Kuali Coeus Implementation Awards Blueprinting Workshop 1

KC-AWD4: Hardship Award
KC-AWD5: Advance Award
KC-AWD2: Standard Award

September 4, 2013
Goals and Outcomes

• Goals
  – Obtain feedback on the proposed future state (e.g. to-be) business processes
  – Review the configuration settings and application roles which support the processes within KC
  – Review the data assumptions which have been made while drafting the future state business processes
  – Review identified gaps related to the processes and amend as needed

• Outcomes
  – Document feedback and action items gathered during the session; distribute to participants for review
  – Utilize the information gathered to further refine business processes, configuration settings, application roles, data assumptions, and gaps
Presentation Outline

• Future State Process
• Data Assumptions
• Configuration Values
• Roles Defined/Assigned
• Potential Gaps
• Integrations
KC-AWD4: Hardship Award
KC-AWD4: Hardship Award

KC-AWD4 Hardship Award – Future State

1. Submitted proposal
2. Receive proposal
3. Consider proposal for award
4. Consider making a request for a hardship award
5. Request?
6. Receive & consider request for hardship award
7. Approved?
8. Receive notification of denial for hardship award
9. No
10. Receive request for hardship award
11. Approved?
12. Verify that all compliance approvals and/or cost share verification has been received
13. Complete?
14. Request and receive documentation
15. Create award document in KC
16. Review and finalize award in KIC
17. Set up account in KFS
18. Finalized

Last Updated By: T Wightman
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KC-AWD4: Hardship Award
Data Assumptions

KC-AWD4: Hardship Award

- Data needed for process initiation
  - Lead Unit*
  - Award Status*
  - Award Type*
  - Activity Type*
  - Project Title*
  - Sponsor*
  - Project Dates*

- Transactional data (both input and output)
  - Sponsor template (for Hardship/Advance)
  - Cost Share information (if applicable)
  - No Award Amount
  - Compliance information (protocol number, status, exemption classification)
  - KC Award Data populates info in KFS Account document
  - KC Award Notice generated for PIs and Department Administrators

- Data generated on process complete
  - KC Award and KFS Account IDs
KC-AWD5: Advance Award
KC-AWD5: Advance Award
KC-AWD5: Advance Award
Data Assumptions
KC-AWD5: Advance Award

• Data needed for process initiation
  – Lead Unit*
  – Award Status*
  – Award Type*
  – Activity Type*
  – Project Title*
  – Sponsor*
  – Project Dates*

• Transactional data (both input and output)
  – Sponsor template (for Hardship/Advance)
  – Cost Share information (if applicable)
  – No Award Amount
  – Compliance information (protocol number, status, exemption classification)
  – KC Award Data populates info in KFS Account document
  – KC Award Notice generated for PIs and Department Administrators

• Data generated on process complete
  – KC Award and KFS Account IDs
KC-AWD2: Standard Award
KC-AWD2: Standard Award
KC-AWD2: Standard Award
KC-AWD2: Standard Award
Data Assumptions
KC-AWD2: Standard Award

• Data needed for process initiation
  – Institutional Proposal ID
  – Lead Unit* or Post Award Unit (if different than proposal)
  – Notice of Award (identifiers, project dates, F&A rate, reporting requirements, terms & conditions, budget, etc.)

• Transactional data (both input and output)
  – Award Status*
  – Award Type*
  – Prime Sponsor (if applicable)
  – Subawardee Information (name and amount, if applicable)
  – Sponsor template (for more common sponsors)
  – Credit Split information (if different than proposal)
  – Award Amount for Award Budget Limit

*indicates required field
Data Assumptions (cont’d)

KC-AWD2: Standard Award

• Transactional data (both input and output)
  – Compliance information (protocol number, status, exemption classification)
  – Cost Share information (if applicable)
  – Protocol information is updated as the compliance processes continue
  – KC Award Data populates info in KFS Account document
  – KC Award Budget generates a KFS Budget Adjustment document
  – KC Award Notice generated for PIs and Department Administrators

• Data generated on process complete
  – KC Award and KFS Account IDs
  – Invoicing / Financial Reporting notification to verify information
  – Subaward notification to initiate subaward documents
Configuration Values
All Award Setup Processes

• Parameter Values*
  54, including 2 shared with Preaward

• Validation Rules
  Out of the box only – nothing added

• Notifications
  Out of the box only – nothing added

• Code Tables

• Special Configuration Items

* Determined at Institutional Level
## Configuration: Code Tables
### All Award Setup Processes

<table>
<thead>
<tr>
<th>Award Status</th>
<th>Attachment Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Active</td>
<td>1. Sponsor Document</td>
</tr>
<tr>
<td>2. Inactive</td>
<td>2. Other Institutional Document</td>
</tr>
<tr>
<td>3. Pending</td>
<td>3. Subaward Commitment Document*</td>
</tr>
<tr>
<td>5. Closed</td>
<td>5. Cost Share Document*</td>
</tr>
<tr>
<td>8. Under Audit*</td>
<td>8. Other Document</td>
</tr>
</tbody>
</table>

* Indicates proposed additions to out of the box functionality
**Configuration: Code Tables (cont’d)**

**All Award Setup Processes**

<table>
<thead>
<tr>
<th>Award Type</th>
<th>Unit Administrator Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Grant</td>
<td>1. Administrative Officer</td>
</tr>
<tr>
<td>2. NIH Training Grant</td>
<td>2. OSP Administrator</td>
</tr>
<tr>
<td>3. Contract</td>
<td>3. Unit Head</td>
</tr>
<tr>
<td>4. Indefinite Delivery Contract</td>
<td>4. Dean VP</td>
</tr>
<tr>
<td>5. Cooperative Agreement</td>
<td>5. Other Individual to Notify</td>
</tr>
<tr>
<td>7. Fellowship</td>
<td>7. Administrative Contact</td>
</tr>
<tr>
<td>9. Other Transaction Agreement</td>
<td>9. Fiscal Officer*</td>
</tr>
<tr>
<td>10. Student Financial Aid</td>
<td>10. Award Unit Contact*</td>
</tr>
<tr>
<td>11. Gift</td>
<td>11. Preaward Unit Contact*</td>
</tr>
</tbody>
</table>

* indicates proposed additions to out of the box functionality.
Configuration: Code Tables (cont’d)
All Award Setup Processes

Contact Type
1. Technical/Scientific Officer (2)
2. Awarding Office Contact (2)
3. Payment/Fiscal Reporting Contact
4. Intellectual Property Contact
5. Property Office Contact (2)
6. Subcontracting Reporting Contact
7. Final Report Submission Address
8. Other
9. Procurement Reporting Contact (2)
10. Close-out Contact
11. Report Submission Address (2)
12. Administrative Contact (2)

(2) Some values appear twice in the code table to allow for the identification of multiple contacts of the same type.
Configuration: Code Tables (cont’d)

All Award Setup Processes

**Keywords**

1. Diabetes
2. Chemosynthesis
3. Carbon
4. Chlorine
5. Heat
6. Longwave
7. Transmittance
8. Temperature
9. Amphipods
10. Ostracods

* Out of the box values shown as an example. Keywords should be research related.
Configuration: Special Items
All Award Setup Processes

• Sponsor Templates
  NSF – National Science Foundation
  NIH – National Institute of Health
  USDA – US Department of Agriculture
  US Department of State
  US Department of Education
  DOE – US Department of Energy
  Hardship and Advance
  FDP – Federal Demonstration Partnership
  US AID – US Agency for International Development
  Business Connect (Clinical Trial, RG Account, RC Account)
Roles Defined/Assigned

All Award Setup Processes

• List of roles and permissions for each role
  ➢ Award Defined Roles (made by grouping several roles together)

**CGA Administrator**
- Award Modifier
- Award Attachment Maintainer
- Award Budget Administrator
- Maintain Award Report Tracking
* Modify Sponsor Template

**OSP Administrator**
- Award Modifier
- Award Viewer
* Modify Sponsor Template

**CGA Reporting / Invoicing & CGA Cash Management**
- Award Modifier
- Maintain Award Report Tracking
- Award Budget Maintainer

**MSU Technologies**
- Award Viewer

* Modify Sponsor Template permission will only be given to a small subset of individuals.
Roles Defined/Assigned
All Award Setup Processes

- List of roles and permissions for each role
  - Award Defined Roles (made by grouping several roles together)

<table>
<thead>
<tr>
<th>Dept/College Administrator</th>
<th>Principal Investigator</th>
</tr>
</thead>
<tbody>
<tr>
<td>Award Viewer</td>
<td>Award Viewer</td>
</tr>
<tr>
<td>Award Attachments Viewer</td>
<td>Award Attachments Viewer</td>
</tr>
<tr>
<td>Award Budget Aggregator</td>
<td>Award Budget Aggregator</td>
</tr>
<tr>
<td>Maintain Award Report Tracking</td>
<td>Maintain Award Report Tracking</td>
</tr>
<tr>
<td>Template Viewer</td>
<td>Template Viewer</td>
</tr>
</tbody>
</table>
Roles Defined/Assigned
All Award Setup Processes

• Consequence: who has access to what information for KC-AWD2, KC-AWD4, KC-AWD5
  – CGA Administrators will have access to all information in every award.
  – OSP Administrators will have access to all information in every award.
  – Department / College Administrators will have access to view all information for every award in their unit or college.
  – Investigators will have access to view all of their award data.
  – This information includes: award data, attachments, award budgets, protocol information (only protocol number, status and exemption unless the user has the appropriate permissions to view the protocols).
## Potential Gaps (23)
### All Award Setup Processes

<table>
<thead>
<tr>
<th>Gaps</th>
<th>Potential Solution(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Account number generator to get next available account number in KFS as part of the KC-KFS integration.</td>
<td>Need to be able to grab the next available account number in KFS to display and to create the KFS account doc.</td>
</tr>
</tbody>
</table>
| Route to Complete for Award Documents                               | A) Route to Complete functionality "hooked" into Kuali Rice by either the Foundation or by MSU.  
B) Change business process to not utilize route to complete.                                                  |
| No routing for approval on post-submission changes or revisions.    | Could create routing rules for the Institutional Proposal document or award Document, however that could delay the creation of the account number.                     |
| No Board Acceptance Date field.                                     | No solution has been identified, and it has been stated that the BOT board report is being revised.                                                                  |
| No Board Report logic.                                              | No solution has been identified, and it has been stated that the BOT board report is being revised.                                                                  |
# Potential Gaps (cont’d)
## All Award Setup Processes

<table>
<thead>
<tr>
<th>Gaps</th>
<th>Potential Solution(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Co-Is are not displayed in search results list (only the PI is displayed).</td>
<td>Co-investigators could display all in one column.</td>
</tr>
<tr>
<td>Prime sponsor not displayed in the search results list.</td>
<td>Is already available in the Institutional Proposal Development search</td>
</tr>
<tr>
<td>Full amount requested for an award is not displayed in the search results list.</td>
<td>A user can open the appropriate document to see this information</td>
</tr>
<tr>
<td>Amount funded to date for a project is not displayed in search results list.</td>
<td>No possible solution identified</td>
</tr>
</tbody>
</table>
| Automatically send award/account create notification to PI, Co-I and Department Admin when award and account are set up. | A) Using KC Notifications along with the Award Notice.  
B) Continue to manually send the award notification.                             |
| No Account Name field                                               | This is in KFS – not needed in KC.                                                   |
| No Created By field in Special Review tab                          | CGA has determined that this would not be needed in KC.                              |
# Potential Gaps (cont’d)

## All Award Setup Processes

<table>
<thead>
<tr>
<th>Gaps</th>
<th>Potential Solution(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>No Legacy Account # field</td>
<td>CGA has determined that this would not be needed in KC.</td>
</tr>
<tr>
<td>No link to populate an untitled email message with an address</td>
<td>This address can be copied and pasted into an untitled email.</td>
</tr>
<tr>
<td>No graphical tools for displaying the duration of various data elements</td>
<td>Outside of KC scope</td>
</tr>
<tr>
<td>In KC, a user can open a proposal development eDoc from within Awards using Medusa. It is read-only and cannot be edited or revised.</td>
<td>Proposal development e document can be copied if it needs to be edited or revised.</td>
</tr>
<tr>
<td>Lacks ability to populate an award notification email with account details and restrictions.</td>
<td>Users can create an award notification .pdf in the Award Actions tab and attach it to an email.</td>
</tr>
<tr>
<td>Lacks ability to view apps associated with an award in search results list.</td>
<td>One can click Medusa or open the award and go to Medusa to view this info.</td>
</tr>
</tbody>
</table>
## Potential Gaps (cont’d)

### All Award Setup Processes

<table>
<thead>
<tr>
<th>Gaps</th>
<th>Potential Solution(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lacks ability to collect budgeted effort for personnel on individual awards and effort certification functionality across awards.</td>
<td>Outside of KC scope.</td>
</tr>
<tr>
<td>No 'Link App To New Account' link in the search results list.</td>
<td>A user can open a new award doc and add an Institutional Proposal to the award.</td>
</tr>
<tr>
<td>No fourth street address line.</td>
<td>Address can be fit into three available lines.</td>
</tr>
</tbody>
</table>
| Proposal final approval date or date the IP was created is not in search results list. | A) Can search the IP date created by entering Institutionalproposaldocument in the document type field (In document search… not in IP or Prop Dev search)  
B) If searching awards, a user can access this with medusa |
Potential Gaps (cont’d)
All Award Setup Processes

<table>
<thead>
<tr>
<th>Gaps</th>
<th>Potential Solution(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>No Deposited field</td>
<td>A user could select 'Special Handling -- see comments' from the Payment Method drop-</td>
</tr>
<tr>
<td></td>
<td>down and enter deposit info in the 'Invoice Instructions' box (or the Comments tab)</td>
</tr>
<tr>
<td></td>
<td>or possibly attach a scanned copy of the check/deposit to the award and route to</td>
</tr>
<tr>
<td></td>
<td>complete</td>
</tr>
</tbody>
</table>
Integrations

All Award Setup Processes

- Other Kuali Coeus Modules
  - Institutional Proposal
  - Subaward
  - Report Tracking
  - IRB
  - COI
  - IACUC
- Other Kuali Foundation Products
  - KFS
  - Kuali Rice
- MSU EBS Systems
  - SAP-EDW (Enterprise Data Warehouse)
  - OOI
- MSU Legacy Systems
  - Account Explorer
## Glossary

<table>
<thead>
<tr>
<th><strong>Application Role</strong></th>
<th>Made up of granular permissions which enables users to access data or perform certain business functions</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Code Table</strong></td>
<td>Typically provides values for drop-down lists referenced by the application</td>
</tr>
<tr>
<td><strong>Configuration Setting</strong></td>
<td>The initial arrangement of parameters, code tables, etc. that determines what the application will do and how its components will interact</td>
</tr>
<tr>
<td><strong>COI</strong></td>
<td>Conflict of Interest; in KC the module in which financial conflict of interest disclosures are submitted and reviewed</td>
</tr>
<tr>
<td><strong>IACUC</strong></td>
<td>Institutional Animal Care and Use Committee; in KC the module in which animal protocols are submitted and reviewed</td>
</tr>
<tr>
<td><strong>IRB</strong></td>
<td>Institutional Review Board; in KC the module in which human subject protocols are submitted and reviewed</td>
</tr>
<tr>
<td><strong>KC</strong></td>
<td>Kuali Coeus, an open-source Research Administrative system developed by the Kuali Foundation</td>
</tr>
<tr>
<td><strong>KFS</strong></td>
<td>Kuali Financial System</td>
</tr>
<tr>
<td><strong>Kuali Rice</strong></td>
<td>Kuali Rice, provides middleware suite of integrated products</td>
</tr>
<tr>
<td><strong>Notification</strong></td>
<td>A message which is delivered to the user based on some action the user has performed</td>
</tr>
<tr>
<td><strong>SAP- EDW</strong></td>
<td>SAP HR/Payroll Data contained within MSU’s Enterprise Data Warehouse</td>
</tr>
<tr>
<td><strong>OOI</strong></td>
<td>Organization of Interest, a Kuali Rice based application for managing Organizations, developed and implemented by MSU</td>
</tr>
<tr>
<td><strong>Parameter</strong></td>
<td>An externalized application variable, the value of which can be maintained through the User Interface</td>
</tr>
<tr>
<td><strong>Validation Rule</strong></td>
<td>A check built within the application to ensure the data necessary for the system to perform a function is present and/or appropriate</td>
</tr>
</tbody>
</table>