Sponsored Research Reports

On the Duke@WORK portal, the Grants Management tab contains links to many online tools and reports that Grants Managers and other staff may use in support of sponsored research. This section of the guide covers how to access and use some of the reports located in the link for **Sponsored Research Reports**. This link includes robust reports used throughout the life cycle of the sponsored research.

The web based reports available for Grants Management under this tab include reports such as the CAS Compliance Report, Projects Approaching End Date, Project Obligations Report, two Workflow Status reports, as well as other reports to aid with the closeout of sponsored research and tracking information about subawards.

Under the Grants Management tab:

1. Click on the underlined link for **Sponsored Research Reports**.
2. Review the reports and tools available via the underlined links which also include descriptions of the report below the link as outlined briefly below:

- **CAS Compliance Report** - identifies CAS non-compliant projects and displays the associated line items and provides CAS non-compliance summary views.

- **Projects Approaching End Date** - lists all projects ending in the next 90 days.

- **Project Obligations Report** - For projects listed, shows current cost distributions and purchasing encumbrances that are remaining on the project.

- **Workflow Status Report by Cost Object** – provides a list of all outstanding Workflow items, excluding iForms, for the Cost Object (s) selected. There is an equivalent report for iForms Workflow Items in the Effort and Payroll Tools and Reports link under the Grants Management tab.

- **Workflow Status Report** – provides a list of all outstanding Workflow items, excluding iForms, for the BFR selected. This is the same report available under the Finance tab.

**Continued on the next page**
Sponsored Research Reports (cont.)

- Various reports for Closeout – the steps for these reports are not included in this Grants Management Guide. For these reports, see the Closeout Tools: Sponsored Research Reports Quick Reference Guide accessed via the link found on the Sponsored Research Reports page or located here: http://finance.duke.edu/research/training/other.php
  
  i. CONS Report – shows the status of closeout documents and other closeout information.

  ii. Life of Project - Financials – provides master data regarding project financial reporting requirements.

  iii. Late Activity Report – provides information on late postings to the ledger following submission of the Closeout Tasklist.


  v. Revision Tool Reporting – provides information on submission of Revision Tools forms.

  vi. Timeliness of Sponsor Reporting – provides information on timeliness of submission of Financial Reports to Sponsors.

  vii. Timeliness of Closeout Docs – provides information on submission of various Closeout Documents.

- Reports for Subawards – the steps for these reports are not included in this Grants Management Guide. For more guidance, refer to the Quick Reference Guides available via the link found on the Sponsored Research Reports page or located here: http://finance.duke.edu/research/training/other.php
  
  i. Subaward Report – provides information on subawards in both a summary and detailed view, including master data, budget, terms and conditions, invoices paid-to-date, and more.

  ii. Subaward Invoices Report – provides information on subaward invoices in both a summary and detailed view, including start / end dates, categorical expense details, eCR # and status, and more.

3. Use the Grants Management Guide link to access step-by-step instructions for the reports and tools as noted above and refer to the Closeout Tools: Sponsored Research Reports Quick Reference Guide for reports not included in this guide.

4. To select a report or a tool, simply click once on the underlined report or tool title on the right side of the screen.
Sponsored Research Reports (cont.)

5. As an alternative, use the Detailed Navigation pane on the left side of the screen to navigate to the report or tool (use the arrow buttons at the top of the Detailed Navigation pane to turn off the pane and display more on the screen as desired).

6. Notice that the path taken to reach the report is listed at the top of the screen below the tabs (also known as “breadcrumbs”) and the links may be used to navigate to previous screens.

Note: Each report included in this Guide is outlined, including the selections available, the data displayed, the drill-down options, and other advanced functions available in each report.
CAS Compliance Report

Note: The report identifies **CAS non-compliant** projects and displays the associated line items which require action. The report also provides CAS non-compliance summary views.

1. From the **Sponsored Research Reports** page, click on the **CAS Compliance Report** (underlined link) to display the report’s selection screen.

On the CAS Line Items Requiring Additional Action (Documentation /Transfer) screen:

2. **Required:** Leave the default of **0010** in the **Company Code** field.

3. **Required:** Enter a value(s) in **ONE** of the two fields:
   - Enter the desired **BFR code** (10 digits) in the first **BFR Selection** field to select all WBS Elements (project numbers) associated with that particular BFR code. **OR**
   - Enter one or more **WBS Elements** (project numbers) in the **Project Selection** field (use **Multiple Selection** button to enter more than one WBS Element).

4. **Optional:** If entering a BFR code or multiple WBS Elements, enter a **personnel number** in the **Responsible Person** field to narrow the report to WBS Elements (projects) for that person.

   **Note:** If the number of the Responsible Person is unknown, click in the field and use the **Drop-down** to perform a search based on the name and select the corresponding number from the list. Enter the first and/or last name in all caps.
5. **Optional:** If entering a BFR code or multiple WBS Elements, enter a **personnel number** in the **Grant Manager** field to narrow the report to WBS Elements (projects) managed by that person.

   *Note:* *If the number of the Grant Manager is unknown, click in the field and use the Drag-down to perform a search based on the name and select the corresponding number from the list. Enter the first and/or last name in all caps.*

6. **Required:** Enter the desired **Fiscal Year** and **Fiscal Period** in the fields.

   *Note:* *This report runs real time and displays ONLY the non-compliant lines for the monthly period selected UNLESS the ITD Line Item layout option is chosen per the next step.*

7. **Required:** Select ONE of the 4 different **Layout Options** (see next pages for examples of layouts).

<table>
<thead>
<tr>
<th>Layout Option</th>
<th>Description</th>
</tr>
</thead>
</table>
| **ITD Line Item**             | **Inception To Date Line Item** layout option displays ALL line item transactions **inception to date for projects with non-compliant clerical/administrative charges.** Use this layout for cleaning up prior month’s line items. The Flag field (last field of the report) denotes why the transaction is non-compliant, as follows: • **N** = No Budget • **O** = Overspent (by $2500 AND 200%)  
*Note:* In the determination of whether a WBSE is compliant, all transactions are evaluated (including processing of CAS budgets or ZJ entries). However, this report will include line items for correcting ZJ entries if the WBSE is considered non-compliant. The report includes all debit and credit activity on the non-compliant cost elements. |
| **Current Month Only Line Items** | Current Month Only Line Items layout option displays line item that occurred in the Fiscal Year and Fiscal Period selected on non-compliant cost elements.                                                                                                                                                                                                                                                                                                                                 |
| **Project**                   | Project layout option displays the aggregated amount of debits and credits by project. No line item detail or cost element information is provided.                                                                                                                                                                                                                                                                                          |
| **CE Group**                  | Cost Element Group layout option displays the aggregated amount of debits and credits by project and by Cost Element Group. No line item detail is provided.                                                                                                                                                                                                                                                                                 |

8. After completing the desired selection fields, click on the **Execute** button to generate the report (located above selection fields to the right side of screen).
9. Review the information provided for the layout selected - see examples below:

**Layout Option Example: ITD Line Item Report**

![ITD Line Item Report Image]

**Layout Option Example: Current Month Only Line Items Report**

![Current Month Only Line Items Report Image]

**Layout Option Example: Project Report**

![Project Report Image]

**Layout Option Example: CE Group Report**

![CE Group Report Image]
CAS Non-Compliance Flags

10. Scroll to the far right of the Compliance report and review the last column titled Flag and note the following:

- If the flag is “N,” the CAS line item is non-compliant because there is no approved plan in place.
- If the flag is “O,” the approved CAS plan has been over-expended by $2,500 AND 200%.

Note: **Maximize your web screen** (box icon to left of Red X in upper right corner) for optimal viewing and to ensure you are able to view all functional buttons on the toolbar.
11. Note that the current month layout and ITD layout options allow you to drill down to accounting documents and view more details as follows:

- To drill down to the line item, click on the underlined bolded link of the Document Number (if needed, scroll to the right to find the Document Number column).

- To navigate back to a previous screen, click the Back button in the tool (do not use the Back button on your web browser).

Note: Refer to the Reconciliation and Documents Guide located at the web address below for more on how to navigate the various types of documents and find useful information on each type of document.

http://finance.duke.edu/systems/training/steps.php#recdoc
CAS Compliance Report (cont.)

Downloading the CAS Compliance Report to Excel

1. Click on the **Click to download to file** button and **NOTE** the following:
   - If your web screen in not maximized, use the double-arrow on the far right of the toolbar to display a drop-down menu and choose the **Click to download to file** option from the menu.
   - See the step-by-step, "Web settings for optimal performance" to ensure correct Java settings are in place - if Java is not set up correctly, you may be unable to download the file to excel.

2. If you receive the security warning that opens in another window, click on **Don’t Block**.
3. Select where to save the file in your directory using the **Save to:** field.

4. Enter a file name for the file in the **File Name:** field.

5. Choose “Excel Files” in the **Files of Type:** field.

6. Click on the **Save** button when done.

7. Look for the message that will appear in the lower left of the report screen indicating that the file has been created/transferred – go to Excel and find and open the file.
8. At the Microsoft Excel message, click the Yes button.

9. When the Text Import Wizard-Step 1 of 3 window opens, click on the Next> button.

10. At Step 2 of 3 of the Text Import Wizard, click on the Finish button.
11. Review the downloaded Excel file of your CAS Compliance Report that is now open in Excel and format / use as needed.

Resources

Policy on Directly Charging Clerical and/or Administrative Costs to Federal Awards GAP 200.360, Charging Clerical and/or Administrative Expenses to Federally Funded Projects

Memo About Revised CAS Policy and Process
Projects Approaching End Date Report

Note: This report is used to identify projects ending in the next three months. This report also allows for drilldown to the Project Obligations.

1. From the Sponsored Research Reports page, click on the Projects Approaching End Date Report (underlined link) to display the report’s selection screen.

On the Projects Approaching End Date page (note that the results will state no records found until data is selected):

2. Required: Enter a value(s) in ONE of the two fields:
   - Enter the desired BFR code (10 digits) in the first BFR Selection field to select all WBS Elements (project numbers) associated with that particular BFR code. OR
   - Enter one or more WBS Elements (project numbers) in the WBSE Selection field (use Multiple Selection button to enter more than one WBS Element).

Note: There are no security limits or ownership rules currently set for this report. If you have access to the Grants Management tab, you can run this report for any open project or group of projects.
Projects Approaching End Date (cont.)

3. **Required**: Enter the desired Fiscal Year and Fiscal Period – based on the value entered, the report will return projects ending in the 3 months AFTER / FOLLOWING the period entered.

4. **Optional**: If entering a BFR code or multiple WBS Elements, enter a personnel number in the Responsible Person field to narrow the report to WBS Elements (projects) for that person.
   
   Note: If the number of the Responsible Person is unknown, click in the field and use the Drop-down to perform a search based on the name and select the corresponding number from the list. Enter the first and/or last name in all caps.

5. **Optional**: If entering a BFR code or multiple WBS Elements, enter a personnel number in the Grant Manager field to narrow the report to WBS Elements (projects) managed by that person.
   
   Note: If the number of the Grant Manager is unknown, click in the field and use the Drop-down to perform a search based on the name and select the corresponding number from the list. Enter the first and/or last name in all caps.

6. Click on the Search button to display the selected results in the section below.
   
   Note: The Results section will state that no records are found until the selection criteria is entered and the Search button is used.

7. Use the links at the bottom of the report for information as needed, including links to General Accounting Procedures (GAPs) as well as payroll deadlines, and a link to the Workflow Report.
Projects Approaching End Date (cont.)

In the Projects Approaching End Date Results section:

<table>
<thead>
<tr>
<th>Results</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project #</td>
</tr>
<tr>
<td>3834395</td>
</tr>
<tr>
<td>3834396</td>
</tr>
<tr>
<td>3834397</td>
</tr>
<tr>
<td>3834398</td>
</tr>
<tr>
<td>3834399</td>
</tr>
</tbody>
</table>

8. Review the **columns of data** displayed in the Results section and sorted by Project End Date, as follows:

- **Project #** - lists the 7 digit WBS Element (WBSE) for the project.
- **Parent #** - lists the 7 digit parent WBSE for the project.
- **Project Description** - lists the Project name in SAP.
- **BFR #** - the owning 10 digit BFR for the WBSE.
- **BFR Description** - the name of the owning BFR.
- **GM Name** - the name of the Grant Manager 1 listed in SAP.
- **PI name** – the name of responsible person (Principal Investigator) in SAP.
- **Project End Date** - the WBSE end date in SAP (the primary sort for results).
- **Sponsor Report Due Date** - the date final reports are due to the sponsor.
- **Closeout Docs Due Date** – the departmental due date for all closeout documents to be submitted to closeoutdocs@duke.edu.

Drill-Down Function to the Project Obligations Report

1. To drill-down to display the Project Obligations Report for a project, click on **ONE** of the underlined 7 digit links as outlined below:

- Click on the underlined Project # link to display the Project Obligations Report and return information for the one Project # selected.
- Click on the underlined Parent # link to display the Project Obligations Report return information for all Projects associated with that Parent #.
2. Review the data in the Project Obligations Report which opens in a separate window and identifies payroll and purchase order commitments (i.e., encumbrances) still showing on the WBSE / Project - refer to the Project Obligations Report section of this guide for more details about this report.

3. To see selection criteria fields at the top of the report and use those fields to select other projects, click on the Twistee icon (small arrow) next to Project Obligations and refer to Project Obligations Report section of this guide.

   Note: When the Project Obligations Report is accessed from the drill-down function of the Projects Approaching End Date Report, the Project Obligations table showing the selection fields at the top of the report is collapsed. To expand the tray to show the selection criteria, click on the Twistee icon (small arrow) next to Project Obligations.

4. When done, close the Project Obligations Report (the Projects Approaching End Date is still open in another window).
Projects Approaching End Date (cont.)

Updating Results with New Selection Criteria

1. To update the Projects Approaching End Date report while keeping some of the selection criteria the same, simply change any of the selection values in the fields at the top of the report:
   - Change the BFR or WBSE selection
   - Change the Fiscal Year or Fiscal Period
   - Change the Responsible Person or Grant Manager

2. Once the selection values are updated, click on the Search button to re-populate the Results section of the screen and review the data.
Sorting and Filtering the Results

1. To sort or filter by a column, first click on a desired column heading.

2. In the resulting pop-out box, choose the desired option such as Sort Ascending or a value to use from the list as the filter.

3. Click on the **Search** button to display the selected results.

   *Note: To remove a filter and reset the results, repeat the steps above and choose the value of (All).*
Exporting the Results

1. To export the results to Excel, click on the Export button and click on the resulting drop-down option of Export to Microsoft Excel.

2. Depending on your browser, you will be prompted to Open, Save or Cancel the download—choose the “Open” option unless another option is desired.
   - Example 1 above = Download prompt in Internet Explorer.
   - Example 2 above = Download prompt in Firefox.

3. Excel will open and the data will be exported (the above prompt may appear and if so, click Yes button to open the file).
Project Obligations Report

Note: The report is used to identify project encumbrances (i.e., obligations), therefore it may be most useful to run the report by either a single project or a parent code. This report is also accessed from the drill-down function in the Projects Approaching End Date report (see that section of the guide for more details).

1. From the Sponsored Research Reports page, click on the Project Obligations Report (underlined link) to display the report’s selection screen.

On the Project Obligations page (note that the results will be blank and not contain data until criteria is selected):

2. Required: Enter a value(s) in ONE of the three fields (if this report was accessed via the drill-down from the Projects Approaching End Date report, use Twistee icon to open the Project Obligations tray and display the search fields):
   - Enter one or more WBS Elements (project numbers) in the WBSE Selection field (use Multiple Selection button to enter more than one WBS Element).
   - OR
   - Enter one parent WBS Element in the Parent WBSE field.
   - OR
   - Enter the desired BFR code (10 digits) in the first BFR Selection field to select all WBS Elements (project numbers) associated with that particular BFR code – IF BFR IS USED, YOU MUST CHECK A BOX PER THE NEXT STEP.

3. Use ONLY if BFR Selection entered.

4. Until data is selected and the Search button is used, the results are blank or a message appears indicating that no data found in the tables under the Results section.
Project Obligations (cont.)

Note: There are no security limits or ownership rules currently set for this report. If you have access to the Grants Management tab, you can run this report for any open project or group of projects.

3. **Required ONLY if BFR Code is entered**: Check one of the End Date check boxes as outlined:
   - **30 Days Prior to Project End** - to filter results by WBSE that have project end dates within 30 days.
   - **Only Projects Ended** - to filter results to only show WBSE that are past project end date.

   Note: End Date checkboxes are used only when running the report by BFR. They are not to be used when selecting on a WBSE or Parent WBSE. See above for instructions.

4. Click on the **Search** button to display the selected results in the section below.

   Note: The Results section will be blank or state that no records are found until selection criteria is entered and the Search button is used.
In the *Project Obligations Results sections*:

5. Review the three different tables within the results of Project Obligation Report (use *Twistee* icon to open table if closed; by default the trays should be open):
   - Master Data
   - Project with Payroll Expense
   - Project with Purchase Order Encumbrances (PO orders)

6. Review the *columns of data* displayed in the each table as outlined in the next steps organized by each table – remember that the table results will vary and may or may not contain data based on how you selected to run this report.

   **Note:** *The end goal of a clean close is to have no data displaying for Payroll or Purchase Order Encumbrances for the WBSE / Projects selected.* This view indicates there are encumbered payroll or purchase orders for the selected project(s). Other examples in this guide will show no encumbered payroll or purchase orders.
## Project Obligations (cont.)

### Master Data:

<table>
<thead>
<tr>
<th>WBSE #</th>
<th>Parent WBSE #</th>
<th>WBSE Description</th>
<th>BFR #</th>
<th>BFR Description</th>
<th>GM1 Name</th>
<th>PI Name</th>
<th>Carryforward</th>
<th>Project End</th>
<th>Sponsor Due Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>38338</td>
<td>38337</td>
<td>DUNE FPMS</td>
<td>8800500511</td>
<td>DNA Research Init</td>
<td>ANGELIQUE CHERRY</td>
<td>PAYNES, BARTON F</td>
<td>N</td>
<td>12/31/2015</td>
<td>02/26/2016</td>
</tr>
</tbody>
</table>

7. **FIRST SECTION: Master Data** – lists master data as reference for WBSE(s) selected, as follows:

- **WBSE #** = 7 digit number associated with the WBSE / Project.
- **Parent WBSE #** - 7 digit number for the Parent code that is associated with the WBSE / Project if applicable.
- **WBSE Description** = the description listed in the master data for the WBSE / Project.
- **BFR # and Description** - 10 digit organizational unit / BFR code and associated description for the WBSE / Project to identify where the WBSE / Project belongs in the organizational hierarchy.
- **GM1 Name** – name of the Grant Manager 1 for WBSE / Project.
- **PI Name** – name of primary Principal Investigator for WBSE/Project.
- **Carryforward** – Y = yes; N = No – to indicate if carryforward is allowed on the WBSE/Project.
- **Project End** - the end date of the WBSE / Project.
- **Sponsor Due Date** – the date the Final Report is due to the Sponsor.
- **Closeout Docs Due Date** – the departmental due date for all closeout documents to be submitted to closeoutdocs@duke.edu.

**NOTE:** The end goal of a clean close is to have the image above appear, no data displaying for Payroll or Purchase Order Encumbrances. This view indicates that there are no encumbered payroll or purchase orders for the selected project.
8. SECOND SECTION: **Payroll** – lists information about personnel whose effort has not been removed from a WBSE / Project per these key points:

- Personnel will remain on this report until iForms are approved.
- If an iForm is in workflow, the personnel will remain on the report.
- Once an iForm is approved, the personnel will disappear from this view. This view includes current and future dated cost distributions.
- **The end goal of a clean close is to have no data displaying for Payroll on the WBSE(s) selected.**
- Personnel whose effort has not been removed from the selected WBSE(s) are identified by **Duke Unique ID #** and **Name**. This includes personnel at a zero rate of pay whose effort has not been removed from the selected WBSE(s).
- Other data provided includes the HR/PR **Org. Unit** and **Description**, the **Org.Key**, the **G/L #** of the G/L Account associated with the effort, the **% Effort** of the employee and the **Effective From** and **Effective To** dates for the effort.
9. **SECTION 3: Purchase Order Encumbrances** (PO orders) - displays purchase orders that are still active per the following points

- Purchase orders will remain on this list until the PO is closed or flagged as complete.
- The changes to PO’s are real-time – when the PO is updated, the report will be updated the next time it is executed.
- Under the PO# column, **use the underlined link for the Purchase Order number to drill-down** into SAP and display the referenced purchase order document for more details as needed.
1. Choose one of these Export options for the Project Obligations report

- To export ALL the results of the report (all trays of data), click on the **Export (ALL) to Excel** button located above the Master Data tray in the report – this option will create separate tabs for each section (Master Data, Payroll & Purchase Order Encumbrances).

- To export the results of each individual tray heading (Master Data, Payroll, Purchase Order Encumbrances) to Excel, click on the **Export to Excel** button for that results tray.
Project Obligations (cont.)

2. Depending on your browser, you will be prompted to Open, Save or Cancel the download—choose the “Open” option unless another option is desired.
   - Example 1 above = Download prompt in Internet Explorer.
   - Example 2 above = Download prompt in Firefox.

3. Excel will open and the data will be exported (the above prompt may appear and if so, click Yes button to open the file).
Workflow Status Report by Cost Object

Overview
The Workflow Status Report by Cost Object is available to Grant Managers to easily select one cost object or a list of cost objects and monitor the status of workflow transactions tied to the selected cost object(s). This report excludes workflow for iForms and other transactions that do not contain an associated cost object, as outlined below. While similar to the Workflow Status Overview Report found under the Finance and Grants Management tabs, this version allows selection by cost object(s) versus by BFR Code. The results may be filtered to view one specific type of transaction per the list of included transactions below.

The workflow transactions that are tied to cost objects and included in this report are:

- Accounts Payable Check Requests (APCR)
- Accounts Receivable (AR)
- Online Expense Reports (denoted as Travel and includes all online travel, out-of-pocket, and corporate card non-travel reports)
- Electronic Research Administration (ERA)
- Journal entries / vouchers (JVs)
- Accounts Payable vendor invoices with problems (APInv)
- Buy@Duke transactions (B@D)

As a reminder, workflow transactions that do not contain an associated cost object are NOT included in this report. The workflow transactions NOT included in this report are:

- Security Administration requests (SECURITY)
- Any workflow transactions for iForms (iForms) or the Faculty System (dFac) – those transactions are included in the iForms Workflow Status reports.

In addition, this cost object based report will not include workflow transactions created before the effective date of 10/14/2015. This report is updated on a thirty minute cycle and should not be used to manage deadlines, such as those associated with the month-end closing process.

Please note that there are equivalent reports in other Duke@Work folders as outlined below:

- **Workflow Status Report** – generated for selected BFR Code(s) and available under both the Finance tab and Grants Management tab in the Sponsored Research Reporting (includes MyResearch Reports) link. Since this report is selected by BFR Code, all workflow transactions except iForms are included.
- **iForms Workflow Status Report** – generated for the workflow status of transactions for iForms and dFac (Faculty system), as those transactions are restricted by Organizational Unit (OAM) access. This report is only available under the iForms page (Reporting tab).
- **Grant Manager iForms Workflow Status by Cost Object** – generated for selected cost object(s) and available under the Grants Management tab in the Effort and Payroll Tools and Reports link, and also under the iForms tab in the Reporting link (titled as iForms Workflow Status by Cost Object).
Workflow Status by Cost Object (cont.)

Accessing and Generating the Report from the Grants Management Tab (refer to next section for accessing from Finance Tab)

1. Click on the **Sponsored Research Reports** link (directly on the underlined text).

2. Click on the **Workflow Status Report by Cost Object** link (directly on underlined text) to display the report’s selection screen.
Workflow Status by Cost Object (cont.)

Accessing and Generating the Report from the Finance Tab (refer to previous section for accessing from Grants Management Tab)

1. Click on the **Financial Reports** tab (at top on blue bar under Finance).

2. Click on the **Workflow Status Report** hyperlink (directly on the underlined text) to display another page with reporting options.

3. Click on the **Workflow Status Report by Cost Object** link (directly on the underlined text) to display the report’s selection screen.
Workflow Status by Cost Object (cont.)

Selecting Criteria and Running the Workflow Status by Cost Object Report

On the Workflow Status by Cost Object page:

1. Enter one or more Cost Object values in the Enter or Paste Cost Objects: field per the various options and selection tips outlined in the next steps.

2. To enter a single value, type the single Cost Object in the field.

3. To manually enter multiple values, use the Enter button on the keyboard to show another line and enter multiple values (continue to press Enter to add more lines as needed).
4. To paste a list of cost objects copied to your clipboard from an Excel file, use the right mouse click in the field and select Paste (or equivalent Ctrl + V buttons on keyboard).

Note: To copy values into your clipboard from the Excel file, highlight the desired range of values and use the right mouse click and Copy (or equivalent Ctrl + C buttons on the keyboard).

5. Use Show History to select from previous values

5. Cont. Select line of values to populate field

5. To select a value or certain list of values previously entered in the field, use the Show History button to display the history of Cost Object(s) used and click on the desired line of value(s) to populate the field and adjust as needed.
6. If a line of values is no longer needed in your history, use the **Delete** icon to the left of a line of values to delete that.

7. Use the **Clear All History** button to clear out ALL the lines of values stored in your history.

8. Once the input field is populated, click the **Go** button to generate the report (report will be displayed below the selection field).
Using the Workflow Status Report by Cost Object

1. Review the columns displayed, as outlined below:

<table>
<thead>
<tr>
<th>Field/Column</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cost Object</td>
<td>The seven (University) or nine (DUHS) digit cost object(s) selected if those cost objects contained any Workflow transactions. Cost objects include Cost Centers, Profit Centers, and WBS Elements.</td>
</tr>
<tr>
<td>ID</td>
<td>Document number identifier in SAP</td>
</tr>
<tr>
<td>Type</td>
<td>Type of Workflow transaction associated with the cost object(s) selected:</td>
</tr>
<tr>
<td></td>
<td>- JV = Journal Entry / Journal Voucher</td>
</tr>
<tr>
<td></td>
<td>- AR = Accounts Receivable</td>
</tr>
<tr>
<td></td>
<td>- Travel = Online Expense Reports (including travel, out-of-pocket, and corporate card no-travel expense)</td>
</tr>
<tr>
<td></td>
<td>- ERA = Electronic Research Administration</td>
</tr>
<tr>
<td></td>
<td>- APCR = Online AP Check Request Form</td>
</tr>
<tr>
<td></td>
<td>- B&amp;D = Buy@Duke transactions</td>
</tr>
<tr>
<td></td>
<td>- APInv = Accounts Payable vendor invoices with problems (See next step to filter by the type of transaction as needed)</td>
</tr>
<tr>
<td>Org</td>
<td>8 digit Organizational Unit (HR/PR org. unit) associated with the person who submitted the transaction</td>
</tr>
<tr>
<td>BFR Cost Center</td>
<td>10 digit BFR Code (University) or 9 digit Cost Center (Health System) associated with the organization unit in the previous column</td>
</tr>
<tr>
<td>Created by</td>
<td>Duke Net ID of the person who created the transaction</td>
</tr>
</tbody>
</table>

Continued on Next Page
**Workflow Status by Cost Object (cont.)**

<table>
<thead>
<tr>
<th>Field/Column</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Created</td>
<td>Date transaction was created</td>
</tr>
<tr>
<td>Received</td>
<td>Date the transaction was received in this step of the workflow</td>
</tr>
<tr>
<td>Days</td>
<td>Number of days between when the transaction was created and when it was received in this step (Created – Received = number of days in workflow process to this step)</td>
</tr>
<tr>
<td>Status</td>
<td>Current workflow status of the transaction work item per below:</td>
</tr>
<tr>
<td></td>
<td>• Ready = item has been released for execution and appears in the work lists of all applicable recipients</td>
</tr>
<tr>
<td></td>
<td>• Selected = item has been selected / received by ONE of the recipients and the item is no longer visible to the other recipients</td>
</tr>
<tr>
<td></td>
<td>• Started = item is being processed at a level like the Processor level (central office / functional owner)</td>
</tr>
<tr>
<td></td>
<td>• Committed = transaction work item is awaiting some type of confirmation of completion – not commonly seen</td>
</tr>
<tr>
<td>Level</td>
<td>Current workflow approval level of the transaction to provide an idea of where the workflow resides in the process such as Draft or Send Back, Employee Review, Processor (central office / functional owner) - examples may also be more specific workflow levels for a transaction, like JV-DEPT / SCHL to indicate a journal voucher is at the department or school level of approval</td>
</tr>
<tr>
<td>Description</td>
<td>Business description of the transaction, such as document header text for some documents, a trip description if travel related, or the business purpose on the APCR transaction</td>
</tr>
<tr>
<td>Ref ID</td>
<td>ID related to the transaction depending on the type of document</td>
</tr>
<tr>
<td>Reference Description</td>
<td>Reference information depending on the type of transaction, such as:</td>
</tr>
<tr>
<td></td>
<td>• JV = Assigned JV Number</td>
</tr>
<tr>
<td></td>
<td>• AR = Customer (the Sponsor or organization billed)</td>
</tr>
<tr>
<td></td>
<td>• Travel = the Employee or student name who traveled or was reimbursed</td>
</tr>
<tr>
<td></td>
<td>• ERA = reference information like the associated Project</td>
</tr>
<tr>
<td></td>
<td>• APCR = the vendor paid or name of payee associated with the check request</td>
</tr>
<tr>
<td></td>
<td>• APInv = name of the vendor for the problem invoice</td>
</tr>
<tr>
<td>Who</td>
<td>Duke Net ID of the person(s) currently able to approve the transaction with a link to generate an email if needed (see steps below for how to use this feature) - a blank in this column along with “Processor” in the Level column indicates there is no specified contact since the transaction is an area that processes the transaction, such as Accounts Payable or Employee Travel and Reimbursement</td>
</tr>
</tbody>
</table>

**Note:** The left navigation pane is displayed by default and the content in the pane may be changed as needed by simply using one of the four buttons on the left.
2. To view a list of all the cost objects included in the report, click on **User Prompt Input** (fourth button down on left).

3. In the resulting **User Prompt Input** pane (left of report), use the scroll arrows to move up and down the list.

4. To view one cost object, select and click **Run**

5. Click **Undo** to return all selected cost objects on the report.

4. If desired, click to choose a Cost Object to use as the filter for the report and click **Run** to filter the report (located in User Prompt Input pane).

5. Use **Undo** button at top of screen to remove the filter and display all transactions for all Cost Objects again.
Workflow Status by Cost Object (cont.)

To Filter the Report by Type of Transaction

1. Click on **Input Controls** (third button down on left – recommended way to filter).

2. In the resulting Input Controls display (left pane), use the scroll arrows to move up and down the list and choose the type of transaction to use as the filter for the report (such as Travel, APCR, JV, etc.).

   Note: Only the workflow types that are displayed in the report will be listed as options. For example, if you don’t have any SECURITY transactions for the time frame selected, you won’t see that option available as a filter.

3. Once filtered, repeat steps to delete the filter by selecting **All Values** (or select a new filter by a different type of transaction).

   Note: This is the recommended way to filter the report. The **Filter Bar** icon is also available as a way to filter and provides a drop-down field in the upper left corner of the report, if preferred.
Workflow Status by Cost Object (cont.)

To Send an Email to the Person Who is Currently Able to Approve the Transaction

1. Click on the net id link displayed in the Who column for the transaction to open a window in your designated email program.

   Note: The email address will default to the alias email address based on the net id displayed in the column. The subject line will reference the workflow item.

2. Comprise the email and send as needed.

To Use Other Features of the Tool Bar

1. To export or print, use Export (recommended method for a printed copy is to export as PDF file and then print).

2. To refresh the report (choose another organizational level), click on Refresh.
Workflow Status Report

Overview
The Workflow Status Report is available for those involved in the approval and workflow process of financial transactions at Duke. The report is selected by BFR Code (10 digit financial organizational unit) and allows you to view the status of certain transactions that are in the workflow process at a given point in time. The results may be filtered to view one type of transaction.

The workflow transactions that are included in this report are:
- Accounts Payable Check Requests (APCR)
- Accounts Receivable (AR)
- Online Expense Reports (denoted as Travel and includes all online travel, out-of-pocket, and corporate card non-travel reports)
- Electronic Research Administration (ERA)
- Journal entries / vouchers (JVs)
- Accounts Payable vendor invoices with problems (APInv) – must run by a parent BFR Code to ensure all APInv are included
- Buy@Duke transactions (B@D)
- Security Administration requests (SECURITY)

The workflow transactions NOT included in this report are:
- Any workflow transactions for iForms (iForms) or the Faculty System (dFac) – those transactions are included in the .iForms Workflow Status reports.

This report is updated on a thirty minute cycle and should not be used to manage deadlines, such as those associated with the month-end closing process.

Please note that there are equivalent reports in other Duke@Work folders as outlined below:
- **Workflow Status Report by Cost Object** – generated for selected Cost Objects and available under both the Finance tab and Grants Management tab in the Sponsored Research Reporting (includes MyResearch Reports) link. Since this report is selected by Cost Object, only workflow transactions associated with a cost object are included, so SECURITY and iForms are excluded.
- **iForms Workflow Status Report** – generated for the workflow status of transactions for iForms and dFac (Faculty system), as those transactions are restricted by Organizational Unit (OAM) access. This report is only available under the iForms page (Reporting tab).
- **Grants Manager iForms Workflow Status by Cost Object** – generated for selected cost object(s) and available under the Grants Management tab in the Effort and Payroll Tools and Reports link, and also under the i Forms tab in the Reporting link (titled as iForms Workflow Status by Cost Object).
Workflow Status Report (cont.)

Accessing and Generating the Report from the Grants Management Tab (refer to next section for accessing from Finance Tab)

1. Click on the **Sponsored Research Reports** link (directly on the underlined text) to display report options.

2. Click on the **Workflow Status Report** link (directly on the underlined text) to display the report’s selection prompts.
Workflow Status Report (cont.)

Accessing and Generating the Report from the Finance Tab (refer to previous section for accessing from Grants Management Tab)

1. Click on the Financial Reports tab (at top on blue bar under Finance).

2. Click on the Workflow Status Report hyperlink (directly on the underlined text) to display another page with reporting options.

3. Click on the Workflow Status Report link (directly on the underlined text) to display the report’s selection prompts.
Workflow Status Report (cont.)

Selecting Criteria and Running the Workflow Status Report

Note: Once the report link has been selected, the following occurs:

- The report opens in a new window or tab depending on your browser settings (ensure popup blockers are off).
- A dialog box will appear to indicate “refreshing data” and will transition to the “Prompts” window shown in the example below.

On the Workflow Status Report page:

1. Option 1: Click Refresh Values to load the entire organization

1. Option 2: Use the search field to enter a value, press Enter and load a specific level of BFR (University) or Cost Center / Cost Center Group (Health System)

Note: The selection for Submitter Org. Unit is by BFR Code for University company codes and by a Cost Center or Cost Center Group for the Hospital / Health System company codes.

1. Use one of the options below to load an organizational level (BFR code for the University or Cost Center / Cost Center Group for the Health System) – you must use a parent BFR Code (higher level) to ensure all APInv (AP vendor invoices with problems) are included in this report, if applicable:

- Option 1 – Use the Refresh Values button to load the entire Duke organizational hierarchy, then choose the level desired.
- Option 2 – Use the search field to enter the entire value or a portion of the value with an asterisk (example BFR 686* or Cost Center Group 3021*) and click Enter on the keyboard to load the desired organizational level.
2. Whether using Option 1 or 2 in the previous step to populate the organizational level(s), use the general tips below to select the organizational level:

- If needed, open the levels with the **Expand** button and find the desired level of BFR Code (University) or Cost Center / Cost Center Group (Health System).
- Use the mouse or cursor to hover over a level and view the corresponding HR/PR Organizational Unit in a pop-up window as needed.
- To view scroll bars if needed, click on a level and the scroll bars will appear; then continue to scroll through and expand the hierarchy as needed.
- Click on the desired organizational level and highlight in blue.
- To complete the selection, click on the **Add** button to select and display the organizational level on the right side of the window and under Prompt Summary.

3. Once all prompt selections are made, click on **Run Query**.
Using the Workflow Status Report

1. Review the columns displayed, as outlined below:

<table>
<thead>
<tr>
<th>Field/Column</th>
<th>Description</th>
</tr>
</thead>
</table>
| Type         | Type of transaction:  
  • JV = Journal Entry / Journal Voucher  
  • AR = Accounts Receivable  
  • Travel = Online Expense Reports (including travel, out-of-pocket, and corporate card no-travel expense)  
  • ERA = Electronic Research Administration  
  • APInv = Accounts Payable vendor invoices with problems  
  • APCR = Online AP Check Request Form  
  • B@D = Buy@Duke transactions  
  • SECURITY = Security Administration requests  
  (See next step to filter by the type of transaction as needed) |
| ID           | Document identifier |
| Org          | 8 digit Organizational Unit (HR/PR org. unit) associated with the person who submitted the transaction |
| BFR Cost Center | 10 digit BFR Code (University) or 9 digit Cost Center (Health System) associated with the organization unit in the previous column |
| Created by   | Duke Net ID of the person who created the transaction |
| Created      | Date transaction was created |
| Received     | Date the transaction was received in this step of the workflow |
| Days         | Number of days between when the transaction was created and when it was received in this step (Created – Received = number of days in workflow process to this step) |

Continued on Next Page
## Workflow Status Report (cont.)

<table>
<thead>
<tr>
<th>Field/Column</th>
<th>Description</th>
</tr>
</thead>
</table>
| **Status**   | Current workflow status of the transaction work item per below:  
• Ready = item has been released for execution and appears in  
  the work lists of all applicable recipients  
• Selected = item has been selected / received by ONE of the  
  recipients and the item is no longer visible to the other recipients  
• Started = item is being processed at a level like the Processor  
  level (central office / functional owner)  
• Committed = transaction work item is awaiting some type of  
  confirmation of completion – not commonly seen |
| **Level**    | Current workflow approval level of the transaction to provide an idea  
  of where the workflow resides in the process such as Draft or Send  
  Back, Employee Review, Processor (central office / functional  
  owner) - examples may also be more specific workflow levels for a  
  transaction, like JV-DEPT / SCHL to indicate a journal voucher is at  
  the department or school level of approval |
| **Description** | Business description of the transaction, such as document header  
  text for some documents, a trip description if travel related, why an  
  invoice was blocked for an APInv transaction, or the business  
  purpose on the APCR transaction |
| **Ref ID**   | ID related to the transaction depending on the type of document |
| **Reference Description** | Reference information depending on the type of transaction, such as:  
  
  • **JV** = Assigned JV Number  
  • **AR** = Customer (the Sponsor or organization billed)  
  • **Travel** = the Employee or student name who traveled or was  
    reimbursed  
  • **ERA** = reference information like the associated Project  
  • **APCR** = the vendor paid or name of payee associated with  
    the check request  
  • **APInv** = name of the vendor for the problem invoice  
  • **SECURITY** = the position description for security requests for  
    employees or a name if the security request is for a non-Duke  
    employee, like Duke Temporary Services or students  
    for Buy@Duke, etc. |
| **Who**      | Duke Net ID of the person(s) currently able to approve the  
  transaction with a link to generate an email if needed (see steps  
  below for how to use this feature) - a blank in this column along with  
  “Processor” in the Level column indicates there is no specified  
  contact since the transaction is an area that processes the  
  transaction, such as Accounts Payable or Employee Travel and  
  Reimbursement |
To Filter the Report by Type of Transaction

Note: The left navigation pane is displayed by default and may be closed and opened as needed by simply using one of the four buttons on the left.

1. Click on **Input Controls** (third button down on left – recommended way to filter).

2. Choose filter type

3. Click **OK**

2. In the resulting Input Controls display (left pane), use the scroll arrows to move up and down the list and choose the type of transaction to use as the filter for the report (such as Travel, APCR, etc.).

   Note: Only the workflow types that are displayed in the report will be listed as options. For example, if you don’t have any SECURITY transactions for the time frame selected, you won’t see that option available as a filter.

3. Click **OK** to filter the report (repeat steps to delete filter by selecting **All Values** or to set a new filter).

   Note: This is the recommended way to filter the report. The **Filter Bar** icon is also available as a way to filter and provides a drop-down field in the upper left corner of the report, if preferred.
To Send an Email to the Person Who is Currently Able to Approve the Transaction

1. Click on the net id link displayed in the Who column for the transaction to open a window in your designated email program.

   Note: The email address will default to the alias email address based on the net id displayed in the column. The subject line will reference the workflow item.

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To Use Other Features of the Tool Bar

1. To export or print, use Export (recommended method for a printed copy is to export as PDF file and then print).

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