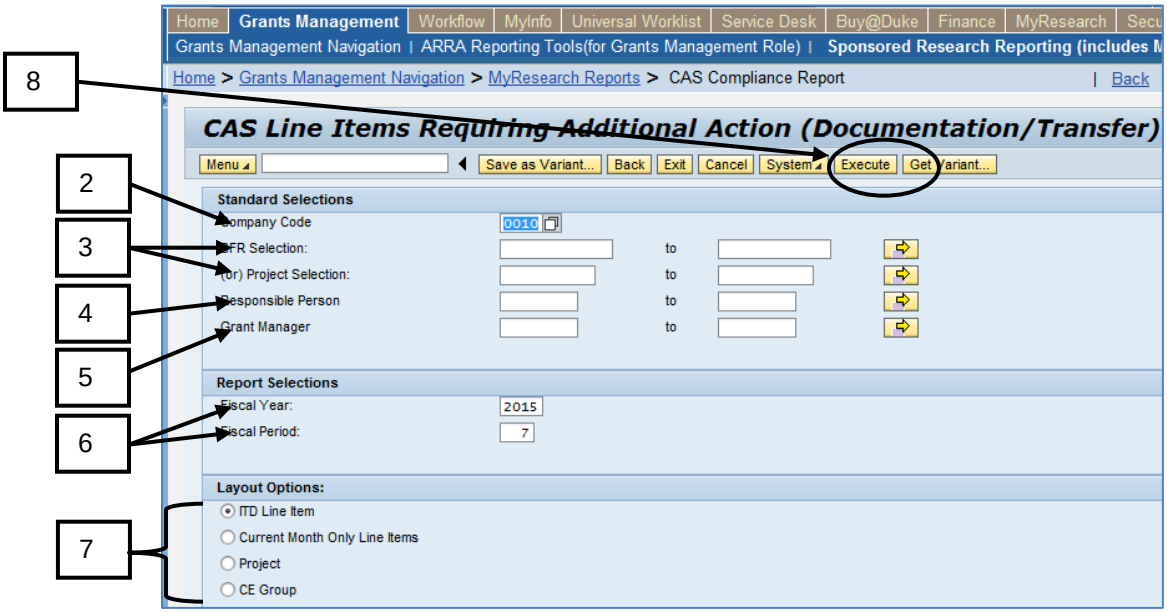
CAS Compliance Report

*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 <u>ONE</u> 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.*

CAS Compliance Report (cont.)

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. *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 is chosen*** *per the next step.*

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

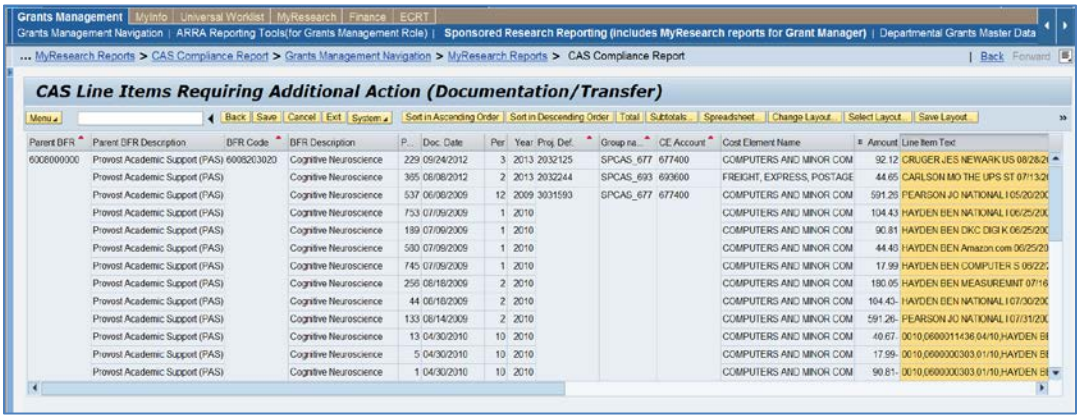
ITD Line Item	Inception To Date Line Item layout option displays ALL line item transactions **inception to date for projects with non-compliant clerical/administrative charges**. Use this layout for cleaning up prior month's line items. The Flag field (last field of the report) denotes why the transaction 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).

CAS Compliance Report (cont.)

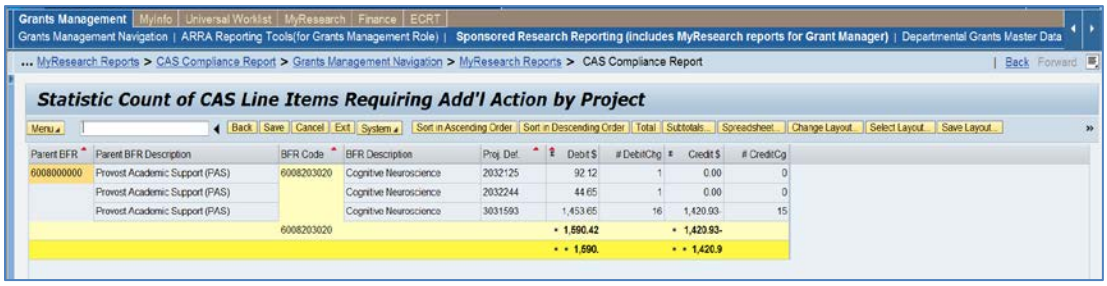
9. Review the information provided for the layout selected - see examples below:

Layout Option Example: ITD Line Item Report

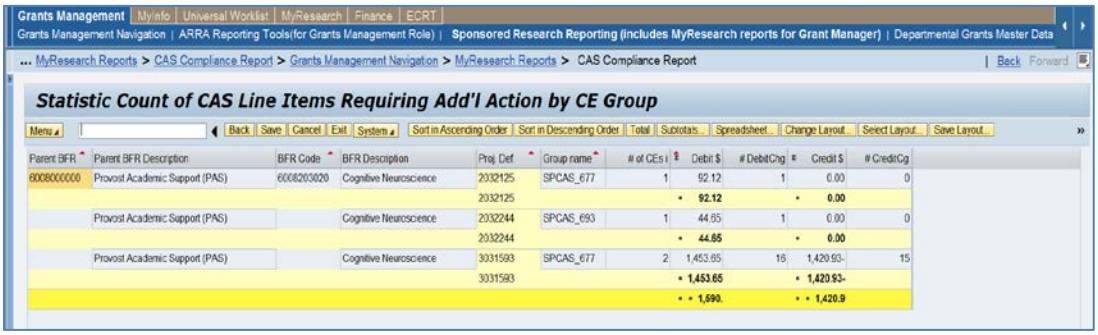


Layout Option Example: Current Month Only Line Items Report

Layout Option Example: Project Report

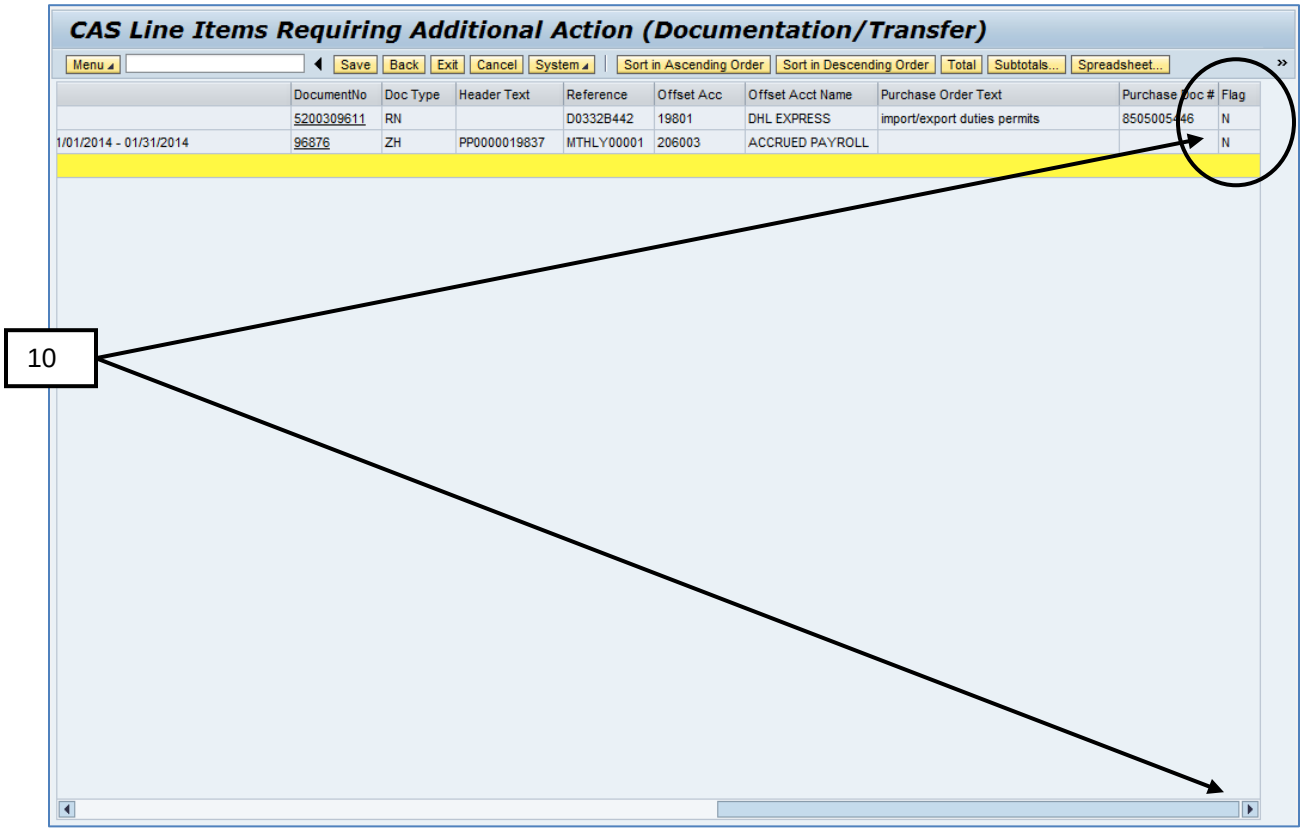


Layout Option Example: CE Group Report



CAS Compliance Report (cont.)

CAS Non-Compliance Flags

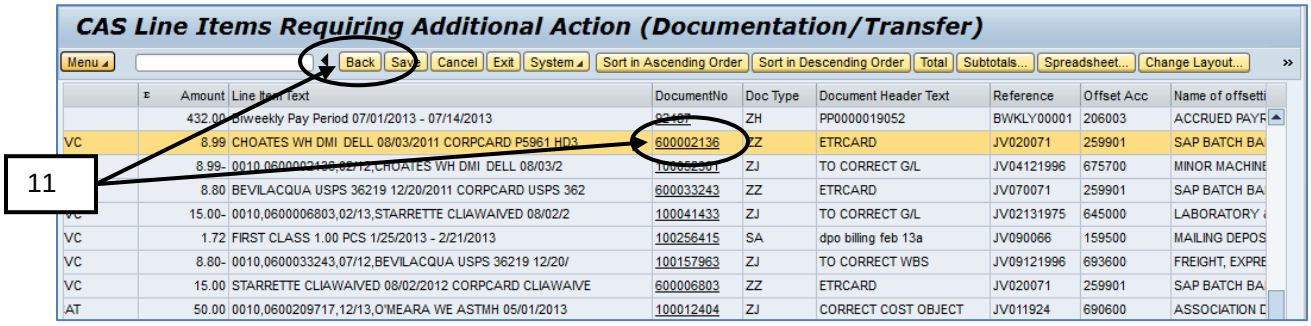


Note: ***Maximize your web screen*** *(box icon to left of Red X in upper right corner) for optimal viewing and to ensure you are able to view all functional buttons on the toolbar.*

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%.

CAS Compliance Report (cont.)

Drill-Down Function



	Amount	Line Item Text	DocumentNo	Doc Type	Document Header Text	Reference	Offset Acc	Name of offsetti
	432.00	Biweekly Pay Period 07/01/2013 - 07/14/2013	[illegible]	ZH	PP0000019052	BWKLY00001	206003	ACCRUED PAYF
VC	8.99	CHOATES WH DMI DELL 08/03/2011 CORPCARD P5961 HD3	600002136	ZZ	ETRCARD	JV020071	259901	SAP BATCH BA
	8.99-	0010,0600002136,02/12,CHOATES WH DMI DELL 08/03/2	[illegible]	ZJ	TO CORRECT G/L	JV04121996	675700	MINOR MACHINE
	8.80	BEVILACQUA USPS 36219 12/20/2011 CORPCARD USPS 362	600033243	ZZ	ETRCARD	JV070071	259901	SAP BATCH BA
	15.00-	0010,0600006803,02/13,STARRETTE CLIAWAIVED 08/02/2	100041433	ZJ	TO CORRECT G/L	JV02131975	645000	LABORATORY
VC	1.72	FIRST CLASS 1.00 PCS 1/25/2013 - 2/21/2013	100256415	SA	dpo billing feb 13a	JV090066	159500	MAILING DEPOS
VC	8.80-	0010,0600033243,07/12,BEVILACQUA USPS 36219 12/20/	100157963	ZJ	TO CORRECT WBS	JV09121996	693600	FREIGHT, EXPRE
VC	15.00	STARRETTE CLIAWAIVED 08/02/2012 CORPCARD CLIAWAIVE	600006803	ZZ	ETRCARD	JV020071	259901	SAP BATCH BA
AT	50.00	0010,0600209717,12/13,O'MEARA WE ASTMH 05/01/2013	100012404	ZJ	CORRECT COST OBJECT	JV011924	690600	ASSOCIATION D

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:

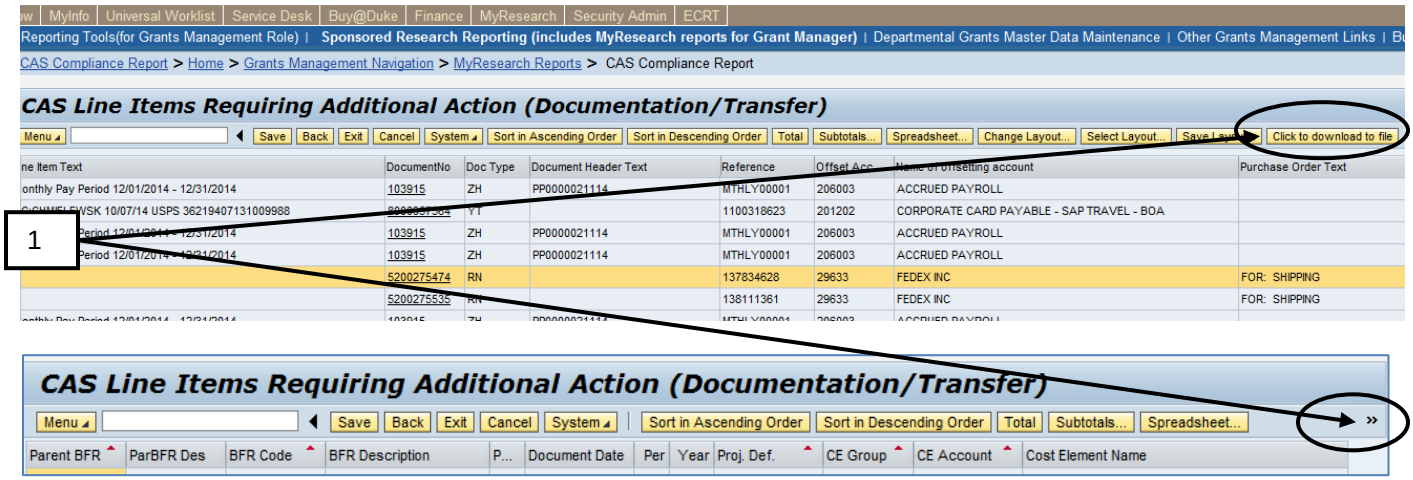
- To drill down to the line item, click on the underlined bolded link of the Document Number (if needed, scroll to the right to find the Document Number column).
- To navigate back to a previous screen, click the **Back** button in the tool (do not use the Back button on your web browser).

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

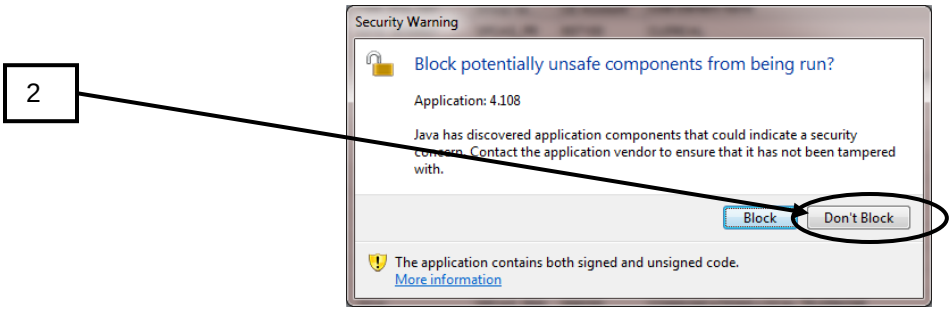
CAS Compliance Report (cont.)

Downloading the CAS Compliance Report to Excel



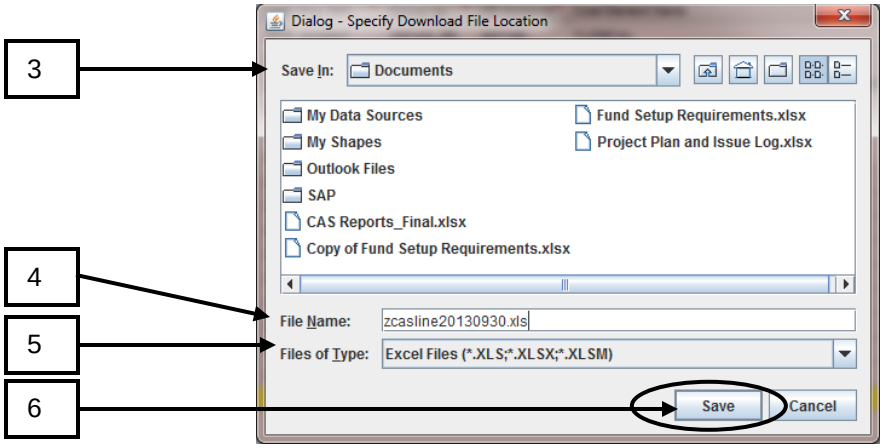
Note: ***Maximize your web screen*** *(box icon to left of Red X in upper right corner) for optimal viewing and to ensure you are able to view all functional buttons on the toolbar. If the screen is minimized to a smaller view, use the small double-arrow on the far right of the tool bar to view a drop-down menu for the buttons not shown.*

1. Click on the **Click to download to file** button and <u>NOTE the following</u>:
   - 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**.

CAS Compliance Report (cont.)

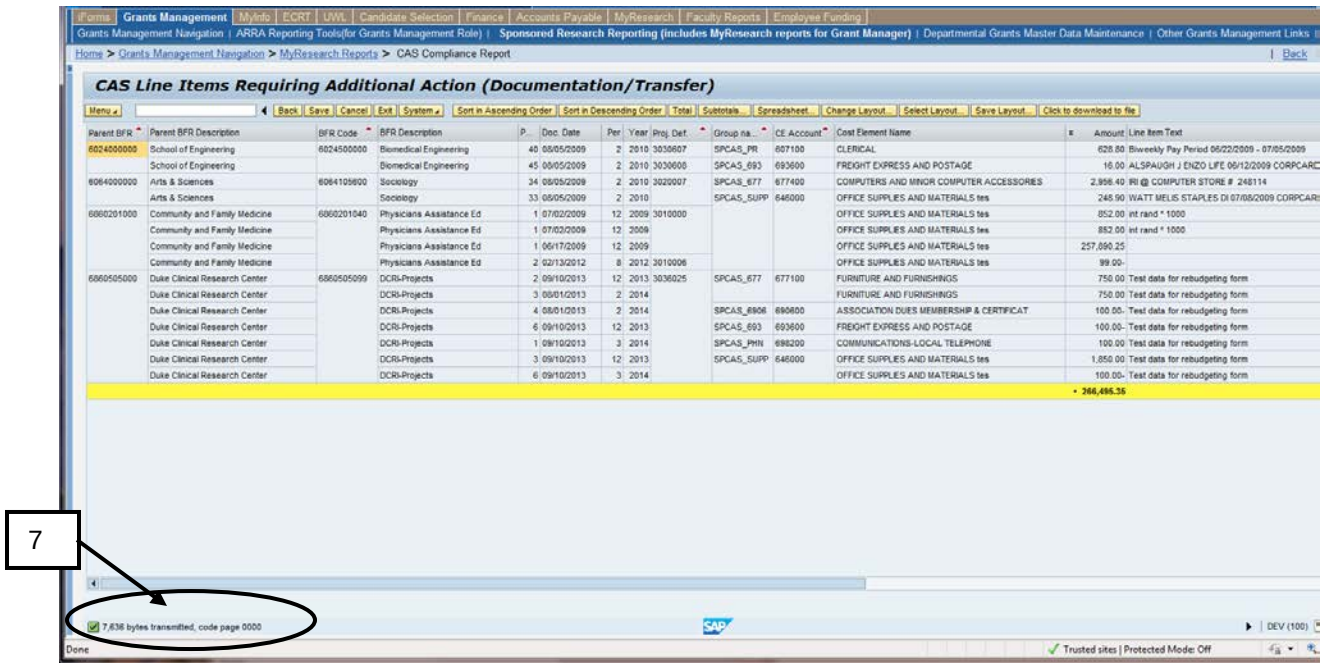


3. Select where to save the file in your directory using the **Save to:** field.

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

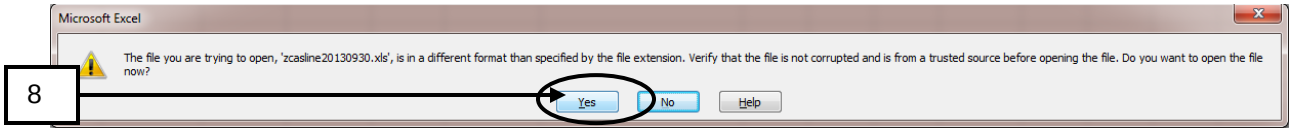
5. Choose “Excel Files” in the **Files of Type:** field.

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

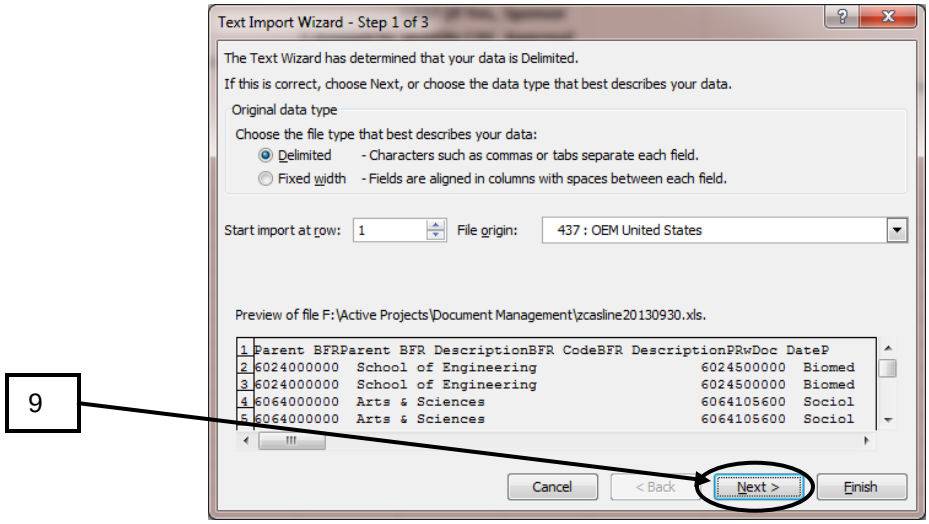


7. Look for the message that will appear in the lower left of the report screen indicating that the file has been created/transferred – go to Excel and find and open the file.

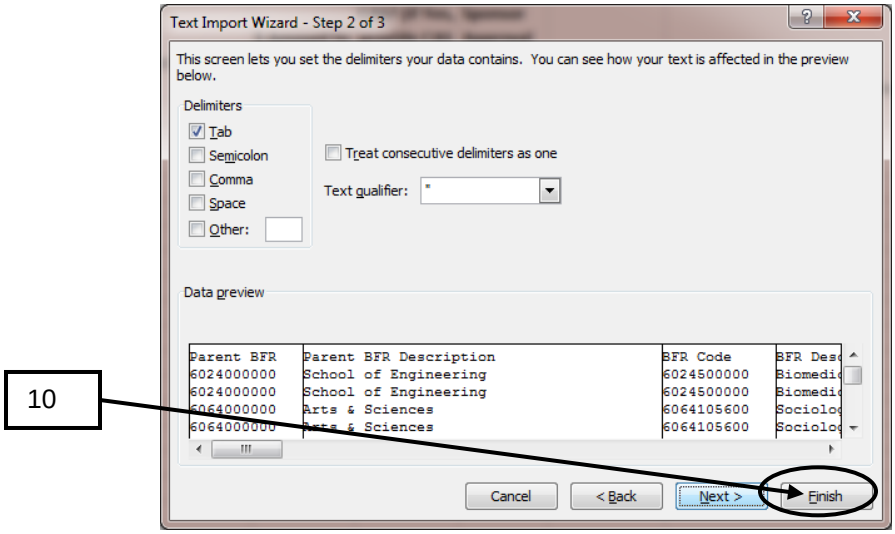
CAS Compliance Report (cont.)



8. At the Microsoft Excel message, click the **Yes** button.

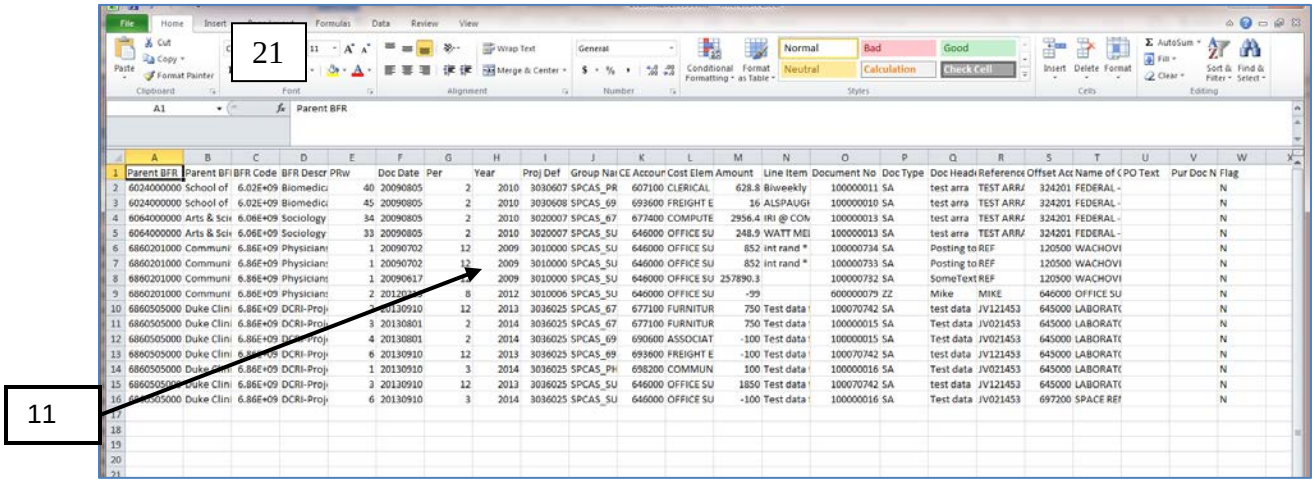


9. When the Text Import Wizard-Step 1 of 3 window opens, click on the **Next>** button.



10. At Step 2 of 3 of the Text Import Wizard, click on the Finish button.

CAS Compliance Report (cont.)



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]