Kuali Coeus Implementation
Award Blueprinting Workshop 3

KC-AWD18: Subaward
KC-AWD19: Subaward invoicing

September 25, 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
### Award Future State Development

<table>
<thead>
<tr>
<th>Process #</th>
<th>Process</th>
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<th>Process</th>
<th>Process #</th>
<th>Process</th>
</tr>
</thead>
<tbody>
<tr>
<td>AWD1</td>
<td>High Level Award Process</td>
<td>AWD9</td>
<td>Pre-Closeout / Closeout</td>
<td>AWD17</td>
<td>Accounts Receivable – Receive Funds</td>
</tr>
<tr>
<td>AWD2</td>
<td>Standard Award</td>
<td>AWD10</td>
<td>Rebudget</td>
<td>AWD18</td>
<td>Subawards</td>
</tr>
<tr>
<td>AWD3</td>
<td>Amendments</td>
<td>AWD11</td>
<td>Record Retention</td>
<td>AWD19</td>
<td>Subaward Invoicing</td>
</tr>
<tr>
<td>AWD4</td>
<td>Hardship</td>
<td>AWD12</td>
<td>Enter Cost Share</td>
<td>AWD20</td>
<td>Create Award Hierarchy</td>
</tr>
<tr>
<td>AWD5</td>
<td>Advance</td>
<td>AWD13</td>
<td>PI Progress Reports</td>
<td>AWD21</td>
<td>KC – KFS Integration</td>
</tr>
<tr>
<td>AWD6</td>
<td>Sponsor Template</td>
<td>AWD14</td>
<td>Financial Reporting</td>
<td>AWD22</td>
<td>Research Gifts</td>
</tr>
<tr>
<td>AWD7</td>
<td>No Cost Extension</td>
<td>AWD15</td>
<td>Cost Share Tracking</td>
<td></td>
<td></td>
</tr>
<tr>
<td>AWD8</td>
<td>Changes Requiring Sponsor Approval</td>
<td>AWD16</td>
<td>Invoicing</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Red - processes presented today. Green - future workshops.**

**Blue – previous workshops.**

Gray - processes outside KC or specific to Central Business Office
KC-AWD18: Subaward
KC-AWD18: Subaward

KC-AWD18 – Subaward – Future State

1. Send notice of Award with subawards

2. Is this a FDP Award?

3. Receive award with subawards

4. OSP Subaward Process KC-PRE26

5. Receive award with subawards

6. Use FDP template

7. Enter face page information

8. Attach sponsor-specific terms

9. Enter MSU contact information

10. Have subawardee information

11. Check subawardee information

12. Provide subawardee information

13. Add attachments

14. Check debarment status via website

15. Debarred?

16. Contact PI to end

17. Receive notification

Stop

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KC-AWD18: Subaward

KC-AWD18 – Subaward – Future State

19 Review subaward

20 Subaward approved?

21 Send corrections

22 Apply corrections to subaward

23 Send approval

24 Receive approval

25 Send FDP subaward

26 Review subaward

27 Sign subaward

28 Return PE subaward (with A-133)

29 Review A-133 information

30 Problem with A-133?

31 Proceed?

32 Contact PI to end

33 Receive notification

34 Renegotiate subaward to minimize risk

35 Update award document with subawardee A-133 information

Stop
Data Assumptions

KC-AWD18: Subaward

• Data needed for process initiation
  – Subaward Type*
  – Requisitioner User Name*
  – Subrecipient*
  – Purchase Order ID*
  – Status*
  – Contact*
  – Subaward amount*
  – Approved Subaward/Statement of Work
  – Award ID
  – Notice of Award (identifiers, project dates, F&A rate, reporting requirements, terms & conditions, budget, etc.)*

• Transactional data (both input and output)
  – A-133 information
  – Debarment information
  – Purchase Order is created in KFS

• Data generated on process complete
  – KC Subaward ID
  – Fully Executed Subaward sent to PI
  – FFATA reporting information, if required
Configuration Values
KC-AWD18: Subaward

• Parameter Values*
  1 institutional level parameter
• Validation Rules
  Out of the box only – nothing added
• Notifications
  None
• Code Tables
• Special Configuration Items
  None specific to this process

* Determined at Institutional Level
## Configuration: Code Tables

**KC-AWD18: Subaward**

<table>
<thead>
<tr>
<th>Subaward Status</th>
<th>Contact Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Active</td>
<td>1. Technical/Scientific Officer (2)</td>
</tr>
<tr>
<td>2. Archive</td>
<td>2. Awarding Office Contact (2)</td>
</tr>
<tr>
<td>3. Inactive</td>
<td>3. Payment/Fiscal Reporting Contact</td>
</tr>
<tr>
<td>4. Void</td>
<td>4. Intellectual Property Contact</td>
</tr>
<tr>
<td>5. Closed</td>
<td>5. Property Office Contact (2)</td>
</tr>
<tr>
<td></td>
<td>6. Subcontracting Reporting Contact</td>
</tr>
<tr>
<td></td>
<td>7. Final Report Submission Address</td>
</tr>
<tr>
<td></td>
<td>8. Other</td>
</tr>
<tr>
<td></td>
<td>9. Procurement Reporting Contact (2)</td>
</tr>
<tr>
<td></td>
<td>10. Close-out Contact</td>
</tr>
<tr>
<td></td>
<td>11. Report Submission Address (2)</td>
</tr>
<tr>
<td></td>
<td>12. Administrative Contact (2)</td>
</tr>
</tbody>
</table>

(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)
KC-AWD18: Subaward

Closeout Type
1. 10.2B Closeout of Subaward
2. 10.2C1 Final Payment under Subaward: Financial Assistance
3. 10.2C2 Final Payment under Subaward: Federal Contracts
4. 10.2D1 Transmittal of Final Patent Report
5. 10.2D2 Transmittal of Residual Property Report
6. 10.2F Subcontractor’s Release: Subaward Federal Contracts
7. 10.2G Subcontractor’s Assignment of Refunds, Rebates, Credits, and other
8. Audit Completed
9. Audit Requested
10. Closeout Complete
11. Files Destroyed
12. Files Sent to Archives
13. Negative Assurance Letter
Roles Defined/Assigned
KC-AWD18: Subaward

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

  **CGA Administrator**
  - Modify Award
  - Modify Subaward

  **Dept/College Administrator**
  - View Award
  - View Subaward

  **Principal Investigator**
  - View Award
  - View Subaward
Roles Defined/Assigned
KC-AWD18: Subaward

- Consequence: who has access to what information for KC-AWD18: Subaward
  - CGA Administrators will have access to all information in every subaward.
  - Department / College Administrators will have access to view all subawards that are funded by an award in their unit or college.
  - Investigators will have access to view all of the subawards that are funded by one of their awards.
  - This information includes: award, subaward data, attachments.
KC-AWD19: Subaward Invoicing
KC-AWD19: Subaward Invoicing

**KC-AWD19 – Subaward Invoicing – Future State**

1. Receive invoice on subaward
2. Verify subaward funds are available in KC
3. Are funds available?
4. Contact CGA or OSP to resolve funding options
5. Enter payment information into KC subaward
6. Route subaward invoice to PI in KC
7. Receive notice of subaward invoice
8. Review invoice in KC
9. Invoice okay to pay?
10. Work to resolve issues
11. CGA updates risk assessment and debarment if needed
12. CGA reviews document for compliance with subaward
13. Approve subaward invoice in KC
14. Automatic e-payment created in KFS and sent to Fiscal Officer (FO)
15. FO approves invoice and it routes to Accounts Payable

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Data Assumptions

KC-AWD19: Subaward Invoicing

• Data needed for process initiation
  – Subaward invoice
  – Invoice ID*
  – Start Date*
  – End Date*
  – Amount Released*
  – Effective Date*

• Transactional data (both input and output)
  – None

• Data generated on process complete
  – Subaward Invoice Document ID
  – Subaward payment processed in KFS
Configuration Values
KC-AWD19: Subaward Invoicing

• Parameter Values
  None specific to this process

• Validation Rules
  Out of the box only – nothing added

• Notifications
  Out of the box only – nothing added

• Code Tables
  None specific to this process

• Special Configuration Items
  None specific to this process
Roles Defined/Assigned

KC-AWD19: Subaward Invoicing

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

CGA Administrator
  Modify subaward invoice
  Subaward requisitioner review approver

Dept/College Administrator
  Modify subaward invoice

Principal Investigator
  Modify subaward invoice
Roles Defined/Assigned
KC-AWD19: Subaward Invoicing

- Consequence: who has access to what information for KC-AWD19: Subaward Invoicing
  - CGA Administrators will have access to all information in every subaward.
  - Department / College Administrators will have access to update the subaward invoice for subawards that are funded by an award in their unit or college.
  - Investigators will have access to update the subaward invoice for subawards that are funded by one of their awards.
  - This information includes: award data, subaward data, subaward attachments including invoices.
## Potential Gaps (9)

**KC-AWD18: Subaward & KC-AWD19: Subaward Invoicing**

<table>
<thead>
<tr>
<th>Gaps</th>
<th>Potential Solution(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lacks ability to encumber subaward balances</td>
<td>KC is not a financial system; subaward balances are not currently encumbered in KFS but MSU is looking into to changing this</td>
</tr>
<tr>
<td>No Subaward notes field</td>
<td>KCENHANC-98 is recorded for this</td>
</tr>
</tbody>
</table>
| No Subaward Advance Total field                                      | A) Add a field in Subaward Document - Financial Tab  
B) Custom Data tab could be used                                                                                                                              |
| No A-133 certification date created field                           | KC has an audit comment field in the organization record maintenance table could enter the date and a link to the organizations A-133                                                                                     |
| No cost share commitment field for tracking subawardee cost share met | A) Add a field in Subaward Document - Financial Tab  
B) Could use Cost Share panel on the Commitments tab to track 3rd party commitments                                                                         |
## Potential Gaps (cont’d)

**KC-AWD18: Subaward & KC-AWD19: Subaward Invoicing**

<table>
<thead>
<tr>
<th>Gap</th>
<th>Potential Solution(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>No debarment certification date created field</td>
<td>Suggestion to add a YNQ to the Organization record</td>
</tr>
<tr>
<td>No Deobligated Amount field for subawards</td>
<td>We have equivalent functionality within Financial Tab</td>
</tr>
</tbody>
</table>
| No Closed Subaward Balance field                   | A) KC has available amount field which can be used after subaward is closed to show subaward balance  
B) Comments/Notes tab could be used               |
| No fourth street address line                      | An address can be included in the three available lines                               |
Integrations
KC-AWD18: Subaward & KC-AWD19: Subaward Invoicing

• Other Kuali Coeus Modules
  – Award

• Other Kuali Foundation Products
  – KFS
  – Kuali Rice

• MSU EBS Systems
  – SAP-EDW (Enterprise Data Warehouse)

• MSU Legacy Systems
  – Account Explorer
## Glossary

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