CAS Compliance Report

To be used for CAS Line Items Requiring Additional Action

To Log in to CAS Compliance Report:

1. Open a web browser (Internet Explorer 9 or below, Firefox) and to go to the Duke@WORK web site (http://work.duke.edu).

![Duke University NetID Services](image)

2. On the Duke University NetID Services screen, enter your NetID and Password.

3. Click on the Enter button to proceed to the Duke@WORK web site.

5. Click on the link to **MyResearch Reports (for Grants Management Role)**.

6. Click on **CAS Compliance Report** link.
CAS Line Items Requiring Additional Action (Documentation/Transfer) screen:

To run CAS Compliance Report:

7. 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).

8. 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, use **drop down** for that field 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.

9. 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, use **drop down** for that field 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.

10. Required: Enter the desired Fiscal Year and Fiscal Period.
11. **Required to Select One**: Select ONE of the 4 different **Layout Options**.

<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 inception to date for projects with non-compliant clerical/administrative charges. The Flag field (last field of the report) denotes why the transaction is non-compliant. N = No Budget O = Overspent <strong>Note</strong>: 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.</td>
</tr>
<tr>
<td>Current Month Only Line Items</td>
<td>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.</td>
</tr>
<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>
Layout Option: ITD Line Item Report

![ITD Line Item Report Image]

Layout Option: Current Month Only Line Items Report

![Current Month Only Line Items Report Image]

Layout Option: Project Report

![Project Report Image]
**Layout Option: CE Group Report**

To download CAS Compliance Report to Excel:

12. After running the CAS Compliance Report, click on the small double-arrow on the far right of the toolbar. This will display a drop down menu. Select “click to download file” from the dropdown menu.

**NOTE:** See 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.
13. You may receive a security warning will open in another window. Click on “Don’t Block.”

14. Select where to save the file in your directory.

15. Enter a file name for the file.

16. Choose “Excel Files” as **File Type**.
17. A message will appear in the lower left of the report screen indicating that the file has been created/transfered.

18. Go to Excel and open the file. This message will appear. Click on “Yes.”

19. When the Text Import Wizard-Step 1 of 3 window opens, click on “Next.”
20. At Step 2 of 3 of the Text Import Wizard, click on “Finish.”


Drilling Down on a line item:

22. The current month layout and ITD layout options allow you to drill down to accounting documents. To drill down to the line item, click on the document number. You may need to scroll to the right to find the document number. To navigate back to a previous screen, click the back button in the tool, not the back button on your browser.
23. Scroll to the far right of the Compliance report. The final field is a flag. 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%.

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