

# Cost Transfers

*Release II*

## Table of Contents

Overview.....	5
Non-Labor Requests .....	5
<i>CTR Creating &amp; Processing Steps for Non-Labor Request</i> .....	6
Creating .....	6
Processing (Central Finance) .....	6
<i>Approval Levels, Groups, Actions, and User Roles</i> .....	7
<i>Approval Levels</i> .....	7
<i>Approval Groups</i> .....	7
<i>Approval Actions</i> .....	7
<i>Cost Transfer User Roles</i> .....	8
Campus .....	8
Central Finance .....	8
What Can be Done and Seen in the Cost Transfers Application .....	9
<i>What Campus Can Do (Based on Role)</i> .....	9
<i>What Campus Can See (Based on Role)</i> .....	10
<i>What Central Finance Can Do and See</i> .....	10
Creating a New Request .....	11
<i>Preparation</i> .....	11
<i>Create Expenditure List</i> .....	11
<i>Splitting the Expenditure Item Amount</i> .....	12
<i>Building Justification Form</i> .....	14
<i>Task Links Processing Buttons</i> .....	16
Validation .....	16
View/Print Form .....	17
Attachments .....	17
<i>Route for Approval</i> .....	18
Processing Request for Central Finance .....	19
<i>Receive Request</i> .....	19
<i>Review, Route and Submit Request</i> .....	20
Processing CTR with Split Item .....	21
Task Links Processing Buttons .....	21

---



---

Labor Requests .....	22
<i>CTR Creation &amp; Processing Steps for Labor Request</i> .....	23
Creation .....	23
Processing (Central Finance) .....	23
Approval Levels, Groups, Actions, and User Roles .....	24
<i>Approval Groups</i> .....	24
<i>Approval Actions</i> .....	24
<i>Cost Transfer User Roles</i> .....	25
Campus .....	25
Central Finance .....	25
Creating a LD Batch in Oracle LD Module .....	26
<i>Preparation</i> .....	26
<i>CTR LD Request List</i> .....	27
<i>Building Justification Form</i> .....	28
<i>Task Links Processing Buttons</i> .....	31
View/Print Form .....	31
Attachments .....	31
Route for Approval .....	32
Processing Request for Central Finance .....	33
<i>Receive Request</i> .....	33
<i>Review, Route and Submit Request</i> .....	33
Appendix A - Cost Transfer Policy .....	35
Appendix B - Application Administration .....	38
<i>CT Admin</i> .....	38
To Setup a CT Admin: .....	38
<i>Org Admin</i> .....	39
To Setup an Org Admin: .....	39
<i>To Setup Campus Users</i> .....	41
<i>Business and Finance Users (Central Finance)</i> .....	42
Research Administration Group .....	42
Controller's Office .....	43
Appendix C - Cost Transfer Automated Emails .....	45
Appendix D - Apex Functionality .....	46
<i>Select Columns: Removing and Reordering Columns</i> .....	46
<i>Filter on Columns</i> .....	47

<i>Rows Per Page</i> .....	48
<i>Format</i> .....	48
<i>Sort</i> .....	48
<i>Highlight</i> .....	49
<i>Save Report</i> .....	49
<i>Reset</i> .....	50
<i>Help</i> .....	50
<i>Download</i> .....	50

## Overview

The Cost Transfers application is accessible via access.caltech and:

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

The application automates the CTR 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



**NOTE:** 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 and 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 transfers that require review by the Property Services group.
- Identify cost transfer expenditures that are nearing 90 days and/or have been previously transferred.
- Allow 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).

### Creating & Processing Steps for Non-Labor CTRs

#### Creating

Preparation	<ul style="list-style-type: none"><li>• Run OBI Cost Transfer Report</li><li>• Identify Expenditures</li></ul>
Create Expenditure List	<ul style="list-style-type: none"><li>• Load Expenditure Item IDs</li><li>• Add/Delete/Split</li></ul>
Build Justification Form	<ul style="list-style-type: none"><li>• TO PTA, Justification questions and validations</li><li>• Route for approval</li></ul>
Submit Request	<ul style="list-style-type: none"><li>• Approve/Return/Reject</li><li>• Submitted to Central Finance</li></ul>

#### Processing (Central Finance)

Receive Request	<ul style="list-style-type: none"><li>• Property Services</li><li>• Controller's Office</li><li>• Project Accounting</li></ul>
Review Request	<ul style="list-style-type: none"><li>• Process splits</li><li>• Approve/Route/Return/Reject</li></ul>
Submitted for Oracle Processing	<ul style="list-style-type: none"><li>• Expenditures Validated</li><li>• Nightly Processing</li></ul>

### *Approval Levels, Groups, Actions, and User Roles*

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

### *Approval Levels*

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 Groups*

Preparer

Cognizant Admin

Property Services

Controller's Office 1 & 2

PA Reviewer

PA Certifier 1 & 2

### *Approval Actions*

**Submit:** Routes the CTR to the next *Approval Group*. An email is sent to the next *Approval Group*.

**Submit - Route for PI On-line Approval:** Routes the high risk CTR for the PI's on-line approval. An email is sent to the next *Approval Group*.

**Submit - PI/DC Approval Attached:** Routes the high risk CTR to Central Finance. The Justification must be signed by both the PI and Division Chair and the scanned document attached to the CTR. An email is sent to the next *Approval Group*.

**WIP - Assign to Me:** Used by someone in either Post Award Administration 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 Preparer 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 and is typically a Grant Manager or administrative 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 submit the CTR to Central Finance.

**Principal Investigator:** The Principal Investigator (PI) approval is required if any expenditure on the CTR is subject to the Federal Cost Transfer Policy (i.e., high risk).

**Division Chair:** The Division Chair (DC) approval is required if any expenditure on the CTR is subject to the Federal Cost Transfer Policy (i.e., high risk).

### Central Finance

**Preparer:** A PAA 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 expenditure types of *Equipment-Caltech*, *Equipment-Govt*, or *Equipment-Other Owned*. Property Service reviews the CTR, updates the Fixed Asset record (if applicable), and then, based on the TO PTA, routes the CTR to either Post Award Administration or the Controller's Office.

**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:** CTRs that **are not** considered high risk are received by the *PA Certifier 1* from the *PA Reviewer*. The CTR is reviewed and the appropriate routing action is selected.

**PA Certifier 2:** CTRs that are considered high risk are received by the *PA Certifier 2* 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 staff in Post Award Administration and Internal Audit.

## What Can be Done and Seen in the Cost Transfers Application

### What Campus Can Do (Based on Role)

<p><b>Preparer</b></p> <ul style="list-style-type: none"> <li>▪ The person who:             <ul style="list-style-type: none"> <li>– Searches/Uploads expenditures to be transferred</li> <li>– Creates the Cost Transfer Request</li> <li>– Prepares the on-line Justification form</li> <li>– Can upload supporting documents</li> </ul> </li> <li>▪ <b>Cannot</b> submit request to Post Award Administration/Controller’s Office</li> </ul>	<p><b>Cognizant Admin</b></p> <ul style="list-style-type: none"> <li>▪ All <i>Preparer</i> actions</li> <li>▪ For all requests prepared by their Division:             <ul style="list-style-type: none"> <li>– Reject, Request Rework by Preparer, or Approve</li> <li>– Submit request to Post Award Administration/Controller’s Office</li> </ul> </li> </ul> <hr/> <p><b>PI/Division Chair</b></p> <ul style="list-style-type: none"> <li>▪ For requests routed to them for approval:             <ul style="list-style-type: none"> <li>– Reject, Request Rework, or Approve</li> <li>– Submit requests to Post Award Administration/Controller’s Office</li> <li>– Online approval routing WILL need to be sequential - PI first, then Div Chair</li> </ul> </li> </ul>
---	---

### What Campus Can See (Based on Role)

<p><b>Preparer</b></p> <ul style="list-style-type: none"> <li>View only requests created by themselves.</li> </ul>	<p><b>Cognizant Admin</b></p> <ul style="list-style-type: none"> <li>View all requests <i>created by</i> all Preparers and Cognizant Admins for their Division.</li> <li>For Cross Division Transfers: View all requests <i>routed for approval from</i> another Division to their Division's Cognizant Admins.</li> </ul>
<p><b>PI</b></p> <ul style="list-style-type: none"> <li>View only requests assigned to them for approval by the Cognizant Admin.</li> </ul>	
<p><b>Division Chair</b></p> <ul style="list-style-type: none"> <li>View only requests assigned to them for approval by PI.</li> </ul>	

### What Central Finance Can Do and See

<p><b>Controller's Office 1 &amp; 2</b></p> <ul style="list-style-type: none"> <li>View all requests.</li> <li>Approve, Return, Reject CTRs on their Approval Level.</li> <li>Submit CTRs for processing in their Approval Level.</li> <li>Prepare CTR.</li> </ul>	<p><b>PAA Reviewer</b></p> <ul style="list-style-type: none"> <li>View all requests.</li> <li>Approve, Return, Reject CTRs on their Approval Level.</li> <li>Submit CTRs for processing on their Approval Level.</li> <li>Prepare CTR.</li> </ul>
<p><b>PAA Certifier 1</b></p> <ul style="list-style-type: none"> <li>View all requests.</li> <li>Approve, Return, Reject CTRs on their Approval Level.</li> <li>Submit CTRs for processing on their Approval Level.</li> </ul>	<p><b>PAA Certifier 2</b></p> <ul style="list-style-type: none"> <li>View all requests.</li> <li>Approve, Return, Reject High Risk and Non-High Risk CTRs.</li> <li>Submit High Risk and Non-High Risk CTRs.</li> </ul>
<p><b>Property Services</b></p> <ul style="list-style-type: none"> <li>View all requests.</li> <li>Approve, Return, Reject CTRs that contain Equipment expenditure types.</li> </ul>	<p><b>View Only</b></p> <ul style="list-style-type: none"> <li>View all requests.</li> </ul>

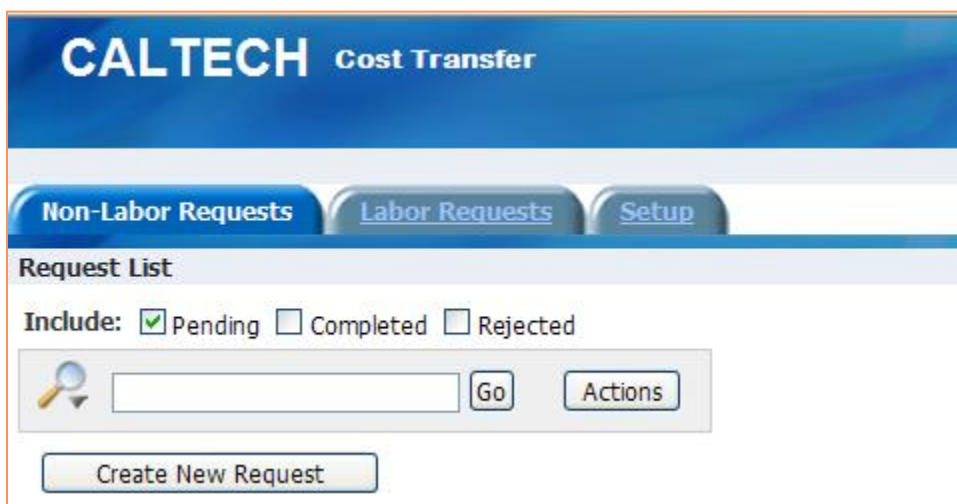
## Creating a New Request

### Preparation

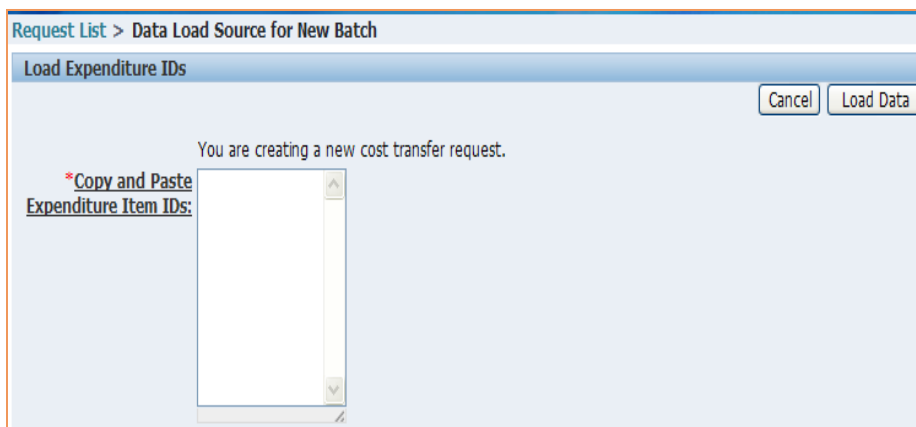
1. Run the **Cost Transfer (Campus)** report in OBI and export to Excel.
2. Determine the expenditure(s) that will be transferred.
3. Copy the applicable *Expenditure Item IDs* (for pasting into the Cost Transfer application).

### Create Expenditure List

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



2. Paste (or manually enter) the *Expenditure Item IDs* identified in the *Cost Transfer (Campus)* report and select *Load Data*.



3. Add additional Expenditure Items or go to the Justification Form.

Remove	Period Name	Over 90 Days	Transferred Before	Item Date	Exp Category	Exp Type	Trans Source
	DEC-FY2013	N	N	30-NOV-12	Materials and Supplies	Other Internal Charges	Usage

### Splitting the Expenditure Item Amount

To move only a specific amount of the expenditure, it may be split into two separate amounts. To split an expenditure:

1. Click on the Split icon  on the expenditure lines.

Remove	Period Name	Over 90 Days	Transferred Before	Item Date	Exp Category	Exp Type	Transaction Source	Exp Amt	Transfer Amt	Split	Wait for Ora Split
	APR-FY2013	Y	N	01-APR-13	Materials and Supplies	Other Internal Charges	Usage	129.58	129.58		
	DEC-FY2013	Y	N	02-DEC-12	Materials and Supplies	Supplies - Allocable	Supplier Invoice	8.57	8.57		


2. Enter the amount to transfer and save.

Request Number: CTR-00746  
 From PTA: ADV.LIGO-AO.42.C.MBA-NSFLIGO.ALIGO  
 Trans ID: 27500847  
 Expenditure Date: 01-APR-13  
 Expenditure Type: Other Internal Charges  
 Original Cost: 129.58  
 \* Amount to Transfer:   
 Balance Amount:

Cancel Save

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

Remove	Period Name	Over 90 Days	Transferred Before	Item Date	Exp Category	Exp Type	Transaction Source	Exp Amt	Transfer Amt	Wait for Ora Split	Trans ID	Sp
	APR-FY2013	Y	N	01-APR-13	Materials and Supplies	Other Internal Charges	Usage	129.58	100.00		27500847	
	MAR-FY2013	Y	N	23-FEB-13	Materials and Supplies	Supplies - Allocable	Supplier Invoice	14.60	14.60		27286260	

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

**Non-Labor Requests** Setup

Request List > Justification Form > Edit Request EI List > **Split EI**

Partial Transfer

Request Number: CTR-00746  
 From PTA: ADV.LIGO-AO.42.C.MBA-NSFLIGO.ALIGO  
 Trans ID: 27500847  
 Expenditure Date: 01-APR-13  
 Expenditure Type: Other Internal Charges  
 Original Cost: 129.58  
 \* Amount to Transfer:   
 Balance Amount: 29.58

### Building Justification Form

The Justification form is the hub of the CTR. The form contains four distinct regions or sections:

- **Justification:** Contains the *TO* and *FROM* 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.
- **Task Links:** Contains processing buttons.
- **Required Steps:** Lists the required steps for the CTR and whether or not they have been completed.
- **Notes:** Allows the user to send an email about the CTR, however, the email is *not* saved in the CTR. This may be used if the Preparer or Cognizant Admin 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 click on *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*.

Request List > Justification Form

Justification 6 are required for the request.

Justification

Request Number: CTR 00128  
Request Total: \$382.89  
Overspent: N/A

Request Status: Pending-Preparer  
Intra Award Transfer: N/A  
> 90 Days: N/A

FROM: Project: IHSS.IBS  
Task: 1.2  
Award: GB.IHSS  
Division: INFORMATION MANAGEMENT SYSTEMS AND SERVICES (IHSS) GROUP

TO: \* Project: IHSS.ADM  
\* Task: 1.2  
\* Award: GB.IHSS  
Division: INFORMATION MANAGEMENT

Justifications:  
6 - Why are these costs being transferred and how do they satisfy the purpose and terms of the account being transferred to?

Task Links

Expenditure List

Required Steps

Justification - Not Done

Validation - Not Done

Routing - Pending-Preparer

Notes

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

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

Request List > Justification Form

Justification

Request Number: CTR 00128  
Request Total: \$382.89  
Overspent: N/A

Request Status: Pending-Preparer  
Intra Award Transfer: N/A  
> 90 Days: N/A

FROM: Project: IHSS.IBS  
Task: 1.2  
Award: GB.IHSS  
Division: INFORMATION MANAGEMENT SYSTEMS AND SERVICES (IHSS) GROUP

TO: \* Project: IHSS.ADM  
\* Task: 1.2  
\* Award: GB.IHSS  
Division: INFORMATION MANAGEMENT

Justifications:  
6 - Why are these costs being transferred and how do they satisfy the purpose and terms of the account being transferred to?  
This is a test

Task Links

Expenditure List

Attachments

View/Print Form

Validate

Required Steps

Justification - Done

Validation - Not Done

Routing - Pending-Preparer

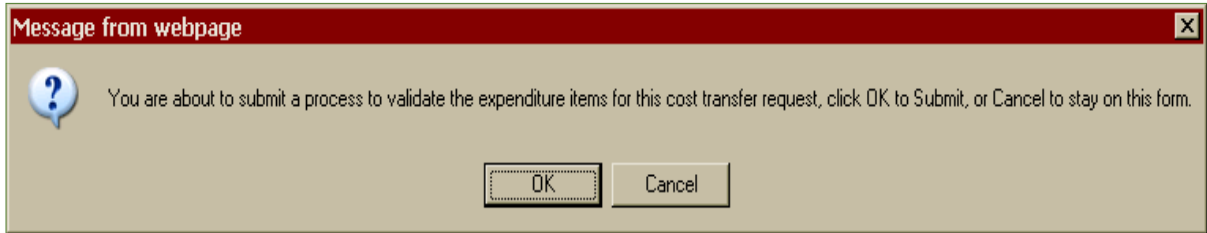
Notes

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 *Validate* button from the Task Links section, then *OK* from the *Message*:



2. After clicking the *OK* button, the following *Validate Request* form is displayed. Once completed (see Phase column) check the Comments column. If the *Comments* column displays Passed, return to the *Justification* form, for further action. If the *Comments* column displays Failed, review the error on the *Expenditure List* by clicking on the Failed link. If you have questions, contact your accounting specialist in Central Finance for assistance.

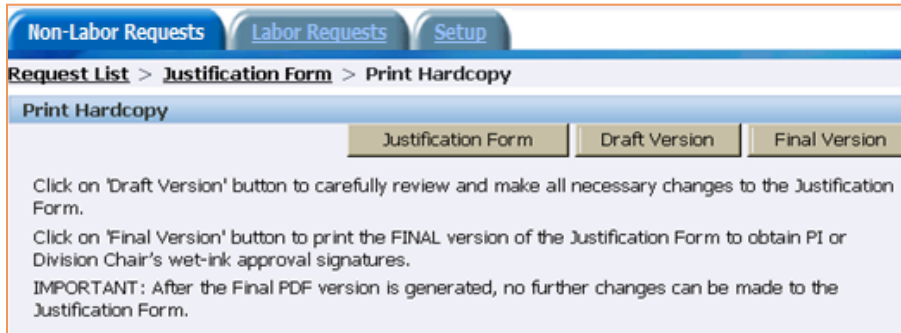




View/Print Form

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.

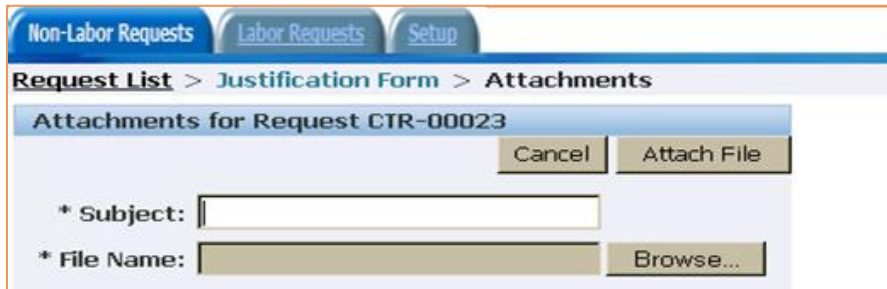



Attachments

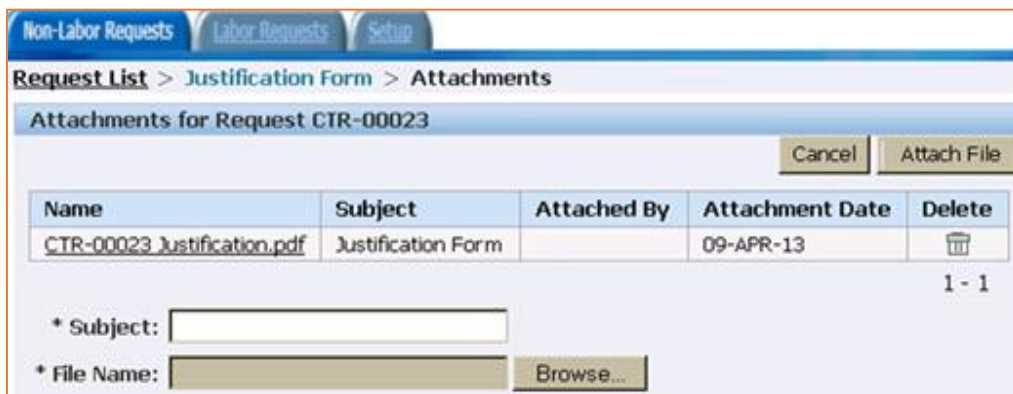
Attachments may be viewed/opened by those who have access to the CTR. Most document types may be attached (e.g., .pdf, .docx, .xlsx, .msg, etc.). If the CTR is high risk, the signed *Justification Form* **must** be attached.

To attach documents associated with the CTR, click on *Attachment* within the *Task Links*.

1. Enter the *Subject* and click on *Browse*. Once the file is located and chosen, click on *Attach File*.



2. The attachment is saved within the CTR. To view the attachment, click on the name link in the Name column. To remove the attachment, 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 (i.e., high risk).

Each Approval Level requires the user to select an *Approval Action* and Next Approver. Select the Approval Action and Next Approver from the dropdown lists. Selections for both dropdown lists will vary based on Approval Level and User Role.

A 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, and the date and time are all saved and are viewable by anyone with access to the CTR.

Request List > Justification Form > Request Routing

Routing Log - CTR-00047

From PTA:  
To PTA:

Request Status:  
Next Approval Level: From PTA First Review      Next Approval Group: Controller's Office Review 1

\* Approval Action: [- Select -]      Next Approver: [- Select -]

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	-	-	-

Comments

Saved Comments: [Text Area]

Comments: [Text Area]

**NOTE:** The Routing Log will display the following message 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

The CTR is routed through the appropriate Central Finance processing area. If the CTR contains the expenditure types of *Equipment-Caltech*, *Equipment-Govt*, or *Equipment-Other Owned* the CTR will first be routed to Property Services. For all other expenditure types or after approval by Property Services, the CTR will be routed to the Controller’s Office or Post Award Administration based upon the *TO* and *FROM* PTAs. At each point of the approval process an email is generated and sent to either the appropriate *Approval Group* or the specific name selected when the CTR has been routed.

**NOTE:** Updates to the CTR can no longer be made (except for adding comments to the comment section of the *Routing Log*) once the CTR is routed to Central Finance.

### Receive Request

The CTR is accessible from the *Request List*, i.e., 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 CTR was routed to you, 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. Yr.
CTR-00025	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	

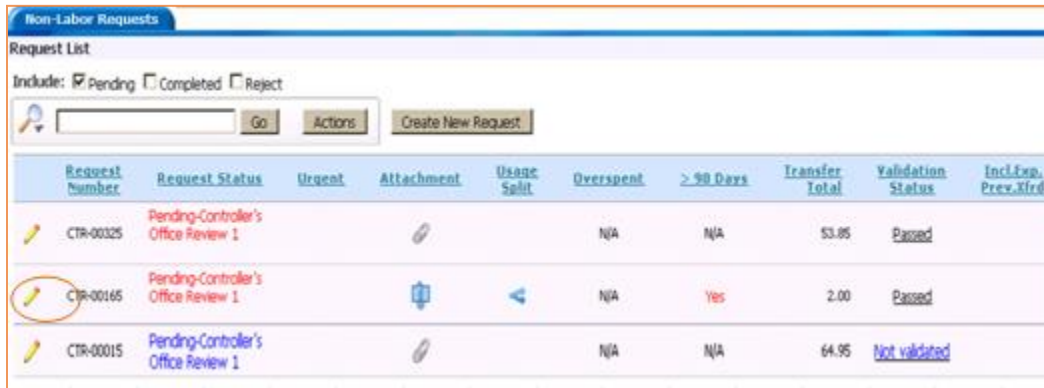
If the CTR contains the Usage Split icon ( ) there is at least one expenditure that must be split, using Expenditure Inquiry split functionality in Oracle prior routing the CTR (not applicable for Property Services). The justification form will display a message indicating a split is required. The expenditure(s) 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. 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

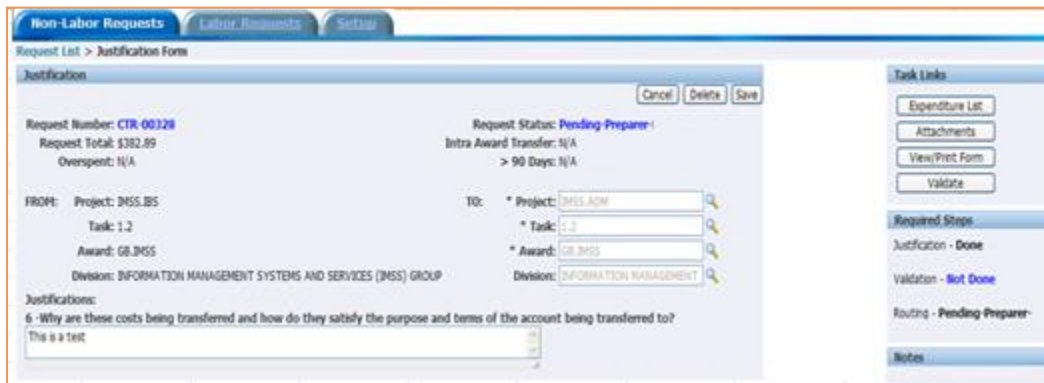
Begin the review, approval, routing and submission to Oracle processes by retrieving (opening) the Justification Form, by selecting the CTR from the Request List.

1. Retrieve the CTR by selecting the pencil icon 



Request Number	Request Status	Urgent	Attachment	Usage Split	Overspent	> 90 Days	Transfer Total	Validation Status	Incl. Exp. Prev. Yr.
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	

2. The Justification Page will be displayed.



Request List > Justification Form

Justification

Request Number: CTR 00328  
Request Total: \$382.89  
Overspent: N/A

Request Status: Pending Preparer  
Intra Award Transfer: N/A  
> 90 Days: N/A

FROM: Project: IMSS.BS  
Task: 1.2  
Award: GB.BSS  
Division: INFORMATION MANAGEMENT SYSTEMS AND SERVICES (IMSS) GROUP

TO: \* Project: IMSS.ADM  
\* Task: 1.2  
\* Award: GB.BSS  
Division: INFORMATION MANAGEMENT

Justifications:  
6 - Why are these costs being transferred and how do they satisfy the purpose and terms of the account being transferred?  
This is a test

Task Links:  
Expenditure List  
Attachments  
View/Print Form  
Validate

Required Steps:  
Justification - Done  
Validation - Not Done  
Routing - Pending Preparer  
Notes

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 be 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 Cost Transfer application and click on 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 to view the expenditure(s) that will be transferred.

*Attachments*: Use to view the attachment(s) linked to the CTR.

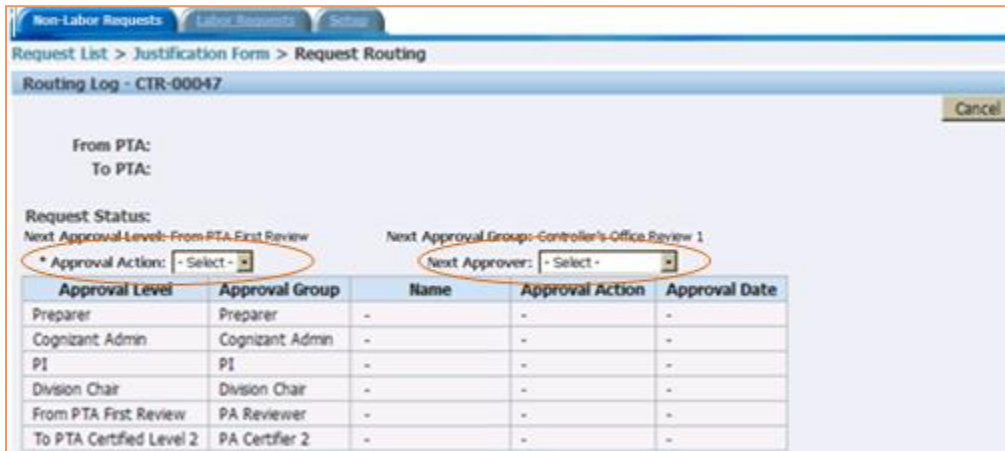
*View/Print Form*: Use to view a printable (PDF) version of the Justification form.

*View Validation*: Use to view detail of the validation concurrent request.

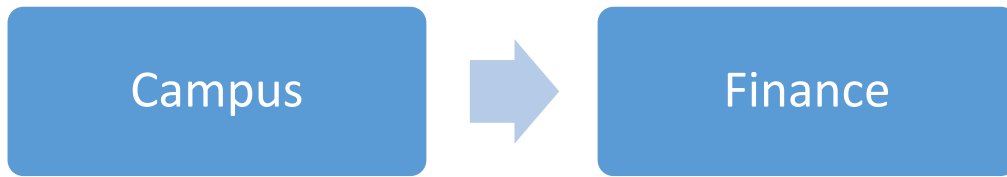
**NOTE:** The validation process confirms that the *TO* and *FROM* PTAs are chargeable, the expenditure item dates are valid, and the expenditures are allowable on the *TO* PTA.

*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 and are viewable by anyone with access to the CTR.

If the CTR is at the last *Approval Level* of the approval hierarchy, the *Approval Action* options are *Return*, *Reject*, and *Submit CTR*.



## Labor Requests



The **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 proper approvals are obtained (see Cost Transfer Policy in appendix A) *and*
- Allow transfers to more than one PTA.

The **Labor Request** will not:

- Process Expenditure Type (E-type) changes *nor*
- Process Non-labor Requests.

## CTR Creation & Processing Steps for Labor Request

### Creation

Preparation in Oracle LD Module	<ul style="list-style-type: none"> <li>• Create LD Batch in LD Module</li> <li>• Assign Cog Admin</li> <li>• Add/Split</li> </ul>
LD Batches	<ul style="list-style-type: none"> <li>• LD batches load automatically to CTR</li> </ul>
Build Justification Form	<ul style="list-style-type: none"> <li>• Choose PI and DC, Justification questions</li> <li>• Route for approval</li> </ul>
Submit Request	<ul style="list-style-type: none"> <li>• Approve/Return/Reject</li> <li>• Submitted to Central Finance</li> </ul>

### Processing (Central Finance)

Receive Request	<ul style="list-style-type: none"> <li>• Project Accounting</li> </ul>
Review Request	<ul style="list-style-type: none"> <li>• Approve/Route/Return/Reject</li> </ul>
LD Admin	<ul style="list-style-type: none"> <li>• Approve/Route/Return/Reject</li> </ul>
Submitted for Oracle Processing	<ul style="list-style-type: none"> <li>• Nightly Processing</li> </ul>

## Approval Levels, Groups, Actions, and User Roles

Each CTR creates a hierarchy to ensure proper approvals and routing 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 the next step (see Routing section).

### Approval Groups

**Cognizant Admin**

**PI**

**Division Chair**

**PA Review**

**PA Certified Level 2**

### Approval Actions

**Submit – Route for PI On-line Approval:** Used to route the CTR LD batch for the PI's on-line approval. Upon submission, 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 attached to the CTR. Upon submission, sends an email to the next approval group.

**WIP – Assign to Me:** Used by Post Award Administration 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. Upon approval, sends an email to the next approval group.

**Return:** Used to return the CTR LD batch to the Cognizant admin 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 admin 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 the LD admin deletes the batch in the 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, typically a Grant Manager or Admin Assistant, creates the LD batch in the Oracle LD module. A Preparer can see only their own CTR LD batches. A Preparer may attach pertinent documents and route the CTR LD batches to a Cognizant Admin for approval before the CTR routes to Central Finance.

**Cognizant Admin:** The Cognizant Admin has the same capabilities as the Preparer. In addition, the Cognizant Admin can also see all CTR LD Batches for their Organization and can submit the CTR LD batches to Central Finance.

**Principle Investigator:** If an expenditure(s) on the CTR LD batch is high risk, i.e., subject to the Federal Cost Transfer Policy, then approval is required by the Principal Investigator (PI) and this user role gives the PI access to the CTR LD Batch in order to approve.

**Division Chair:** If an expenditure(s) on the CTR LD batch is high risk, i.e., subject to the Federal Cost Transfer Policy, then approval is required by the Division Chair (DC) and this user role gives the DC the PI access to the CTR LD Batch in order to approve.

#### 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

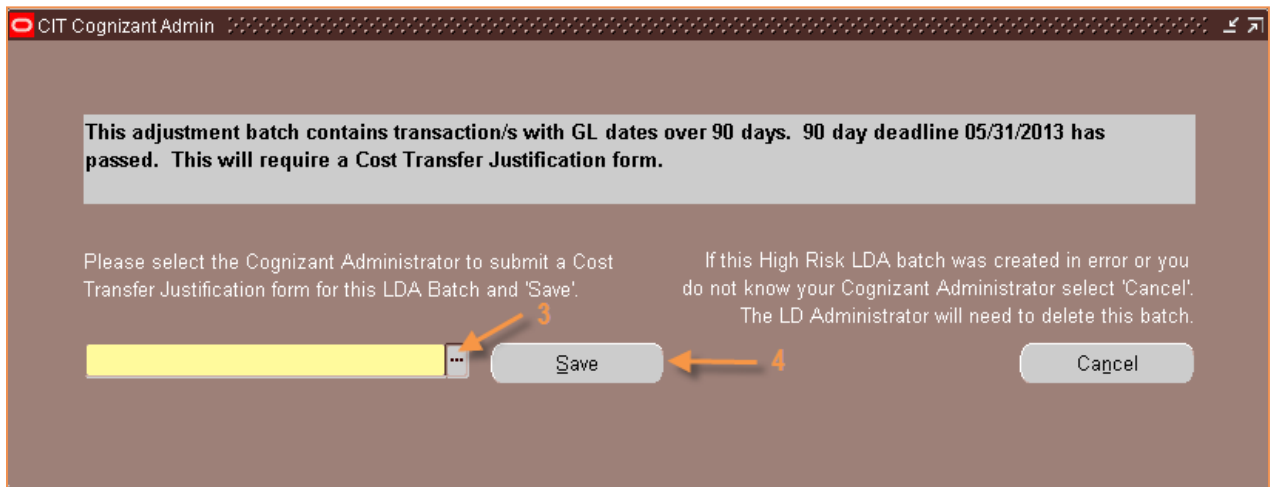
### Preparation

The *Preparer*, typically a Grant Manager or Admin Assistant, creates the LD batch in Oracle LD.

#### No changes in *Distribution Adjustments*:

1. Enter the *Batch Name*.
2. Click *OK*.

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

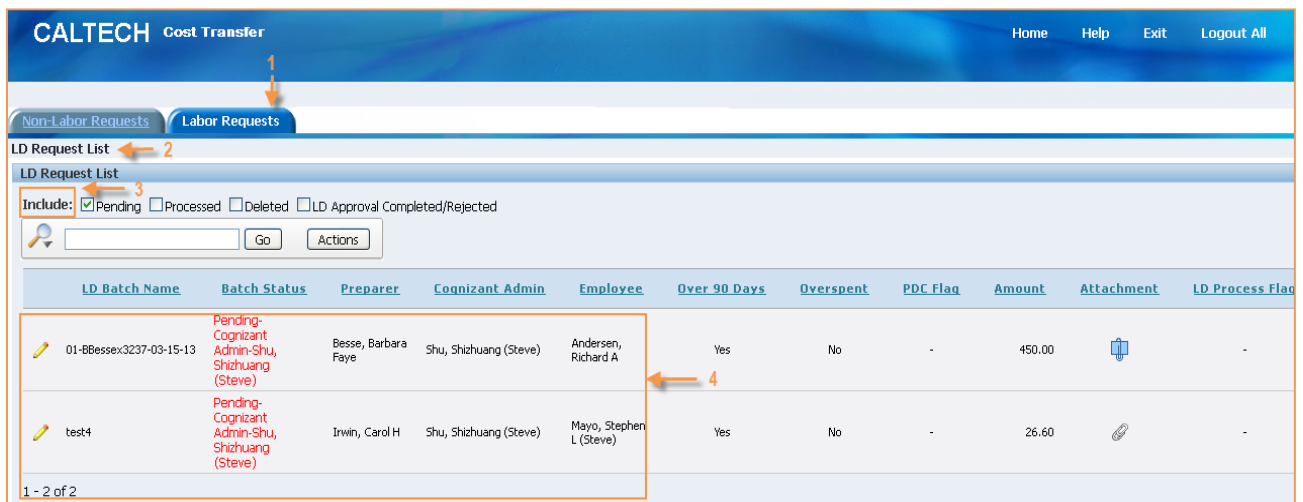


The *Cognizant Administrator* will receive notification via e-mail that the adjustment has been entered. The *Cognizant Administrator* will need to log on to the Cost Transfer System to complete the justification process.

### CTR LD Request List

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

1. Select the Labor Request tab.
2. Selecting *Labor Request* will navigate you to the *LD Request List*.
3. Use the *Include* check boxes to group/filter the request list.
4. The LD batches that require action from approval group are identified by the **red** text under *Batch Status*.



Building Justification Form

The Justification form is the hub of the CTR. It contains three distinct regions or sections:

- A. *Justifications*: Contains the *TO* and *FROM* PTAs, action buttons (*Cancel* and *Save*), and Justification question(s) The *Justification* form is auto populated with the *TO* PTA and *FROM* 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.

LD Request List > LD Request Justifications

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
					<b>226.60</b>	<b>100</b>

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
					<b>226.60</b>	<b>100</b>

1 - 2

Justifications

Task Links

Attachments

View/Print Form

Notes

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

- (a) Choose PI and DC from the list of values (b) Enter answers for the *Justification* question(s) and (c) Click on *Save*.

Home Labor Requests
Labor Requests

LD Request List > LD Request Justifications

LD Justification for test4

Cancel
Save

LD Batch Name: test4  
 LDA Preparer: \*\*\*\*\*  
 Over 90 Days: Yes  
 \*Cognizant Admin: XXXX.XXXX  
 PI: abcd\_efgh

Request Status: Pending-Cognizant Admin - XXXX.XXXX  
 Employee: Aaaa.Bbbb  
 Overspent: No  
 Division Chair: efgh\_jkl

From PTAs

Begin Date	End Date	PIA	Organization	Expenditure Type	Amount	%
01-FEB-13	28-FEB-13	ARCICB.NETWORK:7.SLM.UCSB.ICB3B	Chemistry Administration	Professional Faculty	226.60	100
					<b>226.60</b>	<b>100</b>

1 - 1

To PTAs

Begin Date	End Date	PIA	Organization	Expenditure Type	Amount	%
01-FEB-13	28-FEB-13	RAA.00027-148H.AREASEVEN	Biology Administration	Professional Faculty	26.60	12
01-FEB-13	28-FEB-13	ARCICB.NETWORK:7.SLM.UCSB.ICB3B	Chemistry Administration	Professional Faculty	200.00	88
					<b>226.60</b>	<b>100</b>

1 - 2

Justifications

POC Flag:  
 Yes  No

\*1 - Why was this expense originally charged to the account from which it is now being transferred?

\*2 - Why should the charge(s) be transferred to the proposed receiving account (how does the account benefit and why are the charges allowable & allocable)?

3 - Any additional information to support transfer from overspent award?

\*4 - Why is this cost transfer being transferred more than 90 days after the original date the transaction was recorded?

\*5 - What corrective action has been taken to eliminate future need for cost transfers of this type?

Task Links

Attachments  
View/Print Form

Notes

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

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

Non-Labor Requests
Labor Requests

D Request List > LD Request Justifications

LD Justification for test4 Cancel Save

LD Batch Name: test4 Request Status: Pending-Cognizant Admin - xxxxx,xxxx

LDA Preparer: \*\*\*\*\* Employee: Aaaa,Bbbb

Over 90 Days: Yes Overspent: No

\*Cognizant Admin:  Division Chair:

PI:

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	Professional Faculty	226.60	100
					<b>226.60</b>	<b>100</b>

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	Professional Faculty	26.60	12
01-FEB-13	28-FEB-13	AROICB.NETWORK-7.SLM-UCSB.ICB3B	Chemistry Administration	Professional Faculty	200.00	88
					<b>226.60</b>	<b>100</b>

1 - 2

Justifications

PDC Flag:  
 Yes  No

\*1 - Why was this expense originally charged to the account from which it is now being transferred?

\*2 - Why should the charge(s) be transferred to the proposed receiving account (how does the account benefit and why are the charges allowable & allocable)?

3 - Any additional information to support transfer from overspent award?

Task Links

Notes

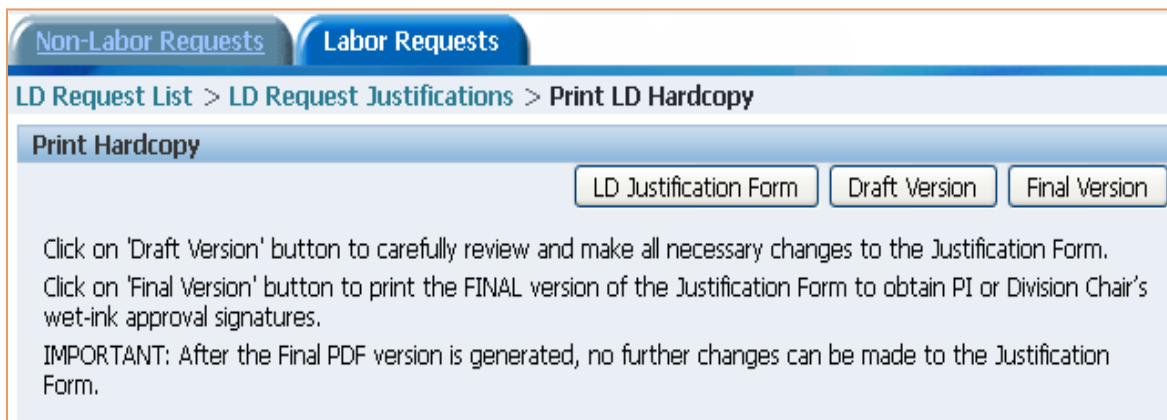
Send Mail about this request to a colleague. Emails are not saved by the Cost Transfer System.

### 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.

Select *View/Print* 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 (e.g., .pdf, .docx, .xlsx, .msg, etc.). The attachment may be viewed/opened by those who have access to the CTR.

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



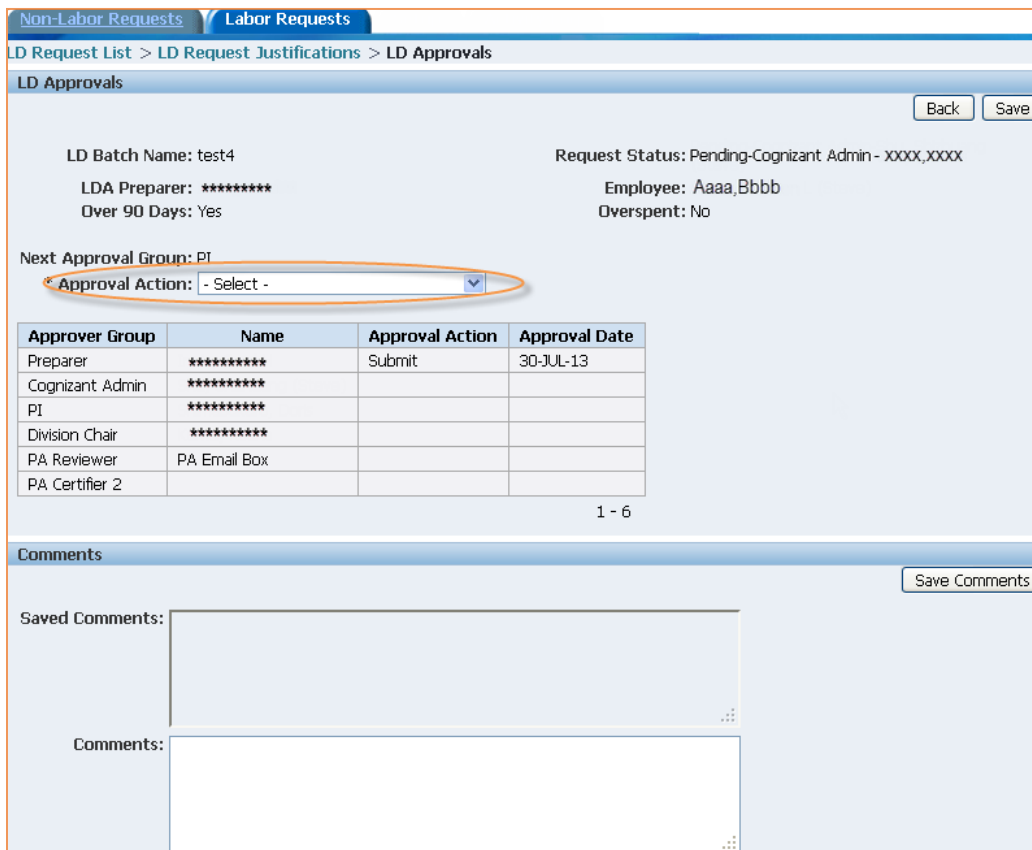
The attachment is saved within the CTR. To view the attachment click on the name link in the Name column. To remove the attachment click on the Delete icon (  ).



### 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 lists. Selections for dropdown lists will vary based on Approval Level and User Role.

Comments 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, and the date and time are all saved are viewable by anyone with access to the CTR.



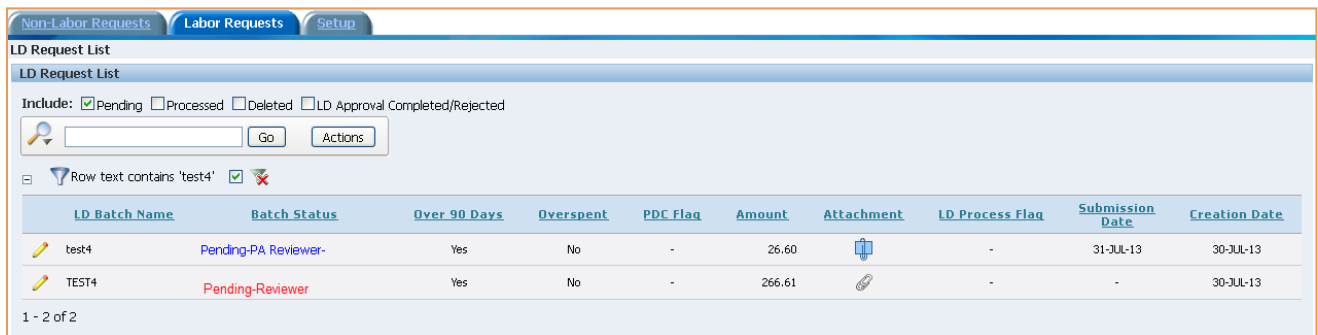


## Processing Request for Central Finance

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: either the Controller’s office or Post Award Administration 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 CTR was routed specifically to the person logged into the Cost Transfers application, the Request Status column will have the Pending details in **red**.

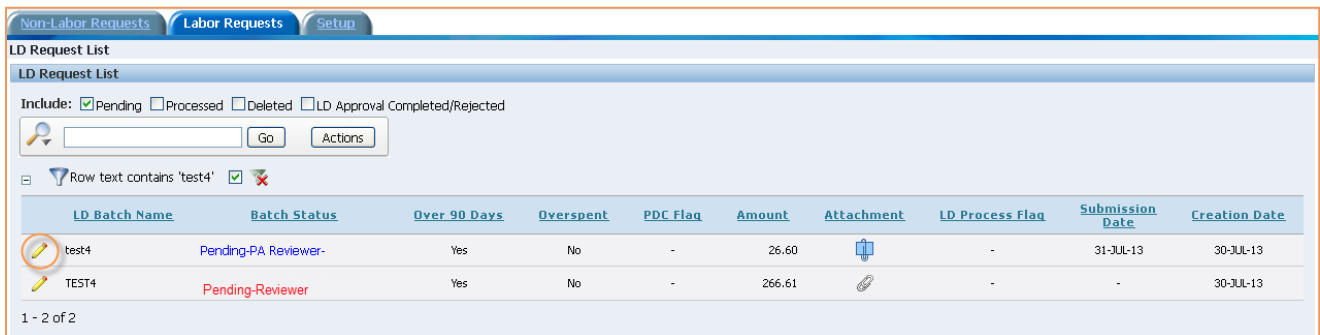


If the CTR contains the Attachment icon ( ) there is at least one attachment (view using the Attachment button from the Task Links section, in the Justification). The attachment(s) may be viewed by clicking on the Attachment icon (which will open the Attachments form) or select the Attachments from the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

### Review, Route and Submit Request

Begin the review, approval, routing and submission to Oracle processes by retrieving (opening) the *Justification* form, by selecting the CTR from the Request List.

Retrieve the CTR by selecting the pencil icon ( ).



The Justification form will be displayed.

Non-Labor Requests
Labor Requests

LD Request List > LD Request Justifications

LD Justification for test4 Cancel

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: Aaaa\_Bbbbb      Division Chair: Cccc\_Dddd

**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
					<b>226.60</b>	<b>100</b>

1 - 1

**Task Links**

[Attachments](#)

[View/Print Form](#)

[Route for Approval](#)

**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
					<b>226.60</b>	<b>100</b>

1 - 2

**Justifications**

PDC Flag:  
 Yes  No

\*1 - Why was this expense originally charged to the account from which it is now being transferred?  
 CTJ FORM REQ'D - Distribution Adjustments for Person Mayo, Stephen L (Steve), Assignment 1113411-10, Currency USD between 01-FEB-13 and 28-FEB-13

\*2 - Why should the charge(s) be transferred to the proposed receiving account

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

## Appendix A - Cost Transfer Policy

### Caltech Policy for Cost Transfers to Federally Funded Awards

**Issuing Authority:** Office of Research Administration

**Last Updated:** September 15, 2015

#### Scope

This policy sets forth the California Institute of Technology's requirements for transferring costs after-the-fact to a Federally funded sponsored project. The policy has been established to ensure consistency with other Caltech policies and compliance with the requirements of the Office of Management and Budget (OMB) Uniform Guidance in 2 CFR, Part 200 (Uniform Guidance) or OMB Circulars A-21 and A-110, as applicable. Ideally, all costs should be charged to the appropriate Federal grant, contract, cooperative agreement, or subaward 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 that cost transfers are made in accordance with Federal and agency regulations and Caltech policy. To comply with these requirements, after-the-fact transfers of costs from a Federal or non-Federal award to a Federal award require confirmation that such costs are allowable, allocable and benefit the receiving award. Timeliness of such transfers, along with thorough explanations of the circumstances, is critical to support the allowability and allocability of the costs, in addition to demonstrating stewardship of Federal funds.

#### Definitions

*Allocable Costs:* A cost is allocable to a particular Federal award or other cost objective if the goods or services involved are chargeable or assignable to that Federal award or such cost objective in accordance with relative benefits received. See § 200.405, Allocable Costs, of the Uniform Guidance.

*Allowable Costs:* Costs must be necessary and reasonable for the performance of the Federal award, be allocable, conform to any limitations or exclusions in the Uniform Guidance or the Federal award, be consistent with Caltech policies and procedures, receive consistent accounting treatment, be determined in accordance with Generally Accepted Accounting Principles, not be claimed as cost sharing or matching for any other Federal award, and be adequately documented. See § 200.403, Factors Affecting Allowability of Costs, of the Uniform Guidance.

*Cost Transfer:* A cost transfer is an after-the-fact movement of costs (labor and non-labor) from a sponsored or non-sponsored award to a Federal award.

*Federal Award:* Federal award is funding in the form of a grant, contract, cooperative agreement, or subaward that a non-Federal entity receives directly from a Federal awarding agency or indirectly from a pass-through entity.

*Funding Source Award Number:* The Funding Source Award Number (also known as the grant or contract number) is the unique identifier within the Caltech financial system that designates a specific sponsored award; by default, the Funding Source Award Number is the identifier issued by the sponsor. Multiple Project-Task-Accounts (PTAs) can be issued to support a single sponsored award. The Funding Source Award Number for each of those PTAs will be the same, which allows for roll-up of costs across several PTAs to a single sponsored award.

*Labor Costs:* For the purpose of this policy, labor costs include bi-weekly salaries (administrative, research and technical), monthly salaries (faculty, administrative, and research) salaries, as well as stipends and other fellowship costs. Graduate assistantships and student wages are also included in labor costs.

*Non-Labor Costs:* Non-labor costs include, but are not limited to, subcontracts, materials and supplies, travel, and equipment.

*Reasonable Costs:* A cost is reasonable if, in its nature and amount, it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the cost.

## **Policy**

Ideally, all costs should be charged to the appropriate Federal grant, contract, cooperative agreement, or subaward 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. Any cost allocable to a particular Federal award under the principles provided for in this policy may not be moved to other Federal awards in order to overcome fund deficiencies, to avoid restrictions imposed by Federal statutes, regulations, or terms and conditions of the Federal awards, or for other reasons, except for those listed below.

### *Circumstances Requiring a Cost Transfer*

Any time a transfer is initiated, the assumption is that the initial transaction was not recorded properly. If expenses are being transferred to federally sponsored projects, there will be considerable scrutiny of the reasons for the transfer and of the justification for moving those charges. Auditors closely scrutinize the allowability, allocability, and reasonableness of cost transfers and Federal research sponsors give attention to the reason behind cost transfers from and to sponsored projects.

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 may be allowed 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 solely to alleviate the overspending. Cost transfers to Federal awards from overspent awards generally will not be allowed. An exception will be permitted when the overspent project is closely related to the Federal project to which the costs are being transferred. For the purposes of this policy, an account is overspent when at the time of the transfer, expenditures exceed funding obligations made by the sponsor.

### *Cost Transfer Deadlines*

Cost transfers should be submitted as soon as the need for the transfer is identified. The deadline is 90 days from the first day of the month following the month in which the charge is first posted in the financial system. Cost transfer requests submitted after 90 days require the approval of both the Principal Investigator and the Division Chair. These requests will be approved only when such requests detail acceptable extenuating circumstances which prevented earlier identification of the need for the transfer or earlier submission of the requests. These requests also must include a corrective action plan that identifies and addresses how the extenuating circumstances can be reasonably prevented in the future.

### *Other Information*

The cost transfer policy does not apply to transfers from a suspense account to a Federal award if the transfer is processed within a month of the date when the cost is first posted.

Transfers between PTAs funded under the same Federal award (based upon the Funding Source Award Number) are considered “intra-award reallocations.” These transactions are not “cost transfers” as that term is used throughout this policy, except as may be required by the sponsor.

The full text of the *Policy for Cost Transfers to Federally Funded Awards* may be found at:

[http://finance.caltech.edu/documents/15103/cost\\_transfer\\_policy\\_rev\\_091515.pdf](http://finance.caltech.edu/documents/15103/cost_transfer_policy_rev_091515.pdf)

### Appendix B - Application Administration

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

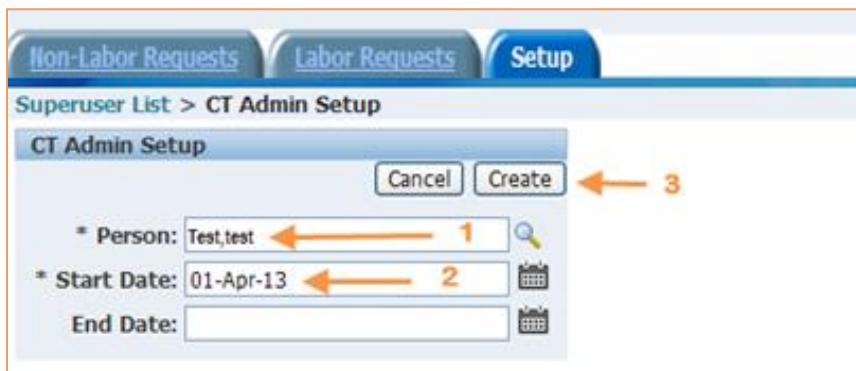
#### CT Admin

CT Admin is the role for a super user who has access to setup and view all Org Admin users, Business users and Campus users.

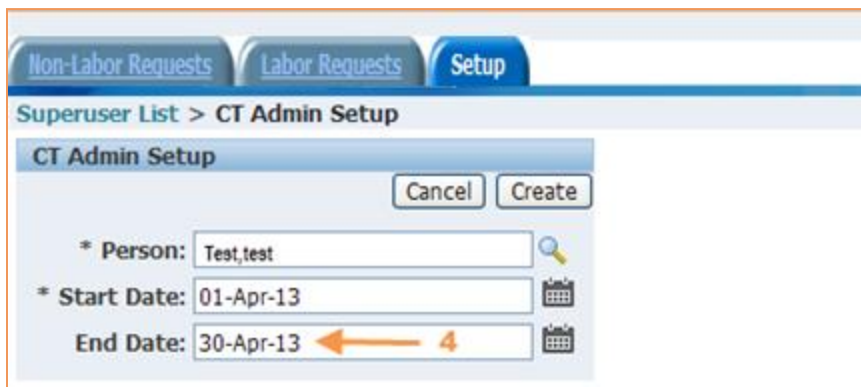
1. Click on the *Create* button to setup user.
2. CT Admin will have access to all user setup links.

#### To Setup a CT Admin:

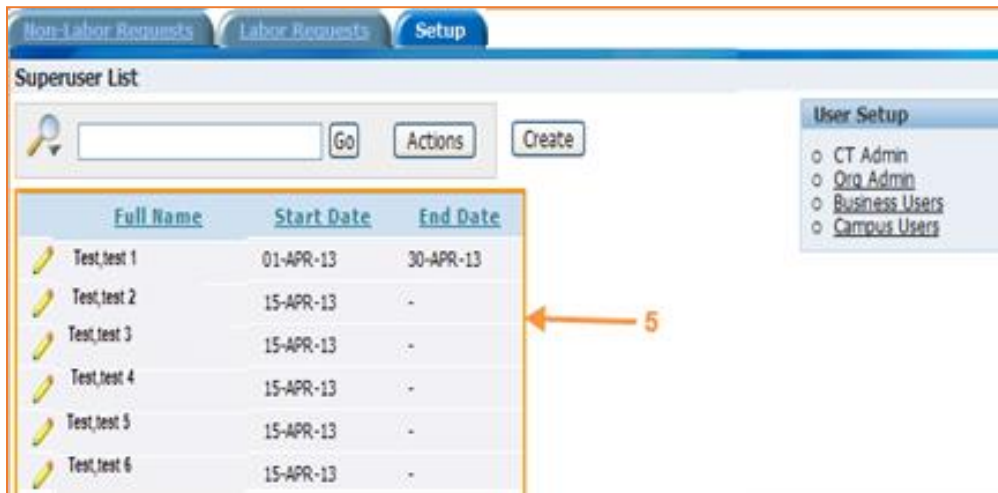
1. Choose a *Person* from LOV.
2. Use the calendar to select a *Start Date*.
3. Click *Create*.



4. To end a user's CT Admin Access, use the calendar to select an *End Date*.



- List of super users currently setup in the system:

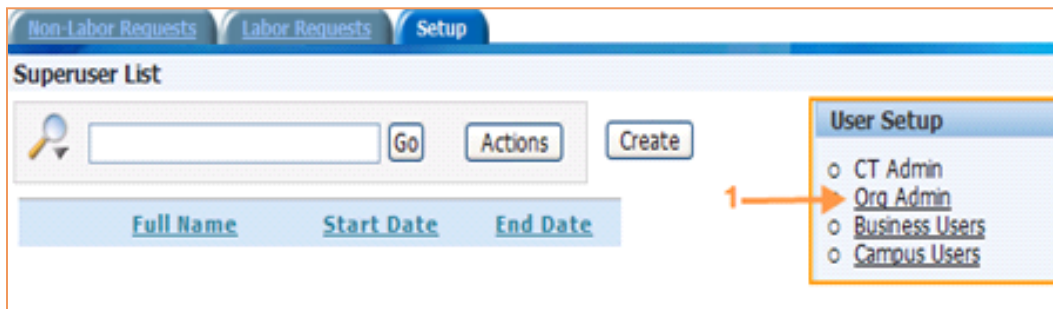


### Org Admin

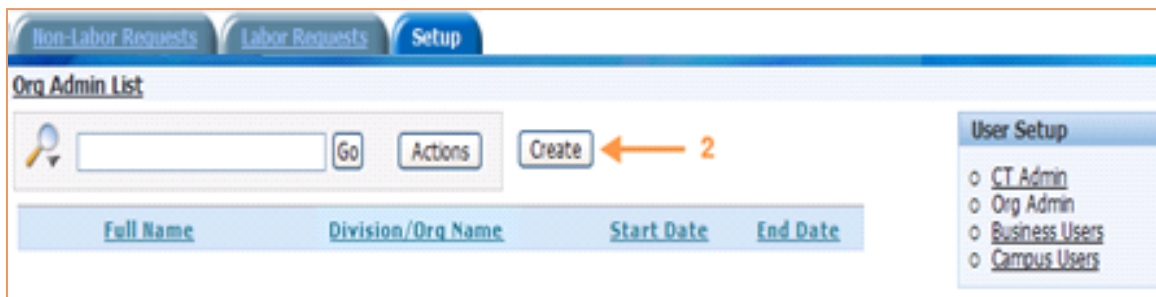
The CT Admin will setup an Org Admin (Organization Administrator) for each division. The Org Admin is responsible for adding or removing division preparers and/or cognizant admins.

#### To Setup an Org Admin:

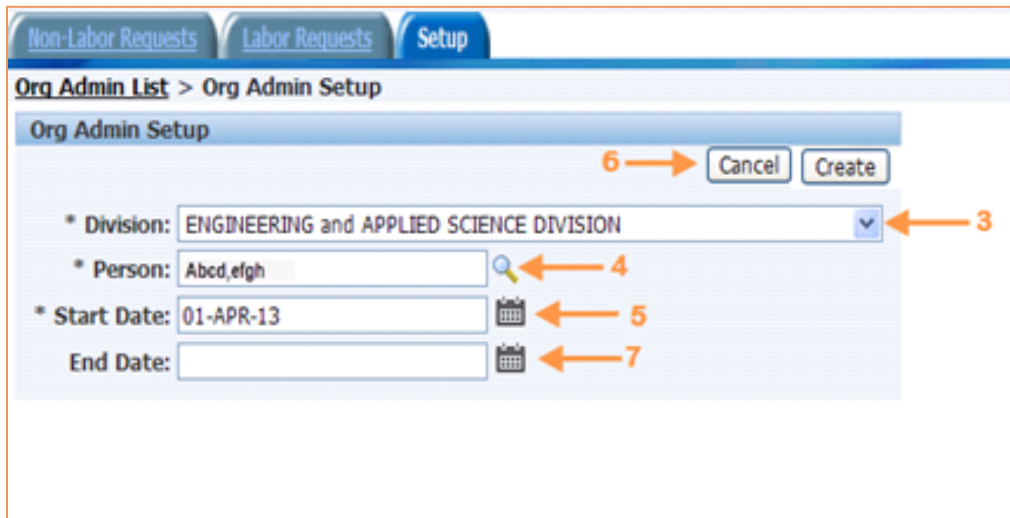
- Choose *Org Admin* link from the *User Setup* list.



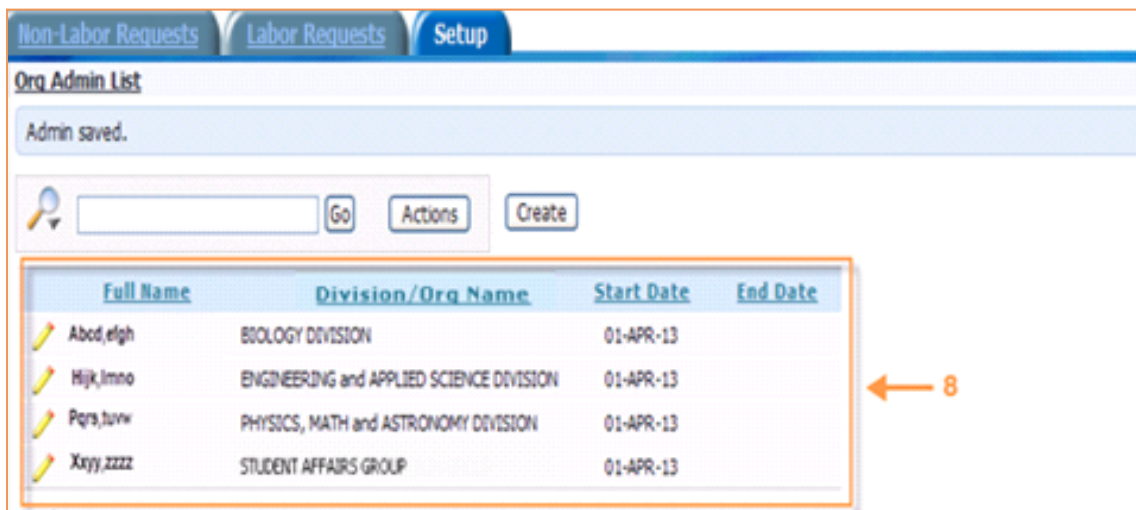
- Click on the *Create* button.



3. Choose *Division* from dropdown list.
4. Search for and select a *Person* from the LOV.
5. Use the calendar to select a *Start Date*.
6. Click on the *Create* button.
7. To end a user's CT Admin Access, use the calendar to select an *End Date*.



8. When you have completed the setup, you will view an updated list of *Org Admin* users.





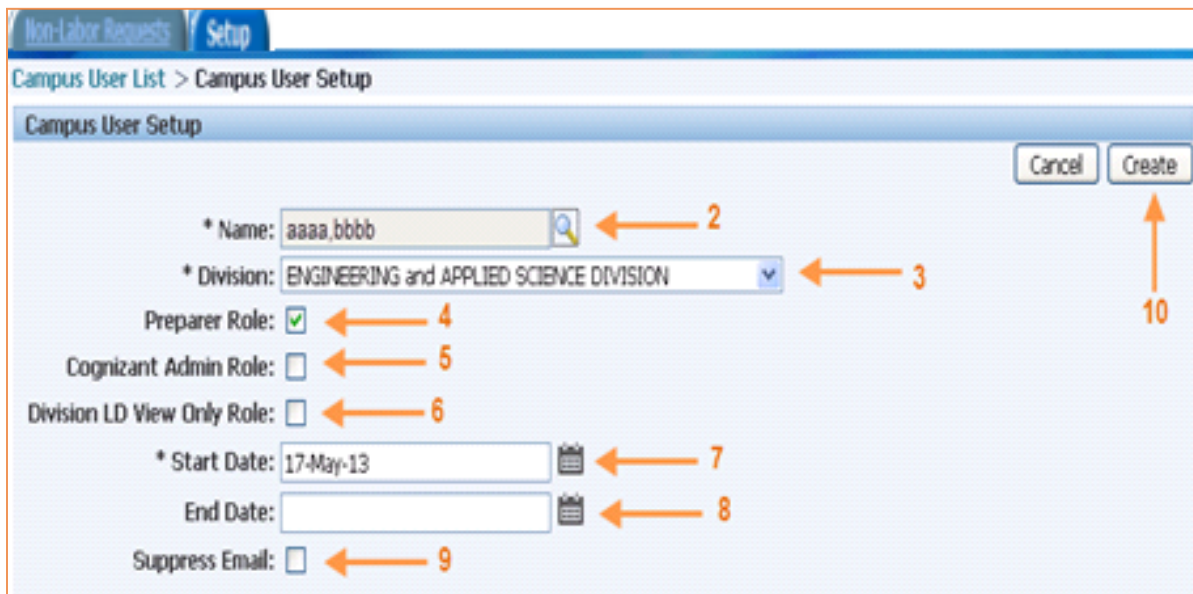
### To Setup Campus Users

Each division's Org Admin can only setup campus users for their division. e.g., the BBE Org Admin can only setup users for BBE.

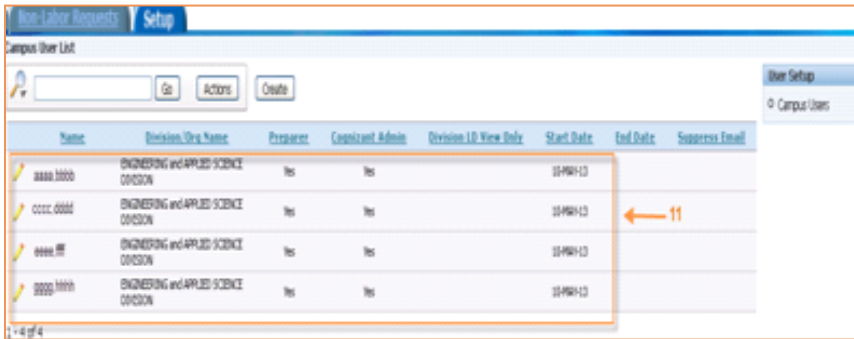
1. Click *Create* button to setup users.



2. Search for and choose the user's *Name* from the LOV.
3. Choose the *Division* from the dropdown list.
4. To setup the user as a *Preparer*, check the *Preparer Role* box.
5. To setup the user as a *Cognizant Admin*, check the *Cognizant Admin Role* box.
6. To setup the user as a *Division LD View Only*, check the *Division LD View Only Role* box.
7. Use the calendar to select a *Start Date*.
8. To disable a user's access, use the calendar to select an *End Date*.
9. To suppress email for the user, check the *Suppress Email* box. Please note, however, that this will cause the Cost Transfer application to not generate system email for the user.
10. Click the *Create* button.



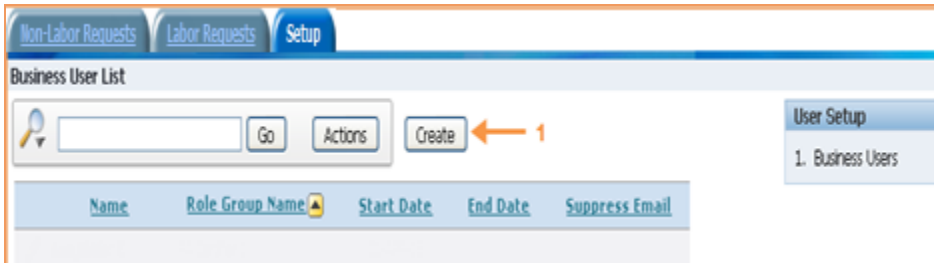
- When you have completed the setup, you will view an updated List of Campus users.



### Business and Finance Users (Central Finance)

#### Research Administration Group

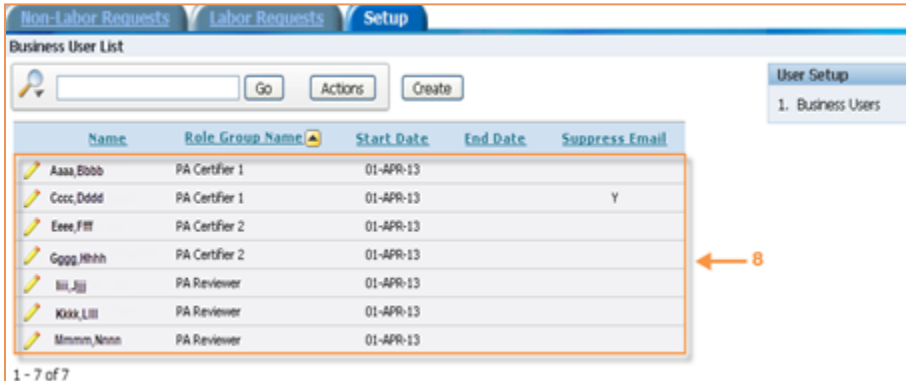
- Click on the *Create* button.



- Choose *Role Group Name* from dropdown list.
- Search for and select the user's *Name* from the LOV.
- Use the calendar to select a *Start Date*.
- Click *Create*.
- To disable a user's access, use the calendar to select an *End Date*.
- To suppress email for the user, check the *Suppress Email* box. Please note, however, that this will cause the Cost Transfer application to not generate system email for the user.

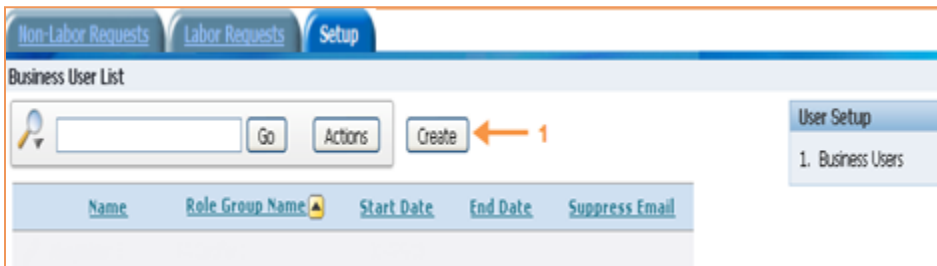


- When you have completed the setup, you will view an updated list of users in the *Research Administration Group*.

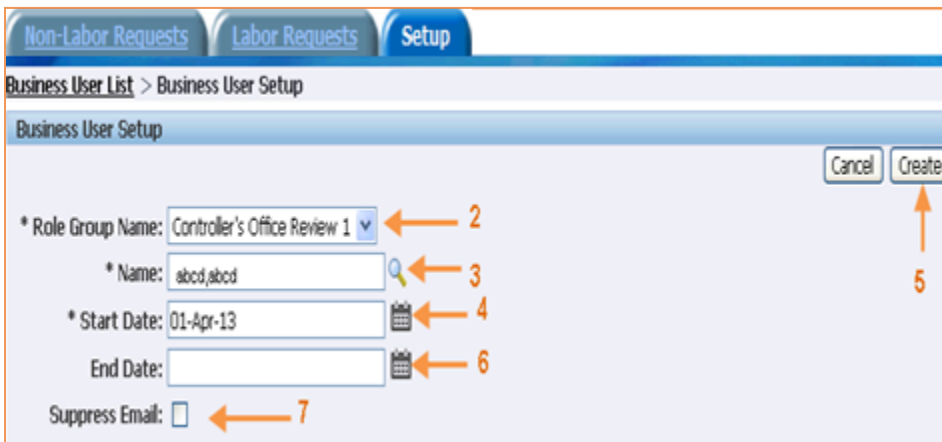


Controller’s Office

- Click on the *Create* button.



- Choose the proper *Role Group Name* from drop down list.
- Search for and select the user’s *Name* from the LOV.
- Use the calendar to select a *Start Date*.
- Click *Create*.
- To disable a user’s access, use the calendar to select an *End Date*.
- To suppress email for the user, check the *Suppress Email* box. Please note, however, that this will cause the Cost Transfer application to not generate system email for the user.



- 8. When you have completed the setup, you will view an updated list of users in the *Controller's User Group*.

The screenshot shows a web application interface with a navigation bar at the top containing 'Non-Labor Requests', 'Labor Requests', and 'Setup'. Below the navigation bar is a search area with a magnifying glass icon, a text input field, and buttons for 'Go', 'Actions', and 'Create'. On the right side, there is a 'User Setup' menu with '1. Business Users' selected. The main content area displays a table titled 'Business User List' with the following columns: Name, Role Group Name, Start Date, End Date, and Suppress Email. The table contains seven rows of user data. An orange arrow labeled '8' points to the row with Name 'Gggg,Hhhh'.

Name	Role Group Name	Start Date	End Date	Suppress Email
Aaaa,Bbbb	Controller's Office Review 1	01-APR-13		
Cccc,Dddd	Controller's Office Review 1	01-APR-13		Y
Eeee,Ffff	Controller's Office Review 1	01-APR-13		
Gggg,Hhhh	Controller's Office Review 1	01-APR-13		
Iii,Jjj	Controller's Office Review 2	01-APR-13		
Kkkk,Llll	Controller's Office Review 2	01-APR-13		
Mmmm,Nnnn	Controller's Office Review 2	01-APR-13		

1 - 7 of 7

## Appendix C - Cost Transfer Automated Emails

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

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

**Notify Next Approver Group:** Notifies Next Approval Group (approver not specified by Name), that the 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:** Notifies CTR Preparer and Cognizant Admin that the Request has been submitted for processing in Oracle.

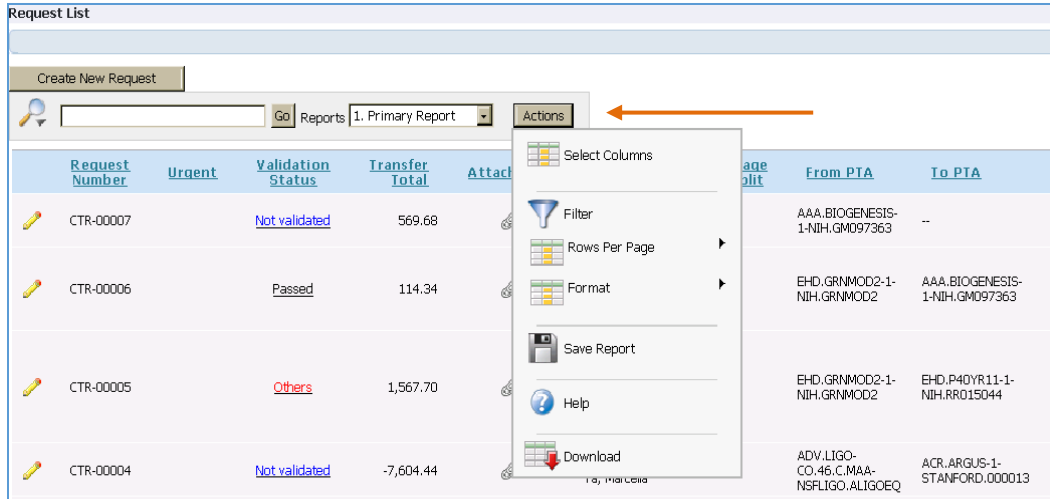
**Returned for Rework:** Notifies everyone who took Approval Action that the Request has been Returned for Rework.

**Rejected:** Notifies everyone who took Approval Action that the Request has been Rejected.

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

## Appendix D - Apex Functionality

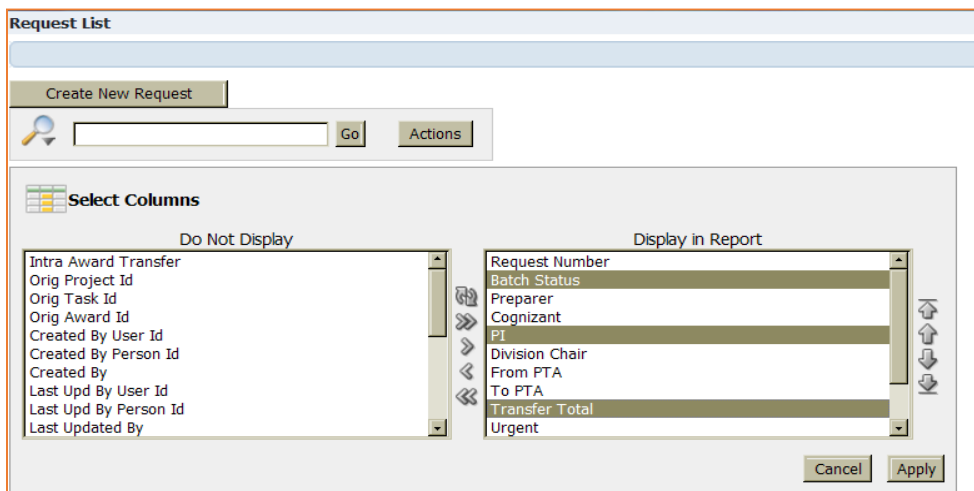
The search results in the Request List may be modified in many different ways by utilizing the options available with the *Actions* button.



### Select Columns: Removing and Reordering Columns

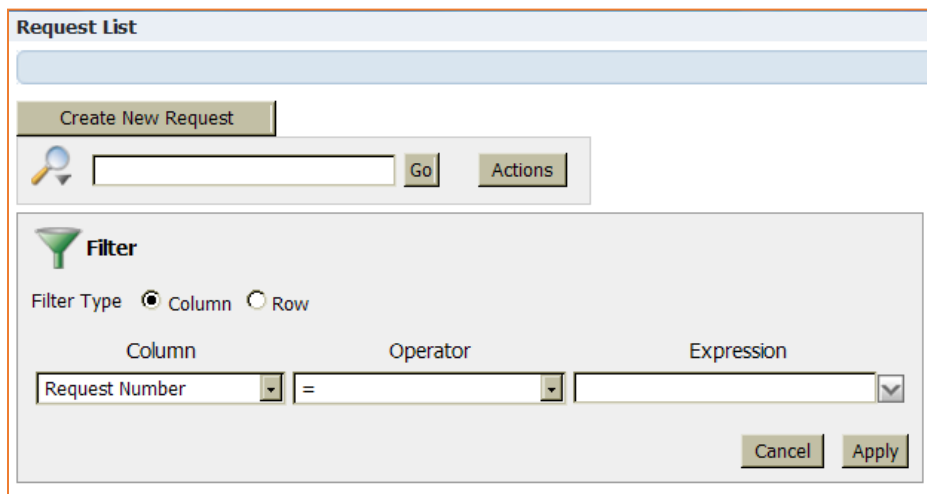
The *Select Columns* option enables you to choose and reorder the columns that you want to display in your report. *Select Columns* opens a window in which you can:

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.



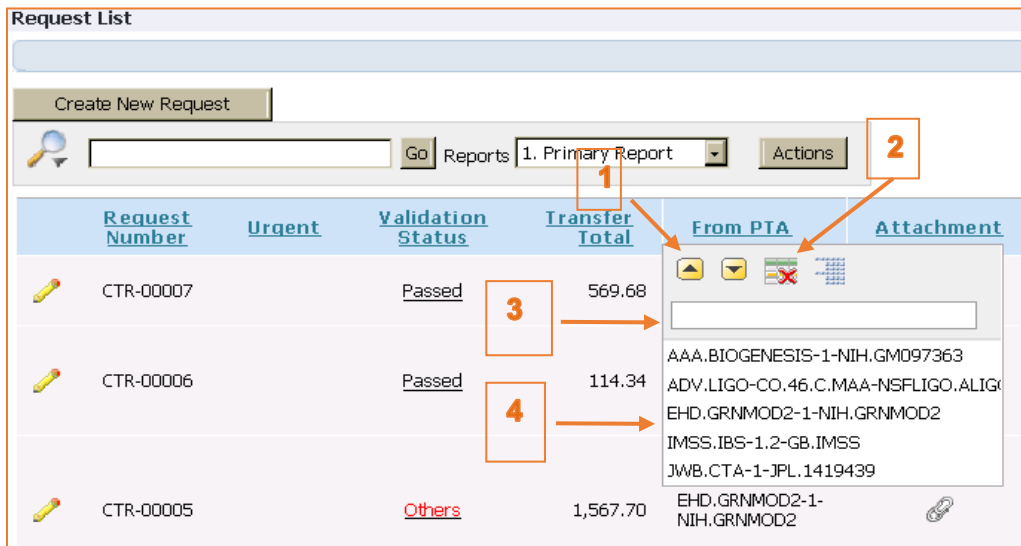
### Filter on Columns

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.



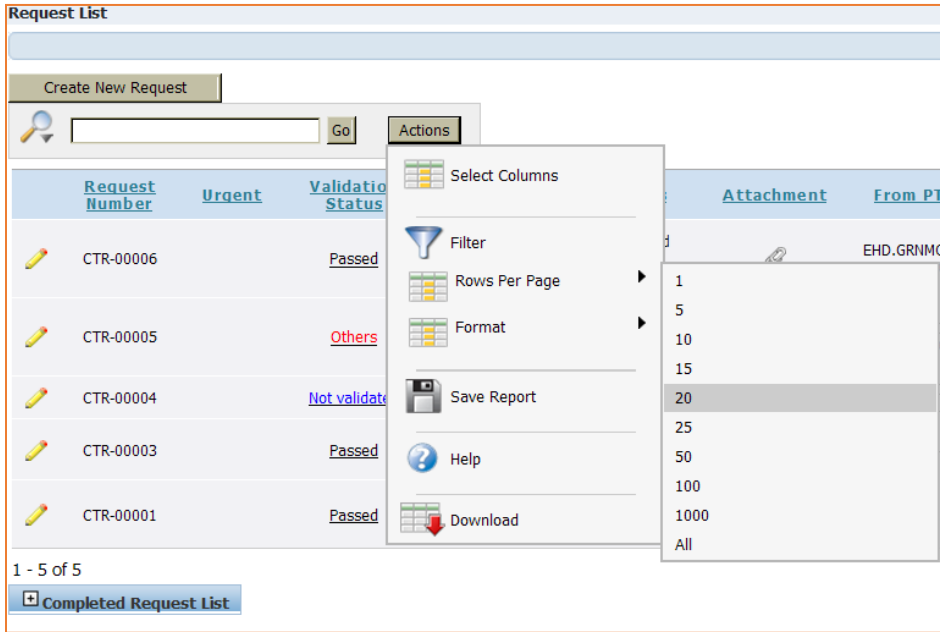
You can also filter on a specific column by simply clicking on the column, which will open up a drop-down that allows you to:

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.

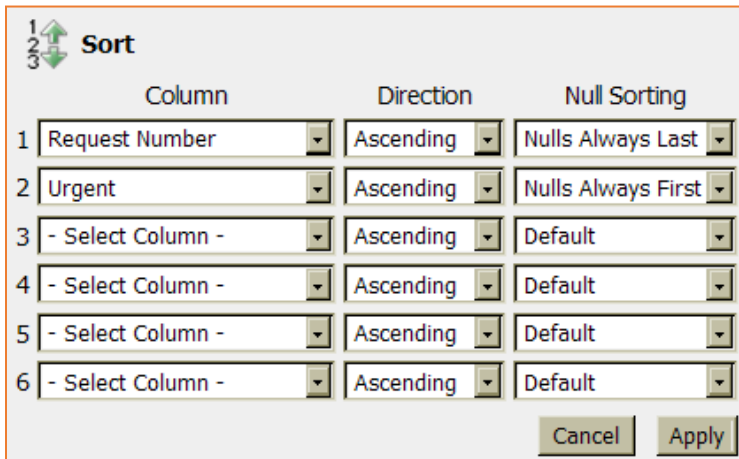


**Format**

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 specified by you.

**Request List**

Create New Request

Go Reports 1. CTR - Urgent Actions

**Highlight**

Name

Sequence

Enabled

Highlight Type

Background Color #FFFF99

Text Color

Highlight Condition

Column  Operator  Expression

Saved Report = "CTR - Urgent"

Request Number	Urgent	Validation Status	Usage Split	Attachment	Transfer Total	Intra Award Transfer	From PTA
CTR-00009		Passed			1,013.88	N/A	AAA.COH-1-GIFT.CITYHOP
CTR-00008		Passed			126.00	No	AGS.PIONEER-NIH.DP1OD006
CTR-00007		Others			569.68	No	AAA.BIOGENES-NIH.GM097363
CTR-00006		Passed			114.34	No	EHD.GRNMOD2-NIH.GRNMOD2

### Save Report

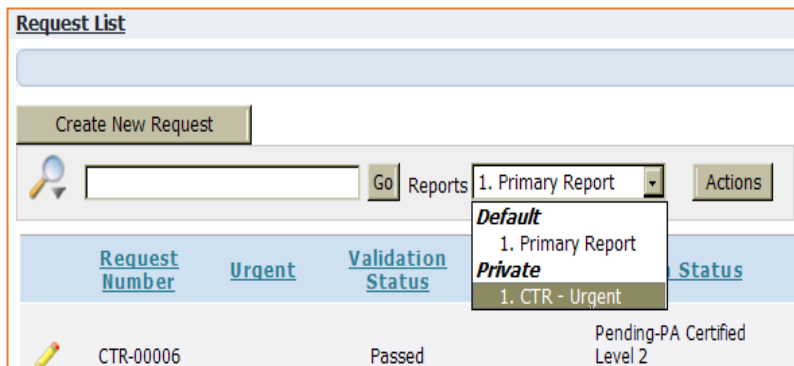
Save Report opens a window that enables you save your view formatting for re-use in the future.

**Save Report**

Name

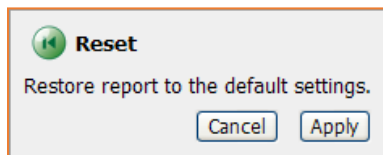
Description

Upon saving, a list of reports will now be available each time you display the request list sort by 'CTR – Urgent' (example below).



### Reset

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



### Help

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

### Download

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

