Kuali Coeus Implementation
Preaward Blueprinting Workshop 4

KC-PRE19: Receive Request for Proposal Modification
KC-PRE31: Amend an Award

October 17, 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
# Preaward Future State Development

<table>
<thead>
<tr>
<th>Process #</th>
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</thead>
<tbody>
<tr>
<td>PRE1</td>
<td>High Level Preaward Proposal Process</td>
<td>PRE7</td>
<td>Limited Submission Process</td>
<td>PRE11</td>
<td>Prepare a Preliminary Budget</td>
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<tr>
<td>PRE3</td>
<td>Prepare a KC Proposal Development Document and Submit for Routing</td>
<td>PRE9</td>
<td>Review for Export Control Issues</td>
<td>PRE13</td>
<td>Review a Preliminary Budget</td>
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<td>PRE4</td>
<td>PI Review of Solicitation</td>
<td>PRE10</td>
<td>Create KC Proposal and Grant Access</td>
<td>PRE14</td>
<td>Prepare and Submit F&amp;A Waiver Request</td>
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<td>PRE5</td>
<td>Non-Regular Investigator Exception Review</td>
<td>PRE11</td>
<td>Prepare a Preliminary Budget</td>
<td>PRE15</td>
<td>Determine Proposal Budgeting Method</td>
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<td>PRE6</td>
<td>OSP Review of Solicitation</td>
<td>PRE12</td>
<td>Review F&amp;A Waiver Request</td>
<td>PRE16</td>
<td>Routing and Approval of KC Proposal</td>
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<td>PRE7</td>
<td>OSP Review of Solicitation</td>
<td>PRE13</td>
<td>Review a Preliminary Budget</td>
<td>PRE17</td>
<td>Submit Proposal to Sponsor</td>
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<td>PRE8</td>
<td>Review Solicitation for Intellectual Property Issues</td>
<td>PRE14</td>
<td>Prepare and Submit F&amp;A Waiver Request</td>
<td>PRE18</td>
<td>Receive Rejection Notice</td>
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<td>PRE9</td>
<td>Review for Export Control Issues</td>
<td>PRE15</td>
<td>Determine Proposal Budgeting Method</td>
<td>PRE19</td>
<td>Receive Request for Proposal Modification</td>
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<tr>
<td>PRE10</td>
<td>Create KC Proposal and Grant Access</td>
<td>PRE16</td>
<td>Routing and Approval of KC Proposal</td>
<td>PRE20</td>
<td>Receive Request for Documentation</td>
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<td>PRE11</td>
<td>Prepare a Preliminary Budget</td>
<td>PRE17</td>
<td>Submit Proposal to Sponsor</td>
<td>PRE21</td>
<td>Negotiate an Award</td>
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<td>PRE22</td>
<td>Receive Federal Fixed-Price Contract</td>
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<td>PRE23</td>
<td>Receive Unilateral, Cost-Reimbursable Contract</td>
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<td>PRE24</td>
<td>Receive Bilateral Award</td>
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<td>PRE25</td>
<td>Receive SBIR/STTR Award</td>
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<td>PRE26</td>
<td>OSP Non FDP Subaward Process</td>
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<td>PRE27</td>
<td>Create and Maintain Negotiation Document</td>
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<td>PRE28</td>
<td>Prepare Summary Proposal</td>
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<td>PRE29</td>
<td>Establish or Modify an Award</td>
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<td>PRE30</td>
<td>Maintain Organization Table</td>
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<td>PRE31</td>
<td>Amend an Award</td>
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<td>PRE32</td>
<td>Reassigned to Award Team</td>
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<td>PRE33</td>
<td>Establish Advance or Hardship Award in KC</td>
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</tbody>
</table>

**Red - processes presented today.**  **Green - future workshops.**  **Gray - processes outside KC or specific to Central Business Office**
KC-PRE19: Receive Request for Proposal Modification
Data Assumptions

KC-PRE19: Receive Request for Proposal Modification

• Data needed for process initiation
  – KC Proposal Development document
  – Existing KC Institutional Proposal

• Transactional data (both input and output)
  – Copied Proposal Development document (if applicable)
  – Modified Institutional Proposal

• Data generated on process complete
  – Completed Proposal Development document
  – New, Versioned or Linked Institutional Proposal
Configuration Values
KC-PRE19: Receive Request for Proposal Modification

• Parameter Values
  – There are 180 out-of-box KC Parameter Values identified as affecting Pre-award. Previous Preaward blueprinting sessions provided the specific number of values associated with Processes.
    Examples:
    – School Name : Michigan State University
    – Budget Code Status : Complete/Incomplete

• Validation Rules
• Notifications
• Code Tables
• Special Configuration Items

Many of the configuration items are the same as those presented in workshops 1, 2 and 3 and could potentially be triggered during a Request for Proposal Modification. This workshop will cover examples in each Configuration Value category.
Validation Rules

- General
  Examples:

  **Error**
  - Display if MSU employee Key Person has not completed certification questions

  **Warning**
  - Display if Final Budget Total Cost is ≤ 0.00
Notifications

Examples:

- Notification sent to PI(s), Co-I(s), and Key Person(s) as a reminder to complete the COI event based disclosure (proposed notification)

- Notification sent to previous approvers when a proposal attachment is replaced during approval routing (out-of-the-box notification)
  » Modification to this notification: Expand the recipients of the notification to include the aggregator’s identified within the proposal
Configuration Values (cont’d)

KC-PRE19: Receive Request for Proposal Modification

• Code Tables
  Examples:
  – Abstract Type
    » Project Summary (out-of-the-box)
  – Narrative Type
    » Approved F&A Waiver (proposed)
  – Appointment Type
    » 12M Duration (out-of-the-box)
  – To be Named Person
    » Grad Student (proposed)
Configuration Values (cont’d)
KC-PRE19: Receive Request for Proposal Modification

• Special Configuration Items
  Examples:
  – Standard Proposal Questions
    » Is this a Limited Submission proposal?
    » Is this a Clinical Trial?
    » Is there any potential for a perceived or real conflict of interest as defined in MSU’s Policies and Procedures with regard to this proposal?
Roles Defined/Assigned
KC-PRE19: Receive Request for Proposal Modification

List of roles:

KC Predefined Roles and Permissions (out-of-the-box)

– **Institutional Proposal Maintainer**
  - Create Institutional Proposal
  - Edit Institutional Proposal
  - Save Institutional Proposal
  - Submit Institutional Proposal
  - Open Institutional Proposal
  - Cancel Institutional Proposal

– **Institutional Proposal Viewer**
  - Open Institutional Proposal
  - Open Intellectual Property Review
Roles Defined/Assigned (cont’d)
KC-PRE19: Receive Request for Proposal Modification

- Pre-award defined new Roles (Nested - grouping several roles together):
  - **Department Admin**
    - Award Viewer
    - Institutional Proposal Viewer
    - View Sub-award
    - Narrative Writer
    - View Negotiation
    - Award Attachment Viewer
    - Proposal Creator
    - Delete Proposal
    - Budget Creator
  - **College Admin**
    - Award Viewer
    - Institutional Proposal Viewer
    - View Sub-award
    - Narrative Writer
    - View Negotiation
    - Award Attachment Viewer
    - Proposal Creator
    - Delete Proposal
    - Budget Creator
  - **OSP Proposal (Team 1, Team 2, Team 3)**
    - Aggregator
    - Award Viewer
    - Time and Money Viewer
    - Create Proposal Log
    - Institutional Proposal Maintainer
    - Negotiation Administrator
    - OSP Administrator
    - Proposal Creator
    - View Institutionally Maintained Salaries
    - View Sub-award
    - Viewer
Roles Defined/Assigned (cont’d)

KC-PRE19: Receive Request for Proposal Modification

Consequence: who has access to what information for KC-PRE19

– PI/College-Dept. Administrators:
  ▪ Can copy, modify and view all data and attachments within the proposal and can recall the proposal during routing (based upon role)
  ▪ Can also view all data within the Institutional Proposal

– Proposal Approvers:
  ▪ Can view all data (including attachments) within the Proposal Development document

– OSP:
  ▪ Can view, copy and modify proposal data and attachments, delete proposals, and replace documents after submission into routing
  ▪ Can also view and modify Institutional Proposal data
## Potential Gaps

**KC-PRE19: Receive Request for Proposal Modification**

<table>
<thead>
<tr>
<th>Gap</th>
<th>Potential Solution</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cannot search for Proposal Development Document or Institutional Proposals by PI; Co-I; Key Person; CFDA; Award</td>
<td>Modify the Proposal Development Document and Institutional Proposal search criteria to include PI, Co-I, Key Person</td>
</tr>
<tr>
<td>No routing for approval on post-submission changes or revisions</td>
<td>Could create routing rules for the Institutional Proposal Document or Award Document, however that could delay the creation of the account number</td>
</tr>
</tbody>
</table>
Integrations

• Other KC Modules
  – KC Proposal Development document
  – KC Institutional Proposal

• Other Kuali Products
  – Kuali Rice

• MSU EBS Systems
  – SAP-MSUEDW (Enterprise Data Warehouse)
  – Organization of Interest (OOI) system

• MSU Legacy Systems
  – None Specific to this Process
Questions
KC-PRE31: Amend an Award
KC-PRE31: Amend an Award

Future State
Data Assumptions
KC-PRE31: Amend an Award

• Data needed for process initiation
  – Existing Award document

• Transactional data (both input and output)
  – Copied Proposal Development document (is applicable)
  – Edited terms and conditions and/or budget
  – Award document

• Data generated on process complete
  – New Proposal Development document
  – New Institutional Proposal
  – Amended Award
Configuration Values
KC-PRE31: Amend an Award

- Parameter Values – No new values, examples provided in KC-PRE19
- Validation Rules – No new values, examples provided in KC-PRE19
- Notifications
- Code Tables – No new values, examples provided in KC-PRE19
- Special Configuration Items – No new values, examples provided in KC-PRE19

Configuration value examples are the same as those presented in Process
KC-PRE19
Configuration Values (cont’d)
KC-PRE31: Amend an Award

• Notifications
  – A new award that is to be administered by the URO office has been established (proposed notification)
Roles Defined/Assigned
KC-PRE31: Amend an Award

List of roles:

KC Predefined Roles and Permissions (out-of-the-box)

– **Award Modifier**
  - Create Award
  - View Award
  - Submit Institutional Proposal
  - Open Institutional Proposal
  - Open Proposal Log
  - Create Proposal Log
  - Save Institutional Proposal
  - Modify Award
  - Create Institutional Proposal
  - Modify Award Tracking Report
  - View Proposal
  - Submit Proposal Log
  - Edit Institutional Proposal

– **Award Viewer**
  - View Time and Money Document
  - Open Time and Money Document
  - View Award
Roles Defined/Assigned (cont’d)
KC-PRE31: Amend an Award

- Preaward defined new Roles (Nested - grouping several roles together) cont’d:
  - **OSP Proposal (Team 1, Team 2, Team 3)**
    - Aggregator
    - Award Viewer
    - Time and Money Viewer
    - Create Proposal Log
    - Institutional Proposal Maintainer
    - Negotiation Administrator
    - OSP Administrator
    - Proposal Creator
    - View Institutionally Maintained Salaries
    - View Sub-award
  - **OSP Contract (Team 1, Team 2)**
    - Aggregator
    - Proposal Creator
    - Time and Money Viewer
    - Create Proposal Log
    - Institutional Proposal Maintainer
    - Negotiation Administrator
    - OSP Administrator
    - View Institutionally Maintained Salaries
    - View Sub-award
    - Award Modifier
Roles Defined/Assigned (cont’d)

KC-PRE31: Amend an Award

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– Proposal Approvers:
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– OSP:
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  ▪ Can view and modify Institutional Proposal data
  ▪ Can view and modify the Award document
## Potential Gaps

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<td>Prime Sponsor not displayed in the search results list</td>
<td>Is already available in the Institutional Proposal search.</td>
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