eRA@Duke Management Rebudgeting/CAS Form (ReC)

To be used to submit rebudgets on projects as well as document CAS expenditures

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

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.

4. On the Duke@WORK screen, click on the Grants Management tab.
5. Click on the **eRA@Duke Management** link.

6. Click on the **Rebudgeting/CAS Form (ReC)** link.
7. Click on the **Project Field**. Insert WBSE to rebudget. Click **UPDATE**. If a valid project number is entered, project master data will populate.

**NOTE:** Once you click **UPDATE** and select a project, the form is locked. If the wrong project is selected then you must close the form and open a new one. You CANNOT start a new rebudget on a selected code if a rebudget is in process for any project that is associated with that code.

8. Once you have a specific project populated, use the drop down in the SPS field to select the **SPS No.** associated with the budget period to be rebudgeted.

**NOTE:** If a plan has not been loaded into R/3, you MUST wait to initiate a rebudget form until a plan is loaded. If you need to rebudget CAS exception, see Section: **CAS Rebudget Without Plan**.
9. Once you have a specific SPS number, you can choose to either directly key the items to be rebudgeted, or click on the Pre-populate Plan Button to fill out plan information that exists in SAP for the wBSE entered in the Project field.

**NOTE:** Now is a good time to check GAP 200.160, Rebudgeting Funds On Grants And Contracts.
10. You have the option to delete cost element rows which you will not be rebudgeting using **Delete Row** button. Rows can only be deleted one at a time.

11. Enter the amount requested for rebudgeting, type it into the **Req. Increase/(Decrease)** field on the line of the corresponding cost element. Credits MUST use a (-) sign, NOT parenthesis or brackets. IF you need to rebudget a g/l account that is not listed, click on a blank line item. Type WBSE and the new G/L Account. The cost element description, cost element group, BFR/BFR descriptions will automatically populate after you click Enter or click the Calculate IDC button. Enter the requested increase or decrease into the new field.

**NOTE:** If searching for a cost element by name, the search is case sensitive – you must use all CAPS.

**NOTE:** You can rebudget between codes with a parent/sub relationship. In the WBSE column, the selection box lists all codes available to rebudget.

**NOTE:** OSP has started loading restricted plan amounts that are able to be rebudgeted into g/l 099600. If you need to rebudget a restricted plan amount, ensure the plan is on 099600 (099800 is not a g/l that can be rebudgeted). You may need to work with your OSP liaison to move restricted plan to 099600. 099600 should include both directs and indirects. If you are having trouble rebudgeting on this g/l, contact your OSP liaison to ensure the g/l account has been set up correctly.

12. When complete, press (a) Calculate IDC **AND** (b) Check buttons to ensure there are no errors. If you need assistance calculating IDCs, click the “IDC calculator link” This will bring you to an OSP website where you will find an IDC calculator. **Your Total Cost MUST equal 0** for the form to submit.
NOTE: Calculate IDC button will automatically calculate IDC impact if you are rebudgeting between a cost element group that accepts IDCs and one that does not. You may have to increase your rebudget request by $1 for Total Cost to = $0 due to system rounding.

13. Answer Compliance Questions:

(1) “Does this Rebudget require Sponsor Approval? (i.e. change to scope of work, significant rebudgeting, etc.) Y or N

(2) “Are you requesting an approval for CAS Expense for Parent/Child related WBSEs?” Y or N. If you answer yes to this question, then justification box will expand for you to complete the parent/child justification. This question is only required to be answered if CAS G/L Accounts are impacted by the rebudget.

14. Justify the rebudget. Ensure rebudget is compliant with sponsor terms and conditions (i.e. you are not rebudgeting into an unallowable cost element). Justification should be thorough and in lay terms. The text box limits you to 2,000 characters.

NOTE: If you copy/paste from other tools like Word or Excel into any field, you may get funny characters instead of what you copied. This depends on your software package, and may not happen all the time. If you are unable to copy/paste from another tool, you should type your comments manually into the tool. Additionally, when copy/pasting, either from an external source or within the tool itself, you should use the keyboard shortcuts – Ctrl-C and Ctrl-V rather than right-clicking. Sometimes, the right-click copy/paste functionality is disabled.
15. If necessary, you can upload an attachment. If you Select YES to the question, “does this rebudget require prior sponsor approval,” You MUST upload as a ‘Sponsored Approval Document.’ Attach documentation but DO NOT upload confidential information. Click the “Browse” button to search your network for the appropriate document. Only .pdf files can be uploaded. Once you select a file, click “Upload as a Sponsor Attachment” or “Upload as a General Attachment,” which ever is more appropriate. Your attachments will appear in a list under the attachments search box.

**CAS Salary Expense Justification**

**NOTE:** CAS Section defaults to closed, unless a CAS G/L is populated during rebudget. This section is only necessary if you are rebudgeting CAS salary g/l accounts.

1. Click in the blank space under **Project Role** to select a corresponding role. Work with PI to select most appropriate role to the project justification. This should be the role on the project, and NOT necessarily a particular person’s job title.
2. You may choose a role from the menu selected and then click ok.

3. You can insert and delete rows as needed. To Insert a row, click on the **Insert Row** button. The new row will be highlighted. To Delete a row, click on row you wish to be deleted. Once it is highlighted, click the **Delete Row** button. The row will be deleted.
4. Once you have selected the appropriate role, enter the % **Effort**, **Amount**, and **Specific Duties Justification**. All four columns must be populated for the form to route.

**NOTE:** Remember that your role is selected based on justification NOT a specific person. Amount = Total Requested for budget period.

5. Select from the activities that best describes why you are requesting the CAS item.

6. Justify the Salary CAS Expense. Explain why the project qualifies as a large/complex project. The justification should be in lay terms, and not a copy of the specific aims of the project. If you are a campus unit, and are requesting a waiver of the $500 CAS limit, include a justification here.

**CAS Non-Salary Expense Justification**

**NOTE:** CAS Section defaults to closed, unless a CAS G/L is populated during rebudget. This section is only necessary if you are rebudgeting CAS non-salary g/l accounts.
1. Click in the blank line under **Cost Element** to select or type a corresponding cost element.

2. You may choose from the menu selected or type in the G/L, then click ok.
3. Once you have selected or entered your cost element, enter the **Rebudget Amount**, **Item description to directly charge**, **Explanation of why item needed to complete the project**. Your justification should be thorough, and in lay terms. It should not be a copy of the specific aims. The item description is limited to 500 characters and the explanation is limited to 1,000 characters.

**NOTE:** The rebudget amount does not carry over from the rebudget grid. You must re-enter the amount here. You should ensure the amounts match.

4. If you have reference to a previous CAS form submitted using this tool, please enter the form number.

**CAS Rebudget Without Plan**
If you attempt to submit a rebudget on a code with no plan populated in R/3, the rebudget form will not route, and you will receive an error: “No budget exists.” The only exception is if you are submitting a rebudget to document CAS expenses. To document CAS expenses, **book the expense on the appropriate CAS cost element, and reduce cost element 099400.**

**Upload Attachments**

**NOTE:** An attachment is only required if sponsor prior approval is required. This should be uploaded in the “Upload Sponsor Approval Document.” See #15 in the rebudget form instructions.

1. To upload an attachment that is not a sponsor approval document, click “Upload as a General Attachment.” Browse and attach the correct form.

   **NOTE:** Do not upload confidential data. All uploaded documents can be viewed using the image retrieval tool.

   **NOTE:** Only PDF files can be attached.
Add Approver to Forms

NOTE: If you add an approver to the workflow; forms WILL NOT be processed until all required and added approvers approve AND ORS/ORA signs off.

1. Click on the Add Approver button. Enter either the Duke Unique ID of the person you want to add, or use the search function to search the names.

2. Enter the Last and First names of the person you wish to add as an approver and click the Start Search button. Note, the search works best if names are entered in all CAPS.
3. Once you have found the person you are looking for to be your approver, Click on the Person or the OK button. You may now submit with your additional approver.

E-mail Forms
NOTE: Once the form is completely approved and the plan is updated in SAP, an email notification will be sent to the PI and Grant Manager of any WBSE impacted by the rebudget. You can add others to receive the notice here.

1. Click on the **Email** button, and enter either the Duke Unique ID of the person you want to add, or use the search function.

2. Enter the Last and First names of the person you are wanting to add and click on the **Start Search** button. Note, the search works best if names are entered in all CAPS.
2. Once you have found the person you are looking for to notify in reference to forms, click on the **Person** or the **OK** button.

3. Click **OK** button. Notification will be sent when form is approved by Pre-Award office and plan has been updated.

**Routing the Rebudgeting/CAS Form:**

1. After you have completed all the form, click on **Check** to ensure there are no errors. You will be required to click the “check” button prior to the “submit” button being enabled.

2. If you are not ready to submit, you may **Save as Draft** to return to the form later. You will access the form via the Universal Worklist.

3. If you are ready to submit, click the **Submit** button to complete document. If you click “submit” and there are any warnings, you will get a prompt that will indicate that
there are warnings and you can either exit that message and go look for warnings, or you can continue on with the submission.

**NOTE:** The Rebudgeting/CAS Form will time out after 15 minutes of inactivity. If you fail to save the form, you will lose your work.

**Saving the form as a Draft:**

1. In the Actions/Comments section of the Rebudgeting/CAS Form, click “Save as Draft.” The form will close, and you will receive a notice that the form has been saved as a draft.

2. The saved form is accessed via the universal worklist. Click on the universal worklist tab from the Duke@Work home page.
3. All forms which require your action are in your universal worklist. Draft forms are noted with (DRAFT) in the subject field.

4. You can open the form by either clicking on the subject line or the “show form” button below.

**Appendix: List of Common Error Messages:**

- “Project is required:” Indicates the Project field is blank. Populate the project field with a valid project.
- “Project is closed, rebudgeting is not allowed on closed codes:” Indicates the Project value entered is for code that is in CLSD status in R/3. Populate the project field with a project with REL status in R/3.
- “Project entered does not exist:” Indicates the Project value entered does not exist in R/3. Enter a valid WBSE.
- “No budget exists:” No plan is populated in R/3 for the WBSE for the budget period populated. Select another budget period or if rebudgeting to document CAS charges, utilize the 099400 g/l account work-around. See page 11, section: “CAS Rebudget Without Plan,” of the step-by-step.
- “No plan exists on this project so CAS Cost Element groups only are allowed:” No plan is populated in R/3, but rebudget includes CAS cost elements and non-CAS cost elements. Remove all non-CAS cost elements to submit form. Only CAS cost elements may be rebudgeted with no plan in place.
- “Sponsor Approval question not answered:” User has not answered question, “Does the rebudget require Sponsor approval?”
• “CAS expense present, missing answer to Parent/Child question:” User has populated a CAS cost element on rebudget grid, but has not answered the question, “Are you requesting an approval for CAS expense for Parent/Child related WBSEs?”

• “Sponsor Approval is required to be attached and Comments entered next to the attachment:” User answered Yes to question, “Does rebudget require sponsor approval,” but did not upload an approval document and/or has not entered comments in the comments box.

• “Parent/Child justification required:” User answered Yes to “Are you requesting approval for CAS expense for Parent/Child related WBSEs,” but did not include parent/child justification.

• “Intended use of rebudgeted funds is missing, justification must be provided:” No entry made in “intended use box for rebudget.”

• “Requested rebudget changes not allowed, as insufficient funds in Cost Element Category Balance:” User cannot move more plan/budget than exists in R/3 for that category – resulting in a negative category balance.

• “CAS documentation of Administrative and Clerical salaries is required. Also check to ensure all four columns of grid have data populated:” Payroll CAS cost element populated in rebudget form, but form is missing line items of Administrative & Clerical cost grid populated and/or at least one activity type must be selected.

• “CAS documentation of Non-Salary CAS expenses is required. Also check to ensure all four columns of grid have data populated:” A non-salary CAS cost element has been entered into the rebudget grid, but all four columns of the non-salary requirements grid are not populated.

• “CAS Payroll amounts in direct cost grid do not match those listed below.” The dollar amount listed in the CAS payroll g/l in the rebudget grid do not match the amount listed in the CAS justification

• “CAS Non-Payroll amounts in direct cost grid do not match those listed below.” The dollar amount listed in the CAS non-payroll g/l in the rebudget grid does not match the amount listed in the CAS justification.

• “The $500 minimum has not been met for the CAS CE Group _________, unable to proceed until resolved.” $500 CAS minimum for CE groups has not been met for internally designated subcodes.

• “The $500 minimum has not been met for the CAS CE Group _________, unable to proceed until CAS $500 waiver is completed.” For University BFRs only, the $500 CAS minimum between internally designated subcodes was not met, and the waiver box has not been populated.

• “Error, you cannot reduce the plan below $500 for CAS CE Group _________, unable to proceed until resolved:” Rebudget includes reducing plan for CAS cost element groups. The plan cannot be reduced below $500 across all internal subcodes. This is a warning message for all university BFRs, and the $500 CAS waiver text box is required.
• “Calculation of IDC’s are required:” User must click on the Calculate IDC button before the form can be submitted.
• “Rebudget amounts do not net to zero:” Total Costs must equal $0. If the balance is $1 or -$1, increase or decrease the debit by $1 for the rebudget to net to zero.
• “Administrative & Clerical Salary detail must be provided:” A Payroll CAS item is in the rebudget grid, but no entries are present in the Administrative & Clerical Salary Requirements grid.
• “The CAS Administrative & Clerical Cost Requirements grids is not complete, all columns require entry:” At least one of the 4 columns of the CAS Administrative & Clerical Cost Requirements grid require entry.
• “Type of Project must be identified since a Payroll CAS Cost Element has been entered:” At least one radio button identifying the type of project activity must be selected.
• “Non-Payroll CAS Cost Element detail must be provided:” A non-payroll CAS g/l was populated in the rebudget grid, but no entries are present in the Non-Salary Cost Requirements grid.
• “The CAS Administrative & Clerical Cost Requirements grids is not complete, all columns require entry:” At least one of the four columns in the Non-Salary Cost Requirements grid has not been populated. All columns require entry.
• “Rebudget form in process for WBSE xxxxxxxx, submission at this time must wait completion of the previously submitted form. You can Save as Draft:” A rebudget is currently in process for the selected WBSE. The form can be saved as a draft and routed for approval after the previously submitted form is approved by the pre-award office and the plan is updated. Check the eRA@Duke Management Form Overview to review status of forms.