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Caltech Financials
Data Warehouse
Award Installments and Summaries

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Agenda

- OBI Security
- Data Design, Concepts, and Logic
  - Award Installments
  - Summaries
- Accessing Reports

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OBI Security

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OBI Security

- OBI User *Roles* determine access to reports.
- Financial data mart has three main roles:
  - Financial Campus User
    - ✓ Access to a specific set of reports.
  - Financial Division User
    - ✓ Same access as *Campus User*, plus additional reports.
  - Financial Finance User
    - ✓ Same access as *Division User*, plus additional reports.

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- OBI User *Roles* determine to which reports you will have access

- The Financial data mart has three main roles:
  - ✓ Financial Campus User
    - ➢ Majority of users have this role
    - ➢ Access to a specific group of reports
  - ✓ Financial Division User
    - ➢ Smallest user group
    - ➢ Same access as the Campus User, plus additional reports
    - ➢ Sees both roles on their dashboard
  - ✓ Financial Finance User
    - ➢ Same access as Division User, plus additional reports
    - ➢ Sees all three roles on their dashboard
    - ➢ Reason: So the Finance Users can go into a report with the same navigation as a Campus User
    - ➢ Tip: Use the *Finance* role unless specifically assisting somebody on campus

OBI Security

- Row-level security controls specific data access
- PTA Summaries: PTA-level
  - PTA-level
  - Can be given by Organization, PI, Award, Award-Project, Project, Project-Task, and PTA
  - Specific values can also be *excluded*
- Award Installments & Award Summaries
  - Award-level
  - Can be given by Organization, PI, and Award
  - Specific values can also be *excluded*

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While the roles control to which reports you have access, there is additional security on the data itself

- *Row-level* security controls the specific data access
- PTA Summaries
  - ✓ PTA-level access determines to which PTAs a user can see
  - ✓ Can be given by Organization (Project, Task, and Award Org), PI (Project, Task, and Award Manager), Award, Award-Project, Project, Project-Task, and PTA
  - ✓ Specific values can also be *excluded*, e.g., All BBE PTAs, except for these specific GB PTAs
  - ✓ Tip: Give access at the highest level possible, e.g., Award instead of PTA
- Award Installments and Award Summaries
  - ✓ Award-level determines to which Awards a user can see
  - ✓ Can be given by Organization (Project, Task, and Award Org), PI (Project, Task, and Award Manager), and Award
  - ✓ Specific values can also be *excluded*, e.g., All BBE PTAs, except for this specific GB award

For more information see the Quick Guide *Financial Data Access.*

Data Design, Concepts, and Logic

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- Award Installments represent the amount that can be spent for the award.
  - ✓ For example, when a PI gets an award from NIH, NSF, DOE, NASA, etc., an installment is created in Oracle for the amount of the sponsor's award.

All Oracle awards have installments, not just sponsored awards.

- The installment is created at the Award
  - ✓ An award can have more than one installment. In fact, most awards have multiple installments.
  - ✓ Installment entry is also used by Finance to document changes made to budgets, e.g., moving money from one task to another or deobligating funds.
- The installment is broken up into direct and indirect amounts.
  - ✓ Unlike budgets, installments are *not* entered at the Exp Category-level.
- After the installment is created, the project(s) is *Funded*.
  - ✓ This amount is *not* broken into direct and indirect amounts. Just the total amount.
  - ✓ The *Award Installment* amount should equal the *Project Funding* amount.
- Installments are *NOT LINKED* to budget versions.
  - ✓ *Award Installments* and *Project Funding* are used for validation on budget entry.

Award Installments – PTA Creation
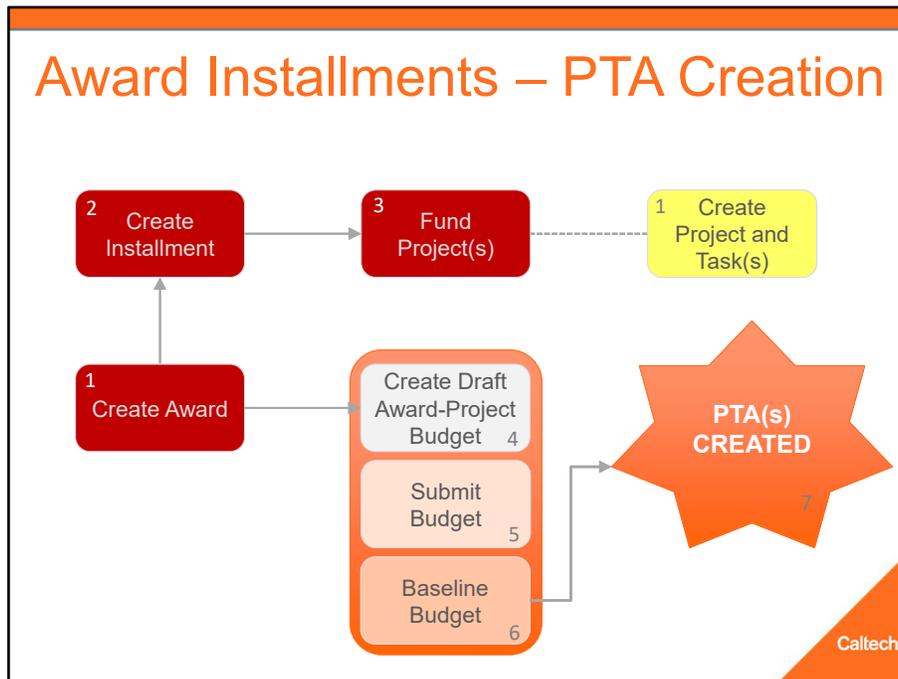
The Award Installment is part of the initial PTA Creation process.

All of the following must happen before a PTA is created in Oracle:

1. First the Award is created, and the Project and Task(s) is created – it doesn't matter which order – No Linkage.
2. After the award has been created, an Installment is added to the award – No Linkage.
3. From that installment one or more projects are funded – No Linkage.
   - ✓ This does NOT link the project and award, but it does populate the list of values for Project Numbers when you navigate to Award Budgets.
   - ✓ If an error has been made and the wrong Project # was used when the Project Funding was entered AND a budget version has not yet been baselined, then the Project Funding can be deleted and replaced with a correct Project #.
   - ✓ Funding is *NOT* done at the task level.
4. After the Project is Funded then the *Draft Budget* can be created and saved – Still No Linkage.
5. The budget is then *Submitted* – Still No Linkage.
6. The last step is to *Baseline* the budget.
7. Only after the budget is *baselined* is the PTA Created.

Award Installments

- Financial Campus User
  - Award Installments
  - Award Installments (GB)
- Financial Division User
  - Award Installments (Gift-Grants-Endow)
    - ✓ Ability to drill to Advance gift receipt info
- Financial Finance User
  - Additional reports for validating data entry

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Award Installments
A set of reports based on Award Installments, which is the first step in budgeting your PTA in Oracle. These reports include:
- Award Installments
    - ✓ Basic report.
    - ✓ Can be used for all funding types.
- Award Installments (GB)
    - ✓ Designed only for GB Awards.
    - ✓ Includes the ability to search by Award Division.
- Award Installments (Gift-Grants-Endow)
    - ✓ Only available for *Division* and *Finance* user roles
    - ✓ Includes the ability to drill to Gift Receipt information loaded from the *Advance* system

Award Installments Report

Award Installments
Time run: 2:53:26 PM

Applied Filters:
    Award # is equal to NIHP.INSTALL
  and SRC Create Date is greater than or equal to 01/24/2016

R01 MH119999A

Award #	Inst #	Install Type	Install Created	Install Active?	Install Billable?	Install Description	Direct Amt	Indirect Amt	Total Amt	Proj Funding	Install - Funding	# Proj Funded
NIHP.INSTALL	5	Amendment	9/16/2019	N	N	Correction to Subawards List	0.00	0.00	0.00	0.00	0.00	0
NIHP.INSTALL	4	Award	8/26/2019	Y	Y	Year 4 Continuation Funding	511,546.00	202,485.00	714,031.00	714,031.00	0.00	1
NIHP.INSTALL	3	Award	7/27/2018	Y	Y	5R01MH119999-03 - The start date of this budget period is Aug 1, 2018. PAA will need to check the billable box in OGM when the start date is in effect.	604,587.00	238,229.00	842,816.00	842,816.00	0.00	1
NIHP.INSTALL	2	Award	7/11/2017	Y	Y	The start date of this budget period is 08-01-17. PAA will need to check the billable box in OGM when the start date is in effect. KZ: was already billable on 8/1/17.	441,673.00	230,955.00	672,628.00	672,628.00	0.00	1
NIHP.INSTALL	1	Award	9/27/2016	Y	Y	New Award Activation 1 R01 MH119999-01	485,794.00	221,800.00	707,594.00	707,594.00	0.00	1
Award Totals							2,043,600.00	893,469.00	2,937,069.00	2,937,069.00	0.00	4
Grand Totals							**2,043,600.00**	**893,469.00**	**2,937,069.00**	**2,937,069.00**	**0.00**	**4**

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This is an example of the award installments for an Award.

There are five installments for this award.

One project is funded by each installment line, except for Installment #5.
- In this example, the *Total Amt* (i.e., the total installment amount) equals the *Project Funding* for each line.
    - ✓ On occasion a data entry error is made during the creation of the installment and project funding.
    - ✓ It is a good idea to check these on occasion to make sure that your amounts match.
- #5 was entered for procedure reasons to indicate that there were modifications made elsewhere.

    NOTE: Ignore the total on the *# Proj Funded* column because it is summing up all the rows. However, only one project is funded.

Summaries

- Summaries for previous periods are a snapshot in time.
    - Should only be run for one financial period at a time.
- Roll-up vs Actuals
    - Projects can be setup with a hierarchy of parent and child tasks.
    - Actuals are the amounts (budgets, costs, and balances) for the individual tasks.
    - Roll-ups are the summary of the actuals for the parent and child tasks.

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Summaries
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    - ✓ Roll-ups are the summary of the actuals for the parent and child tasks.

PTA Example for Roll-up vs Actuals

- The Task # column shows a PTA hierarchy with two top tasks, SAL and EXP
  - ✓ SAL has to child tasks
  - ✓ EXP also has two child tasks, but also has two grandchild tasks under EXP.OTH

- Column names without – *RU* indicate that the column includes *actual* data, i.e., the data entered at that task.
  - ✓ Budgets can be entered at any level, but once that happens, budgets can only be entered at the same level going forward.
    - ➢ The vast majority of Caltech budgets are entered at a top task.
  - ✓ Costs and Commitments can only happen at the lowest task.

- Column names with – *RU* indicate that the column is a *Roll-up*, i.e., the sum of the actuals for the tasks and any tasks below it in the hierarchy.

- You need to understand the meaning of these columns because summarizing on the wrong values can greatly misstate values for an award.

Budget and Spend

- Budgets
  - Entered in Oracle at the *Expenditure Category*.
  - Can be entered at any level in the PTA Hierarchy.
  - Usually entered at the top task.
- Balances
  - Budget *minus* Costs *minus* Commitments.
  - Because of the Budget, Balances are also at the *Expenditure Category* level.

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Budget and Spend
- Budgets
  - ✓ Entered in Oracle at the *Expenditure Category*.
  - ✓ Can be entered at any level in the PTA Hierarchy.
  - ✓ Usually entered at the top task.

- Balances
  - ✓ Budget *minus* Costs *minus* Commitments.
  - ✓ Since the Budget is entered at the Expenditure Category level, Balances must also be at the Expenditure Category level.

Budget and Spend

- Spend
  - Costs and Commitments are at the *Expenditure Type* level and roll-up to the *Expenditure Category.*
  - Costs and Commitments can *only* "hit" the lowest tasks of the Project work breakdown structure and then roll-up to the parent tasks.
- Summary reports are generally at the Expenditure Category.
  - Exception: *PTA Summary – Comparison of Budget and Spend.*

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Budget and Spend
- Spend
  - ✓ Costs and Commitments are at the *Expenditure Type* level.
  - ✓ Expenditure Types are grouped by Expenditure Category, therefore, Costs and Commitments can roll-up to the *Expenditure Category.*
  - ✓ *Note:* Costs and Commitments can *only* "hit" the lowest tasks of the Project work breakdown structure (aka, hierarchy) and then roll-up to the parent tasks.

- Summary reports are generally at the Expenditure Category level.
  - ✓ Exception: *PTA Summary – Comparison of Budget and Spend.*

PTA Summary – Comparison of Budget and Spend

In Oracle Grants Accounting budgets are entered at the Expenditure Category while spending is done at the Expenditure Type. Most of the OBI summary reports are at the Expenditure Category level. However, this report brings together the budget and balance, which is at the *Expenditure Category*, with the costs and commitments totaled at the *Expenditure Type*. In addition, clicking on the non-zero Period Costs or Commitments will take you to more information about the amounts. For PTAs managed on a Fiscal Year (FY) basis, please use the *FY* tab, and for Inception-to-Date PTAs use the *ITD* tab. **Please Note:** For performance reasons, only the Current Period and Previous Period are available for this report.

ITD vs FY

- Most awards at Caltech are managed on an Inception-to-Date (ITD) basis.
  - Gifts and Endowments
  - Plant Funds
  - Sponsored Awards
- Some awards are managed on a fiscal year (FY) basis.
  - General Budget
- Using FY data for an ITD Award may provide misleading information.

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Inception to Date (ITD) vs Fiscal Year (FY)

- Most awards at Caltech are managed on an Inception-to-Date (ITD) basis, i.e., budgets, costs, and balances are based on activity since the inception of the Award.
  - ✓ *Gifts and Endowments*
  - ✓ *Plant Funds*
  - ✓ *Sponsored Awards*

- Some awards are managed on a fiscal year (FY) basis, which means the budgets and costs are zeroed out on the first day of the new Fiscal Year.
  - ✓ General Budget

- Using FY data for an ITD Award may provide misleading information.

FY Summaries

- Caltech has its own logic for FY Summaries
- FY Budgets are based on the month into which the budget was entered for the fiscal year
  - *FY Budget Allocation:* Entered in SEP-FY####
  - *FY Carry Fwd Balance:* Entered in NOV-FY####
  - *FY Prior Commit:* Entered in OCT-FY####
  - *FY Budget* = Sum of All Entry for FY
- FY Costs are sum of costs for periods in fiscal year
- FY Budget Summaries have *no context* for ITD

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The concept of *Fiscal Year Summaries* does not exist in Oracle Grants Accounting. Instead, Caltech has created a logic and budget entry procedure to support the reporting of FY Summaries.

FY Summaries
- FY Budgets are entered into one of three months within the fiscal year.
  - ✓ *FY Budget Allocation:* Entered in SEP-FY####
  - ✓ *FY Carry Forward (Fwd) Balance:* Entered in NOV-FY####
  - ✓ *FY Prior Commitments (Commit):* Entered in OCT-FY####
  - ✓ *FY Budget = Sum of budget entry into OCT through SEP for the fiscal year*

- *Period Budget Activity* concept is **only** applicable for Inception to Date (ITD) reporting.

- FY Costs are the sum of the costs for the periods within the fiscal year.

- FY Budget Summaries have ***no context for ITD-managed accounts*** and may cause confusion.

PTA Summary Report

ITD Summaries

Time run: 2/26/2020 3:15:27 PM

# of Records Returned: 23

Applied Filters: Award # is equal to NIHP.INSTALL and FY Period LOV is equal to Current Period and FY or ITD is equal to / is in ITD

Select Version: Award Summary by Exp Category

Award Number: NIHP.INSTALL   FEB-FY2020
Award Name: R01 MH119999
Award Mgr: Pauling, Linus
From: 14-SEP-16 to 31-JUL-21
Award Status: Active

Expenditure Category	ITD Budget	Period Budget Activity	Period Costs	ITD Costs	Commitments	ITD Balance	% Expended
Professorial Salaries	112,755.00	0.00	3,289.57	126,311.95	0.00	(13,556.95)	112.02%
Other Faculty Salaries	316,439.00	0.00	19,311.02	376,704.47	0.00	(60,265.47)	119.04%
Staff Salaries	0.00	0.00	3,000.00	99,023.36	0.00	(99,023.36)	
All Other Salaries	0.00	0.00	0.00	17,250.00	0.00	(17,250.00)	
Paid Leave Allocation	0.00	0.00	0.00	17,334.43	0.00	(17,334.43)	
Staff Benefits Allocation	116,628.00	0.00	6,286.35	167,017.85	0.00	(50,389.85)	143.21%
Tuition Remission Allocation	0.00	0.00	0.00	11,385.00	0.00	(11,385.00)	
Equipment-Caltech	10,600.00	0.00	0.00	29,479.90	0.00	(18,879.90)	278.11%
Materials and Supplies	834,618.00	0.00	10,871.39	272,856.44	5,770.11	555,991.45	32.69%
Subcontracts	627,560.00	0.00	3,400.44	400,162.57	227,397.43	0.00	63.76%
Travel	25,000.00	0.00	0.00	33,905.85	0.00	(8,905.85)	135.62%
Indirect Cost	893,469.00	0.00	29,680.09	759,259.57	6,666.30	127,543.13	84.98%
	2,937,069.00	0.00	75,838.86	2,310,691.39	239,833.84	386,543.77	78.67%

This is the current PTA Summary for the Award.

Notice that the budget is entered at the Expenditure Category-level, not at the Award-level, like the installments.

As expected, however, the ITD Budget matches the total installments.

Accessing the Reports

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Accessing the Reports

- OBI is Part of access.caltech Single Sign-On
  - Link: *Data Warehouse (OBI)*

  ✔ Data Warehouse (OBI)
  Newer campus reporting tool for administrative systems (replaces Cognos)

- VPN is Required
- Pop-up Windows Must be Allowed for OBI
  - *obi-proxy-prod-a.caltech.edu*

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To access OBI go to access.caltech, login, scroll down to *Data Warehouse (OBI)*, and click on the link, which will open a new browser tab.

NOTE: In order to use OBI you must either be on the Caltech internet OR use VPN.

In addition, your browser must allow pop-up windows for OBI, i.e., for *obi-proxy-prod-a.caltech.edu*.

Accessing the Reports

- To access the reports, click on a role under *MY DASHBOARDS.*

- In the Report Listing each *Subject Area* has a tab.

ORACLE Business Intelligence

Report Listing

Costs & Commitments   Installments   Labor Dist   Summaries   Info   New   Help

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- For this training we will be using the *Installments* tab and *Summaries* tabs.

Accessing the Reports
- To access the reports, click on a role under *MY DASHBOARDS* on the OBI home page. This will open the *Report Listings.*
- Each of the first few tabs represent a Financials *Subject Area.* These subject areas include:
- Costs & Commitments: A list of reports that are based upon the *Costs and Commitments* detail.
- Installments: A list of reports based upon *Award Installments* detail.
- Labor Distribution: A list of reports based upon data from the Oracle Labor Distribution module.
- Summaries: A list of reports based upon PTA financial *Budget* and *Cost* information.

The remaining tabs are for other reports and information not specifically for one of the *Subject Areas*

The Info tab lists reports that are about data not specific to each of the Subject Areas, for example, information about Awards, Exp Categories and Types, and Funding Sources.

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OBIHelp@caltech.edu

OBI Training Documentation

OBI Training Schedule

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For more information about OBI please see the user documentation on the *Help* tabs *or* go to:

Questions, issues, and requests for enhancements may be sent to *OBIHelp@caltech.edu*

OBI User Documentation: *http://imss.caltech.edu/services/administrative-applications/data-warehouse-obi/obi-userguides*

OBI Training: *http://www.imss.caltech.edu/services/administrative-applications/data-warehouse-obi/obi-training-schedule*

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