



# NIH SALARY CAP COMPLIANCE REPORTS

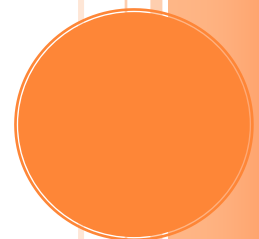
*Query and Report Descriptions*

IMSS and Project Accounting

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## NIH Salary Cap Reports Overview

This document details the NIH Salary Cap reports, both the *Campus* and the *Detail* versions. These reports assist in monitoring special award conditions required for Federal and Federal Flow Through awards. In this documentation, any screenshots of the actual reports will be for the *Campus* version of the report.

There are two significant differences between the *Campus* and the *Detail* versions of the report:

- Type of security applied (please see *Data Access* for further details); and
- Amount of data included in the report:
  - *Campus*: Includes only distribution percentages - no salary information.
  - *Detail*: Includes salary cap amount, employee Institutional Base Salary (IBS) salary, and distribution amount.

### Linking NIH Award to Salary Cap Award

NIH Awards (i.e., Awards with a GL Fund Code of 17240001 or 17250001) are “linked” to the Salary Cap awards (i.e., Awards with a GL Fund Code starting with 4) in Oracle by the *Funding Source Award Number*. For example, the Funding Source Award Number R01 EY015545B is entered for both NIH.CLINICAL and NIHSAL.CLINICAL awards. If the Funding Source Award Numbers entered in Oracle are not an exact match, then the two awards will not be linked, and thus will not appear in the reports together.

### Report Location

The NIH Salary Cap reports are available in Cognos within the *Res Admin Compliance* group of reports under *Campus Reports*, as shown below:





## Data Access

Access in the data warehouse (i.e., Cognos) is handled by IMSS Data Security.

The access for the *Campus – PTA Security* is the same as in the GA datamart. Only PTAs to which you have access to in the GA datamart will be included in the report.

The access for the *Detail – LD Security* is the same as in the LD datamart. This security access is the same as the access setup in Oracle Labor Distribution. Only those individuals with whom you have access to in the LD Datamart, regardless of PTA, will be included in the report.

For further information, please see the document Cognos: Data Security for Campus.

**PLEASE NOTE:** Access to the GA Datamart is account by account while access to the LD Datamart is HR Assignment by HR Assignment. If you have compensation access to a PTA in the GA Datamart this does not mean you will have access in the LD Datamart to people paid on that PTA.



# Report Usage

## Parameters

Both versions of the report have the same parameters available:

- Period Start Date (required)
- Period End Date (required)
- Funding Source Award Number
- Employee

**Report Filters** [Cancel] [Finish]

**Period Start Date:** \* 2012  
Jan Feb Mar Apr May Jun  
Jul Aug Sep Oct Nov Dec  
Sun Mon Tue Wed Thu Fri Sat  
1 2 3 4 5 6 7  
8 9 10 11 12 13 14  
15 16 17 18 19 20 21  
22 23 24 25 26 27 28  
29 30 31

**Period End Date:** \* 2012  
Jan Feb Mar Apr May Jun  
Jul Aug Sep Oct Nov Dec  
Sun Mon Tue Wed Thu Fri Sat  
1 2 3 4 5 6 7  
8 9 10 11 12 13 14  
15 16 17 18 19 20 21  
22 23 24 25 26 27 28  
29 30 31

**Funding Source Award Number:** Keywords:  
Type one or more keywords separated by spaces.  
P01%CA132681 [Search] [Options]  
Results:  
P01 CA132681A [Insert] [Remove]  
[Select all] [Deselect all]

**Employee:** Keywords:  
Type one or more keywords separated by spaces.  
[Search] [Options]  
Results: [Insert] [Remove]  
Choices: [Select all] [Deselect all]

**Active Awards Only:** \*  Yes  No

**TIP:** Cognos recognizes spaces as a new entry for the search. Use a % sign in the space to make sure you get the results you intended.



## Data Logic

The NIH Salary Cap reports summarize Labor Distributions (LD) at:

- Employee Name (Section)
- Funding Source Award Number (Sub-section)
- Pay Period
- Award - Project - Task
- Assignment Number
- Earning Element

California Institute of Technology									
NIH Salary Cap Report - Campus									
Pay Period From Date: Oct 1, 2012		Pay Period To Date: Oct 31, 2012		Funding Source Award Number: 0845 G MA557, R01 GM057034E			Employee: All	Active Awards Only: Yes	
Pauling, Linus									
R01 GM0424242									
Pay Period	Award	Project	Task	PTA Status	Assig #	Earning Element	Pay Period Dist %	Dist % to NIH	LDA % to Enter
10/01/2012-10/31/2012	NIH.GM0424242	LP.CHEMBOND	1	Active	1424242-10	Monthly	11.35%	15.00%	15.79%
10/01/2012-10/31/2012	NIHSAL.GM0424242	LP.SALCAP	1	Active	1424242-10	Monthly	3.65%		

Based on these columns, the NIH Salary Cap reports include the following distribution percentages:

- *Pay Period Dist %*: The percentage of the employee’s total Institutional Base Salary (IBS) for the pay period.
- *Dist % to NIH*: The total distribution percentage to a single NIH funding source award (as determined by the Funding Source Award Number).
- *LDA % to Enter*: The percentage of the original distribution that needs to be corrected for compliance with the applicable NIH salary cap.

Award Number	Salary Cap Per Month	IBS Per Month	Dist Amt	Pay Period Dist %
NIH Award	14,975.67	23,500.00	2,667.31	11.35%
SalCap Award	14,975.67	23,500.00	857.67	3.65%
Total Dist Amt		3,524.98	Sum of Dist Amt	
Dist % to NIH		15.00%	IBS Per Month/Total Dist Amt	
Salary Dist to NIH		2,246.24	Dist % to NIH * Salary Cap Per Month	
LDA Sal Amt to Enter		421.07	Dist Amt - Salary Dist to NIH	
LDA % to Enter		15.79%	LDA Sal Amt to Enter/Dist Amt	



## Correcting Labor Distribution

To correct the salary distributions to the NIH and Salary Cap awards, a Labor Adjustment must be made. For this example we will use the report from the previous section.

**PLEASE NOTE:** If the *LDA % to Enter* is negative, then the distribution to the NIH Salary Cap Award is more than is required to meet the NIH Salary Cap.

California Institute of Technology									
NIH Salary Cap Report - Campus									
Pay Period From Date: Oct 1, 2012	Pay Period To Date: Oct 31, 2012	Funding Source Award Number: 0845 G MA557, R01 GM057034E		Employee: All	Active Awards Only: Yes				
Pauling, Linus									
R01 GM0424242									
Pay Period	Award	Project	Task	PTA Status	Assig #	Earning Element	Pay Period Dist %	Dist % to NIH	LDA % to Enter
10/01/2012-10/31/2012	NIH.GM0424242	LP.CHEMBOND	1	Active	1424242-10	Monthly	11.35%	15.00%	15.79%
10/01/2012-10/31/2012	NIHSAL.GM0424242	LP.SALCAP	1	Active	1424242-10	Monthly	3.65%		

### Find Distributions

- LDA Begin and End Dates must match the Pay Period in the report; and
- Select Adjust by Element.

Find Distributions

Employee Name: Pauling, Linus

Assignment: 1424242-10

Begin Date: 01-OCT-2012

End Date: 01-OCT-2012

Currency: USD

Pay Period: 10/01/2012-10/31/2012

Adjust by:

- Assignment
- Element
- Element Group

Clear Find

**PLEASE NOTE:** Using search criteria different than that in the report will result in an incorrect adjustment.



## Select the Correct Distribution

1. Find the distribution line that needs the adjustment.
2. Select *Adjust by Percent*.

The screenshot shows the 'Distribution Adjustments' window for Employee Pauling, Linus (Employee Number 1424242). The assignment is 1424242-10 at Chemistry Senior Admin, with a distribution period from 01-OCT-2012 to 01-OCT-2012. The 'Actual Distributions' table lists several lines, with the line for ZOACS.GM001954 Ca Monthly (Amount: 2,667.31, Transfer %: 11.35) highlighted with an orange box and a red arrow labeled '1'. The 'Adjusted Distributions' table is empty. At the bottom right, the 'Adjust By' radio buttons are set to 'Percent', with a red arrow labeled '2' pointing to it. The total amount is 23,500.00.

Award	Ex Or	Element	Amount	Transfer %
ENDOW.VITC	Ca	Monthly	18,057.29	76.84
NIH.GM001954	Ca	Monthly	857.67	3.65
ZOACS.GM001954	Ca	Monthly	2,667.31	11.35
NIH.GM0424242	Ca	Monthly	742.67	3.16
NIHSAL.GM04242	Ca	Monthly	1,175.06	5.00

GL Account	Element	Amount	%
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## Enter the Distribution Adjustment

3. Enter the *LDA % to Enter* amount from the report.
4. Enter another line for the % to total to the original PTA (for the full 100%).

The screenshot shows the 'Distribution Adjustments' window after an adjustment has been entered. The 'Actual Distributions' table remains the same. The 'Adjusted Distributions' table now has three lines: NIH.GM0424242 Ca Monthly (Amount: (2,667.31)), NIHSAL.GM0424242 Ca Monthly (Amount: 421.17, %: 15.79), and NIH.GM0424242 Ca Monthly (Amount: 2,246.14, %: 84.21). A red arrow labeled '3' points to the first line in the adjusted table. The 'Unaccounted Balance' is now 0.00. The 'Adjust By' radio buttons are still set to 'Percent'.

Award	Ex Or	Element	Amount	Transfer %
ENDOW.VITC	Ca	Monthly	18,057.29	76.84
NIH.GM001954	Ca	Monthly	857.67	3.65
ZOACS.GM001954	Ca	Monthly	2,667.31	11.35
NIH.GM0424242	Ca	Monthly	742.67	3.16
NIHSAL.GM04242	Ca	Monthly	1,175.06	5.00

Award	Ex Or	Element	Amount	%
NIH.GM0424242	Ca	Monthly	(2,667.31)	
NIHSAL.GM0424242	Ca	Monthly	421.17	15.79
NIH.GM0424242	Ca	Monthly	2,246.14	84.21





# Report Format

*Folder:* Res Admin Compliance

*Description:* The NIH Salary Cap Reports assist in monitoring special award conditions required for Federal and Federal Flow Through awards.

There are two versions of the report, each utilizing different security models in addition to different levels of data detail:

- NIH Salary Cap Report – Campus – PTA Security
- NIH Salary Cap Report – Detail – LD Security

## Campus – PTA Security

*Security:* PTA-level security, as used in the GA Datamart.

*Parameters/Report Filters:*

Report Filter	Req	Mult	Details
Period Start Date	Yes	No	
Period End Date	Yes	No	
Funding Source Award Number	No	Yes	<b>TIP:</b> If number has a space, use a % sign in place of the space.
Employee	No	Yes	
Active Awards Only	Yes	No	Defaults to Yes to include all awards, regardless of status.

*Report Columns:*

Column Name	Group	Sort
Employee (Section Header)	Yes	1 <sup>st</sup>
Funding Source Award Number (Sub-section Header)	Yes	2 <sup>nd</sup>
Pay Period (From and To)		
Award (Salary Cap Award sorts to the bottom)		3 <sup>rd</sup>
Project		4 <sup>th</sup>
Task		5 <sup>th</sup>
PTA Status		
Assignment Number		
Earning Element		
Pay Period Dist % (Pay Period Distribution Percentage)		
Dist % to NIH (Distribution Percentage to NIH)		
LDA % to Enter (LDA Percentage to Enter in LDA form)		



## Detail – LD Security

*Security:* Oracle Labor Distribution security, as used in the LD Datamart.

*Parameters/Report Filters:*

Report Filter	Req	Mult	Details
Period Start Date	Yes	No	
Period End Date	Yes	No	
Funding Source Award Number	No	Yes	<b>TIP:</b> If number has a space, use a % sign in place of the space.
Employee	No	Yes	
Active Awards Only	Yes	No	Defaults to Yes to include all awards, regardless of status.

*Report Columns:*

Column Name	Group	Sort
Employee (Section Header)	Yes	1 <sup>st</sup>
Funding Source Award Number (Sub-section Header)	Yes	2 <sup>nd</sup>
Pay Period (From and To)		
Award (Salary Cap Award sorts to the bottom)		3 <sup>rd</sup>
Project		4 <sup>th</sup>
Task		5 <sup>th</sup>
PTA Status		
Salary Cap (salary cap at time of expenditure)		
Salary (monthly base salary amount)		
Assignment Number		
Earning Element		
Dist Amt (Distribution Amount)		
Pay Period Dist % (Pay Period Distribution Percentage)		
Dist % to NIH (Distribution Percentage to NIH)		
Salary Dist to NIH (Salary Distribution to NIH)		
LDA Sal Amt to Enter (LDA Salary Amount to Enter in LDA form)		
LDA % to Enter (LDA Percentage to Enter in LDA form)		



## Trouble Shooting

### The Salary Cap Award Doesn't Appear with the NIH Award

The following are the possible reasons that the Salary Cap and the NIH Awards do not appear on the report:

- The Funding Source Award Number has not been entered correctly in Oracle. If the Funding Source Award Numbers entered in Oracle are not an exact match, then the two awards will not be linked, and thus will not appear in the reports together.
- Campus version: You do not have access to the award. Please see the section on *Data Access* for more information.
- Detail version: You do not have access to the employee's assignment that was paid on the award. Please see the section on *Data Access* for more information.

### The LDA % to Enter is a Negative Amount

If the *LDA % to Enter* is a negative amount, then the amount of salary on the NIH Salary Cap award is more than what is needed to meet the NIH Salary Cap requirements. If an LDA is desired to meet the actual amount for the NIH Salary Cap, the percentage calculations on the report will not work. To determine the amount for the LDA, the Detail report must be used in conjunction with an LDA adjusted by Amount, rather than by Percentage.

### Award Doesn't Appear on Both Reports

If you run both report versions and an award is on the Detail report, but not on the Campus version, then you do not have access to that PTA in the GA Datamart. Please see the section on *Data Access* for more information.

### Employee Doesn't Appear on Both Reports

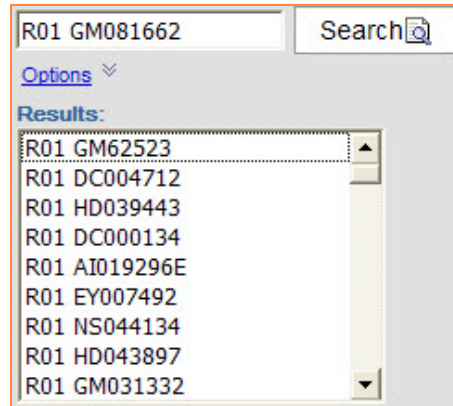
If you run both report versions and a person is on your Campus report, but not the Detail version, then you do not have access to that person in the LD Datamart. Please see the section on *Data Access* for more information.



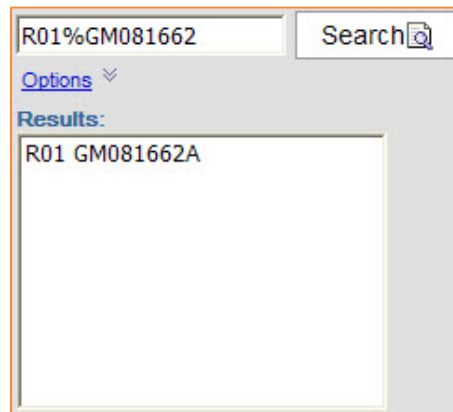
## The List of Funding Source Award Numbers is Too Long

When searching on a field Cognos treats any entry after a space as an additional search entry. If your funding source award number has a space in it, substitute a % for the space. For example:

- Searching for R01 GM081662 will return ALL Funding Source Award Numbers that start with R01:



- Searching for R01%GM081662 will return ONLY R01 GM081662:



## The List of Employees is Too Long

Similar to the Funding Source Award Number, Cognos treats spaces (e.g., the space between Pauling and Linus in Pauling, Linus) as an additional search entry. It is good practice to substitute all spaces with a % sign (e.g., Pauling%Linus).