Kuali Coeus Implementation Preaward Blueprinting Workshop 1

KC-PRE10: Create KC Proposal and Grant Access
KC-PRE3: Prepare a KC Proposal Development Document and Submit for Routing

September 5, 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

### Processes

<table>
<thead>
<tr>
<th>Process #</th>
<th>Process</th>
<th>Process #</th>
<th>Process</th>
<th>Process #</th>
<th>Process</th>
</tr>
</thead>
<tbody>
<tr>
<td>PRE2</td>
<td>Enter a New Sponsor in System</td>
<td>PRE13</td>
<td>Review a Preliminary Budget</td>
<td>PRE24</td>
<td>Receive Bilateral Award</td>
</tr>
<tr>
<td>PRE3</td>
<td>Prepare a KC Proposal Development Document and Submit for Routing</td>
<td>PRE14</td>
<td>Prepare and Submit F&amp;A Waiver Request</td>
<td>PRE25</td>
<td>Receive SBIR/STTR Award</td>
</tr>
<tr>
<td>PRE4</td>
<td>PI Review of Solicitation</td>
<td>PRE15</td>
<td>Determine Proposal Budgeting Method</td>
<td>PRE26</td>
<td>OSP Non FDP Subaward Process</td>
</tr>
<tr>
<td>PRE5</td>
<td>Non-Regular Investigator Exception Review</td>
<td>PRE16</td>
<td>Routing and Approval of KC Proposal</td>
<td>PRE27</td>
<td>Create and Maintain Negotiation Document</td>
</tr>
<tr>
<td>PRE6</td>
<td>OSP Review of Solicitation</td>
<td>PRE17</td>
<td>Submit Proposal to Sponsor</td>
<td>PRE28</td>
<td>Prepare Summary Proposal</td>
</tr>
<tr>
<td>PRE7</td>
<td>Limited Submission Process</td>
<td>PRE18</td>
<td>Receive Rejection Notice</td>
<td>PRE29</td>
<td>Establish or Modify an Award</td>
</tr>
<tr>
<td>PRE8</td>
<td>Review Solicitation for Intellectual Property Issues</td>
<td>PRE19</td>
<td>Receive Request for Proposal Modification</td>
<td>PRE30</td>
<td>Maintain Organization Table</td>
</tr>
<tr>
<td>PRE9</td>
<td>Review for Export Control Issues</td>
<td>PRE20</td>
<td>Receive Request for Documentation</td>
<td>PRE31</td>
<td>Amend an Award</td>
</tr>
<tr>
<td>PRE10</td>
<td>Create KC Proposal and Grant Access</td>
<td>PRE21</td>
<td>Negotiate an Award</td>
<td>PRE32</td>
<td>Reassigned to Award Team</td>
</tr>
<tr>
<td>PRE11</td>
<td>Prepare a Preliminary Budget</td>
<td>PRE22</td>
<td>Receive Federal Fixed-Price Contract</td>
<td>PRE33</td>
<td>Establish Advance or Hardship Award in KC</td>
</tr>
</tbody>
</table>


---

4
KC-PRE10: Create KC Proposal and Grant Access
KC-PRE10: Create KC Proposal and Grant Access

KC-PRE10 Create KC Proposal and Grant Access – FUTURE STATE

1. Log in to portal
2. Have access to KC?
   - Yes
   - No
3. Request access to KC System
4. Create a new proposal (or copy existing)
5. Sponsor code known?
   - Yes
   - No
6. Search for sponsor code
7. Sponsor already in database?
   - Yes
   - No
8. Enter new Sponsor in System KC-PRE1
9. Select desired sponsor
10. Enter/confirm sponsor code
11. Input required data
12. Save proposal
13. Assign document level roles as needed
14. Warn all necessary users found in KC?
   - Yes
   - No
15. Add Person to KC System

PL (and/or designee)

CISE

CASA

Dept/College

Last Updated by: Brian Rofferty
Page 1 of 1
Last Saved: 3/29/2013 2:03 PM
Data Assumptions
KC-PRE10: Create Proposal and Grant Access

• Data needed for process initiation
  – MSU Employee with Net ID
  – Access to the KC Portal
  – KC Role that allows Create Proposal

• Transactional data (both input and output)
  – Direct Sponsor Code*  * signifies required field
  – Proposal Type *
  – Lead Unit *
  – Activity Type*
  – Project Start Date *
  – Project End Date *
  – Project Title*
  – Prime Sponsor ID (if different than direct sponsor)
  – Assign additional users/permissions to proposal (if desired)

• Data generated on process complete
  – Proposal Development Document with a Proposal Document Number and Proposal Number
Configuration Values
KC-PRE10: Create KC Proposal and Grant Access

• Parameter Values
  There are 24 Institutional Level parameters for KC-PRE10

• Validation Rules
  None specific to this process

• Notifications
  None specific to this process

• Code Tables
  None specific to this process

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

KC-PRE10: Create KC Proposal and Grant Access

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

  **Proposal Creator**
  Create Proposal Development Document (Prop. Dev. Doc.)

  **Aggregator**
  
  Add Proposal Viewer  
  Maintain Proposal Hierarchy  
  Modify Budget  
  Modify Narrative  
  Modify Proposal Rates  
  Modify Proposal Permissions  
  Recall Document  
  Certify  
  Print Proposal  
  Modify Prop. Dev. Doc.  
  Submit Prop. Dev. Doc. into routing  
  View Budget  
  View Narratives  
  View Personnel Salaries  
  View Proposal

Active MSU Employees with Net ID will have Proposal Creator Role.
Roles Defined/Assigned (cont’d)
KC-PRE10: Create KC Proposal and Grant Access

• Consequence: who has access to what information for KC-PRE10
  – The person creating the proposal will automatically get proposal Aggregator permissions.
  – The proposal Aggregator will be able to perform Proposal Person Certification for any of the key persons listed.
  – Any persons added to the proposal as Aggregator will have access to the whole proposal, and can add other users and various permissions to the proposal.
  – The Proposal Creator will be able to delete the proposal they have created prior to it being submitted into routing.
## Potential Gaps

**KC-PRE10: Create KC Proposal and Grant Access**

<table>
<thead>
<tr>
<th>GAP</th>
<th>Possible Solutions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Request for a new Sponsor cannot be performed within Proposal Development document.</td>
<td>An electronic form could be available on the OSP website for submission to add Sponsor to code table. A TBN (to be named) Sponsor option would be created to allow the PI to continue work on the Proposal Development document while the request is in progress and a Validation Error would be added to prevent the proposal from being submitted with “TBN” as sponsor.</td>
</tr>
<tr>
<td>User cannot click a link to populate an untitled email message with an address.</td>
<td>The address can be copied and pasted it into an untitled email.</td>
</tr>
<tr>
<td>Proposals will only appear in OSP's action list after they have been submitted into routing, not when in draft mode.</td>
<td>OSP can do a document search based on date created or proposal search based on the sponsor deadline date.</td>
</tr>
<tr>
<td>COI Annual Disclosure not displayed in the Proposal Development document.</td>
<td>User could look up the information in the COI module if they have access.</td>
</tr>
<tr>
<td>The COI Training Check box does not display in the Proposal Development document.</td>
<td>COI staff could generate a report and make available to those who have a business need.</td>
</tr>
</tbody>
</table>
KC-PRE3: Prepare a KC Proposal Development Document and Submit for Routing
KC-PRE3: Prepare a KC Proposal Development Document and Submit for Routing

KC-PRE3 – Prepare a KC Proposal Development Document and Submit for Routing – FUTURE STATE

1. Open proposal in KC
2. S2S opportunity
3. Link Proposal to S2S Opportunity ID
4. Submitting proposal (S2S)?
5. Select optional S2S forms as necessary
6. Review and add required proposal data as needed
7. Enter Award or previous Institutional Proposal (if necessary) as applicable
8. Is there a Prime Sponsor?
9. Sponsor code known?
10. Enter/confirm sponsor code
11. Search for sponsor code
12. Sponsor already in database?
13. Enter New Sponsor in System (KC-PRE2)
14. Enter additional program and program information
15. Enter sponsor data as necessary
16. Modify organization data?
17. Required Organization found?
18. Add Organization to KC-KPREG2
19. Edit Organization information as necessary
20. Required Performance sites found?
21. Edit Performance Site Information as necessary
22. Add Employee or Non-employee to KC system
23. Edit Mailing Name and address found?
24. Edit Delivery Info as necessary
25. Edit delivery info as necessary
26. Enter Keywords as necessary
27. Submit for routing

1/1
KC-PRE3: Prepare a KC Proposal Development Document and Submit for Routing

KC-PRE3 – Prepare a KC Proposal Development Document and Submit for Routing – FUTURE STATE

1. Search for PI using Employee Search
   - Yes: Proceed to step 30
   - No: Return to step 23

2. Select Key Personnel
   - Yes: Proceed to step 32
   - No: Return to step 23

3. Add Employee or Non-employee to KC System
   - Yes: Proceed to step 34
   - No: Return to step 30

4. Search for additional Key Personnel
   - Yes: Proceed to step 36
   - No: Return to step 35

5. Select individual

6. Select proposal role

7. Edit other Key Personnel fields

8. Enter Contingency Credit Split values if required

9. Enter Approval Status and other information

10. Add Special Review Type

11. Human Subjects or Animal Use involved?
   - Yes: Proceed to step 40
   - No: Proceed to step 41

12. Enter Protocol number in KC Proposal Development Document
   - Yes: Proceed to step 42
   - No: Create new protocol in appropriate KC module

13. Proposal Actions (Finalize and Submit for Routing)
   - Yes: Proceed to step 59
   - No: Proposal needs for routing

14. Verify final budget in proposal

15. Verify all attachments are in proposal

16. Submit proposal for routing

17. Print/Review 5025 forms, if applicable

18. Turn on data validation and fix errors

19. Answer questions as required

20. Add cover/exception letter as required

21. Upload proposal document, internal attachments as needed

22. Enter proposal information if required

23. Enter Custom Data as required

24. Add abstract

25. Add abstract and attachments

26. Add questions as required

27. Submit abstract and attachments

28. Add questions as required

29. Add exceptions as required

30. Add special review type

31. Enter approval status and other information

32. Edit other key personnel fields

33. Search for additional key personnel

34. Add employee or non-employee to KC system

35. Select individual

36. Search for additional key personnel

37. Select individual

38. Select proposal role

39. Human subjects or animal use involved?

40. Enter protocol number in KC proposal development document

41. Create new protocol in appropriate KC module

42. Proposal needs for routing

43. Proposal needs for routing

44. Enter custom data as required

45. Add abstract

46. Add abstract and information if required

47. Upload proposal document, internal attachments as needed

48. Add cover/exception letter as required
Data Assumptions

KC-PRE3: Prepare a KC Proposal Development Document and Submit for Routing

• Data needed for process initiation
  – Proposal Number (Auto generated from Process KC-PRE10)

• Transactional data (both input and output)
  – Award ID (if associated with existing award)
  – Original Institutional Proposal ID (if associated with another Proposal)
  – Sponsor Deadline Date (if known)
  – Notice of Opportunity
  – CFDA Number (if known)
  – Opportunity ID
  – Prime Sponsor (if applicable)
  – Other Organizations (e.g. Subawardee if applicable)
  – Keywords (if desired)
  – Link to S2S Opportunity (if applicable, Grants.gov or Research.gov)
  – Select S2S forms based on Sponsor specific requirements
Data Assumptions (cont’d)

KC-PRE3: Prepare a KC Proposal Development Document and Submit for Routing

• Transactional data (both input and output) continued
  – Proposal Key Persons (PI is required)
  – Credit Split Information
  – Proposal Person Certification (PI, Co-I, and MSU Key Persons)
  – Add Special Review(s) as needed (Human Subjects, Animal Use, etc. including status, protocol number, exemption number)
  – Enter Custom Data (if required)
  – Attach proposal information (e.g. Narrative, Abstract, Biosketch) as required by Sponsor, solicitation, or for internal MSU use
  – Assign additional users/permissions to proposal (if desired)
  – Print and review proposal forms
  – Submit for routing
  – Budget (covered in a separate process)
Data Assumptions (cont’d)
KC-PRE3: Prepare a KC Proposal Development Document and Submit for Routing

• Data generated on process complete

Proposal Development Document with a Proposal Document Number and Proposal Number

– Completed Proposal Development Document (without budget)
– Route log for review and approval driven by unit and unit hierarchy in following order:
  • OSP
  • PI, Co-I, and Key Persons
  • Department Chairs
  • College Deans
  • Special Condition Reviewers (e.g. University Advancement)
  • OSP Final Review
Configuration Values

KC-PRE3: Prepare a KC Proposal Development Document and Submit for Routing

• Parameter Values
  There are 24 Institutional Level parameters for KC-PRE3

• Validation Rules

• Notifications

• Code Tables

• Special Configuration Items
Configuration Values: Validation Rules

KC-PRE3: Prepare a KC Proposal Development Document and Submit for Routing

General:
• Warning
  • If Question regarding space is Yes and attachment “Space Plan” is missing
  • If Question regarding alterations and renovations is Yes and Alterations Renovations Cost Estimate is missing
  • If Limited Submission is Yes and Limited Submission approval attachment is missing
  • If Proposal type is renewal, resubmission, revision or continuation and the IP ID or Award ID is blank
  • If lead PI is “non-standard PI” and the “Non Reg. PI Exception approval” letter is missing
  • If there is no budget Justification
  • To remind user to verify that all agency required forms are attached
  • If Unrecovered F&A is > 0.00 and attachment Approved F&A Waiver not present
  • If Opportunity ID is left blank
  • If the include subaward box is checked and the amount for object code Subcontracts is 0.00
  • If Subcontracts (first 25k) Subject to F&A is > 0.00 and the include subaward box is left blank
Configuration Values: Validation Rules (cont’d)
KC-PRE3: Prepare a KC Proposal Development Document and Submit for Routing

General:
• Error
  • If Human subjects question marked Yes and special review is not marked for human subjects, or if special review marked for human subjects but human subjects question is marked No
  • If the proposal includes a Clinical Trial and Human Subjects or Animal Subjects is not selected on Special Review Tab
  • If MSU employee key person has not completed certification questions
  • If MSU employee key person doesn’t have credit split information opted in
  • If sponsor is “TBN”

NIH:
• Warning
  • If Title for Revision Application is not the same as the Parent application
  • If PHS Modular budget and Personnel Justification is missing.
  • If Specific Aims attachment is missing in NIH proposals except DP1 and DP2
  • For PHS 398 Career Development Award Supplemental Form – when Introduction to Application attachment is missing for Resubmission or Revision Type (excluding K12 and KM1)
  • If Candidates Background attachment is missing for “K” Applications (Excluding K12 and KM1)
  • If Career Goals and Objectives attachment is missing for “K” applications (Excluding K12 and KM1)
Configuration Values: Validation Rules (cont’d)

KC-PRE3: Prepare a KC Proposal Development Document and Submit for Routing

NIH: (cont’d)

• Warning
  • If Career Development/Training Activities attachment is missing for all “K” applications (Excluding K12 and KM1)
  • If the Training in the Responsible Conduct of Research attachment is missing from all “K” applications (Excluding K12 and KM1)
  • If Description of Institutional Environment attachment is missing for all “K” applications (Excluding K12 and KM1)
  • If Institutional Commitment to Candidate Research Career Development attachment is missing for all “K” applications (Excluding K12 and KM1)
  • If Specific Aims is missing for all “K” applications (Excluding K12 and KM1)
  • If Protection of Human Subjects attachment for all “K” applications (Excluding K12 and KM1), if Human subjects are part of the project.
  • If Protection of Human Subjects, Inclusion of Woman and Minorities, Targeted Planned Enrollment Table, and Inclusion of Children attachment is not included and Approval is NOT Exemption 4 for all “K” applications (Excluding K12 and KM1)
  • If Laboratory Animals are part of the project and Vertebrate Animal attachment is missing for all “K” applications (Excluding K12 and KM1)
  • If question regarding proprietary information is marked yes, alert user to mark Proprietary or Privileged information in the application
Configuration Values: Validation Rules (cont’d)

KC-PRE3: Prepare a KC Proposal Development Document and Submit for Routing

NIH: (cont’d)
  • Error
    • If the eRA Commons User name is not listed for all PI’s and Multi-’s on an NIH proposal.
    • If both R&R and Modular budget selected for NIH proposal
    • If change of PD/PI is answered, “yes” on Grants.gov Questionnaire and Proposal Type selected is “Revision”
    • If Introduction to Application attachment is missing (For PHS398 proposals.)
    • If NIH proposal and Protection of Human Subjects, Inclusion of Woman and Minorities, Targeted Planned Enrollment Table, and Inclusion of Children attachment is not included and Approval is NOT Exemption 4 (except S10 proposals). (PHS 398 proposals)
    • If NIH proposal w/ human subjects and Protection of Human Subjects attachment is not included (except S10 proposals)
    • If NIH proposal and Animal Use selected on Special Review tab and Vertebrate Animal attachment is not included
    • If NIH Proposal and Multiple PI Leadership Attachment is included, however, only ONE PI has been identified in the proposal
    • If Introduction to Application is missing for PHS 398 Fellowship Supplemental Form Resubmission application
    • If the Human Subjects Involvement Indefinite questions is set to “Yes” and the proposal does not include Human subjects
Configuration Values: Validation Rules (cont’d)

KC-PRE3: Prepare a KC Proposal Development Document and Submit for Routing

NIH: (cont’d)

• Error
  • If Protection of Human Subjects attachment not present for all “F” applications, if Human subjects are part of the project.
  • If Protection of Human Subjects, Inclusion of Woman and Minorities, Targeted Planned Enrollment Table, and Inclusion of Children attachment is not included and Approval is NOT Exemption 4 for all “F” applications (Excluding K12 and KM1).
  • If Vertebrate Animal attachment is missing for all “F” applications, if Laboratory Animals are part of the project
  • If the Vertebrate Animal Use Indefinite questions is set to “Yes” and the proposal does not include Laboratory Animals
  • If PHS398 Modular Budget Form is not selected and the Modular Budget Box is checked in the KC Proposal’s Budget
Configuration Values: Validation Rules (cont’d)

KC-PRE3: Prepare a KC Proposal Development Document and Submit for Routing

NSF:
• Warning
  • If Inclusion of voluntary committed cost sharing is included in NSF application
  • If Sponsor is NSF and the proposal development document is linked to grants.gov opportunity (This is contingent upon the status of NSF accepting Submissions through Research.gov at time of MSU implementation)
  • If NSF application is missing one or more of the following attachments: Facilities and Other Resources, Equipment, and/or Bibliography & References Cited.
  • If RAPID and EAGER options are exclusive options (warn if both types answered Yes in questionnaire) (NSF proposals)
  • If Accomplishment Based Renewal requires the Previous Award ID to be entered in the Federal Identifier Field (NSF proposal that is NSF Accomplishment based renewal)
• Error
  • If Application Type chosen is Resubmission, Continuation or Revision
  • If Supplementary Document – Mentoring Plan and/or Data Management Plan is missing (For NSF proposals)
  • If Project Summary document attachment is missing. (For NSF proposals)
  • If Project Narrative document attachment is missing. (For NSF proposals)
Configuration Values: Notifications
KC-PRE3: Prepare a KC Proposal Development Document and Submit for Routing

• Please complete your event based COI disclosure for [PROPOSAL_NUMBER] and make sure the Key Personnel also complete one ([PI] – Proposal submitted for routing)
• Please complete your event based COI disclosure for [PROPOSAL_NUMBER] ([Co-I’s and Key Personnel] Proposal submitted for routing)
• Narrative added to proposal : {PROPOSAL_NUMBER} ([PI]-[Co-I][Unit Admin] [Past Approvers]Notification sent when a narrative is added to a proposal that is not in pending status.)
# Configuration Values: Code Tables

**KC-PRE3**: Prepare a KC Proposal Development Document and Submit for Routing

<table>
<thead>
<tr>
<th>Abstract Type</th>
<th>Mail Type</th>
<th>Keywords*</th>
</tr>
</thead>
<tbody>
<tr>
<td>Animal</td>
<td>Delivery Service</td>
<td>Amphipods</td>
</tr>
<tr>
<td>Areas Affected</td>
<td>Electronic</td>
<td>Carbon</td>
</tr>
<tr>
<td>Clinical</td>
<td>Regular</td>
<td>Chemosynthesis</td>
</tr>
<tr>
<td>Computer</td>
<td></td>
<td>Chlorine</td>
</tr>
<tr>
<td>Deviation Authorization</td>
<td></td>
<td>Diabetes</td>
</tr>
<tr>
<td>Equipment</td>
<td></td>
<td>Heat</td>
</tr>
<tr>
<td>Labs</td>
<td></td>
<td>Long wave</td>
</tr>
<tr>
<td>Layman Abstract</td>
<td></td>
<td>Ostracods</td>
</tr>
<tr>
<td>Office</td>
<td></td>
<td>Temperature</td>
</tr>
<tr>
<td>Other Facilities</td>
<td></td>
<td>Transmittance</td>
</tr>
<tr>
<td>Other Resources</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Project Summary</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Publications</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Relevance</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Reviewers not to include</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Suggested Reviewers</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Technical Abstract</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Mail By**
- Department
- OSP

**Proposal Deadline**
- Postmark
- Receipt
- Target

*Out of the box Keywords shown as example. Keywords should be Research related.
Configuration Values: Code Tables (cont’d)

**KC-PRE3: Prepare a KC Proposal Development Document and Submit for Routing**

<table>
<thead>
<tr>
<th>Narrative Type</th>
<th>Narrative Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>Additional Congressional Districts</td>
<td>Narrative</td>
</tr>
<tr>
<td>Additional Equipment</td>
<td>Other</td>
</tr>
<tr>
<td>Additional Key Persons</td>
<td>Other Attachment Form</td>
</tr>
<tr>
<td>Attachments</td>
<td>Other Institutional Attachment</td>
</tr>
<tr>
<td>Bibliography</td>
<td>Performance Sites</td>
</tr>
<tr>
<td>Biosketch</td>
<td>Personal Data</td>
</tr>
<tr>
<td>Budget Justification Fed _ NonFed</td>
<td>Pre-Application</td>
</tr>
<tr>
<td>Budget Attachments</td>
<td>Profile</td>
</tr>
<tr>
<td>Budget Justification</td>
<td>Project Attachments</td>
</tr>
<tr>
<td>Budget Justification 10YR</td>
<td>Project Summary</td>
</tr>
<tr>
<td>Budget Justification 10YR Fed _ NonFed</td>
<td>Proprietary Information</td>
</tr>
<tr>
<td>Current Pending</td>
<td>Subaward Budget</td>
</tr>
<tr>
<td>ED Certification Debarment</td>
<td>Supplementary Documentation</td>
</tr>
<tr>
<td>Equipment</td>
<td>Table of Contents</td>
</tr>
<tr>
<td>Facilities</td>
<td></td>
</tr>
</tbody>
</table>

This table includes some out-of-the-box narrative types and does not include specific system-to-system narrative types. (There are 140 narrative types)
## Configuration Values: Code Tables (cont’d)

**KC-PRE3**: Prepare a KC Proposal Development Document and Submit for Routing

<table>
<thead>
<tr>
<th>Narrative Type</th>
<th>Code Tables</th>
</tr>
</thead>
<tbody>
<tr>
<td>AAHRPP Form</td>
<td>Limited Submission Approval</td>
</tr>
<tr>
<td>Alterations/Renovations Cost Estimate</td>
<td>Mentoring Plan</td>
</tr>
<tr>
<td>Approved F &amp; A Waiver</td>
<td>MSU Commitment Form</td>
</tr>
<tr>
<td>Budget</td>
<td>Non-Standard PI Approval</td>
</tr>
<tr>
<td>Cost Share Commitment Letter</td>
<td>Off Campus Determination</td>
</tr>
<tr>
<td>Cover Letter/ Exception Letter</td>
<td>Other Proposal Attachment</td>
</tr>
<tr>
<td>Data Management Plan</td>
<td>References Cited</td>
</tr>
<tr>
<td>Export Control Worksheet</td>
<td>Scanned Copy of Payment</td>
</tr>
<tr>
<td>Fixed Price Assurance Letter</td>
<td>Space Plan</td>
</tr>
<tr>
<td>Grants.gov Adobe Package</td>
<td>Subrecipient Commitment Letter</td>
</tr>
<tr>
<td>Key Personnel Certification</td>
<td></td>
</tr>
</tbody>
</table>

This page of narrative types have been identified by OSP as additional values to be included
Configuration Values: Code Tables (cont’d)

KC-PRE3: Prepare a KC Proposal Development Document and Submit for Routing

Notice of Opportunity
Award Without Discussion *
Federal Solicitation
Federal Unsolicited
Internal
Non-Federal Solicitation
Non-Federal Unsolicited *
SBIR Solicitation
STTR Solicitation
Verbal Request for Proposal

Unit Administrator Type
Account Supervisor*
Administrative Contact
Administrative Officer
Dean-VP
Financial Contact
Fiscal Officer *
Grants.Gov Proposal Contact
OSP Administrator
Other Individual to Notify
Postaward Contact*
Preaward Contact*
Unit Head

*Types that OSP and/or CGA would like added
Configuration Values: Special Configurations
KC-PRE3: Prepare a KC Proposal Development Document and Submit for Routing

**Questionnaire - Questions**

**Standard**

- Does this project involve human subjects?
- Does this project involve animal subjects?
- Can you certify that the information submitted within this application is true, complete and accurate to the best of your knowledge? That any false, fictitious, or fraudulent statements or claims may subject you, as the PI/Co-PI/Co-I to criminal, civil or administrative penalties? That you agree to accept responsibility for the scientific conduct of the project and to provide the required progress reports if an award is made as a result of this application.
- 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?
- If this is a NIH/NSF proposal have you submitted the required financial disclosures in MSU's COI Portal through the Office of Sponsored Programs (OSP)?
- Have lobbying activities been conducted on behalf of this proposal?

*There are over 200 out-of-the box questions, many that are triggered based on system-to-system proposal applications. The questions listed on the next few slides are ones that will be asked on proposals even if they are not system-to-system...*
Configuration Values: Special Configurations
KC-PRE3: Prepare a KC Proposal Development Document and Submit for Routing

Questionnaire - Questions

Standard (cont’d)

• Are you currently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from current transactions by a federal department or agency?
• Are you familiar with the requirements of the Procurement Liabilities Act?
• Does the project require additional space on or off campus?
• If yes, did you attach the required "Space Plan" under the Abstracts and Attachments Tab, Internal Attachments Panel?
• Will the project require major alterations or renovations?
• If yes, did you attach the required "Cost Estimate" from MSU Infrastructure Planning and Facilities under the Abstracts and Attachments Tab, Internal Attachments Panel?
• Does the project involve human blood/materials/fluids?
• Does the project involve recombinant DNA?
• Does the project involve pathogens/biohazards?
• Does the project involve hazardous/regulated chemicals?
• Does the project involve stem cells or stem cell lines?
Configuration Values: Special Configurations
KC-PRE3: Prepare a KC Proposal Development Document and Submit for Routing

Questionnaire - Questions

Standard (cont’d)
• Have patent or copyright commitments been promised to the sponsor?
• Is this a Limited Submission proposal?
• Does the proposal include an F&A rate that is less than allowed by the sponsor?
• Who is the Preaward Unit contact?
• Is proprietary/privileged information included in the application?
• Will this project be part of an existing or pending Master Agreement with this sponsor?
• Is this a Clinical Trial?
• Does this project involve activities outside of the United States or partnerships with international collaborators?
• Identify the Countries.
• Are any of identified countries OFAC countries?
Configuration Values: Special Configurations
KC-PRE3: Prepare a KC Proposal Development Document and Submit for Routing

**Questionnaire – Questions**

**Clinical Trial** - (Triggered if Yes to standard clinical trial question)
- Which Category describes your research?
- What Phase is the Clinical Trial?
- If Patient Oriented Research, please list the category that best describes your research
- Are you the primary or contributing designer of the research endeavor and/or writer of the protocol/scope of the work for this project?

**Subaward** - (Triggered if Subaward box on front Proposal Development screen checked)
- Are you aware of any other MSU Employee, their spouse, domestic partner, dependent children and/or other dependents residing with them that have a significant financial interest or other conflict of interest relating to any of the proposed subawardee(s)?
- If so, please name the individuals(s) and associated subawardee(s)
- Do you approve the technical necessity of the subawardee(s) budget?
## Roles Defined/Assigned

**KC-PRE3**: Prepare a KC Proposal Development Document and Submit for Routing

### List of Roles: KC Predefined Roles and Permissions (out-of-box)

<table>
<thead>
<tr>
<th>Role</th>
<th>Permissions</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Proposal Creator</strong></td>
<td>Create Proposal Dev. Doc.</td>
</tr>
</tbody>
</table>
| **Aggregator** * | Add Proposal Viewer
Certify
Maintain Proposal Hierarchy
Modify Budget
Modify Narrative
Modify Proposal Rates
Modify Proposal Dev. Doc.
Modify Proposal Permissions
Print Proposal
Submit Proposal Dev. Doc. into Routing
View Budget
View Narratives
View Personnel Salaries
View Proposal
Recall Document |
| **Delete Proposal** * | Delete Proposal
View Budget
View Narratives
View Proposal |
| **Budget Creator** * | Modify Proposal Rates
Modify Proposal Dev. Doc.
View Proposal
View Budget
Modify Budget
View Narratives
Print Proposal
View Personnel Salaries |
| **Narrative Writer** * | Modify Proposal Dev. Doc.
Modify Narrative
View Proposal
View Budget
View Narratives
Print Proposal |
| **Viewer** * | Print Proposal
View Budget
View Narratives
View Proposal |
| **OSP Administrator** | Add Proposal Viewer
Alter Proposal Data
Create Award
Create Valid Rate
View Negotiation – Unrestricted
View Active Special Review Types
View Budget
View Narratives
View Proposal |

* These roles could be assigned by PI/or designee in Process KC-PRE10
Roles Defined/Assigned (cont’d)
KC-PRE3: Prepare a KC Proposal Development Document and Submit for Routing

List of Roles: Preaward Defined Roles (made up of grouping several roles together)

**OSP Teams (PG1,PG2,PG3,C1 and C2) & Asst. VP.**
- Aggregator
- Budget Creator
- Create Proposal Log
- Institutional Proposal Maintainer
- Negotiation Administrator
- OSP Administrator
- Proposal Creator
- Viewer

**OSP Asst. Director**
- Aggregator
- Budget Creator
- Create Proposal Log
- Delete Proposal
- Institutional Proposal Maintainer
- Negotiation Administrator
- OSP Administrator
- Proposal Creator
- Viewer

**OSP Admin Professional**
- Create Proposal Log
- Institutional Proposal Maintainer
- Negotiation Administrator
- Proposal Creator

**OSP Shared Services**
- Aggregator
- Budget Creator
- Create Proposal Log
- Delete Proposal
- Institutional Proposal Maintainer
- Modify Proposal Log
- Negotiation Administrator
- OSP Administrator
- Proposal Creator
- Viewer
Roles Defined/Assigned (cont’d)
KC-PRE3: Prepare a KC Proposal Development Document and Submit for Routing

List of Roles: Preaward Defined Roles (made up of grouping several roles together)

<table>
<thead>
<tr>
<th>Depart/ College Admin</th>
<th>PI</th>
</tr>
</thead>
<tbody>
<tr>
<td>Proposal Creator</td>
<td>Proposal Creator</td>
</tr>
<tr>
<td>Budget Creator</td>
<td>Budget Creator</td>
</tr>
<tr>
<td>Institutional Proposal Viewer</td>
<td>Institutional Proposal Viewer</td>
</tr>
<tr>
<td>Narrative Writer</td>
<td>Narrative Writer</td>
</tr>
<tr>
<td>View Negotiation</td>
<td>View Negotiation</td>
</tr>
<tr>
<td>Delete Proposal</td>
<td>Delete Proposal</td>
</tr>
</tbody>
</table>
Roles Defined/Assigned (cont’d)
KC-PRE3 Prepare a KC Proposal Development Document and Submit for Routing

• Consequence: who has access to what information for KC-PRE3
  - OSP Administrators will have access to all the information contained in a proposal (proposal, budget, attachments). They will receive proposals in their action lists dependant upon unit hierarchy and which units they have been assigned to.
  - Department Administrators will be able to create and have access to all proposals within their unit(s). They will be able to add attachments, create/edit budgets, and perform a protocol search.
  - College Administrators will be able to create proposals based on unit hierarchy (those units that fall within the college) They will be able to add attachments, create/edit budgets, and perform a protocol search.
  - PI will be able to create proposals, and access proposals in which they have been given aggregator permission. During workflow routing, any individual listed on the proposal as a key person will be able to view the proposal, attachments, and budgets prior to approving the proposal.
  - Individuals on the workflow route will get full access to view the data in the proposal that is in their action list. They will be able add notes to the proposal.
  - Any persons added to the proposal as aggregator will have access to the whole proposal, and can add other proposal viewers to that proposal.
  - The person creating the proposal will automatically get proposal aggregator permissions.
  - Other users added to the proposal through the permissions tab, will have access to the proposal based on the role granted.
  - Aggregators can recall the document and also certify Proposal Person Certification Questions.
# Potential Gaps

**KC-PRE3: Prepare a KC Proposal Development Document and Submit for Routing**

<table>
<thead>
<tr>
<th>GAP</th>
<th>Possible Solutions</th>
</tr>
</thead>
<tbody>
<tr>
<td>No PI profile that includes the PI's default and alternate credit split information.</td>
<td>The PI's default credit distribution unit (without the %) would be available. Alternate units can be entered manually on the key person panel combined credit split subpanel.</td>
</tr>
<tr>
<td>Fiscal officer, Account Supervisor, Preaward Contact, Postaward Contact not displayed in the Proposal Development.</td>
<td>Institutional proposal has a unit contacts panel; propose adding this panel in the proposal development module in the Key Personnel tab. The unit contacts can be added in the Unit table and will automatically populate into the proposal based on the lead unit. If the bookkeeping unit is different, these values can be modified.</td>
</tr>
<tr>
<td>Proposal Development Document/Institutional proposal search results list does not include, e.g. Board Date, awarded amount, total requested amount.</td>
<td>1). A user can open the Proposal Development document/Institutional Proposal to view this information. 2). Proposal Summary can be utilized to obtain a quick review; based on sponsor, total amount, etc. user could open full doc.</td>
</tr>
<tr>
<td>No 'add me' link in Prop Dev.</td>
<td>A user can search and return him/herself, using Key Personnel employee search.</td>
</tr>
<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>
</tbody>
</table>
### Potential Gaps (cont’d)

**KC-PRE3: Prepare a KC Proposal Development Document and Submit for Routing**

<table>
<thead>
<tr>
<th>GAP</th>
<th>Possible Solutions</th>
</tr>
</thead>
<tbody>
<tr>
<td>No Post Award unit present in the Proposal Development document.</td>
<td>A credit split type of Post Award unit could be added; the Post Award unit could be manually added as a unit to the PI. Users could select 100% for Post Award on the investigator split, and 100% on the unit under the Post Award column to denote the bookkeeping unit. The proposals are automatically routed to any units listed on the credit split</td>
</tr>
<tr>
<td>Full amount requested for a proposal /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>Prime sponsor not displayed in the Proposal Development Document search results list.</td>
<td>Is already available in the Institutional Proposal search</td>
</tr>
<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>Amount funded to date for a project is not displayed in search results list.</td>
<td>no possible solution identified</td>
</tr>
</tbody>
</table>
Integrations

• Other KC Modules
  – Institutional Proposal
  – Negotiations
  – Award
  – COI
  – IACUC
  – IRB

• Other Kuali Products
  – Kuali Rice

• MSU EBS Systems
  – SAP-EDW (Enterprise Data Warehouse)
  – OOI
Questions
<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>