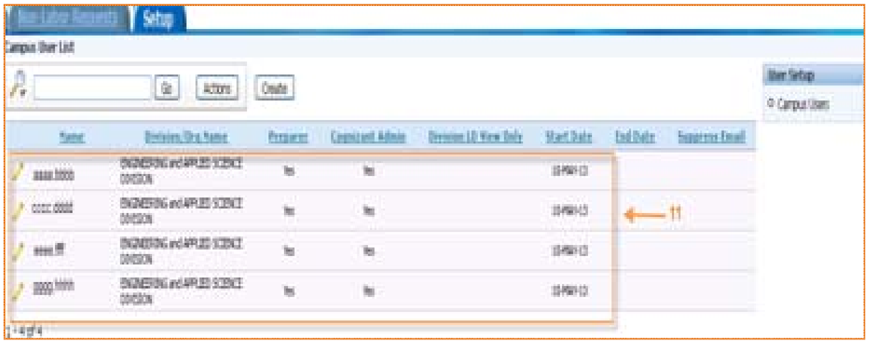
Each division Org admin can only set up campus users for their division. E.g. Biology Division org admin can only set up user for their division.

1. Click create button to set up users

The screen shot below shows Campus user Setup:

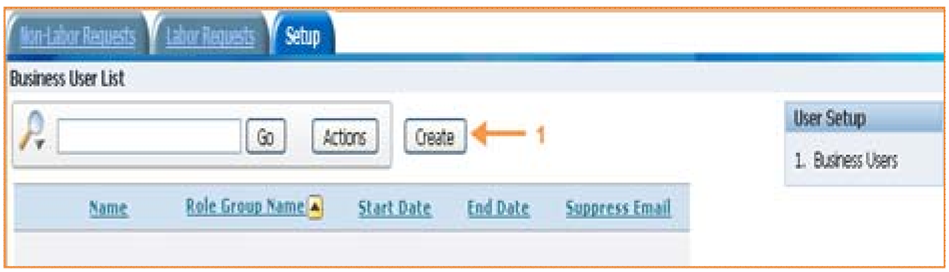


2. Choose the user name from LOV
3. Choose the Division
4. Enable this flag to setup the chosen user a Preparer Role
5. Enable this flag to setup the chosen user a Cognizant Role
6. Enable this flag to setup the chosen user a Division LD View only Role
7. Enter Start Date
8. Enter end date to inactivate the user
9. Enable the Check box to suppress email. If you do not want the Cost transfer application to send an email to you for any action to be taken
10. Click create
11. List of Campus users setup in the system for EAS division



Business and Finance Users (central finance)

Research Administration group

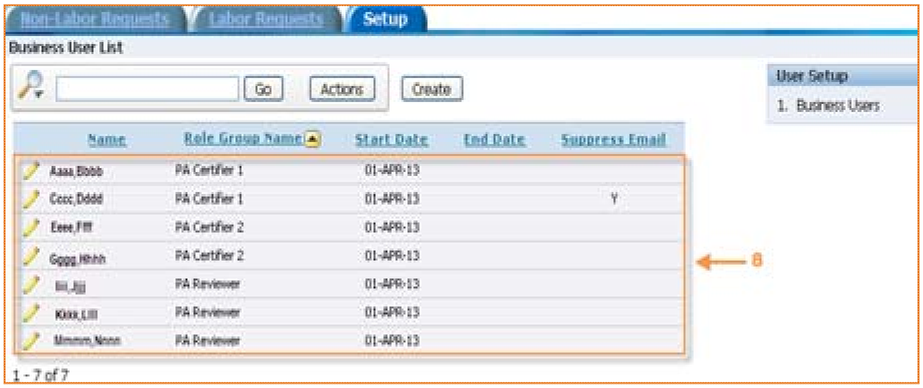


1. Click on the create button

The screen shot below shows Business User Setup**:**

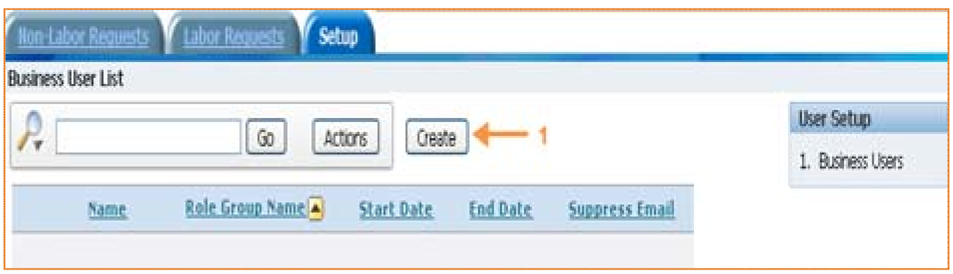
2. Choose Role Group Name from drop down list
3. Choose Person from LOV
4. Enter Start Date
5. Click Create.
6. Enter end date to inactivate the user

7. Enable the Check box to suppress email. If you do not want the Cost transfer application to send an email to you for any action to be taken
8. List of Business users in the Research Administration group division

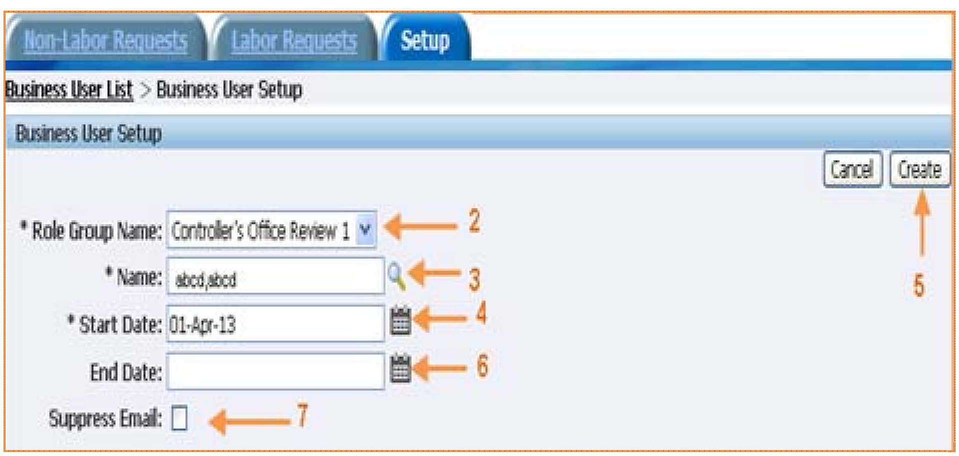


Controller's Office

1. Click on the create button

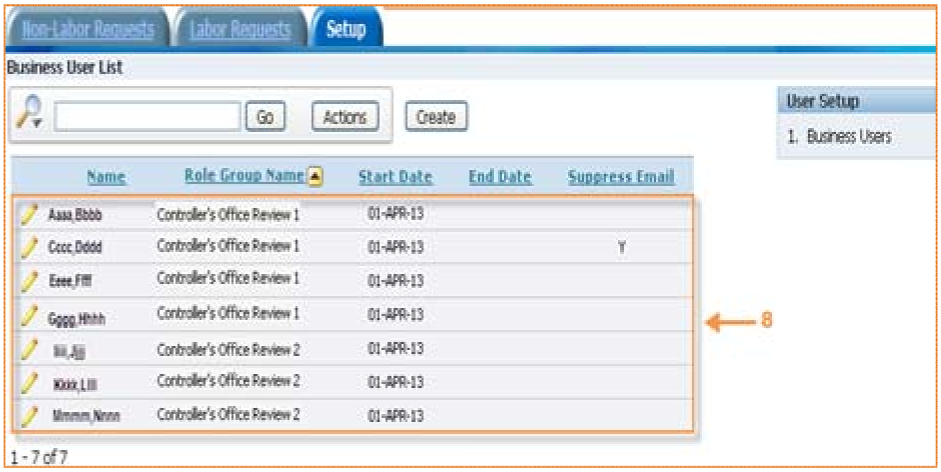


The screen shot below shows Business User Setup.



2. Choose Role Group Name from drop down list
3. Choose Person from LOV
4. Enter Start Date
5. Click Create.
6. Enter end date to inactivate the user

7. Enable the Check box to suppress email. If you do not want the Cost transfer application to send an email to you for any action to be taken
8. List of Business users in the Research Administration group division



Appendix C – Cost Transfers Automated Emails

The Cost Transfers application generates automated e-mails based on various approval actions or Task Links buttons:

Notify Next Approver Person: Notifying Next Approver, specified by name, that Request is ready for Approval Action

Notify Next Approver Group: Notifying Next Approval Group, i.e., approver not specified by Name, that Request is ready for Approval Action

CTR Validation Completes Notification - without errors (Pass). The email is generated AFTER the Validation process completes.

CTR Validation Completes Notification - with errors (Fail). The email is generated AFTER the Validation process completes

Submitted in Oracle: Notifying CTR Preparer and Cognizant Admin that the Request is submitted for processing in Oracle

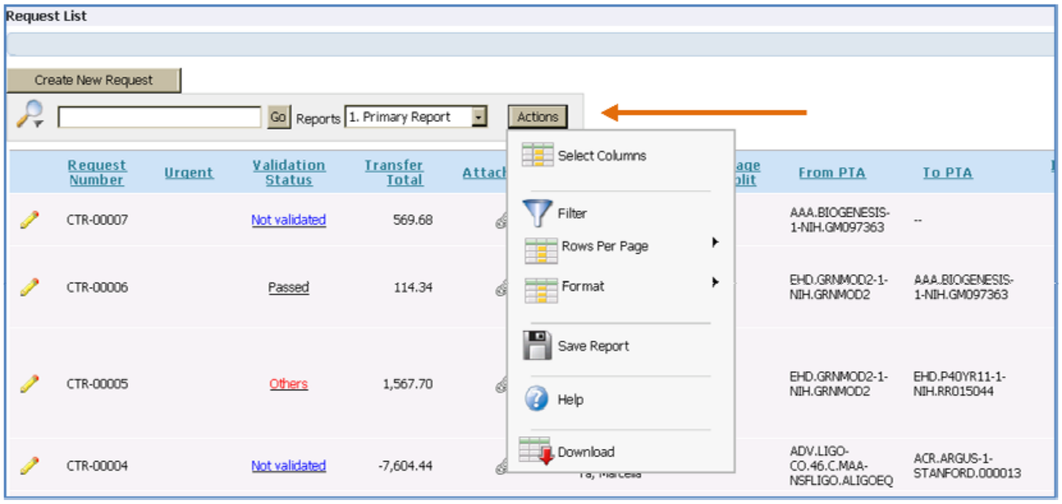
Returned for Rework: Notifying All those who had taken Approval Action that Request has been Returned for Rework

Rejected: Notifying All those who had taken Approval Action that Request has been Rejected

Free Form Email: Submitted from the Task List, the is not saved in the CTR

Appendix D – Apex Functionality

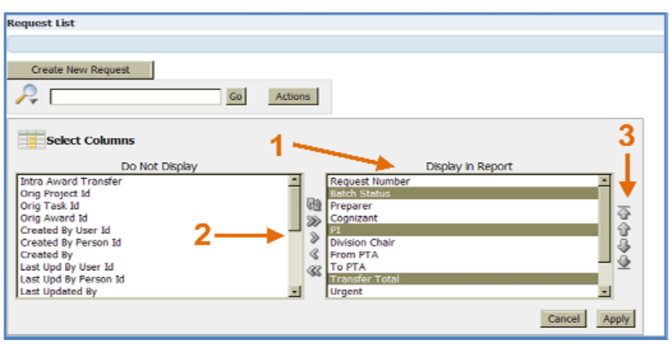
The search results in the Request List may be modified in many different ways by utilizing the options available with the *Actions* button.



Select Columns: Removing and Reordering Columns

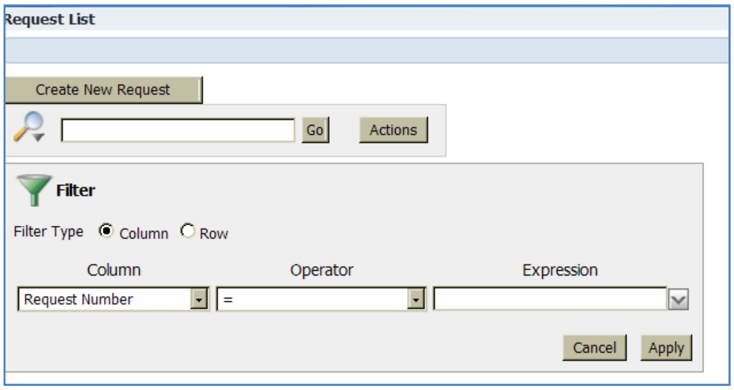
The *Select Columns* option enables you to choose and reorder the columns that you want to display in your report. *Select Columns* opens a window in which you can:

1. Select the column(s) you would like to display or not display
   a. Use the *Ctrl* key to select more than one column at a time
2. Use the side arrows to move the columns from *Display* to *Do Not Display* and back
3. Use the up and down arrows to change the order of the columns



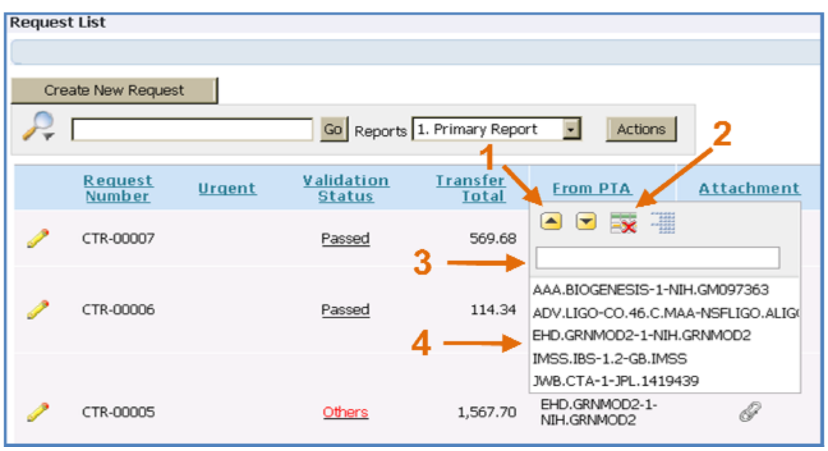
Filter on Columns

The *Filter* option enables you to further fine-tune your search on the specific found set. *Filter* opens a window that enables you to select the column on which you want to filter, the *Operator* for that search, and enter or select the details for which you want to search.



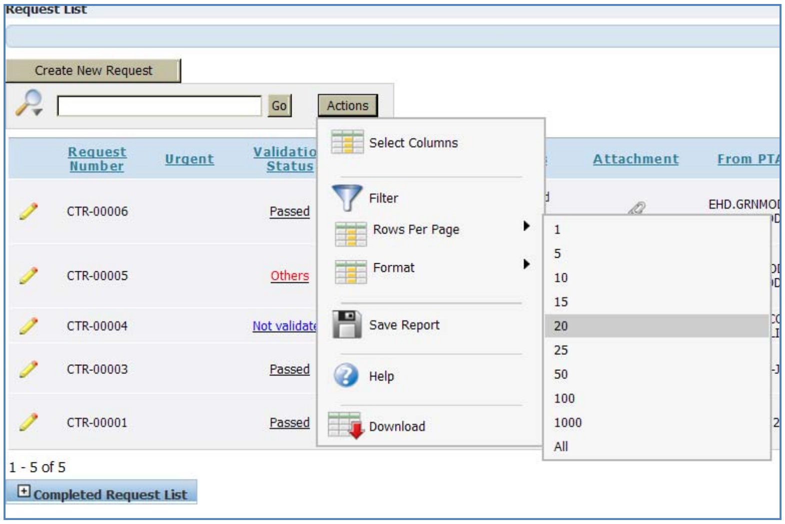
You can also filter on a specific column by simply clicking on the column, which will open up a drop-down that allows you to:

1. Sort on the column
2. Delete the column
3. Enter a search phrase
4. Select the filter item from a list of values



Rows Per Page

The *Rows Per Page* option enables you to determine how many rows are displayed on a page. This is a great option for creating a report that will be printed out.

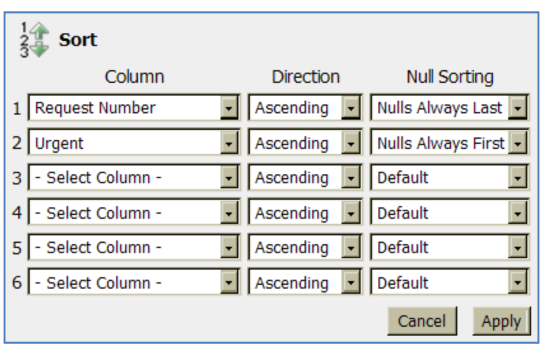


Format

The *Format* option enables you to format the report in a variety of ways.

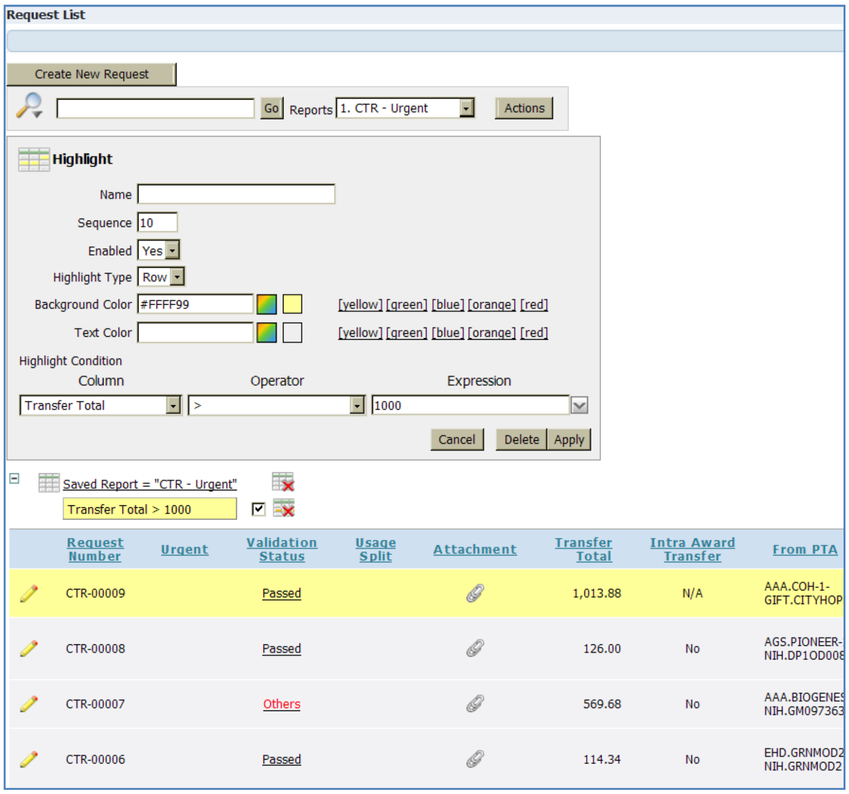
Sort

Sort opens a window that enables you to select the columns on which you want to sort, and the order in which the sorts occur.



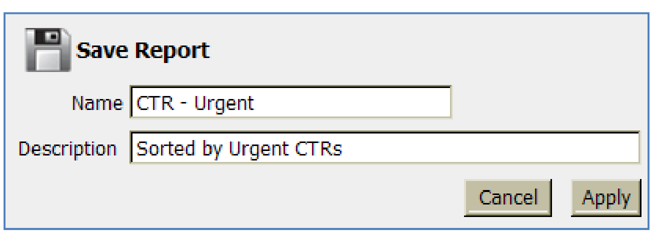
Highlight

Highlight opens a window that enables you to highlight both by row or column and for specific data, as dictated by you.

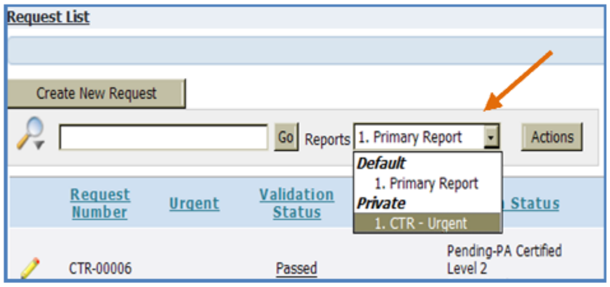


Save Report

Save Report opens a window that enables you to save all of the formatting that you have just completed for reuse in the future.

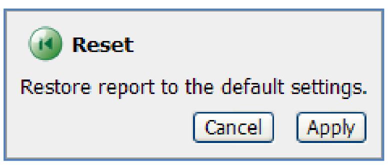


Upon saving a list of reports will now be available each time you display the request list sort by Urgent Requests.



Reset

Reset opens a window to validate that you would like to restore the report to the default settings.



Help

Help opens a new window with very detailed help on the available actions.

Download

Download opens a window that prompts you to choose the report download format.