

# LATE COST TRANSFER EXCEPTION REQUEST WEB FORM GUIDE

- The Office of Research Administration (ORA) has updated their Late Cost Transfer Exception Request Form to a web form. This web form is accessible under the “Financial Management” section of the following ORA website: <https://research.iu.edu/forms/research-administration.html>
- An overview of the entire web form is provided below. Please note that all fields on this request form are required for successful submission.

Non-Salary Late Cost Transfer Exception Request Form				
<p>By completing and submitting the information below, you are requesting that the Cost Transfer Exception Committee review the costs being transferred on or off a federal or federal-pass-through sponsored program account beyond the three month limit as described in the Cost Transfer Policy SPA-11-003 (<a href="http://policies.iu.edu/policies/categories/research/Sponsored-Programs-Administration/Cost_Transfers_on_Cost_Reimbursable_Grants_and_Contracts.shtml">http://policies.iu.edu/policies/categories/research/Sponsored-Programs-Administration/Cost_Transfers_on_Cost_Reimbursable_Grants_and_Contracts.shtml</a>). Cost Transfers under \$500.00 will not be considered by the Cost Exception Committee. If the costs should be moved off the current account, the costs must be moved to a non-grant account.</p> <p>Costs included on the GEC being reviewed by the committee shall be limited to late costs; please process a separate GEC for costs being transferred within the three month limit. The GEC transferring late costs shall be limited to one project on the "From" side and one project on the "To" side. If multiple accounts are involved in the project, please include those account details in the first question under the "Explanation and Justification" section.</p> <p>In order for the Cost Transfer Exception Committee to consider this request, please provide the information below. All fields in the form are required prior to submission to the Office of Research Administration.</p>				
Contact Information for Individual Completing the Form:				
LCT Form Initiator Name *	Initiator Phone # *	Initiator Chart *		
<input type="text"/>	<input type="text"/>	<input type="text"/> ▼		
Initiator Email *	Initiator Organization Code *			
<input type="text"/>	<input type="text"/>			
By Completing This Form I Certify that the Fiscal Officer and Principal Investigator Listed Below are Aware of and Approve the Submission of this Request for Exception.				
Principal Investigator Name *	Principal Investigator Email *	Fiscal Officer Name *	Fiscal Officer Email *	ORA Contact Email *
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Transaction and Account Information				
GEC Document Number *	KFS Document Number of Original Transaction *	Designated "To" Account - Account Number: *		
<input type="text"/>	<input type="text"/>	<input type="text"/>		
Total Amount of Transfer *	Designated "From" Account - Date of Original Expenditure: *	Designated "To" Account - Account Effective Date: *		
<input type="text"/>	<input type="text"/>	<input type="text"/>		
Expense Category *	Designated "From" Account - Account Number: *	Designated "To" Account - Account Expiration Date: *		
<input type="text"/> ▼	<input type="text"/>	<input type="text"/>		
	Designated "From" Account - Account Expiration Date: *			
	<input type="text"/>			
Explanation And Justification:				
Why was the Expense Originally Charged to the Account From Which it is Being Transferred? *				
<input type="text"/>				
How Does This Expense Benefit or Relate to the Scope of Work of the Receiving Account? Describe in Detail the Expense and its Relationship to the Project. *				
<input type="text"/>				
Why is this Cost Transfer Being Requested Over 90 Days From the Date of its Origin? *				
<input type="text"/>				
What Will be Done to Prevent Future Cost Transfers Over 90 days From the Date of Origin? *				
<input type="text"/>				
<input type="button" value="Submit"/>				

- The top section of the form provides additional information regarding the circumstances under which a Late Cost Transfer Exception Request Form should be completed. It also provides guidance on how the GEC including late costs should be processed.
- **Please note:** This form should only be filled out for cost transfers that:
  - Are on federal or federal-pass-through sponsored program accounts
  - Include only costs being transferred beyond the three month limit
  - Have at least \$500 of late costs being transferred
  - Include only one project on the "From" side and one project on the "To" side

### Non-Salary Late Cost Transfer Exception Request Form

By completing and submitting the information below, you are requesting that the Cost Transfer Exception Committee review the costs being transferred on or off a federal or federal-pass-through sponsored program account beyond the three month limit as described in the Cost Transfer Policy SPA-11-003 ([http://policies.iu.edu/policies/categories/research/Sponsored-Programs-Administration/Cost\\_Transfers\\_on\\_Cost\\_Reimbursable\\_Grants\\_and\\_Contracts.shtml](http://policies.iu.edu/policies/categories/research/Sponsored-Programs-Administration/Cost_Transfers_on_Cost_Reimbursable_Grants_and_Contracts.shtml)). Cost Transfers under \$500.00 will not be considered by the Cost Exception Committee. If the costs should be moved off the current account, the costs must be moved to a non-grant account.

Costs included on the GEC being reviewed by the committee shall be limited to late costs; please process a separate GEC for costs being transferred within the three month limit. The GEC transferring late costs shall be limited to one project on the "From" side and one project on the "To" side. If multiple accounts are involved in the project, please include those account details in the first question under the "Explanation and Justification" section.

In order for the Cost Transfer Exception Committee to consider this request, please provide the information below. All fields in the form are required prior to submission to the Office of Research Administration.

- The next section of the form requests contact information for the individual completing the request form. The individual completing the form should provide their name, phone number, email address, and their chart and organization code.

Contact Information for Individual Completing the Form:	
LCT Form Initiator Name *	Initiator Chart *
<input type="text"/>	<input type="text"/> ▼
Initiator Phone # *	Initiator Organization Code *
<input type="text"/>	<input type="text"/>
Initiator Email *	
<input type="text"/>	

- In the next section, the individual completing the form certifies that the fiscal officer and principal investigator of the grant account(s) associated with the request are aware of and approve of the request. The individual should provide the names and email addresses of the Principal Investigator and Fiscal Officer. The individual should also provide the email address of the ORA contact (the ORA Grant Consultant) for the account(s).

**By Completing This Form I Certify that the Fiscal Officer and Principal Investigator Listed Below are Aware of and Approve the Submission of this Request for Exception.**

Principal Investigator Name *	Principal Investigator Email *	Fiscal Officer Name *
<input type="text"/>	<input type="text"/>	<input type="text"/>
Fiscal Officer Email *	ORA Contact Email *	
<input type="text"/>	<input type="text"/>	

- The next section requests details regarding the transaction and the account(s) impacted by the GEC. Please note that the “GEC Document Number” is the KFS document number for the GEC under review.

Transaction and Account Information		
GEC Document Number *	KFS Document Number of Original Transaction *	Designated "To" Account – Account Number: *
<input type="text"/>	<input type="text"/>	<input type="text"/>
Total Amount of Transfer *	Designated "From" Account – Date of Original Expenditure: *	Designated "To" Account – Account Effective Date: *
<input type="text"/>	<input type="text"/>	<input type="text"/>
Expense Category *	Designated "From" Account – Account Number: *	Designated "To" Account – Account Expiration Date: *
<input type="text"/> ▼	<input type="text"/>	<input type="text"/>
	Designated "From" Account – Account Expiration Date: *	
	<input type="text"/>	

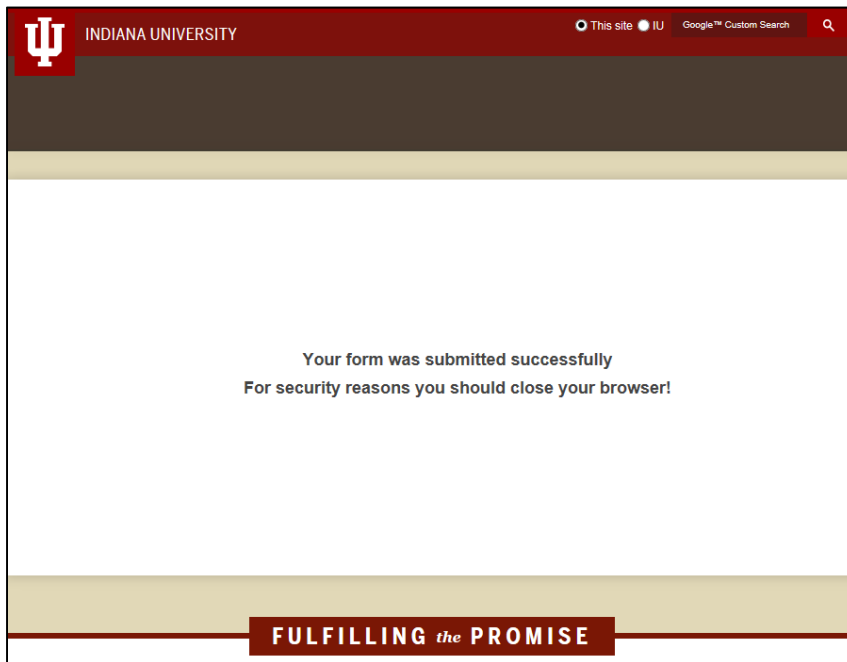
- The final section of the request form requests additional information regarding the circumstances that led to the late cost transfer. Please provide thorough responses to these questions.
- **Note:** If there are multiple accounts involved in the cost transfer under review, please include any account details not listed in the above Transaction and Account Information section as part of the response to the first question in this Explanation and Justification section.

Explanation And Justification:
<p>Why was the Expense Originally Charged to the Account From Which it is Being Transferred? *</p> <input type="text"/>
<p>How Does This Expense Benefit or Relate to the Scope of Work of the Receiving Account? Describe in Detail the Expense and its Relationship to the Project. *</p> <input type="text"/>
<p>Why is this Cost Transfer Being Requested Over 90 Days From the Date of its Origin? *</p> <input type="text"/>
<p>What Will be Done to Prevent Future Cost Transfers Over 90 days From the Date of Origin? *</p> <input type="text"/>

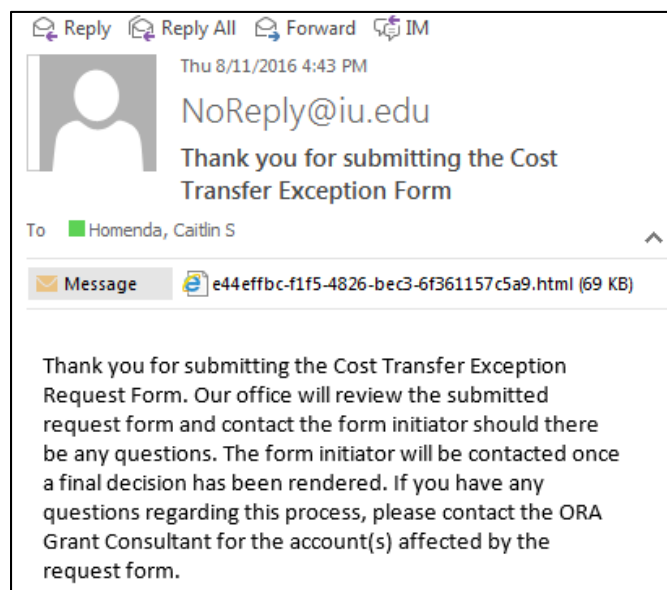
- Once all fields on the request form have been completed, press the Submit button at the bottom of the web form to route the request form to ORA:



- If the request form was successfully submitted, the individual completing the form should be redirected to the following web page:



- Additionally, the individual completing the form should receive the following email message upon successful completion:



- This email will also include a copy of the submitted request form as an attachment:

Non-Salary Late Cost Transfer Exception Request Form					
<p>By completing and submitting the information below, you are requesting that the Cost Transfer Exception Committee review the costs being transferred on or off a federal or federal-pass-through sponsored program account beyond the three month limit as described in the Cost Transfer Policy SPA-11-003 (<a href="http://policies.iu.edu/policies/categories/research/Sponsored-Programs-Administration/Cost_Transfers_on_Cost_Reimbursable_Grants_and_Contracts.shtml">http://policies.iu.edu/policies/categories/research/Sponsored-Programs-Administration/Cost_Transfers_on_Cost_Reimbursable_Grants_and_Contracts.shtml</a>). Cost Transfers under \$500.00 will not be considered by the Cost Exception Committee. If the costs should be moved off the current account, the costs must be moved to a non-grant account.</p> <p>Costs included on the CEC being reviewed by the committee shall be limited to late costs; please process a separate GEC for costs being transferred within the three month limit. The CEC transferring late costs shall be limited to one project on the "From" side and one project on the "To" side. If multiple accounts are involved in the project, please include those account details in the first question under the "Explanation and Justification" section.</p> <p>In order for the Cost Transfer Exception Committee to consider this request, please provide the information below. All fields in the form are required prior to submission to the Office of Research Administration.</p>					
<b>Contact Information for Individual Completing the Form:</b>					
LCT Form Initiator Name *	Initiator Phone # *	Initiator Chart *			
JANE DOE	555-555-5555	UA			
Initiator Email *	Initiator Organization Code *				
CODYA@IU.EDU	RSCH				
<b>By Completing This Form I Certify that the Fiscal Officer and Principal Investigator Listed Below are Aware of and Approve the Submission of this Request for Exception.</b>					
Date	Principal Investigator Name *	Principal Investigator Email *	Fiscal Officer Name *	Fiscal Officer Email *	ORA Contact Email *
06/20/2016	JOHN DOE	EMAIL1@IU.EDU	JOHN SMITH	EMAIL2@IU.EDU	EMAIL3@IU.EDU
<b>Transaction and Account Information</b>					
GEC Document Number *	KFS Document Number of Original Transaction *	Designated "To" Account - Account Number: *			
12345678	87654321	7654321			
Total Amount of Transfer *	Designated "From" Account - Date of Original Expenditure: *	Designated "To" Account - Account Effective Date: *			
\$5,000.00	01/01/2016	01/01/2016			
Expense Category *	Designated "From" Account - Account Number: *	Designated "To" Account - Account Expiration Date: *			
CAPITAL	1234567	12/31/2016			
	Designated "From" Account - Account Expiration Date: *				
	12/31/2015				
<b>Explanation And Justification:</b>					
<p><b>Why was the Expense Originally Charged to the Account From Which it is Being Transferred? *</b></p> <p>This is where a justification would be entered explaining why the expense was originally charged to the account from which it is being transferred.</p>					
<p><b>How Does This Expense Benefit or Relate to the Scope of Work of the Receiving Account? Describe in Detail the Expense and its Relationship to the Project. *</b></p> <p>This is where a justification would be entered explaining how the expense under review benefits or relates to the scope of work on the account the expense is being moved to.</p>					
<p><b>Why is this Cost Transfer Being Requested Over 90 Days From the Date of its Origin? *</b></p> <p>This is where a justification would be entered explaining why the cost is being transferred more than 90 days after the original date of expenditure.</p>					
<p><b>What Will be Done to Prevent Future Cost Transfers Over 90 days From the Date of Origin? *</b></p> <p>This is where a justification would be entered explaining what processes the department is implementing in order to prevent costs from being transferred over 90 days from the original date of expenditure in the future.</p>					
<input type="button" value="Submit"/>					

- The Principal Investigator and Fiscal Officer will also be notified via email when a request form has been successfully submitted. This email will include a copy of the submitted request form as an attachment and provide them an opportunity to contact the ORA Grant Consultant should they have any questions or concerns regarding the submitted request form.
- **Please note:** The initiator of the web form will be contacted via email should any additional information be needed. Additionally, the form initiator will be contacted via email once the ORA Cost Transfer Exception Committee has reviewed the request and rendered a decision. Should you have any questions regarding this process or a pending request form, please contact the ORA Grant Consultant for the account(s) affected by the request.