Cost Transfer Application Refreshers Training

November 5, 2013
Agenda

• Cost Transfer Application at Caltech
• Types of Cost Transfer Requests (CTR)
  – Transfers subject to Caltech’s Policy on Transfers to Federally Funded Awards
  – All Other Transfers
• Justification Form (Before and After)
• Approval Routing
• FAQs
• Questions
Cost Transfer Application

• Application is
  – an access.caltech, single sign-on app.
  – role based
    • Division-Preparer, Cognizant, PI and Chair
    • Central Finance- Reviewers, Certifiers
    • Divisional “Cognizant” or Central Organization Administrators to provide access to the application
Types of Cost Transfers
(Labor and Non-Labor)

• Transfers subject to Caltech’s *Policy on Cost Transfers to Federally Funded Awards*
  – “To” PTAs are federal, federal flow through or cost sharing awards
  – “To” PTAs are JPL IAs

• Transfers *not* subject to Caltech’s *Policy on Cost Transfers*
  – Intra-Award Transfers (Funding Source Award Number for TO and FROM Awards are same)
  – “To” is a non-federal award (private grants, gifts, endowments, GB)
High Risk Transfers

• Cost transfers *subject* to Caltech’s cost transfer policy
  – > 90 day transfers
    • Transferring costs from *any* award to a *federal award* after *90 days* from the original posting
  – Overdraft transfers
    • Transferring costs from an *overdrawn federal* award to a *federal award*

• High risk transfers require
  – additional justifications
  – PI and Division Chair’s approvals
Cost Transfer Form - Before

Please Print instructions Before Completing this Form

### COST TRANSFER & JUSTIFICATION FORM

**Answer the following:**
- **Transfer was approved?**
  - [ ] Yes
  - [ ] No

**Distribution awardee:**
- [ ] Federal Sponsored
- [ ] Non-Federal Sponsored
- [ ] Non-Sponsored

**Check appropriate boxes:**
- [ ] Payroll
- [ ] Research
- [ ] Educational
- [ ] Other

**Section A - Non-Labor**

<table>
<thead>
<tr>
<th>Project Name</th>
<th>Task Name</th>
<th>Dates</th>
<th>Notes</th>
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<thead>
<tr>
<th>Period Date</th>
<th>Init Date</th>
<th>EXP Type</th>
<th>Original Purchase Amount</th>
<th>Transferred Amount</th>
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**Section B - Labor Distribution Adjustment**

**Account distribution change for:**
- To: 

**Employee’s Name**: 
- [ ] Bi-Weekly
- [ ] Graduate Assistantship
- [ ] Postdoctoral Fellowship
- [ ] Student Fellowship
- [ ] Mostly

**Current Old Distribution**

<table>
<thead>
<tr>
<th>Begin date</th>
<th>End date</th>
<th>Project</th>
<th>Task</th>
<th>Award</th>
<th>Expenditure Type</th>
<th>% of Amount</th>
<th>PTA start date</th>
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**New Distribution**

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**Section C - Justification**

1. Why was the expense originally charged to the account from which it is now being transferred?

2. Why should the change(s) be transferred to the proposed receiving account (how does the account balance and why are the changes allowable & allowable)?

**Section D - Labor Distribution**

**Account distribution change for:**
- To: 

**Employee’s Name**: 
- [ ] Bi-Weekly
- [ ] Graduate Assistantship
- [ ] Postdoctoral Fellowship
- [ ] Student Fellowship
- [ ] Mostly

**Current Old Distribution**

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**Section E - Signatures**

**Preparer’s Name**: 
- [ ] Date: 

**Authorizing Signature**: 
- [ ] Date: 

**Section F - Additional Signatures**

**For Office of Financial Services Use Only**

- [ ] Date: 
- [ ] Approved by: 

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**Institute Business Systems | IMSS**

**CALIFORNIA INSTITUTE OF TECHNOLOGY**
# Cost Transfer Form – On-Line

The Cost Transfer Form – On-Line is a tool used to manage financial transfers within a project. It includes several fields for user input, as well as a justification section that requires detailed explanations and supporting documentation.

### Justification Form

- **Request Number:** CTR-
- **Request Total:** $829.63
- **Overspent:** Yes

**FRON:**
- **Project:**
- **Task:**
- **Award:**
- **Division:**

**TO:**
- **Project:**
- **Task:**
- **Award:**
- **Division:**

**Approval PI Name:**
- Approval Division Chair:

**Justifications:**

1. **Why was this expense originally charged to the account from which it is now being transferred?**
   - Costs for materials and supplies intended for experiments in spectroscopy research were charged to INSTRUMENTATION.
   - The correction of this unintentional clerical error was requested, reviewed, and approved by the...

2. **Why should the charge(s) be transferred to the proposed receiving account?**
   - These costs were incurred for the direct benefit of research supported by project...
   - These supplies were used in support of research to advance carbon cycle...

3. **Any additional information to support transfer from overspent award?**
   - During a recent review of costs charged...
   - These charges contributed to the project...

4. **Why is this cost transfer being transferred more than 90 days after the original date the transaction was recorded?**
   - During Dr. (initial review of costs, before the closeout of,...
   - The time of this review, and the Grant Manager’s...

5. **What corrective action has been taken to eliminate future need for cost transfers of this type?**
   - On a monthly basis, ORACLE expenditure detail will be used as a tool to be proactive in the prevention of projects going into deficit prior to their end dates.
Entering a CTR- Non Labor

• Select “transferrable” transactions from Cognos report “PTA Cost Detail for Cost Transfers”
  – Copy and paste transaction ids in “Load Expenditure Item Ids” page
• Open Justification Form
  – Enter justifications
  – From the Task Links:
    • Validate
    • Print “Final” Form**
    • Upload signed CT or other attachments
    • Route for Approval

** Once Final form is printed, no changes can be made to the justification form or expenditure list
Entering a CTR – Labor

• When a Labor Adjustment is entered in LD system that is transferring salaries to a Federal Award either
  – 90 days after the original transaction date, or
  – from an overdrawn federal award

• LD Preparer
  – receives message that a CT justification form is required
  – selects “Cognizant” from a drop down list and “saves” the LDA

• Cognizant
  – is notified that a CT request is created in the CT Application (Labor)
  – enters justifications
  – from the Task Links:
    • Validates
    • Print s “Final” CT Form**
    • Uploads signed CT and routes for approvals

** Once Final form is printed, no changes can be made to the justification form or expenditure list
Warning Message
"Print" Functions

Request List > Justification Form > Print Hardcopy

Print Hardcopy

Click on 'Draft Version' button to carefully review and make all necessary changes to the Justification Form. Click on 'Final Version' button to print the FINAL version of the Justification Form to obtain PI or Division Chair’s wet-ink approval signatures.

IMPORTANT: After the Final PDF version is generated, no further changes can be made to the Justification Form.
Approval Routing - Non High Risk CTR
Non Labor

• Submit
  – Email is sent to Finance for processing

• Return
  – CTR is returned to Preparer for additional information
  – Expenditures are still “linked” to the CTR

• Reject
  – CTR is voided, expenditures are released and available for transfer on new CTR
  – Email is sent to Preparer
Approval Routing for High Risk Transfers Labor and Non-Labor
## PI/DC Approval Options

<table>
<thead>
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<tbody>
<tr>
<td><strong>On-Line Approval</strong></td>
</tr>
<tr>
<td><strong>PI</strong></td>
</tr>
<tr>
<td>Yes</td>
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<tr>
<td><strong>DC</strong></td>
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<tr>
<td>Yes</td>
</tr>
<tr>
<td>Cognizant selects “Submit; PI Online”</td>
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<td><strong>DC</strong></td>
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<td>No</td>
</tr>
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<td>Cognizant selects “Submit; PI/DC approval attached”</td>
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<td>No</td>
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<td>Cognizant selects “Submit; DC approval to be attached”</td>
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<td>Yes</td>
</tr>
<tr>
<td>Cognizant selects “Submit; PI approval attached”</td>
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Principal Investigator and Division Chair Approvals

• Cognizant or preparer is responsible for selecting the Principal Investigator (PI) and Division Chair (DC) from the List of Names in the Justification Form
PI or Div. Chair Selects

- **Approve**
  - CTR is returned to **Preparer** for additional information
  - Expenditures are still ‘linked’ to the CTR
  - Email is sent all who have taken action on the CTR

- **Return**
  - CTR is returned to Preparer for additional information
  - Expenditures are still ‘linked’ to the CTR
  - Email is sent all who have taken action on the CTR

- **Reject**
  - CTR is voided, expenditures are released and available for transfer on new CTR
  - Email is sent to all who have taken action on the CTR
PI/DC Approval Routing

PI and DC *Both Approve On-Line*

- Cognizant selects PI and DC from the Dropdown LOV and “submits”
  - Email notification sent to PI
  - PI selects
    - Approve – email notification sent to Div. Chair
    - Return – CT returned to Cognizant/Preparer
      - Transactions are still “locked” to the CT request
    - Reject – CT returned to Cognizant/Preparer
      - Transactions are released from the CT request and can be selected for another CTR
  - Div. Chair selects
    - Approve – email notification sent to PA
    - Return – CT returned to Cognizant/Preparer
      - Transactions are still “locked” to the CT request
    - Reject – CT returned to Cognizant/Preparer
      - Transactions are released from the CT request and can be reselected for another CTR
PI/DC Approval Routing

PI and DC *Both Sign Hard Copy*

• Cognizant:
  – Prints *Final* Justification Form
  – Obtains PI Signature
  – Obtains DC Signature
  – Attaches Justification Form
  – Select s PI/DC approval attached
    • email sent to Project Accounting
    • CT status changed to Pending-PA Review
Cognizant:

- Selects “DC approval to be attached”
  - PI notified via email
  - PI Approves online
    - Cognizant and PA notified via email of PI approval
    - CT status changes to “Pending PA Reviewer”
- Prints *Final* Justification Form (after PI’s on-line approval)
- Obtains DC Signature
- Attaches Justification Form
- PA processes CT
PI/DC Approval Routing
PI Approves *Hard Copy*/DC Approves *On-Line*

- Cognizant:
  - Prints *Final* Justification Form
  - Obtains PI signature
  - Attaches Justification Form
  - Selects “Submit; PI approval attached”
    - Div. Chair is notified via email
    - DC approves, returns or rejects
      - email to Cognizant when returned or rejected
      - email to PA when approved, status changed to “Pending PA Reviewer”
Frequently Asked Questions

- How do I.........
- Why can’t I......
Frequently Asked Questions

• How many expenditure transaction ids can I transfer on a single CT?
  – The maximum number of lines or transaction ids you can transfer in a single cost transfer form is limited to 499 lines.
Why can I not find the “save” button to make changes in the justification form?

- If you have printed out the “Final” form or routed the CT to the next approver, you cannot make any changes in the CT request (form or expenditure list). That is why the “save” button is not available.

- If you need to make changes, please contact PA, the status will be reversed to “return” and the CT will be available for editing.
Frequently Asked Questions

• My Chair will approve hard copy after PI approves on-line. How do I get a PDF version of the CTR form with PI’s online approval?
  – Click on the CT (opens the Justification Form)
  – On the Justification Form Task List, click on “View/Print Form”
  – Print “Final” form after PI approves online
Frequently Asked Questions

• I have routed my CTR to the wrong PI or DC, how do I get it back?
  
  – Contact PA so that PA can return the CT to the Cognizant or Preparer

**Please be cautious when you are selecting the PI or DC. Someone routed a CT to the Provost by mistake!!**
Frequently Asked Questions

• I want to split one transaction into multiple lines and distribute the costs to different PTAs. How do I split and enter cost transfers in the CT Application?
  – Since one transaction is being split to lines to be posted to multiple PTAs, the “splitting” needs to be done before the CTs are entered. Contact PA/Finance to perform the “split.” Once multiple transaction lines are created, you can enter the CTs by selecting the new transaction lines.
I filled out some sections and saved the CT Justification Form. When I returned to complete the other sections of the form, whatever I had entered before had disappeared. I had to re-type the justifications. Why is the system not saving the justifications I had entered previously?

- The CT Justification Form requires to have all required fields (To PTA, sections 1,2,3,4,5,6) filled in before hitting the “Save” button. The “Save” feature is not designed to be used as “Save WIP” option.
- If all required fields are not entered and you are trying to click on the “Save” button, a message appears at the top of the form indicating, “To PTA and justifications 1,2,3 are required for this request.”
Frequently Asked Questions

• When is a “dark period?”
  – The financial system goes “dark” for month-end closing during the last two business days of the month.

• Can I post a cost transfer for processing during “dark” days?
  – Yes, you can use the CT Application to create and route a CT for approval, but they will not get processed by Finance in Oracle during the “dark” days.
Questions?