Grants Management Guide

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Accessing the Grants Management Tab

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 guide covers how to access and use the some tools and various reports located in the underlined links for Sponsored Research Reports, MyResearch Reports for Grants Manager, and Effort and Payroll Tools and Reports.

Other links within the Grants Management tab are outlined in specific guides for those links, such as the Projection and Reporting Tool. All guides may be accessed directly from the Grants Management tab in those links.

1. Open a Duke supported web browser and enter the URL of http://work.duke.edu to go to the Duke@WORK web site.

In the resulting Duke University NetID Services screen:

2. Enter your NetID and password.
3. Click on the Enter button.

On the Duke@WORK screen:

4. Click on and select the Grants Management tab (location of tab may vary by user).
Accessing Grants Management Tab (cont.)

Under the *Grants Management* tab:

5. Review the underlined links and brief description of what is contained in each link and click on the link to display and use the various the tools and reports.

*Note:* Refer to the linked instructional guides or quick references within each web page for steps and instructions on how to use the various tools and reports. This guide is linked in the web pages for the Sponsored Research Reports, MyResearch reports for Grant Manager and Effort and Payroll Tools and Reports. Separate guides or quick reference guides are available in the linked web pages for other topics like the Sponsored Research Forms, Workflow, and Image Retrieval and the Projection and Reporting Tool.
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**.
Sponsored Research Reports (cont.)

Under the **Sponsored Research Reports** link:

- **CAS Compliance Report** - identifies CAS non-compliant projects and displays the associated line items. Report also 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](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.
  
  iv. **Financial Reporting Revisions** – includes information on revised Financial Reports to Sponsors.
  
  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](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.
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.
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 ONE** of the 4 different **Layout Options** (see next pages for examples of layouts).

<table>
<thead>
<tr>
<th>Layout Options</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>ITD Line Item</td>
<td>Inception To Date Line Item layout option displays ALL line item transactions</td>
</tr>
<tr>
<td></td>
<td><strong>inception to date for projects with non-compliant clerical/administrative</strong></td>
</tr>
<tr>
<td></td>
<td><strong>charges.</strong> Use this layout for cleaning up prior month’s line items.</td>
</tr>
<tr>
<td></td>
<td>The Flag field (last field of the report) denotes why the transaction is</td>
</tr>
<tr>
<td></td>
<td>non-compliant, as follows:</td>
</tr>
<tr>
<td></td>
<td>- <strong>N</strong> = No Budget</td>
</tr>
<tr>
<td></td>
<td>- <strong>O</strong> = Overspent (by $2500 AND 200%)</td>
</tr>
</tbody>
</table>

   **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.

<table>
<thead>
<tr>
<th>Current Month Only Line Items</th>
<th>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.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project</td>
<td>Project layout option displays the aggregated amount of debits and credits by project. No line item detail or cost element information is provided.</td>
</tr>
<tr>
<td>CE Group</td>
<td>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.</td>
</tr>
</tbody>
</table>

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 Example](image1.png)

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

![Current Month Only Line Items Report](image2.png)

**Layout Option Example: Project Report**

![Project Report Example](image3.png)

**Layout Option Example: CE Group Report**

![CE Group Report Example](image4.png)
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%.
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](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 toolbar to view a drop-down menu for the buttons not shown.

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.
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:

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 Twister 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 Twister 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.
Projects Approaching End Date (cont.)

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).
Projects Approaching End Date (cont.)

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.

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.
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.
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.
Exporting the Results

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.
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 **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.
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).
Workflow Status by Cost Object (cont.)

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).
Workflow Status by Cost Object (cont.)

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
# Grants Management Guide

## 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>
</tbody>
</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, 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 |
| 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 |

*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. 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

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.

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 iForms 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.
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>
<tbody>
<tr>
<td>Type</td>
<td>Type of transaction:</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</td>
</tr>
<tr>
<td></td>
<td>corporate card no-travel expense)</td>
</tr>
<tr>
<td></td>
<td>• ERA = Electronic Research Administration</td>
</tr>
<tr>
<td></td>
<td>• APInv = Accounts Payable vendor invoices with problems</td>
</tr>
<tr>
<td></td>
<td>• APCR = Online AP Check Request Form</td>
</tr>
<tr>
<td></td>
<td>• B@D = Buy@Duke transactions</td>
</tr>
<tr>
<td></td>
<td>• SECURITY = Security Administration requests</td>
</tr>
<tr>
<td></td>
<td>(See next step to filter by the type of transaction as needed)</td>
</tr>
<tr>
<td>ID</td>
<td>Document identifier</td>
</tr>
<tr>
<td>Org</td>
<td>8 digit Organizational Unit (HR/PR org. unit) associated with the person</td>
</tr>
<tr>
<td></td>
<td>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)</td>
</tr>
<tr>
<td></td>
<td>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>
<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</td>
</tr>
<tr>
<td></td>
<td>when it was received in this step (Created – Received = number of</td>
</tr>
<tr>
<td></td>
<td>days in workflow process to this step)</td>
</tr>
</tbody>
</table>

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 APIv 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  
  - **APIv** = 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 |
Workflow Status Report (cont.)

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. 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.

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**.
MyResearch Reports for Grant Managers

The link for MyResearch Reports for Grant Managers includes versions of MyResearch Faculty reports which can be run by Grant Managers in support of their Faculty.

The MyResearch reports were developed specifically for Faculty designated as Person Responsible 1 or 2 (Primary Principal Investigator or Co-Principal Investigator) for WBS Elements and Responsible Person for Cost Centers (specifically for 4xx allocated funds). These reports provide a simplified format that requires no training for those serving as PIs and automatically includes all WBS Elements and Cost Centers tied to a PI or Co-PI in SAP master data for those cost objects.

Faculty have these reports available to use in their MyResearch Home tab on the Duke@WORK portal. These simplified reports are also included in the this link to help those involved in Grants Management view the same reports the Faculty may see under their MyResearch tab and provide support for these reports.

Under the Grants Management tab:

1. Click on the underlined link for MyResearch Reports for Grant Managers.
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:

- **MyResearch Financial Summary Report** – provides a quick one line overview or summary of the status of all cost objects for a selected PI.

- **MyResearch Summary Awards Statement** – provides a detail view of budget versus actual for award-based research codes based on the report selections.

- **MyResearch Summary Fund Balance Statement** – provides a detail view of the fund balance of the discretionary and other 3xx codes per the report selections.

- **MyResearch Transaction Statement** – provides a list of transactions for Cost Objects (Fund Codes) and G/L Accounts belonging to a selected PI for a specified fiscal period.

- **MyResearch Project Summary Report** – lists all the projects for the selected Principal Investigator (PI) – this list includes proposals, active awards and other funds.

- **MyResearch Personnel Report** – provides a list of all personnel currently funded on fund codes for the selected Principal Investigator (PI), including the percent of effort on the Cost Object (Fund Code) each person.

Continued on the next page
MyResearch Reports (cont.)

- **MyResearch Sponsored Required Final Financial Report Status Report** – provides the status of submission of sponsor required financial reports.

- **MyResearch PI Current Effort Distribution Report** – provides the full set of current funding sources for the selected Principal Investigator (PI).

3. Use the **Grants Management Guide** link to access step-by-step instructions for the reports and tools as needed (link not shown in this example).

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.

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 is outlined in the Guide*, including the selections available, the data displayed, the drill-down options, and other advanced functions available in each report.
Tips for Selecting Criteria for Reports Labeled as MyResearch

On the selection screen for each MyResearch Report, please review the tips below for selecting values for some common fields that are required to generate the reports. Please note that other reports not created for “MyResearch” and Faculty will have different selection steps and those are outlined in the respective reports of this guide.

Calendar Month and Year

1. For the **Calendar Month/Year** field, be sure to enter the calendar month and year (NOT fiscal month and year) to be selected for the report (format = mm/yyyy).

   *Note:* This application allows the entry of calendar months and years which will be converted to fiscal months and years to select data for reports. Remember these reports are to support your Faculty, so the fields are different than regular SAP reports.
Tips for Selecting Criteria for MyResearch Reports (cont.)

Finding the Duke Unique ID for a Responsible Person

1. Click on the Drop-down icon in the right side of the field Responsible Person.

2. In the resulting Select Values for Responsible Person screen (shown above):
   - Click on the Drop-down button in the Show view: field
   - Click on Search to select that option.
3. Use the **Person Responsible** field (now displaying at the **TOP of the screen**) as follows:
   - Ensure that **Text** is selected in the first field displayed (drop-down and select if not).
   - Enter the **last name of the Principal Investigator (PI) or Co-PI** in all **UPPER case** and **enclosed in asterisks (**)** – (see example show above of **"HAYNES"**).
   - Click the **Search** button to display the results of the search.
4. In the Search section on the left side of the screen, review the resulting search list and select a Person Responsible / Principal Investigator (PI) as follows:

- Identify the PI desired by either the Key (Duke Unique ID) or Text (Name).
- Click on the box to the left of the desired row to select

Note: IF TWO NAMES LISTED WITH NUMBERS, CHOOSE THE ONE WITH A NUMBER THAT LOOKS LIKE A DUKE UNIQUE ID OF 5 DIGITS OR MORE – note that the lower numbers are populated from years ago when numbers were just assigned and are no longer valid entries.

- Click on the Add button to display the selected Responsible Person’s Duke Unique ID and Name in the Selections section on the right.
- Click the OK button to close this window and populate the Duke Unique ID and Name chosen in the Responsible Person field on the previous selection screen.
Tips for Selecting Criteria for MyResearch Reports (cont.)

5. **Review the value populated** for the **Responsible Person** to ensure the correct selection was made.

6. Click **OK** to execute the report when ready.

**Selection Screen Variants**

**To save a selection screen variant:**

*Note:* A selection screen variant allows you to populate the selection fields and save that data as a named variant for future use. A variant saves keystrokes by populating the data, and can be changed or deleted as needed.

1. Enter values in the selection fields as desired.

2. In the **Available Variants:** field, click on the **Save As...** button.
Tips for Selecting Criteria for MyResearch Reports (cont.)

3. In the Save Variant window:
   - Ensure a check mark is displayed in the the Save As User Variant check box.
   - Enter a name for the variant in the Description field (free text, enter a relevant name to help you identify the variant).

4. Click on the OK button to complete the save process.

To use a selection screen variant on a selection screen:

1. Click in the Available Variants input field and click on the Drop-down button to view the available variants.

2. Click on the variant name/description to choose the variant and populate the data in the selection fields below.
3. Review the populated selection fields and adjust the data as needed.

To change or delete a selection screen variant:

**Note:** A selection screen variant allows you to populate the selection fields and save that data as a named variant for future use. A variant saves keystrokes by populating the data, and can be changed or deleted as needed.

1. Click in the **Available Variants** input field and click on the **Drop-down** button to view the available variants.

2. Click on the **variant name/description** to choose the variant to be changed or deleted.
3. To change the variant, make any adjustments to the fields that are populated.

4. Click on the **Save** button to update the variant (to create a new variant use the **Save As...** button and provide a new name).

5. To delete the variant, simply ensure the correct variant is displayed and click on the **Delete** button (this option will remove the variant from the Available Variants list).

*Note:* Use caution when deleting a variant. The Delete function removes the variant from the Available Variants list and cannot be undone.
MyResearch Financial Summary Report

*Note:* The report provides a quick one line overview or summary of the status of all cost objects for a selected PI.

1. From the MyResearch Reports page, click on the **MyResearch Financial Summary Report** (underlined link) to display the report’s selection screen.

On the **MyResearch Financial Summary Report Variable Entry** page:

2. Enter the **calendar month and year** (NOT fiscal month and year) to be selected for the report in the **Calendar Month/Year** field.

   *Note:* This application allows the entry of calendar months and years which will be **converted to fiscal months and years** to select data for reports.

3. Enter the **Duke Unique ID (DUID)** for a particular **Principal Investigator (PI)** in the **Responsible Person** field or search by name for the DUID via the steps outlined in the **Tips for Selecting Criteria for Reports Labeled as MyResearch** section of this Guide.

4. If desired, click on the **Check** button to display and verify the name associated with the DUID entered in the Responsible Person field (name displays in the Description field).

5. After completing the desired selection fields, click on the **OK** button.
On the resulting MyResearch Financial Summary Report:

6. Use the right mouse click on columns or line items for advanced functions (see the Other Reporting Functions section of this Guide).

7. 

8. 

9. 

10 & 11 Use the right mouse click on columns or line items for advanced functions (see the Other Reporting Functions section of this Guide).
6. Use the Expand tray / Collapse tray buttons to open or close the trays containing each report section (some trays are already open by default).

7. Review the three sections of the report and note the following for each section:

   First section: **GM Summary Award 1-Line Statement, Direct & Indirect Cost**
   - The tray is closed on this section by default, so use the Expand tray to open this section.
   - Compares the Award budget to actual expenditures for both direct and indirect expenditures.

   Second section: **Projects (Support Summary Award 1-Line Statement - Direct Cost Only)**
   - Lists all the award-based 2xx and 3xx sponsored research codes for the PI selected.
   - Compares the Award budget to actual expenditures for direct costs only for the current month, current fiscal year to date, and since the inception of the project.
   - Displays the commitments (encumbrances) along with the remaining balance.
   - Highlights the Ending Balance in red for any code in which the expenses exceed the budget (overexpended).

   Third section: **GM Support One Line Fund Balance Statement**
   - Lists all of your non-sponsored 2xx and 3xx codes such as discretionary codes, gift codes, etc. as well as your 4xx allocated codes.
   - Identifies the Fund Balance at the beginning of the fiscal year, revenues and expenses since the beginning of the fiscal year, and the current ending fund balance.
   - Highlights any fund with an unfavorable ending fund balance by showing that balance in red.
   - Indicates a favorable balance as a credit (negative) amount, and indicates an unfavorable (overexpended) balance as a debit (positive) amount.

8. Use the Legend section at the bottom of the report for tips and instructions on options available, as needed.
9. Review the bottom of each section to see the number of rows currently displayed and the total number rows, and use buttons to scroll up or down as follows:

- Next Line / Next Page / Last Entry (Page)
- Previous Line / Previous Page / First Entry (Page)

Note: To go to a specific line, enter the line item number in the white display field and press Enter on the keyboard.

10. To change the order of the columns and thus the sorting of the report (example from Cost Object view to a PI sorted view, use the click and drag and drop feature with column headings – refer to Other MyResearch Report Functions in the Guide.

11. To perform other report functions (such as Swap… with, Print, or Export as):

- Use the right mouse click (Windows) OR click (Mac) on column headings or individual line items and click on the desired advanced option.

- One recommendation for this report is to click on the PI (or Resp. Person) column heading (must click directly on the heading) and use the Change Drilldown > Swap PI with OR Swap Resp. Person with > Cost Object (Fund Code) for useful results.

- Refer to Other MyResearch Report Functions in the Guide for detailed steps.
MyResearch Summary Awards Statement

Note: The report provides a summary for all of your award-based Cost Objects (Fund Codes).

1. From the MyResearch Reports page, click on the MyResearch Summary Awards Statement (underlined link) to display the report’s selection screen.

On the MyResearch Summary Awards Statement Variable Entry page:

2. To run the report for a particular Principal Investigator (PI), enter the Duke Unique ID (DUID) for the PI in the Responsible Person field or search by name to find the DUID per the Tips for Selecting Criteria for Reports Labeled as MyResearch section of this Guide.

3. If desired, click on the Check button to display and verify the name associated with the DUID entered in the Responsible Person field (name displays in the Description field).

4. Enter the calendar month and year (NOT fiscal month and year) to be selected for the report in the Calendar Month/Year field.

   Note: This application allows the entry of calendar months and years which will be converted to fiscal months and years to select data for reports.

5. After completing the desired selection fields, click on the OK button.
Summary Awards Statement (cont.)

On the resulting Support Summary Award Statement:

![Image of Support Summary Award Statement]

**Note:** The default view is for **all award based projects** to be displayed for the PI selected. Use the **Other Reporting Functions** section of the Guide to filter to specific cost objects/projects as desired.

6. Review the **columns** that provide details for each award by the General Ledger account (formerly known as the object code), as outlined below:

   - **Cost Object** – Number and description of the seven digit fund code.
   - **PI** - Duke Unique ID and name of the Principal Investigator (Person Responsible).
   - **Account Description and Account number** – The description and six digit number for each General Ledger (GL) Account (formerly known as object code).
   - **ITD Budget** – Inception-to-date Award Budget.
   - **Current Month Actual** – Actual expenditures for the fiscal month selected.
   - **FYTD Actual** - Fiscal year-to-date actual expenses.
   - **ITD Actual** – Inception-to-date actual expenses since the beginning of the project.
   - **Commitments** - Any Commitments of purchases to vendors from outstanding Purchase Orders where invoices have not yet been paid to the vendor.
   - **Balance** – The balance is calculated as the **ITD Budget less ITD Actual less Commitments**, and any negative balance will be shown in red.

7. Review the **subtotals** for major expense categories such as Salaries and Wages, Fringe Benefits, Supplies, Indirect Costs, etc. (note that the default setting is to display the detail for each GL Account, such as 600000, etc., and the subtotals).
8. Use the **Legend** provided at the bottom of each screen to identify the meaning of icons or special characters in the report as outlined in the next steps.

9. If desired, click on the **Collapse** (triangle shaped) button beside each subtotal to collapse the report to a more summarized view (see collapsed view above).

   **Note:** If a subtotal is collapsed, use the **Expand** (triangle shaped) button beside each subtotal to expand the report back to a more detailed view.

10. Review the bottom of each section to see the number of rows currently displayed and the total number rows, and use buttons to scroll up or down as follows:
    - **Next Line** / **Next Page** / **Last Entry** (Page)
    - **Previous Line** / **Previous Page** / **First Entry** (Page)
    
    **Note:** To go to a specific line, enter the line item number in the white display field and press Enter on the keyboard.

11. Note that amounts in the **Balance** column for any code in which the expenses exceed the budget (overexpended) are **highlighted in red**.
12. To change the order of the columns and thus the sorting of the report use the **click and drag and drop** feature with column headings – refer to **Other MyResearch Report Functions** in the Guide for the details (NOTE: This is the same as the “Swap with” functionality - example from Cost Object view to a PI sorted view).
MyResearch Summary Fund Balance Statement

Note: The report provides a summary of the fund balance for all of your non-award-based Cost Objects (Fund Codes), including discretionary funds, gift funds, and other non-award funds.

1. From the MyResearch Reports page, click on the MyResearch Summary Fund Balance Statement (underlined link) to display the report’s selection screen.

On the MyResearch Summary Fund Balance Statement Variable Entry page:

2. To run the report for a particular Principal Investigator (PI), enter the Duke Unique ID (DUID) for the PI in the Responsible Person field or search by name to find the DUID per the Tips for Selecting Criteria for Reports Labeled as MyResearch section of this Guide.

3. If desired, click on the Check button to display and verify the name associated with the DUID entered in the Responsible Person field (name displays in the Description field).

4. Enter the calendar month and year (NOT fiscal month and year) to be selected for the report in the Calendar Month/Year field.

Note: This application allows the entry of calendar months and years which will be converted to fiscal months and years to select data for reports.

5. After completing the desired selection fields, click on the OK button.
On the resulting **Summary Fund Balance Statement**:  

Note: The default view is for all non-award based projects to be displayed for the PI selected. Use the Other MyResearch Report Functions in the Guide to filter to specific cost objects/projects as desired.

6. On the report, review the columns that provide details for each non-award fund by the General Ledger account (object code), as outlined below:
   - **Cost Object** – Number and description of the seven digit fund code.
   - **Resp. Person** - Duke Unique ID and name of the Principal Investigator (Person Responsible).
Summary Fund Balance Statement (cont.)

- **Account Description and Account number** – The description and six digit number for each General Ledger (GL) Account (formerly known as object code).
- **Current Month** – Actual expenditures for the fiscal month selected.
- **FYTD Actual** - Fiscal year-to-date actual expenses.

7. Review the **Beginning Balance** rows that display the fund balance at the beginning of the fiscal year for certain Cost Objects (Fund Codes).

8. Review the **Ending Balance** rows that display the ending fund balance as of the fiscal month selected per the guidance below:
   - On this type of report, **favorable balances** are indicated by a **credit (negative)** amount.
   - Any **unfavorable or “overexpended” balances** are indicated by a **debit (positive)** amount and will be shown in red.

9. Review the **subtotals** for Revenues and Expenses (note that the default setting is to display the detail for each GL Account, such as 600000, etc., and the subtotals).

10. Use the **Legend** provided at the bottom of each screen to identify the meaning of icons or special characters in the report as outlined in the next steps.

11. If desired, click on the **Collapse (triangle shaped)** button beside each subtotal to collapse the report to a more summarized view (see collapsed view above).

   **Note:** If a subtotal is collapsed, use the **Expand (triangle shaped)** button beside each subtotal to expand the report back to a more detailed view.

12. Review the bottom of each section to see the number of rows currently displayed and the total number rows, and use buttons to scroll up or down as follows:

   - Next Line / Next Page / Last Entry (Page)
   - Previous Line / Previous Page / First Entry (Page)

   **Note:** To go to a specific line, enter the line item number in the white display field and press Enter on the keyboard.

13. Note that amounts in the **Balance** column for any code in which the expenses exceed the budget (overexpended) are **highlighted in red**.
14. To change the order of the columns and thus the sorting of the report use the click and drag and drop feature with column headings – refer to Other MyResearch Report Functions in the Guide for the details (NOTE: This is the same as the “Swap with” functionality - example from Cost Object view to a Responsible Person sorted view).
MyResearch Transaction Statement

Note: The report provides detailed transaction (line item) data for all Cost Objects (Fund Codes) for which you have responsibility.

1. From the MyResearch Reports page, click on the MyResearch Transaction Statement (underlined link) to display the report’s selection screen.

On the My Research Transaction Statement Variable Entry page:

2. To run the report for a particular Principal Investigator (PI), enter the Duke Unique ID (DUID) for the PI in the Responsible Person field or search by name to find the DUID per the Tips for Selecting Criteria for Reports Labeled as MyResearch section of this Guide.

3. If desired, click on the Check button to display and verify the name associated with the DUID entered in the Responsible Person field (name displays in the Description field).

4. Enter the calendar month and year (NOT fiscal month and year) to be selected for the report in the Calendar Month/Year field – to display transactions for only one calendar month, enter the same values in from and to fields.

   Note: This application allows the entry of calendar months and years which will be converted to fiscal months and years to select data for reports.

5. After completing the desired selection fields, click OK button.
On the resulting Transaction Statement:

6. On the report, review the columns, subtotals, and totals that provide details for the transactions as outlined below:

- **Cost Object** – Number and description of the seven digit fund code.
- **Account** – The six digit number and description for each General Ledger (GL) Account (formerly known as object code).
- **Document date** – The date of the transaction.
- **Fiscal Month** – The fiscal month in which the transaction was posted.
- **FY** – The Fiscal Year in which the transaction was posted.
- **Line Item Text** – The description of the transaction.
- **Offset Acct Desc** – An additional description; the vendor name will appear in this column if the transaction is for the payment of an Accounts Payable invoice.

8. If there is more than one page, the Page navigation buttons would show under the Grand Total for the report.
Transaction Statement (cont.)

- **Amount** – The amount of the transaction
- **Results rows** – The results rows provide subtotals for each G/L Account as well as Grand Totals by each Cost Object (Fund Code).

7. Use the **Legend** provided at the bottom of each screen to identify the meaning of icons or special characters in the report as outlined in the next steps.

8. Review the bottom of each section to see the number of rows currently displayed and the total number rows, and use buttons to scroll up or down as follows:
   - **Next Line** / **Next Page** / **Last Entry** (Page)
   - **Previous Line** / **Previous Page** / **First Entry** (Page)

   *Note:* To go to a specific line, enter the line item number in the white display field and press Enter on the keyboard.
MyResearch Project Summary Report

Note: The report provides the balance for all projects for a selected PI, including proposals, active awards, and other funds.

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

On the MyResearch Project Summary Report Variable Entry page:

2. Enter the calendar month and year (NOT fiscal month and year) to be selected for the report in the Calendar Month/Year field.
   
   Note: This application allows the entry of calendar months and years which will be converted to fiscal months and years to select data for reports.

3. To run the report for a particular Principal Investigator (PI), enter the Duke Unique ID (DUID) for the PI in the Responsible Person field or search by name to find the DUID per the Tips for Selecting Criteria for Reports Labeled as MyResearch section of this Guide:

4. If desired, click on the Check button to display and verify the name associated with the DUID entered in the Responsible Person field (name displays in the Description field).

5. After completing the desired selection fields, click OK button.
6. Review the **three sections** of the report as outlined in the next steps – **Proposed Projects**, **Active Projects**, and **Fund Balance**.
Project Summary Report (cont.)

7. First section: Proposed Projects – lists each proposed project for the selected PI (recommended that report be selected by PI) and includes the following data elements for each proposal (based on data from the SPS system):
   - **SPS #** - The SPS number associated with the proposal
   - **Proposal Title** – The title of the proposal associated with the SPS number.
   - **Status** – The status of the proposal in the SPS system.
   - **Agency ID** – The ID number of the proposal as provided by the agency. If not yet submitted, then the Agency ID is shown as “not assigned”.
   - **Current Budget Start Date** – The proposed start date of the project.
   - **Current Budget End** – The proposed end date of the project.
   - **Sponsor** – the ID of the sponsoring agency or entity.
   - **PI** – the Duke Unique ID and name of the PI on the proposal.
   - **Human Subj** – A Yes indicates Human Subjects are included in the proposal.
   - **Animals** – A Yes indicates that Animals are included as part of the proposal.
   - **Current Annual Directs** – The total Direct Cost budget for the proposal.

8. Second section: Active Projects – lists each active awarded grant for the selected PI (recommended that report be selected by PI) and includes the following data elements for each award (based on data from SAP):
   - **Cost Object** – the SAP cost object (fund code) number for the award.
   - **Cost Object Description** – the name of the Cost Object in SAP.
   - **Parent** – If the Cost Object is a subcode, this column contains the parent Fund Code. If the Cost Object is a parent code, then the subcode will be the same value.
   - **SPS #** - The SPS number of the proposal associated with this award.
   - **PI** – the Duke Unique ID and name of the PI in SAP.
   - **BFR** – the 10 digit BFR code and description associated with the project.
   - **Sponsor** – Description of the sponsor as recorded in SAP included the particular agency or institute.
   - **Start Date** – the start date of the project in SAP
   - **Finish Date** – the end date of the project in SAP
   - **Fed** – a Yes means the project is federally funded

Continued Next Page
• **Balance Direct Costs** – reflects the **Balance Available of the Direct Cost budget for the award**. This is calculated as **Inception-to-Date budget less Inception-to-Date actuals less Commitments**. If the actuals plus commitments exceed the budget, the balance will show in red.

• **Balance Total Costs** – reflects the **Balance Available of the Total Costs budget for the award, including Direct and F&A (indirect)**. This is calculated as **Inception-to-Date budget less Inception-to-Date actuals less Commitments**. If the actuals plus commitments exceed the budget, the balance will show in red.

9. **Third section: Fund Balance** – lists the fund balances for all other non-award based Cost Objects (Fund Codes) including discretionary funds, gift funds, and other non-award funds.

• Refer to the **Summary Fund Balance Statement** section of this Guide for more details on the data in this section.

10. To change the order of the columns and thus the sorting of the report (example from Cost Object view to a PI sorted view, use the click and drag and drop feature with column headings – refer to the **Other MyResearch Report Functions** in the Guide.
MyResearch Personnel Report

Note: The report provides all personnel currently funded on Cost Objects (Fund Codes) for the selected PI, including the percent of effort for each employee on the selected Cost Objects.

1. From the MyResearch Reports page, click on the MyResearch Personnel Report (underlined link) to display the report’s selection screen.

On the MyResearch Personnel Report Variable Entry page:

2. To run the report for a particular Principal Investigator (PI), enter the Duke Unique ID (DUID) for the PI in the Responsible Person field or search by name to find the DUID per the Tips for Selecting Criteria for Reports Labeled as MyResearch section of this Guide:

3. After completing the desired selection fields, click Check and OK buttons.

On the resulting MyResearch Personnel Report:

4. Review the columns of data as follows:
   - **Cost Object** - The 7 digit Cost Object (Fund Code) and description.
   - **Person** – the Duke Unique ID (DUID) and name of the employee funded from the Cost Object (Fund Code).
   - **Organizational Unit** – The 8 digit HR/Payroll organizational unit, as well as the associated 10 digit financial Org. Unit (BFR Code) and description to help identify the school or division.
   - **Valid From** – The date that the percentage is valid from based on the most recent cost distribution processed in SAP (could be from a future dated cost distribution if already processed).
   - **Cost Object Percent** – The percentage funded from this Cost Object (Fund Code) for that employee.
MyResearch Sponsor Required Final Financial Report Status

Note: The report provides the status of submission of sponsor required financial reports.

1. From the MyResearch Reports page, click on the MyResearch Sponsor Required Final Financial Report Status Report (underlined link) to display the report’s selection screen.

On the MyResearch Sponsor Required Final Financial Report Status Report Variable Entry page:

2. To run the report for a particular Principal Investigator (PI), enter the Duke Unique ID (DUID) for the PI in the Responsible Person field or search by name to find the DUID per the Tips for Selecting Criteria for Reports Labeled as MyResearch section of this Guide:

3. After completing the desired selection fields, click Check and OK buttons.
Sponsor Required Final Financial Report Status (cont.)

On the resulting MyResearch Sponsor Required Final Financial Report Status Report:

4. Review the columns of data as follows:
   - **Fund Code** - The 7 digit Cost Object (Fund Code) and description.
   - **Sponsor** – the name of the Sponsor that requires the financial reports for the Cost Object (Fund Code).
   - **Project End Date** – The end date for the Project.
   - **Financial Report** – the type of financial report that is required.
   - **Financial Report Due Date** – the date that the Financial Report is due to the Sponsor.

5. Use this chart for meaning associated with the status of the financial report as needed:

<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>INITIAL</td>
<td>Preparation of report not yet complete</td>
</tr>
<tr>
<td>PREPARED</td>
<td>Preparation of report complete, but not yet reviewed and approved</td>
</tr>
<tr>
<td>APPROVED</td>
<td>Report has been approved for submission</td>
</tr>
<tr>
<td>COMP_BNS</td>
<td>Report has been completed but will not be submitted at this time – reasons can vary</td>
</tr>
<tr>
<td>ENTER_OL</td>
<td>Report is ready to be submitted to sponsor on-line</td>
</tr>
<tr>
<td>SUB_OL</td>
<td>Final report was submitted on-line to the sponsor</td>
</tr>
<tr>
<td>SUB_PAPER</td>
<td>Final report was submitted via mail to sponsor (paper)</td>
</tr>
<tr>
<td>CERT_PAPER</td>
<td>Final report was certified by appropriate OSP personnel, awaiting submission</td>
</tr>
<tr>
<td>NOTIFIED</td>
<td>Final report complete</td>
</tr>
</tbody>
</table>

*Note: For assistance with this report, please contact your Office of Sponsored Programs liaison.*
MyResearch PI Current Effort Distribution Report

Note: The report provides a full set of current funding sources for the selected Principal Investigator (PI).

1. From the MyResearch Reports page, click on the MyResearch PI Current Effort Distribution Report (underlined link) to display the report’s selection screen.

On the MyResearch PI Current Effort Distribution Report Variable Entry page:

2. To run the report for a particular Principal Investigator (PI), enter the Duke Unique ID (DUID) for the PI in the Duke Unique ID – Single Value field or search by name to find the DUID per the Tips for Selecting Criteria section of this Guide:

3. After completing the desired selection fields, click Check and OK buttons.

On the resulting MyResearch PI Current Effort Distribution Report:

4. Review the columns of data as follows:
   - Employee – the Duke Unique ID (DUID) and name of the selected PI.
   - Job – the title associated with the job code.
   - Organizational Unit of Employee – the 10 digit BFR Code (Org. Unit) for the funding source (i.e., to which the Cost Object belongs).
   - Cost Object – the 7 digit Cost Object (Fund Code) and description.
   - Valid From – the beginning date from which the current funding was valid.
   - Valid To – the ending date to which the current funding will be valid (if changes are made in the funding source, then the Valid To date will have a fixed end date vs. the open ended date of 12/31/9999).
   - Cost Object Percent – The percentage funded from this Cost Object (Fund Code) for the selected PI.
Other MyResearch Report Functions

Note: Most MyResearch reports allow the manipulating of the report data to different views of the report. This includes the click, drag, and drop functionality, as well as the right mouse click functionality. The right mouse click functionality is similar to the functionality in SAP BW for those users that have experience with that tool.

Overview of Report Functions Available

1. Use the click, drag, and drop function to change the view of the report by moving columns of data to provide a different sort/view, for instance, from a cost object view (WBS Element) to a PI (Responsible Person) view (see Swap with steps in next pages).
2. Use the **right mouse click (Windows) OR click (Mac)** function on either a **column heading** or **individual line item row** within the columns of data (such as the **7 digit Cost Object** or an **amount for current month**, **FYTD**, **ITD**, etc) to perform the following options:

- **Change Drilldown** – Contains the **Swap… with** function (name varies by column chosen) to change the analysis presented by “swapping” columns, such as changing from a Cost Object view to a view of the data by PI. **This can also easily be done using the click, drag, and drop functionality.**
- **Filter** – to filter a report by the selections available.
- **Sort (name varies by column chosen)** – to sort the column of data by text or key (number) in ascending or descending order).
- **Back One Navigation Step OR Back to Start** – to remove/undo a previous function or step performed or to return to the standard view of the report and remove all previous functions.
- **Broadcast and Export** – to export the report to an Excel file or a CSV (Comma Separated Value) file.
- **Print Version** – to print the report (steps vary depending on MyResearch report).

3. Use specific steps in this section of the guide to perform the functions outlined.
Using the “Swap with…” Function to Change View of Data

**Note:** Use the **click, drag, and drop function** to easily swap the view of the report data by exchanging the primary column of data with another. The **Swap with…** function allows you to change the data presented by “swapping” columns, which changes how the report data is sorted, subtotaled and displayed (example, from a display of all amounts by Cost Object (Fund Code) to a display of all amounts by PI). **This Swap with…** function is also available as a right mouse click option.

1. Note how the original MyResearch report is displayed / sorted (such as listed by Cost Object, then PI or Resp. Person, as many of the reports are sorted).

2. Decide how you would like the report to be displayed / sorted (example: by PI versus by Cost Object).

3. **Click once (left click) and hold the click** on the column heading to be used as the primary view/sort (click right on the text of the column heading – in this example PI) and hold the mouse click while moving the column.

4. Move the cursor/mouse until a **black line indicator** is displayed between columns – position the mouse/cursor so that the black line indicator is to the right of the column to be “swapped”.

1 2 3 4
Other MyResearch Report Functions (cont.)

5. Release the right mouse click to "swap" the column selected with the column to the left of the black line indicator – notice the same report data is now sorted/displayed differently (in this example, by PI instead of by Cost Object).

Filter Data or Refresh the Selection Criteria in a Report

1. From any MyResearch report, right mouse click (Windows) OR click (Mac) on any column or item cell within the report.

2. In the resulting window, click on Filter option and click on the desired option as follows:

   - **Select Filter Value** – to filter on selections provided.
   - **Variable Screen** – to refresh the query using the Variable Entry selection screen to select different values and run a new report.
3. In the resulting window of filter values (varies by column selected and report), click on the gray box beside the values that are to be filtered for the report to select those values (will be highlighted in gold).

4. Click on the Add button to display the selected values on the right side of the screen.

5. Once all selections for the filter are made, click on the OK button to complete the process.

   Note: Click on the box beside a selection on the right side under Selections and use the Remove button to “deselect” any items if needed.
6. To remove the filter value if needed, right mouse click (Windows) OR click (Mac) on any column or item cell within the report.

7. In the resulting window, click on Filter option and click on the Remove Filter Value option.

**Change the Sort of a Column**

1. Simply click on the triangle icon beside the column heading text to change the sort from the current (example ascending by cost object) to a different option (like descending order).

   **Note:** The right mouse click option on the column heading may also be used. In the resulting box, select Sort (name varies by column selected) by option and then select from the choices.
Other MyResearch Report Functions (cont.)

Undo Steps or Functions Using the Back Function

1. From any MyResearch report, **right mouse click (Windows) OR click (Mac)** on any column or item cell within the report.

2. In the resulting window, click on **Back** option and choose either option:
   - **Back One Navigation Step** - to undo the latest action taken
   - **Back to Start** – to return to the original standard view of the report and undo all changes or actions taken.
Export a Report

1. From any MyResearch report, **right mouse click (Windows) OR click (Mac)** on any cell or item within the report.

2. In the resulting window, click on **Broadcast and Export** option and click on your **desired choice** as outlined below:
   - **CSV File** – to create a comma delimited flat file.
   - **Export to Excel 2000** – to create an Excel file.

3. In the resulting **File Download** window (displays for both Excel and CVS choices), click on either **Open** or **Save** as outlined below.
   - **Open** – to open the spreadsheet (or CVS file) directly in Excel and display on your desktop.
   - **Save** – To save the file at a certain location on your personal computer (this option also allows you to Open the file as well - see next step for more).
Other MyResearch Report Functions (cont.)

4. **If the Save option was selected**, identify a location to save the file on your PC in the resulting **Save As** window per these steps:

   - Choose the **directory path** in the **Save in** field at the top of the window.
   - Enter a **File name** with the **extension of .xls** at the end of the name.
   - Choose **Microsoft Excel Worksheet** (if not defaulted) in the Save as type field.
   - Click on the **Save** button.

In the resulting **Download Complete** window, choose **Open** to both save the file and automatically open the Excel file **OR** choose **Close** to return to the report.
Other MyResearch Report Functions (cont.)

Print a Report

1. In the MyResearch report, right mouse click (Windows) OR click (Mac) anywhere in the report (column heading or line item).

2. In the resulting box, click on the Print Version option.

3. In the resulting Export Dialog box, change the Orientation field as desired (choose either Portrait Format or Landscape Format from the Drop-down options).

4. Once choices are made, click on the OK button.
5. In the resulting **File Download** window, click on the **Open** button to view the PDF file via your web browser and to complete the print process (click **Save** to save a copy of the PDF file on your computer if desired).

6. Depending on your web browser and how the PDF file was displayed, click on the appropriate print icon or use the File menu path to print preview, print, etc.
Effort and Payroll Tools and 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 the various reports located in the link for Effort and Payroll Tools and Reports. This link includes several tools such as the Employee Data Search to display employee data and create iForms, as well as the iForms Status Overview. This link also includes many effort and payroll related reports, such as some MyResearch effort and payroll related reports, Accounting View of Payroll report, other Cost Distribution reports, and the Weighted Average Report.

As background, the MyResearch reports were developed specifically for Faculty designated as Person Responsible 1 or 2 (Primary Principal Investigator or Co-Principal Investigator) for WBS Elements and Responsible Person for Cost Centers (specifically for 4xx allocated funds). Faculty have these reports available to use in their MyResearch tab on the Duke@WORK portal. These simplified reports related to effort and payroll are included in this tab and also included in the Sponsored Research Reporting tab. The reason the reports are provided in these tabs is to help those involved in Grants Management view the same reports the Faculty may see under their MyResearch tab and provide support for these reports.

Other more robust web based reports like the Accounting View of Payroll and Weighted Average Report are also available for Grants Management under this tab. These reports have a different layout and options than the MyResearch reports. All the reports are outlined in this section of the guide.

Under the Grants Management tab:

1. Click on the underlined link for Effort and Payroll Tools and Reports.
2. Review the report options available with descriptions of the report listed below the link and briefly outlined below:

- **Employee Data Search** – allows you to search for an employee and display data for that employee such as Faculty Appointments, TPE, Cost Distributions, Supplements, and Manual Salary Cost Transfer (MSCT) iForms.

- **Institutional Base Salary Employee Search** – allows you to access salary information for employees in the organizational units to which you have been given access. Access to this link is tied to a specific security role; therefore, Grants Managers will have access only if they have been assigned the IBS security role.

- **iForms Status Overview** – allows you to view the status of submitted iForms for Cost Distributions, Supplements, and Manual Salary Cost Transfers (MSCTs).

- **Accounting View of Payroll** – provides options of viewing payroll activity by cost object funding (all employees paid from a WBS Element) for the 2xx and 3xx Cost Objects assigned to you as the Grant Manager – if you are not assigned the Grant Manager for a WBS Element, the report will not contain data.

- **MyResearch Personnel Report** – provides a list of all personnel currently funded on fund codes for the selected Principal Investigator (PI), including the percent of effort on the Cost Object (Fund Code) each person.

**Continued on next page.**
Effort and Payroll Tools and Reports (cont.)

- **Weighted Average Report** – provides a list of employees funded on the selected WBS Element during the selected 12 month period. The report may be generated for Exempt employees to display their weighted average cost distribution and salary or for Non-Exempt to display only their monthly salary.

- **Cost Distribution by Cost Object Org Unit** – provides the cost distributions for all employees owned by the selected Org. Unit (HR/ Payroll Organizational Unit).

- **Cost Distribution by Employee Org Unit** – provides the cost distributions for all employees funded by the selected Org. Unit (HR/ Payroll Organizational Unit).

- **MyResearch PI Current Effort Distribution Report** – provides the full set of current funding sources for the selected Principal Investigator (PI).

- **Grant Manager iForms Workflow Status by Cost Object** – provides a list of outstanding workflow items for iForms and dFac transactions for the cost object(s) selected.

3. Use the **Grants Management Guide** link to access step-by-step instructions for the reports and tools as needed.

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.

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 is outlined in this section of the Guide, including the selections available, the data displayed, the drill-down options, and other advanced functions available in each report. The reports labeled as “MyResearch” are referenced in this section and the complete details are located in the Sponsored Research Reports section of this guide.
Employee Data Search and iForms Status Overview Links

The Employee Data Search and the iForms Status Overview links are two options available under the Effort and Payroll Tools and Reports web page in the Grants Management tab. The Employee Data Search option allows you to search for an employee and create iForms for that employee, such as cost distribution changes. The iForms Status Overview allows you to display and track the status of any iForms.

Each topic in this section of the guide will provide steps on how to use both these options and is organized by the type of iForm.
Request for Cost Distribution Change iForm

Overview

Using the Grant Management tab available through Duke@Work, Grant Managers have the ability to change the cost distribution for employees across Duke. The following guidance applies when completing the Request for Cost Distribution Change (also referenced as Cost Distribution) iForm for employees:

- Cost Distribution Change iForms are used to change the funding sources used to pay an exempt or non-exempt employee’s salary. An employee’s initial cost distribution change is established at the point of hire; therefore, the Cost Distribution Change iForm is used from the point of hire forward.

- The iForm changes the percentage of an employee’s salary paid on a particular cost object (cost center or WBS element) and/or general ledger account (service type/service category).

- For employee’s being paid on WBS elements funded from sponsored research, an employee’s cost distribution is directly linked to an employee’s effort on an individual project.

- Cost Distribution Change iForms must account for 100% of an employee’s base salary. Users will receive an error message if the distribution percentage is greater than or less than 100%. Additionally, the distribution percentage on a cost object must equal at least 1% (although the 1% can be spread across multiple general ledger accounts).

- While the iForm may be fully approved and loaded into SAP, the changes reflected by the iForm will not post in SAP until the payroll is run for the pay period in which the iForm is submitted. The operational process means:
  - Salary is not moved real time between the cost objects included in the iForm.
  - While cost distribution changes may be retroactive, debits and credits are not posted retroactively, but are posted in the fiscal period in which the iForm is approved posts. For example, a Request for Cost Distribution Change iForm may be processed for a monthly employee in September that includes changes for July and August. The debits and credits created by this change will post during the September payroll run which is in fiscal period 3.

- Only one cost distribution can be active at a time. A cost distribution must be fully approved, but not necessarily posted in SAP, before a new cost distribution can be initiated. It is important to consider this when planning for payroll deadlines.
Retroactive cost distributions are allowed and require untimely justification in accordance with management center policies GAP 200.150 Cost Transfers on Federally Sponsored Projects [III. A. Payroll]. Cost distributions involving clerical and/or administrative effort must be expensed in accordance with GAP 200.360 Charging Clerical and/or Administrative Expenses to Federally Funded Projects.

Opening the Request for Cost Distribution iForm

1. From “Grants Management”, select “Effort and Payroll Tools and Reports”.

2. From “Effort and Payroll Tools and Reports”, select “Employee Data Search”.

![Image of iForm interface with highlighted sections for Opening the Request for Cost Distribution iForm]
3. Enter the Duke Unique ID (DUID) or the name of the employee. Select “Go” or enter on your keyboard.

4. Employee personnel data will return. Select the “iForms Icon” to display a list of iForms available to the user based upon their role and relationship to the individual. Select the “Request for Cost Distribution Change” link to open the iForm.
Completing the Request for Cost Distribution iForm

The Request for Cost Distribution iForms is broken into different sections and contains “Trays” that can be opened and additional information entered. This guide will focus on each section of the iForm.

1. Review “Header Data” information related to the employee’s primary position. Information in this section is needed to determine the appropriate Service Type/Service Category (or G/L account).

<table>
<thead>
<tr>
<th>Employee</th>
<th>GREEN'S LANTERN</th>
<th>00005545</th>
<th>Employee Status</th>
<th>Active</th>
</tr>
</thead>
<tbody>
<tr>
<td>Organizational</td>
<td>The Avengers Institute</td>
<td>50993744</td>
<td>Payroll Area</td>
<td>MONTHLY</td>
</tr>
<tr>
<td>Assignment</td>
<td></td>
<td></td>
<td></td>
<td>UM</td>
</tr>
<tr>
<td>Organizational Key</td>
<td>BUSINESS SERVICES</td>
<td>DDL3</td>
<td>Job Code</td>
<td>PROFESSOR (TENURE)</td>
</tr>
</tbody>
</table>

2. “Request Data” provides a link to display the ECRT Worksheet and the Primary Routing Org Unit and the Secondary Routing Org Unit (if applicable). Enter the start and end date of the requested cost distribution change. Select “Update” to display cost distribution as of the start and end date entered.

- Start dates can be retroactive.
- Using the infinity end date – 12/31/9999 – causes the cost distribution to be effective until a subsequent Cost Distribution is entered. Best practice is to use the infinity end date when creating requests to change cost distributions.
- Providing a specific end date, causes the change to be effective for the period defined. Without additional action, the cost distribution will revert to the cost distribution in effect prior to the iForm submission.

- The “Display ECRT Worksheet” is available to those users with ECRT access and can be helpful in the event that multiple retroactive Request for Cost Distribution Change iForms need to be submitted for the same employee.
- For more information, refer to the ECRT Guide.
3. Review the cost distribution displayed. If lines need to be deleted, place a “check” in the square at the beginning of the line and select “Delete” prior to entering new cost distribution information. Additionally, notice an employee may have up to 25 different cost objects used to fund his/her salary. It may be necessary to scroll down to see the entire cost distribution.

As a reference, below is a view of a cost distribution where an employee is being paid from more cost objects.
4. After deleting lines (if necessary), enter the correct cost distribution for the time period defined by the start and end dates. Remember: the cost distribution entered must cover 100% of the employee’s salary. Users will receive an error message if the distribution percentage is less than or greater than 100%.

- Enter the company code associated with the cost object used on the line.
- Enter the cost object in the appropriate column.
- If multiple Service Type/Service Categories (G/L accounts) will be used for activity on the same cost object, enter a separate line for each service type/service category.

- The cost object description will display once the form is “checked” or once the “Update “CO Descriptions” link is selected.
- Select the appropriate Service Type/Service Category based on:
  - The employee’s position title or payroll area.
  - Job description on specified cost object.
  - Funding Source (see G/L Account – Payroll Expenses).
  - In the event, cost sharing applies, use the appropriate cost sharing Service Type/Service Category – 6003, 6004, 6033, and 6034. If one of these is used, a cost sharing funding source must be provided.

- Enter the appropriate distribution percentage of each cost object/ G/L account combination.
5. If cost sharing is required, enter the cost object that will fund the associated effort. If cost sharing is not necessary, leave “Funding Source for Cost Sharing” blank and continue completing the iForm. Please note: The cost sharing Service Type/Service Category is only used for the portion of effort that is not directly charged to the project.

- Enter funding source to support cost share portion of effort. All lines with a cost share Service Type/Service Category will be charged to this funding source.

- If the Sponsor requires cost share (i.e., Sponsor salary cap), insert two lines: one line for the cost share (ST/SC 6034) effort and the second line for the direct charge (ST/SC 6036) effort.
- Note: Both lines are associated with the project WBS element.
If the project’s effort is entirely supported by another funding source, one line should be used to capture the activity (WBSE is project and source will be supporting all of the associated effort, one line).

6. Select “Update CO Descriptions” to update the description text for all cost objects used in the iForm. In the event the Request for Cost Distribution Change iForm is being done to change student funding to work study funding, please confirm that work study paper work has been reviewed.

- If project’s effort is entirely supported by another funding source, insert one line for the cost share (ST/SC 6034) effort.
7. Request for Cost Distribution Change iForms are considered untimely in accordance with GAP 200.150 Cost Transfers on Federally Sponsored Projects. Review this gap thoroughly for guidance on what is considered untimely, what is allowed, and documentation requirements for the “Untimely Justification” section of the iForm. This is a free text field and comments cannot be modified once submitted. Users can paste information into the field from a source document.

8. IForms initiators may choose to provide additional comments in the “Comments” section. Comments may be used to provide specific information to approvers or to provide more detail as to the context of the cost distribution changes. Open the tray on the right to display any comments. Please note that comments become permanent record.

9. “Status Overview” will be populated once the iForm enters workflow. When initiated, it indicates that the form has not been sent.
10. Select the appropriate action button.

- **Submit** will release the iForm into workflow. Any error messages will display with a red button at the top of the form and will need to be corrected.
- **Save as Draft** will save the iForm for future use. iForm initiators must go to their Universal Worklist to find and continue work on saved iForms.

11. **Check** will validate the iForm information. It will generate error and warning messages. It will also confirm if information is consistent in the iForm. Warning and error message are important alerts and should be corrected or considered carefully. It is recommended that you “Check” an iForm prior to submission. **Close Window** will close the iForm. Unless “Save as Draft” was previously selected, no information is saved.
Request for Cost Distribution iForm (cont.)

Tracking the Status of the Request for Cost Distribution iForm

1. From “Grants Management”, select “Effort and Payroll Tools and Reports”.

2. From “Effort and Payroll Tools and Reports”, select “iForms Status Overview”.

![Diagram showing navigation steps]

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Grants Management Guide

3. “IFoms Overview” will show a list of all iFoms the users had initiated and their status. Select the hyperlink in the “Status” column to see the approvers who currently have the iForm in their approval queue. Please note: the iForm has not been completed until the last action in the Status Overview indicates “Processed On” with a date and time stamp.

4. In the event there is an error in the iForm, select “Reverse” to pull the iForm out of workflow and return it to the initiator prior to the iForm interfacing with SAP. Please note: If an iForm is reversed, it removes all approvals and will need to be approved by all approvers a second time.

Once the iForm is reversed, the user receives a message indicating the iForm can be canceled and the status is changed to “Reversed/Deleted”.

Request for Cost Distribution iForm (cont.)

Related Guidance and Resources

Institutional Policies:

- GAP 200.150 Cost Transfers on Federally Sponsored Projects
- GAP 200.360, Charging Clerical and/or Administrative Expenses to Federally Funded Projects
- GAP 200.171, Cross Organizational Unit Payroll Management on Sponsored Projects
- GAP 200.172, Payroll Access for Effort Management on Sponsored Projects

Payroll Schedules and Deadlines for iForm Transactions:

- Monthly Payroll Schedule for Payroll Representatives
- Biweekly Payroll Schedule for Payroll Representatives

General Ledger Account Definitions:

- Payroll Expenses
Manual Salary Cost Transfer (MSCT) iForm

Overview

Using the Grant Management tab available through Duke@Work, Grant Managers have the ability to complete Manual Salary Cost Transfer (MSCT) iForms.

The following guidance applies when completing MSCT iForms:

- A MSCT iForm is used when salary dollars should be moved from one cost object and/or general ledger (service type/service category) account and system constraints prevent a Cost Distribution iForm from being used. Data accuracy is critical! Validate that the cost object and general ledger account for salary expenses are being moved to or from is appropriate to prevent and over or under correction.

- A Company 10 cost object must be included on one side of the transaction in order for the MSCT iForm to be used.

- MSCT iForms move dollar amounts. It does not move percentages.

- After the MSCT iForm has been approved, a journal entry will automatically be processed to move and post the salary dollars and associated fringe benefits. This transfer can be seen by running the Payroll Activity Detail Report (ZH333) or Accounting View of Payroll (ZH223) in SAP or the Accounting View of Payroll found under the Grant Management Tab on the Effort and Payroll Tools and Report page.

- The reason code used for the MSCT iForm invokes specific data validation depending on the reason code used.

- Retroactive MSCT iForms are allowed and require untimely justification in accordance with management center policies and GAP 200.150 Cost Transfers on Federally Sponsored Projects [III. A. Payroll]. MSCT iForms involving clerical and/or administrative effort must be expensed in accordance with GAP 200.360 Charging Clerical and/or Administrative Expenses to Federally Funded Projects.

- MSCT iForms route based upon the following workflow rules:
  - Routes based on the owning organizational unit of the position.
  - If untimely greater than 90 days, Management Center is notified.
  - If untimely greater than 180 days, Management Center approves.
  - If cost sharing occurs, Office of Sponsored Programs (OSP) is notified.
  - If “Special Conditions” or “Transfer of Non-effort Related Salary” reason codes are used, OSP approves.
Manual Salary Cost Transfer iForm (cont.)

Opening the Manual Salary Cost Transfer iForm
1. From “Grants Management”, select “Effort and Payroll Tools and Reports”.

2. From “Effort and Payroll Tools and Reports”, select “Employee Data Search”.

3. Enter the Duke Unique ID (DUID) or the name of the employee. Select “Go” or enter on your keyboard.
4. Employee personnel data will return. Select the “iForms Icon” to display a list of iForms available to the user based upon their role and relationship to the individual. Select the “Manual Salary Cost Transfer” link to open the iForm.
Completing the Manual Salary Cost Transfer iForm

The MSCT iForm is broken into different sections and contains “Trays” that can be opened and additional information entered. This guide will focus on each section of the iForm.

1. Review “Header Data” information related to the employee’s primary position. Information in this section is needed to determine the appropriate Service Type/Service Category (or G/L account).

   ![](header_data.png)

2. “Request Data” provides a link to display the ECRT Worksheet and the Primary Routing Org Unit. Select the appropriate “Reason Code” for the MSCT iForm from the drop-down menu based on the business reason for the transaction. Please note: Several of the reason codes can only be used by OSP or only during specific times of the year.

   ![](request_data.png)
The chart below describes the reason codes and programmed rules that validate code usage.

<table>
<thead>
<tr>
<th>Reason Code # and Description</th>
<th>Validation Rules</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Employee Terminated</td>
<td>Only valid if an employee has status of terminated. Since cost distribution iForms are not allowed for terminated employees, MSCT must be used.</td>
</tr>
<tr>
<td>2. College Work Study</td>
<td>Only valid if work study STSC codes are used.</td>
</tr>
<tr>
<td>3. Supplement Pay</td>
<td>Only valid if supplemental pay exists for the Calendar Year and Calendar Month being transferred From (the Calendar Year and Month should correspond to the month the salary posted to the General Ledger).</td>
</tr>
<tr>
<td>4. Cost distribution greater than 25 lines</td>
<td>Only valid if Cost Distribution iForm limitation of 25 lines prohibits full distribution. iForm routes to OSP</td>
</tr>
<tr>
<td>5. Year-end adjustment of effort (only allowed for posting in fiscal month June)</td>
<td>Only valid during Fiscal Year-End (after June 15 of each year through the close of period 13).</td>
</tr>
<tr>
<td>7. 808000 corrections only</td>
<td>Only valid to correct the Funding Source for Cost Sharing. This is the only time fringe benefit amounts are included. Only 8080 STSC code is valid. Does not display in Payroll Report ZH333.</td>
</tr>
<tr>
<td>8. Retro transfer across Payroll Subareas</td>
<td>Only valid when Payroll Subarea is changed</td>
</tr>
<tr>
<td>10. Payroll Net Zero (OSP only)</td>
<td>Restricted for use only by OSP employees.</td>
</tr>
<tr>
<td>11. Salary Overpayment (OSP only)</td>
<td>Restricted for use only by OSP employees.</td>
</tr>
<tr>
<td>12. Special Conditions approved by OSP</td>
<td>Valid only if the reason for the MSCT iForm does not fall into one of the above categories. Submitters are required to document the reason for selecting this Reason Code. Prior OSP approval is required prior to using this Reason Code and the iForm will route to OSP for approval.</td>
</tr>
<tr>
<td>13. Cost Distribution Changes Prior to 7/1/06</td>
<td>Valid only for changes impacting periods prior to 7/1/06.</td>
</tr>
<tr>
<td>14. Transfers to Non-Effort related Salary</td>
<td>Valid only for salary payments that are NOT related to effort, such as relocation expenses. The iForm will route to OSP.</td>
</tr>
</tbody>
</table>
3. After selecting the “Reason Code”, select the “Transfer From Date” and the “Transfer To Date” in which the salary dollars are being moved. This date should correspond to the pay period dollars are being transferred. Select “Update” to ensure the appropriate funding and G/L account information is pulled into the iForm.

4. Indicate if the money being transferred represents base pay of supplemental pay as appropriate.
5. Enter the appropriate information to describe how the cost object the salary needs to be moved from to the cost object the salary needs to be moved to. It is important to ensure that, with the exception of cost object and service type/service category, the information on the “From” side of the Cost Transfer and the information on the “To” side match. Please note: Expenses on the “From” side of the cost transfer must have been expensed to the cost object/STSC (G/L account) combination entered in order for salary dollars to be moved.

- Enter the Calendar Year and Month from which the expense is being transferred.
- Company 10 defaults. Using the drop-down menu change the Company Code if required.
- Enter the cost object, the service type/service category, and the dollar amount of the salary expense to be moved.

- Enter the Calendar Year and Month from which the salary expense is being transferred.
- Company 10 defaults. Using the drop-down menu change the Company Code if required.
- Enter the cost object, the service type/service category (G/L account), and the dollar amount of the expense to be moved to. Dollar amounts on both sides of the cost transfer should be the same.
  - Funding Source (see G/L Account – Payroll Expenses).
  - In the event cost sharing applies, use the appropriate cost sharing Service Type/Service Category – 6003, 6004, 6033, and 6034. If one of these is used, a cost sharing funding source must be provided.
6. If cost sharing is required, enter the cost object that will fund the associated effort. Select “Update CO Descriptions” to update the description of the cost object used for cost sharing. If cost sharing is not necessary, leave “Funding Source for Cost Sharing” blank and continue completing the iForm.

7. Select the radio button to certify the transfers of the payroll expenses as outlined above.

8. Manual Salary Cost Transfer iForms are considered untimely in accordance with GAP 200.150 Cost Transfers on Federally Sponsored Projects. Review this gap thoroughly for guidance on what is considered untimely, what is allowed, and documentation requirements for the “Untimely Justification” section of the iForm. This is a free text field and comments cannot be modified once submitted. Users can paste information into the field from a source document.
Manual Salary Cost Transfer iForm (cont.)

9. IFoms initiators may choose to provide additional comments in the “Comments” section. Comments may be used to provide specific information to approvers or to provide more detail as to the context of the cost distribution changes. Open the tray on the right to display any comments. Please note that comments become permanent record.

![Comments](image1)

10. “Status Overview” will be populated once the iForm enters workflow. When initiated, it indicates that the form has not been sent.

![Status Overview](image2)

11. Select the appropriate action button.

- “Submit” will release the iForm into workflow. Any error messages will display with a red button at the top of the form and will need to be corrected.
- “Save as Draft” will save the iForm for future use. IFom initiators must go to their Universal Worklist to find and continue work on saved iForms.
- “Check” will validate the iForm information. It will generate error and warning messages. It will also confirm if information is consistent in the iForm. Warning and error message are important alerts and should be corrected or considered carefully. It is recommended that you “Check” an iForm prior to submission.
- “Close Window” will close the iForm. Unless “Save as Draft” was previously selected, no information is saved.
Manual Salary Cost Transfer iForm (cont.)

Tracking the Status of the Manual Salary Cost Transfer iForm

1. From “Grants Management”, select “Effort and Payroll Tools and Reports”.

2. From “Effort and Payroll Tools and Reports”, select “iForms Status Overview”.
3. “IForms Overview” will show a list of all iForms the users had initiated and their status. Select the hyperlink in the “Status” column to see the approvers who currently have the iForm in their approval queue. Please note: the iForm has not been completed until the last action in the Status Overview indicates “Processed On” with a date and time stamp.

4. In the event there is an error in the iForm, select “Reverse” to pull the iForm out of workflow and return it to the initiator prior to the iForm interfacing with SAP. Please note: If an iForm is reversed, it removes all approvals and will need to be approved by all approvers a second time.

Once the iForm is reversed, the user receives a message indicating the iForm can be canceled and the status is changed to “Reversed/Deleted”.

![Image of iForm table and status overview]

![Image of iForm reversed]

![Image of iForm canceled]

Grants Management Guide

Manual Salary Cost Transfer iForm (cont.)
Manual Salary Cost Transfer iForm (cont.)

Related Guidance and Resources

Institutional Policies:

- GAP 200.150 Cost Transfers on Federally Sponsored Projects
- GAP 200.360, Charging Clerical and/or Administrative Expenses to Federally Funded Projects
- GAP 200.171, Cross Organizational Unit Payroll Management on Sponsored Projects
- GAP 200.172, Payroll Access for Effort Management on Sponsored Projects

Payroll Schedules and Deadlines for iForm Transactions:

- Monthly Payroll Schedule for Payroll Representatives
- Biweekly Payroll Schedule for Payroll Representatives

General Ledger Account Definitions:

- Payroll Expenses
Issuing Supplement Pay for Exempt Employees

Supplemental Pay iForm

Overview

Using the Grant Management tab available through Duke@Work, Grant Managers have the ability to create iForms for supplemental payments for exempt employees across Duke University. The following guidelines apply when issuing supplemental payments:

- Supplemental pay is issued to exempt employees for work performed in addition to those responsibilities associated with their primary position or for bonus payments due for performance or contractual obligations.
  - This includes supplemental pay for faculty with nine-, ten-, or eleven-month appointments for additional assignments and/or research completed outside the individual’s appointment (i.e., federally supported summer supplements).

- The Supplemental Pay iForm can only be used for exempt employees.

- Supplemental pay should be issued in the same month or the month after the work was performed. Supplemental pay should not be made in advance.

- Supplemental Pay iForms cannot be posted retroactively. iForms received after the monthly payroll deadlines, will be returned to the department and dates must be changed prior to resubmission.

- Once a Supplemental Pay iForm has completed all approval steps and has processed to payroll, it cannot be deleted or changed. A paper form will be required to delete the supplement and a new Supplemental Pay iForm created. Work directly with the department payroll representative for assistance.

  - Please note: Management centers may have separate supplemental pay policies. The management center policy should be used in addition to GAP 101.6, Supplemental Payments To Exempt Employees.
Supplemental Pay iForm (cont.)

Opening the Request for Cost Distribution iForm

1. From “Grants Management”, select “Effort and Payroll Tools and Reports”.

2. From “Effort and Payroll Tools and Reports”, select “Employee Data Search”.

3. Enter the Duke Unique ID (DUID) or the name of the employee. Select “Go” or enter on your keyboard. Employee information will return. Select the iForm icon to display a list of iForms to create on the left.
4. Employee personnel data will return. Select the “iForms Icon” to display a list of iForms available to the user based upon their role and relationship to the individual. Select the “Supplemental Pay” link to open the iForm.

![Supplemental Pay iForm](image)
Supplemental Pay iForm (cont.)

Completing the Supplemental Pay iForm

The Supplemental Pay iForm is broken into different sections and contains “Trays” that can be opened and additional information entered. This guide will focus on each section of the iForm.

1. Review “Header Data” information related to the employee’s primary position.

![Header Data Table]

<table>
<thead>
<tr>
<th>Employee</th>
<th>GREEN S LANTERN</th>
<th>00005545</th>
<th>Employee Status</th>
<th>Active</th>
</tr>
</thead>
<tbody>
<tr>
<td>Organizational Assignment</td>
<td>The Avengers Institute</td>
<td>50893744</td>
<td>Payroll Area</td>
<td>MONTHLY</td>
</tr>
<tr>
<td>Organizational Key</td>
<td>BUSINESS SERVICES</td>
<td>DDL3</td>
<td>Job Code</td>
<td>PROFESSOR (TENURE)</td>
</tr>
</tbody>
</table>

2. “Request Data” will display the Primary Routing Org Unit and the Secondary Routing Org Unit (if applicable). Using the drop down, select the most appropriate “Reason for Payment”.

![Request Data Table]

<table>
<thead>
<tr>
<th>Primary routing Org Unit</th>
<th>50893744 The Avengers Institute (6860206570)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Alternate routing Org Unit</td>
<td></td>
</tr>
<tr>
<td>Reason for Payment</td>
<td>1/9th ANNUAL RATE-SUMMER PYMT (05)</td>
</tr>
</tbody>
</table>

- A variety of “Reasons for Payment” is available. Make sure to use the scroll bar to see the entire list.
3. Complete the Supplements section providing all necessary details surrounding the payment.

<table>
<thead>
<tr>
<th>Supplements</th>
</tr>
</thead>
<tbody>
<tr>
<td>Start Month</td>
</tr>
<tr>
<td>AUG-2015</td>
</tr>
<tr>
<td>AUG-2015</td>
</tr>
</tbody>
</table>

- Use the drop down to select the month when the start month of the payment.
- The “End Month” will populate with a date for the approver based on the number of payments issued.
- “Number of Payments” indicates the number of months the employee will receive the supplemental pay.
- Enter the dates when the work began and ended. These dates DO NOT impact payment, but provide detail to support the payment.
- Enter funding information about the payment including Company Code, Cost Objective, and Service Type/Service Category (G/L Account).
- Select the appropriate Service Type/Service Category based on:
  - The employee’s position title (faculty) or payroll area (monthly staff)
  - Job description on specified cost object
  - Funding Source (see G/L Account – Payroll Expenses)
- Supplemental pay cannot be split-funded. In the event supplemental pay needs to be paid from different cost objects, the total payment should be broken down based on the amount being paid from each cost object and a separate supplement line entered.
- Enter the dollar amount for each payment.

Select “Update CO Descriptions” to update the description text for all cost objects used in the iForm.
4. Provide a detailed explanation supporting the reason for the payment in “Supplemental Details”. Ensure details include any specifics necessary based upon the funding source and school/department requirements. For summer supplements, it is helpful to include the equivalent % effort for associated payroll costs. Field is free text and the comments cannot be modified once submitted. Users can paste information into the field from a source document.

5. iForms initiators may choose to provide additional comments in the “Comments” section. Comments may be used to provide specific information to approvers or to provide more detail as to the context of the supplement payment. Open the tray on the right to display any comments.

6. “Status Overview” will be populated once the iForm enters workflow. When initiated, it indicates that the form as not been sent.
7. Select the appropriate action button.

- "Submit" will release the iForm into workflow. Any error messages will display with a red button at the top of the form and will need to be corrected.
- "Check" will validate the iForm information. It will generate error and warning messages. It will also confirm if information is consistent in the iForm. It is recommended that you "Check" and iForm prior to submission.
- "Close Window" will close the iForm. No information is saved.
Supplemental Pay iForm (cont.)

Tracking the Status of the Supplemental Pay iForm

1. From “Grants Management”, select “Effort and Payroll Tools and Reports”.

2. From “Effort and Payroll Tools and Reports”, select “iForms Status Overview”.

![Image of Duke@TEST SYSTEM interface showing iForms Status Overview]

- Click on “iForms Status Overview” to view the status of submitted Cost Distributions, Supplements, and MSCTs.
3. “IForms Overview” will show a list of all iForms the users had initiated and their status. Select the hyperlink in the “Status” column to see the approvers who currently have the iForm in their approval que. Please note: the iForm has not been completed until the last action in the Status Overview indicates “Processed On” with a date and time stamp.

4. In the event there is an error in the iForm, select “Reverse” to pull the iForm out of workflow and return it to the initiator prior to the iForm interfacing with SAP. Please note: If an iForm is reversed, it removes all approvals and will need to be approved by all approvers a second time.

Once the iForm is revered, the user receives a message indicating the iForm can be canceled and the status is changed to “Reversed/Deleted”.

5. **Approval Statuses:**
   - **On Hold:** The iForm is waiting for approval.
   - **Open for Approval:** The iForm is ready to be submitted for approval.
   - **Processed On:** The iForm has been approved and completed.
   - **Timeout:** The iForm has been waiting for approval for a specified time period.
   - **Closed:** The iForm has been completed and can no longer be edited.
   - **Reversed:** The iForm has been reversed and needs to be re-approved.
   - **Deleted:** The iForm has been deleted.
Supplemental Pay iForm (cont.)

Related Guidance and Resources

Institutional Policies:

- GAP 101.6, Supplemental Payments To Exempt Employees
  - Please note: Management centers may have separate supplemental pay policies. The management center policy should be used to supplement this procedure.

- GAP 200.171, Cross Organizational Unit Payroll Management on Sponsored Projects

- GAP 200.172, Payroll Access for Effort Management on Sponsored Projects

Payroll Schedules and Deadlines for iForm Transactions:

- Monthly Payroll Deadlines for Department Payroll Representatives

General Ledger Account Definitions:

- Payroll Expenses

Faculty Handbook:

- Faculty Compensation Guidance
Viewing Cost Distribution Detail

Overview

Using the Grant Management tab available through Duke@Work, Grant Managers have the ability to view the cost distribution detail for employees across Duke.

The following guidance applies when using the Cost Distribution Detail View:

- The Cost Distribution View includes the information outlined below. Information will display for faculty and/or staff as indicated.
  - Current primary and secondary appointments recorded in dFac – Faculty Only
  - Education as recorded in dFac – Faculty Only
  - Total Professional Effort – Faculty Only
  - Cost distribution as of today’s date – Faculty and Staff
  - Past, current, and future cost distributions which includes cost distribution information back to SAP go-live date in 2002 and information for all current and future dated cost distribution iForms that have been fully approved – Faculty and Staff

- The Cost Distribution View is an excellent tool to review prior to completing a Request for Cost Distribution Change iForm as it provides important information necessary to prepare prior to starting the iForm.
Viewing Cost Distribution Detail (cont.)

Accessing the Cost Distribution Detail

1. From “Grants Management”, select “Effort and Payroll Tools and Reports”.

2. From “Effort and Payroll Tools and Reports”, select “Employee Data Search”.

3. Enter the Duke Unique ID (DUID) or the name of the employee. Select “Go” or enter on your keyboard.
4. Employee personnel data will return. Select the hyperlink associated with the employee’s name to review the Cost Distribution Detail.

- Only the trays that have information will be automatically opened.
- Appointments, Education, and Total Professional Effort will never contain data for staff.
- Total Professional Effort will not display data for faculty if the faculty member’s effort is 100% on university activities with no PDC and/or VA activities.
Understanding the Cost Distribution Detail

This section will discuss each tray of the Cost Distribution Detail.

5. The employee’s name and owning BFR displays. The first tray, “Appointments” provides information on primary and secondary appointments held by the employee as recorded in dFac. Please note: This tray will be empty for staff.

<table>
<thead>
<tr>
<th>Name: CAPTAIN AMERICA</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Appointments</strong></td>
</tr>
<tr>
<td><strong>Type of Appointment</strong></td>
</tr>
<tr>
<td>Primary Membership</td>
</tr>
</tbody>
</table>

6. The second tray, “Education”, displays information on the employee’s education as recorded in dFac. Please note: This tray will be empty for staff.

<table>
<thead>
<tr>
<th><strong>Education</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Degree</strong></td>
</tr>
<tr>
<td>Doctor of Medicine</td>
</tr>
<tr>
<td>Doctor of Philosophy</td>
</tr>
</tbody>
</table>
Viewing Cost Distribution Detail (cont.)

7. The third tray, “Total Professional Effort”, displays TPE recorded in ECRT for faculty members whose effort includes activity for the Private Diagnostic Clinics (PDC) and/or the Veteran’s Administration Hospital (VA). Please note: This tray will be empty for staff and for faculty whose effort is spent 100% on university activities. Since this information is pulled from ECRT, it is critical that changes to TPE be recorded accurately in ECRT when the change occurs. Contact the employee’s effort coordinator or primary department if more information is needed.

```
<table>
<thead>
<tr>
<th>Start Date</th>
<th>End Date</th>
<th>PDC</th>
<th>University</th>
<th>VA</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>07/01/2014</td>
<td>06/30/2015</td>
<td>19.00</td>
<td>81.00</td>
<td>0.00</td>
<td>100.00</td>
</tr>
<tr>
<td>07/01/2013</td>
<td>06/30/2014</td>
<td>19.00</td>
<td>81.00</td>
<td>0.00</td>
<td>100.00</td>
</tr>
<tr>
<td>07/01/2012</td>
<td>06/30/2013</td>
<td>18.90</td>
<td>81.20</td>
<td>0.00</td>
<td>100.00</td>
</tr>
<tr>
<td>07/01/2012</td>
<td>06/30/2013</td>
<td>19.00</td>
<td>81.00</td>
<td>0.00</td>
<td>100.00</td>
</tr>
</tbody>
</table>
```

8. The fourth tray, “Cost Distribution Current”, displays the cost distribution for the employee for the current date. This includes the start and end dates for the cost distribution, the cost object used, the services type/service category (general ledger account) being expensed, and the percentage of effort being associated with the cost object/general ledger account combination.

```
<table>
<thead>
<tr>
<th>Begin Date</th>
<th>End Date</th>
<th>Cost Center</th>
<th>WBS</th>
<th>Cost Object Description</th>
<th>ST</th>
<th>SC</th>
<th>FCT</th>
</tr>
</thead>
<tbody>
<tr>
<td>03/01/2015</td>
<td>12/31/2015</td>
<td>4116354</td>
<td>DEPARTMENT OF MEDICINE NEUROLOGY DIVISION</td>
<td>60</td>
<td>13</td>
<td>7.00</td>
<td></td>
</tr>
<tr>
<td>03/01/2015</td>
<td>12/31/2015</td>
<td>4419704</td>
<td>MOVEMENT DISORDERS RESEARCH ADMIN</td>
<td>60</td>
<td>31</td>
<td>2.00</td>
<td></td>
</tr>
<tr>
<td>03/01/2015</td>
<td>12/31/2014</td>
<td>2032266</td>
<td>8R01-DA031933-03</td>
<td>60</td>
<td>36</td>
<td>5.00</td>
<td></td>
</tr>
<tr>
<td>03/01/2015</td>
<td>12/31/1999</td>
<td>2033835</td>
<td>8R01-8969477-07</td>
<td>60</td>
<td>30</td>
<td>29.70</td>
<td></td>
</tr>
<tr>
<td>03/01/2015</td>
<td>12/31/1999</td>
<td>3833900</td>
<td>DYSTONIA MEDICAL RESEARCH FOUNDATION</td>
<td>00</td>
<td>30</td>
<td>2.00</td>
<td></td>
</tr>
<tr>
<td>03/01/2015</td>
<td>12/31/1999</td>
<td>4414229</td>
<td>NICOLE CALAKOS START-UP FUNDING</td>
<td>60</td>
<td>31</td>
<td>5.00</td>
<td></td>
</tr>
<tr>
<td>03/01/2015</td>
<td>12/31/1999</td>
<td>4510079</td>
<td>TRANSLATIONAL NEUROSCI CTR RENEW Startup</td>
<td>60</td>
<td>31</td>
<td>10.00</td>
<td></td>
</tr>
<tr>
<td>03/01/2015</td>
<td>12/31/1999</td>
<td>2032864</td>
<td>8R21-M097680-02</td>
<td>60</td>
<td>36</td>
<td>19.00</td>
<td></td>
</tr>
<tr>
<td>03/01/2015</td>
<td>12/31/1999</td>
<td>890185</td>
<td>UNIV-OF-FLA #1F0SP300-100208/000158124</td>
<td>60</td>
<td>36</td>
<td>2.00</td>
<td></td>
</tr>
<tr>
<td>03/01/2015</td>
<td>12/31/1999</td>
<td>2033873</td>
<td>4R23-MH06725-03</td>
<td>60</td>
<td>36</td>
<td>5.00</td>
<td></td>
</tr>
<tr>
<td>03/01/2015</td>
<td>12/31/1999</td>
<td>330149</td>
<td>MCKNIHัง ENDOW/NEUROSCIENCE AWD</td>
<td>00</td>
<td>34</td>
<td>5.00</td>
<td></td>
</tr>
<tr>
<td>03/01/2015</td>
<td>12/31/1999</td>
<td>3309900</td>
<td>UNIV-OF-FLA #1F0SP300-10150/00114392</td>
<td>00</td>
<td>30</td>
<td>2.00</td>
<td></td>
</tr>
<tr>
<td>03/01/2015</td>
<td>12/31/1999</td>
<td>3837250</td>
<td>HARRINGTON DISCOVERY INST RES GRANT AGRT</td>
<td>00</td>
<td>34</td>
<td>5.00</td>
<td></td>
</tr>
</tbody>
</table>
```
9. The fifth tray, “Cost Distribution – All (Past, Current, Future)” display comprehensive view of an employee’s cost distribution. It includes cost distribution dating to 2002 and includes any future dated cost distribution iForms that have been fully approved. This includes the start and end dates for the cost distribution, the cost object used, the services type/service category (general ledger account) being expensed, and the percentage of effort being associated with the cost object/general ledger account combination. This is a great resource to use when preparing a Request for a Cost Distribution Change iForm.

<table>
<thead>
<tr>
<th>Begin Date</th>
<th>End Date</th>
<th>Cost Center</th>
<th>WBS</th>
<th>Cost Object Description</th>
<th>ST</th>
<th>SC</th>
<th>PCT</th>
</tr>
</thead>
<tbody>
<tr>
<td>03/01/2015</td>
<td>12/31/2015</td>
<td>3837050</td>
<td></td>
<td>HARRINGTON DISCOVERY INST RES GRANT AGRT</td>
<td>60</td>
<td>34</td>
<td>5.00</td>
</tr>
<tr>
<td>03/01/2015</td>
<td>12/31/2015</td>
<td>350205</td>
<td></td>
<td>Univ of FLA #UDSP00010180/0001114392</td>
<td>60</td>
<td>34</td>
<td>1.00</td>
</tr>
<tr>
<td>03/01/2015</td>
<td>12/31/2015</td>
<td>38379070</td>
<td></td>
<td>MCKINNON ENDOWMENT NEUROSCIENCE AWD</td>
<td>60</td>
<td>34</td>
<td>2.00</td>
</tr>
<tr>
<td>03/01/2015</td>
<td>12/31/2015</td>
<td>3500205</td>
<td></td>
<td>Univ of FLA #UDSP00010180/0001114392</td>
<td>60</td>
<td>34</td>
<td>1.50</td>
</tr>
<tr>
<td>03/01/2015</td>
<td>12/31/2015</td>
<td>3836149</td>
<td></td>
<td>MCKINNON ENDOWMENT NEUROSCIENCE AWD</td>
<td>60</td>
<td>34</td>
<td>2.00</td>
</tr>
<tr>
<td>03/01/2015</td>
<td>12/31/2015</td>
<td>38379070</td>
<td></td>
<td>MCKINNON ENDOWMENT NEUROSCIENCE AWD</td>
<td>60</td>
<td>34</td>
<td>2.00</td>
</tr>
</tbody>
</table>

- Remember to scroll up or down the page to view all cost distributions.
In the example below, a Request for Cost Distribution Change iForm was submitted with a start date of 08/04/2015 and an end date of 9/30/2015. This iForm ended the cost distribution which began 03/01/2015 as of 08/03/2015. Because the Request for Cost Distribution Change iForm defined a specific end date, the cost distribution reverted back to the cost distribution in place prior to the iForm being approved; therefore there is a cost distribution that begins 10/1/2015. Essentially, SAP allowed a record to be “inserted” for the period 8/4/2015 – 9/30/2015 and the information before and after that record insertion are the same. For this reason, it is important to be cautious when using end dates.

- Cost distribution ended by 8/4/2015-9/30/2015 iForm.
- Cost distribution specifically defined in the 8/4/2015-9/30/2015 iForm. This is the “inserted” record.
- Cost distribution effective as of the end date defined in the iForm. Aligns with the distribution from 3/1/2015 – 8/3/2015.
Related Guidance and Resources

Institutional Policies:
- GAP 200.150 Cost Transfers on Federally Sponsored Projects
- GAP 200.171, Cross Organizational Unit Payroll Management on Sponsored Projects
- GAP 200.172, Payroll Access for Effort Management on Sponsored Projects
- GAP 200.360, Charging Clerical and/or Administrative Expenses to Federally Funded Projects

General Ledger Account Definitions:
- Payroll Expenses
Institutional Base Salary Employee Search

Overview

Using the Grant Management tab available through Duke@Work, Grant Managers may have the ability to view Institutional Base Salary (IBS) which can assist with budgeting and salary verification.

The following guidance applies to accessing and using IBS:

- Access to view IBS is associated with a specific SAP security role; therefore it must be assigned individually to each Grant Manager. Business managers and department business processes will dictate if Grant Managers need the role in order to perform their job responsibilities. Grant Managers, who have questions about gaining access to IBS, should work directly with their Business Manager.

- Grant Managers, who have the IBS security role, will only be able to view the IBS for employees in the organizational units assigned to security profile. The view will display both primary and secondary faculty appointments in the organizational units assigned.

- Duke considers salary information highly confidential; therefore, Grant Managers with IBS access should only view an employee’s salary information when it is necessary to perform a specific task. Business Managers will have access to audit reports to monitor who is accessing salary information and the frequency in which they are accessing this data.

- For faculty members, the IBS view will include appointment information pulled from dFac. The dFac (Duke Faculty) tool is the central system that provides a means to manage a wide variety of faculty information including (but not limited to) appointments, education, and tenure information. For staff, this section of the view will be blank as exempt and non-exempt staff members do not hold appointments.

- IBS access provides “view only” functionality. Salary, appointment, or other changes cannot be made through this tool.

- Questions about the components of IBS should be directed addressed with the Business/HR office of the business unit in accordance with the unit’s defined business process.
Institutional Base Salary (cont.)

Accessing Institutional Base Salary Employee Search

1. From “Grants Management”, select “Effort and Payroll Tools and Reports”.

2. From “Effort and Payroll Tools and Reports”, select “Institutional Base Salary Employee Search”.

3. Enter the Duke Unique ID (DUID) or the name of the employee. Select “Go” or enter on your keyboard.
4. Employee personnel data will return. Select the hyperlink associated with the employee’s name to view the “Institutional Base Salary Display”. Select the “Print” hyperlink to display the “Salary Verification Sheet PDF” that provides the information typically requested by Sponsors.
Institutional Base Salary (cont.)

Base Salary Display

1. Select the hyperlink associated with the employee’s name to view the “Institutional Base Salary Display”.

**Provides:**
- Effective date of IBS
- IBS dollar amount
  - Monthly IBS for faculty and exempt staff
  - Hourly IBS rate for non-exempt staff
- Details on FTE, hours/week and weeks/year. If you have questions about this information, please contact your department payroll representative.
- SAP wage type used for salary payment
- dFac information for all Duke appointments.
- Section will be blank for staff.
Institutional Base Salary (cont.)

Salary Verification Sheet

1. Select the hyperlink associated with the Print column for the employee of interest to view the employee’s “Salary Verification Sheet PDF”. The “Salary Verification Sheet PDF” is two pages. Grant Managers will need to scroll down to see the second page of the PDF. If information is being pulled to fulfill a sponsor’s request, only the first page may be needed.

Page 1 provides:
- Current information as of the date listed
- General personnel information
- Length of service details
- Rate of pay detail:
  - Monthly salary for faculty and exempt staff
  - Hourly rate of pay for non-exempt staff
- Information on the SAP critical attributes associated with the employee’s position
- Title and job family details
- PDF can be printed or downloaded for distribution to Sponsors.

Remember: salary information is confidential. Printing and distributing this information should directly relate to job responsibilities and authorized request for information.
Institutional Base Salary (cont.)

Page 2 provides:

- Detailed view of the employee’s cost distribution:
  - Cost object expensed
  - Service type/services category (G/L account)
  - Percent of effort to the cost object/general ledger account combination

- PDF can be printed or downloaded for distribution to Sponsors.

- Remember: salary information is confidential. Printing and distributing this information should directly relate to job responsibilities and authorized request for information.

### Salary Verification Sheet as of 08/27/2015

<table>
<thead>
<tr>
<th>Last name</th>
<th>First name</th>
<th>M.I.</th>
</tr>
</thead>
<tbody>
<tr>
<td>AMERICA</td>
<td>CAPTAIN</td>
<td></td>
</tr>
</tbody>
</table>

#### COST DISTRIBUTION

<table>
<thead>
<tr>
<th>Company Code</th>
<th>Cost Center or WBS Element</th>
<th>Serv Type</th>
<th>Serv Cat</th>
<th>% Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>0010</td>
<td>4116364 MED NEUROLOGY UME</td>
<td>60</td>
<td>13</td>
<td>7.00</td>
</tr>
<tr>
<td>0010</td>
<td>4419704 MD RESEARCH ADMIN</td>
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<td>31</td>
<td>2.00</td>
</tr>
<tr>
<td>0010</td>
<td>4219704 MD GME</td>
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</tr>
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</tr>
<tr>
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<td>60</td>
<td>36</td>
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</tr>
<tr>
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<td>3833906 DYSTONIA MEDICAL RES</td>
<td>60</td>
<td>36</td>
<td>2.00</td>
</tr>
<tr>
<td>0010</td>
<td>4414229 CALAKOS START-UP</td>
<td>60</td>
<td>31</td>
<td>5.30</td>
</tr>
<tr>
<td>0010</td>
<td>4510079 CTR RENOV START-UP</td>
<td>60</td>
<td>31</td>
<td>10.00</td>
</tr>
<tr>
<td>0010</td>
<td>2032884 SR21-NS079860-02</td>
<td>60</td>
<td>36</td>
<td>19.00</td>
</tr>
<tr>
<td>0010</td>
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<td>60</td>
<td>36</td>
<td>2.00</td>
</tr>
<tr>
<td>0010</td>
<td>2033873 4K33-MH0095725-03</td>
<td>60</td>
<td>36</td>
<td>5.00</td>
</tr>
<tr>
<td>0010</td>
<td>3836149 MCKNIGHT ENDOW/NEURO</td>
<td>60</td>
<td>34</td>
<td>5.00</td>
</tr>
<tr>
<td>0010</td>
<td>3590205 UNIV OF FLA #UFDSP90</td>
<td>60</td>
<td>36</td>
<td>2.00</td>
</tr>
<tr>
<td>0010</td>
<td>3837060 HARRINGTON DISCOVERY</td>
<td>60</td>
<td>34</td>
<td>5.00</td>
</tr>
</tbody>
</table>

Retain for Departmental Employee Personnel Records

This form is for confirmation purposes only. Do not use this form to make any changes.
Institutional Base Salary (cont.)

Related Guidance and Resources
Corporate Payroll Services web page:
www.payroll.duke.edu
Accounting View of Payroll

Note: This report displays payroll activity for cost objects assigned to you including WBS elements where you are the Grant Manager and Cost Centers where you are the Responsible Financial Person. If you aren’t assigned to cost objects, then no data will be displayed/returned on the report. Named are not displayed in instructions to ensure confidentiality of salary information.

1. From the Sponsored Research Reporting page, click on the Accounting View of Payroll Report (underlined link) to display the report’s selection screen.

On the Accounting View of Payroll Report Variable Entry page:

2. Enter a value in the Cost Object Familiar field OR leave blank per one of the options listed below:
   - Enter a single Cost Object
   - Enter a range of Cost Objects - click on the Drop-down for the field, enter values in required From and To fields in the Value Range box, and click OK.
   - Leave the field blank to select all cost objects assigned to you.
     Note: If you enter a Cost Object not assigned to you, then no data will be returned in the report.

3. Enter the Fiscal period and year in the Period/Fiscal Year (Interval Entry Required) field as follows:
   - Enter the value as MMM/YYYY (where MMM is fiscal period and YYYY is fiscal year – Example 001/2014)
   - Enter the Fiscal Period as a 3 digit value, example 001
   - Enter the Fiscal Year as a 4 digit value, example 2014
   - Enter ranges in the field with this format: MMM/YYYY – MMM/YYYY (examples = 001/2014 – 003/2014 or you can cross fiscal years such as 011/2014 – 001/2015)
Accounting View of Payroll (cont.)

4. Ensure 12/31/9999 is displayed in the Employee Key Date field (this value defaults; do not delete this value)

5. After completing the desired selection fields, click Check and OK buttons.

On the Accounting View of Payroll Report - Pay Amounts by Cost Object & GM page:

6. Review the data on the Accounting View of Payroll report section at the bottom of the screen – the data displayed is based on the selection criteria and includes:
   - **Cost Object** – the 7 digit Cost Object and description
   - **G/L Account** – the 6 digit G/L Account and description
   - **Employee** - Duke Unique ID (DUID) and name of employee paid from the Cost Object
   - **Fiscal Period** – Fiscal period of the salary payment
   - **Pay Period, Pay Start Date, Pay End Date** – Pay period along with beginning and end dates of the salary payment
   - **Gross Pay Amount** – the gross salary paid for the period/periods selected.
   - **Fringe Amount** – the calculated fringe amounts associated with the gross pay.
   - **Fringe Supplement Amount** – the calculated supplement fringe amounts associated with the gross pay.
Accounting View of Payroll (cont.)

7. Note the following about the standard view of the report and the subtotal/totals:
   - In the standard view of the report, Gross Pay and Fringe/Fringe Supplement Amounts are presented by Employee and by fiscal period, subtotaled by G/L Account, and then subtotaled by Cost Object.
   - If a single fiscal period/year was selected, then the Gross Pay Amount total for a Cost Object and G/L Account combination will tie to the payroll accounting postings for that same combination of your line item financial report.

8. Use the Query Options section to perform functions as needed per the steps below:
   - To print the report, click on the Export/Print Options link and in the callout box, choose either PDF Letter/Portrait to print as a PDF portrait view on a letter-size sheet OR PDF Letter/Landscape to print as a PDF landscape view on a letter-size sheet. Click OK to print.
   - To export the report, click on the Export/Print Options link and in the callout box, choose Excel and choose Open or Save on the next screen. If Save option is chosen, complete the fields to save as needed.
   - To save your changes/revisions made to the standard view of the report, click on the Query Personalization link and choose Personalize Query. Each time the report is run in the future, your personalized view will automatically display.
   - To delete/remove the personalized view and return to the standard view, click on the Query Personalization link and choose Delete Personalization to return to the standard view of the report.
   - To open the Variable Entry (selection) screen and change the selection criteria and run a new report, click on the Refresh Query link.

9. Use the Select Characteristics section (middle section) to change the view of the standard report to include more details on the components of an employee’s gross pay, the personnel subarea, and the employee’s job title.
   - Place cursor over characteristic listed in the middle section of the screen.
   - Review the box that appears and contains instructions to drag and drop.
   - Left mouse click on the title of any column displayed in the report and move it to the Select Characteristics section to remove it from the report.
   - Review the examples on next pages of ways to change the report.

10. The Fiscal Period Display box shows the fiscal period or range of periods being displayed in the report. This is a display box only and the Refresh Query referenced in Step 8 can be used to change the report range.
EXAMPLE 1 - To see the components of an individual’s gross pay:

11. Use the Drag and Drop functionality to add Wage Type to the report (see results below).

12. Once Wage Type is added (above), an additional subtotal by individual employee is displayed in addition to the subtotal by employee. The wage type text corresponds to the text displayed on an employee’s pay statement:

- Salary, supplements, and pay exceptions for exempt employees
- Base rate, overtime, vacation, sick, holiday, and premium pay for nonexempt employees
13. Retroactive activity displays as negative gross pay, fringe, and fringe supplement amounts.

**Note:** Retroactive amounts from previous periods are posted in the pay period in which the retroactive Cost Distribution iForm transaction processes.
MyResearch Personnel Report

Note: The report provides all personnel currently funded on Cost Objects (Fund Codes) for the selected PI, including the percent of effort for each employee on the selected Cost Objects. This report is also available in the Sponsored Research Reporting tab.

1. From the Effort and Payroll Tools and Reports page, click on the MyResearch Personnel Report (underlined link) to display the report’s selection screen.

On the MyResearch Personnel Report Variable Entry page:

2. To run the report for a particular Principal Investigator (PI), enter the Duke Unique ID (DUID) for the PI in the Responsible Person field or search by name to find the DUID per the Tips for Selecting Criteria for Reports Labeled as MyResearch section of this Guide:

3. After completing the desired selection fields, click Check and OK buttons.
Personnel Report (cont.)

On the resulting MyResearch Personnel Report:  

4. Review the columns of data as follows:
   - **Cost Object** - The 7 digit Cost Object (Fund Code) and description.
   - **Person** – the Duke Unique ID (DUID) and name of the employee funded from the Cost Object (Fund Code).
   - **Organizational Unit** – The 8 digit HR/Payroll organizational unit, as well as the associated 10 digit financial Org. Unit (BFR Code) and description to help identify the school or division.
   - **Valid From** – The beginning date from which the current funding was valid.
   - **Cost Object Percent** – The percentage funded from this Cost Object (Fund Code) for that employee.

5. Refer to the section of this guide titled Sponsored Research Reporting (includes MyResearch Reports for Grants Manager) to see more details regarding these types of reports, such as:
   - Tips for Selecting Criteria for Reports Labeled as “MyResearch”
   - Other MyResearch Report Functions.
Weighted Average Report

Note: This report provides a list of employees funded on the selected WBS Element during the selected 12 month period. The report may be generated for Exempt employees to display their weighted average cost distribution and salary or for Non-Exempt to display only their monthly salary. The report selection is different from many other reports in the Grants Management tab. Access is limited to those assigned as the Grant Manager (GM) 1 or Grant Manager (GM) 2 in the cost object’s master data.

1. From the Effort and Payroll Tools and Reports page, click on the Weighted Average Report (underlined link) to display the report’s selection screen.

On the Parameter Entry page:

Note: If you click on the underlined name link for a field, you will close the field section. See step below for more guidance.

2. Review the fields available for selecting the data to be included in the report and note the following selection tips about this type of report:

- Each selection field is displayed in a separate shaded section (if sections are not open, use the individual “twistee” icon to open, click on the underlined link name of the field, or use the Expand All button).
- The goal of selecting criteria is to have the desired selection value displayed in the Current value: field (a message indicates if nothing is selected yet).

Continued Next Page
Weighted Average Report (cont.)

- In general, use the **New value** input field to manually enter a value for applicable selection fields OR to use the **Drop-down** button to select a value from a “Picklist” box (some fields only have the Drop-down / “Picklist” option available).

- If a value was manually entered in the **New value**: input field (versus using the Drop-down button to select), use the **Add** button to actually update Current value: field displayed beneath the New value: field under the field.

- If the **Drop-down** button is used to select a value, the value will automatically update to the Current value: field.

- The **Current value**: field is displayed in black bold text below the input field once updated with the Add button or entered via the Picklist (this represents the value that will be used to select and generate the data for the report).

**3.** In the **WBS Element** tray, enter the WBS Element (WBSE) to be selected in the **New Value**: input field and click the **Add** button to display at the value in the **Current value** field.

**4.** In the **Starting Period of Analysis** tray, enter the starting Effort Period using the fiscal month and year (mm/yyyy) in the **New Value**: input field and click the **Add** button to display at the value in the **Current value** field (example 01/2015 equals July 2015).
5. In the Non-Exempt vs. Exempt: tray, select as follows:

- Leave the defaulted current value of Exempt
  
  OR

- Use the **Drop-down** button for the **New Value**: field to display the Picklist and select Non-Exempt from the list

- Click the **Add** button to display the selected Exempt or Non-Exempt value in the **Current value**: field.
6. After completing the desired selection fields, ensure all fields have a bolded selection choice in the **Current value:** field and click **Execute** button above the trays.
Weighted Average Report (cont.)

Data for Exempt View

On the resulting *Exempt Weighted Average Report*:

1. Review the header of the report which displays the selection criteria information, including the WBS Element (WBSE), Exempt, and timeframe selected.

2. Review the body of the Exempt report which displays three sections as follows:
   - **Base** = base salary paid for each employee paid from the selected WBSE.
   - **Supplement** = paid supplements, if applicable, for any employees that are paid supplements from the selected WBSE.
   - **Total** = the sum of the Base and Supplemental salaries (this section does NOT display the cost distribution percentage.

   **Note:** Manual Salary Cost Transfers (MSCTs) are included in the base salary or supplemental salary depending on which was chosen in the MSCT form. Tuition remission will not appear with supplements due to the upcoming changes to how tuition remission is handled. In addition, manual adjustments made directly in ECRT will not be included in this report until an iForm is fully approved and processed through Payroll in the General Ledger, and the report is refreshed. This also pertains to any MSCT iForm initiated outside of ECRT as well.
Weighted Average Report (cont.)

3. Review the columns of data provided in each section for the selected WBS Element (WBSE) as follows:

   - **Employee name** – the name of the Exempt employee.
   - **Appt Term** – the appointment term data from dFac which displays only if the employee is Faculty and the field is populated in dFac.
   - **Employee BFR Description** – the description associated with the financial BFR Code for the employee’s primary owning organization.
   - **G/L Account** - The 6 digit G/L Account used to represent the employee’s position on the selected WBSE.
   - **Monthly Columns $ and %** – based on the starting Effort period, the other columns include:
     - The fiscal month name and corresponding period/fiscal year displayed in the column header.
     - The employee’s monthly salary dollars ($)
     - The calculated weighted cost distribution percentage (%) funded from the WBS Element based on the formula of monthly salary on the WBS Element / Total Monthly Salary.
     - The annual totals which include the sum of monthly salary and average of the monthly cost distribution.
     - The Total section does NOT contain the cost distribution percentage.
Data for Non-Exempt View

On the resulting **Non-Exempt Weighted Average Report**:

1. Review the header of the report which displays the selection criteria information, including the WBS Element, Non-Exempt, and timeframe selected.

2. Review the body of the Non-Exempt report which displays all of the Non-Exempt employees paid on the specified WBS Element (WBSE) and contains only one Base section with this data:

3. Review the **columns of data** provided as follows:
   - **Employee name** – the name of the Exempt employee paid from the WBSE.
   - **Employee BFR Description** – the description associated with the financial BFR Code for the employee’s primary owning organization.
   - **G/L Account** - The 6 digit G/L Account used to represent the employee’s position on the selected WBSE.
   - **Monthly Columns $** – the amount funded for the employee on the selected WBSE including:
     - The fiscal month name and corresponding period/fiscal year displayed in the column header
     - The employee’s wages paid per the associated month ($)
     - The annual totals which include the sum of amount paid
     - There are no cost distributions displayed for Non-Exempt employees.
Changing the Parameter Entry Values from Within the Report

Once in the Weighted Average Report, the parameter entry values may be changed and the report refreshed to display a different view. At any time, you may change the WBS Element, Effort Period, or toggle between Exempt and Non-Exempt views without exiting and generating the report again.

1. In the left sidebar, click on the Prompt (looks like a question mark) button to display the Prompt Panel with the parameter selection input fields.

2. Enter the desired values in the fields or use the drop-down to change between Exempt and Non-Exempt.
3. Click on the **Apply** button to update the report with the new parameter selection values.

4. Once the report is processed, review the results of the updated report.
Weighted Average Report (cont.)

Exporting the Report

1. To export the report, click on the Export button in the upper left toolbar.

2. In the resulting window, click on the drop-down for the File Format field and choose either Microsoft Excel (97-2003) or PDF as desired (PDF is recommended for printing the report).
3. Once the file format is selected, use the optional radio button to select a range of pages or leave the default radio button selected for **All Pages**.

4. Click the **Export** button.

5. In the resulting prompt, click either **Open** or **Save** (follow prompts to save the Excel file if this latter option is chosen.)
Weighted Average Report (cont.)

Printing the Report

Due to compatibility issues with this type of report and different web browsers,

1. Due to compatibility issues with supported web browsers, the recommended method to print this report is to use the **Export** button and export the report as a PDF file and then print the PDF version of the report - see next steps.

2. In the resulting window, click on the drop-down for the **File Format** field and choose either **PDF** (PDF is recommended for printing the report).
3. Once the file format is selected, use the optional radio button to select a range of pages or leave the default radio button selected for **All Pages**.

4. Click the **Export** button.

5. In the resulting prompt, click either **Open** (or **Save** and follow prompts to save the PDF file and print later).

6. In the PDF file, click on the **Print** icon.
7. In the resulting Print window, select the desired print options and note the tips below.
   - Due to the large number of columns, the report may best be printed with size option of 17x11 (check box for Choose paper source by PDF page size), however the report can be shrunk down (Fit) to 8.5x11.
   - To set the page size, use the Size button and set the Size Options as desired.

8. Click the **Print** button.
Cost Distributions Reports

There are two cost distribution reports available in the Effort and Payroll Tools and Reports tab and both have the same selection criteria and the same columns of data.

The two reports are:

- **Cost Distributions by Cost Object Org Unit** – provides cost distributions for all employees with positions owned by the selected Org Unit
- **Cost Distributions by Employee Org Unit**. provides cost distributions for all employees funded by the selected Org Unit (even if the position is not owned)

Since these reports have the same selection criteria and layouts, both reports are covered together in this section of the guide.

**Selecting Criteria**

1. Enter the 8 digit Org. Unit (HR/Payroll organizational unit beginning with a 5) if known in the Org Unit field, or use the drop-down to find your organizational unit.

2. Use the Check button to verify the Org Unit entered is correct, especially if the value was keyed into the field.

3. Use the Save As... button to save a selection screen variant if desired.

   **Note:** A selection screen variant saves the data entered on this screen for future use. If a variant is saved, the named variant displays in the drop-down of the Available Variants field and may be chosen to populate the screen.

4. Click on the OK button to generate the report.
5. Review the columns displayed for the Cost Distribution report as outlined below, regardless of which report view is chosen:

- **Employee** – the Duke Unique ID (DUID) and name of the employee in a position that is either owned or funded by the Org Unit (depending on the report chosen).

- **Position Description** – the description of the position associated with the employee.

Columns continued on next page.
Cost Distributions Reports (cont.)

- **Employee BFR** – The associated 10 digit financial Org. Unit (BFR Code) and description to identify the school or division that owns the position.

- **Duke Cost Object** – the 7 digit cost object used to fund the position based on the percent of effort in the last column.

- **Duke Cost Object BFR** – The associated 10 digit financial Org. Unit (BFR Code) and description to identify the school or division that funds the position.

- **Valid From** – The beginning date from which the current funding was valid.

- **Cost Distribution Percent** – The percentage funded from this Cost Object (Fund Code) for that employee.

6. Review the top of the report to see the number of rows currently displayed and the total number rows, and use buttons to scroll up or down as follows:

   - **Next Line** / **Next Page** / **Last Entry** (Page)
   - **Previous Line** / **Previous Page** / **First Entry** (Page)

   Note: To go to a specific line, enter the line item number in the white display field and press Enter on the keyboard.

7. Refer to the **Other MyResearch Report Functions** section (included under the **Sponsored Research Reporting** section of this guide) to see more functions available once in the report, such as swapping views, printing, and exporting.

   Note: Even though these Cost Distribution reports are not labeled as “MyResearch”, the reports have a similar layout and provide the same functions as the MyResearch reports.
MyResearch PI Current Effort Distribution Report

Note: The report provides a full set of current funding sources for the selected Principal Investigator (PI). This report is also available in the Sponsored Research Reporting tab.

1. From the MyResearch Reports page, click on the MyResearch PI Current Effort Distribution Report (underlined link) to display the report’s selection screen.

On the MyResearch PI Current Effort Distribution Report Variable Entry page:

2. To run the report for a particular Principal Investigator (PI), enter the Duke Unique ID (DUID) for the PI in the Duke Unique ID – Single Value field or search by name to find the DUID per the Tips for Selecting Criteria section of this Guide:

3. After completing the desired selection fields, click Check and OK buttons.

On the resulting MyResearch PI Current Effort Distribution Report:

4. Review the columns of data as follows:
   - Employee – the Duke Unique ID (DUID) and name of the selected PI.
   - Job – the title associated with the job code.
   - Organizational Unit of Employee – the 10 digit BFR Code (Org. Unit) for the funding source (i.e., to which the Cost Object belongs).
   - Cost Object – the 7 digit Cost Object (Fund Code) and description.
   - Valid From – the beginning date from which the current funding was valid.
   - Valid To – the ending date to which the current funding will be valid (if changes are made in the funding source, then the Valid To date will have a fixed end date vs. the open ended date of 12/31/9999).
   - Cost Object Percent – The percentage funded from this Cost Object (Fund Code) for the selected PI.
5. Refer to the section of this guide titled Sponsored Research Reporting (includes MyResearch Reports for Grants Manager) to see more details regarding these types of reports, such as:
   - Tips for Selecting Criteria for Reports Labeled as “MyResearch”
   - Other MyResearch Report Functions.
Grant Manager iForms Workflow Status Report by Cost Object

Overview

The Grants Manager iForms 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 iForms workflow transactions tied to the selected cost object(s). This report excludes other transactions that do not pertain to the iForms process. While similar to the iForms Workflow Status Overview Report found under the iForms tab, this version allows selection by cost object(s) instead of Organizational Unit. 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:

- Duke Faculty Hiring, Promotion, and Tenure systm (dFac)
- HR/ Payroll related forms (iForms)

This report excludes other transactions that do not pertain to the iForms process.

The report is updated on a thirty minute cycle and should not be used to manage deadlines, like ensuring all forms are submitted to meet Corporate Payroll deadlines.

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

- 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).
- 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.
- 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.
GM iForms Workflow by Cost Object (cont.)

Accessing and Generating the Report from the Grants Management Tab:

1. Click on the **Effort and Payroll Tools and Reports** link (directly on the underlined text).

2. Click on the **Grant Manager iForms Workflow Status by Cost Object** link (directly on underlined text) to display the report’s selection screen.
On the *Workflow Status by Cost Object* page:

3. 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.

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

5. 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).
6. 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).*

7. 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.
8. 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.

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

10. Once the input field is populated, click the **Go** button to generate the report (report will be displayed below the selection field).
Using the Grant Manager iForms 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>· dFac = Faculty System</td>
</tr>
<tr>
<td></td>
<td>· iForm = iForms (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
### GM iForms Workflow 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>
</tbody>
</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, 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:  
  - **iForm** = position or employee name associated with the form being processed  
  - **dFac** = employee name associated with transaction |
| 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 |

*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. If desired, click to choose a Cost Object to use as the filter for the report if desired 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.
To Filter the Report by Type of Transaction

**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.

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

2. In the resulting Input Controls display (left pane), choose the type of transaction to use as the filter for the report (such as iForms or dFac) and click **OK**.

   **Note:** Only the workflow types that are displayed in the report will be listed as options. For example, if you don’t have any dFac 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.
GM iForms Workflow 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.