Kuali Coeus Implementation
Preaward Blueprinting Workshop 2

KC-PRE15 Determine Proposal Budgeting Method
KC-PRE11: Prepare a Preliminary Budget
KC-PRE14: Prepare and Submit F&A Waiver Request

September 13, 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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<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>

KC-PRE15: Determine Proposal Budgeting Method
KC-PRE15: Determine Proposal Budgeting Method

**Future State**
Data Assumptions
KC-PRE15: Determine Proposal Budgeting Method

• Data needed for process initiation
  – Sponsor’s Solicitation
  – Proposal Development Document

• Transactional data (both input and output)
  – None specific to this Process as it is completed outside of KC

• Data generated on process complete
  – None specific to this Process as it is completed outside of KC
KC-PRE11: Prepare a Preliminary Budget
KC-PRE11: Prepare a Preliminary Budget

**KC-PRE11 Prepare a Preliminary Budget – FUTURE STATE**

1. Determine Proposed Budgeting Method, KC-PRE11
   - Use KG for detailed Budget
   - Use KC for Summary budget (External detailed Budget)

2. Add new version or open existing budget version
3. Enter Budget: Overview information
4. Review budget costs and update as needed
5. Complete sponsor budget form(s) and attach to KC Proposal Development Document
6. Review applicable rules and update as needed
7. Enter Summary Budget in KC, including Cost Share

8. Add all employees to Budget
9. Find all detailed employees?
   - Yes
   - No
10. Request Addition of New Employee to KC System
11. Add remaining employees to Budget
12. Add all non-employees to Budget
13. Find all desired non-employees in KC?
   - Yes
   - No
14. Request Addition of non-employees to Address Book
15. Person in address Book?
   - Yes
   - No
16. Add direct salaries/expenses to Personnel costs as needed
17. Add non-employee to Address Book
18. Add direct salaries/expenses to Personnel costs as needed
19. Cost sharing required or nonexistent?
   - Yes
   - No
20. Add cost sharing by indicating greater % effort than % charged

**Future State**
KC-PRE11: Prepare a Preliminary Budget

**Future State**

Diagram of the process for preparing a preliminary budget.
 KC-PRE11: Prepare a Preliminary Budget

**KC-PRE11 Prepare a Preliminary Budget – FUTURE STATE**

[Diagram showing a process flow for preparing a preliminary budget, including decision points and actions such as requesting a F&A waiver, attaching an internal attachment, reviewing a budget, and finalizing the budget with a decision to either prepare a final budget version or abandon the process.]
Data Assumptions

KC-PRE11: Prepare a Preliminary Budget

• Data needed for process initiation
  – Proposal Development Document
  – Salaries pulled from SAP (updated nightly)
  – Fringe benefits calculated on banded rates

• Transactional data (both input and output)
  – Budget Name*
  – Personnel Line items
  – Non-Personnel items
  – Applicable rates e.g. F&A and Fringe
  – Budget Justification Notes (optional)
  – Summary Budget for entry into KC (if applicable)
  – Attachment Sub-award R&R Budget (if applicable)
  – Budget Marked Final and Complete*

• Data generated on process complete
  – Proposal Budget

*Signifies required field
Configuration Values

KC-PRE11: Prepare a Preliminary Budget

• Parameter Values
  There are 89 Institutional Level parameters for KC-PRE11

• Validation Rules

• Notifications
  None specific to this process

• Code Tables

• Special Configuration Items
  None specific to this process
Configuration Values: Validation Rules
KC-PRE11: Prepare a Preliminary Budget

• General
  – Warnings:
    ▪ Display warning if Final Budget Total Cost is ≤ 0.00
  – Errors:
    ▪ None specific to this Process
Configuration Values: Code Tables
KC-PRE11: Prepare a Preliminary Budget

<table>
<thead>
<tr>
<th>Appointment Type</th>
<th>To Be Named Person</th>
<th>Formulated Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>Temporary Employee</td>
<td>TBA Research</td>
<td>Overnight Stay</td>
</tr>
<tr>
<td>Summer Employee</td>
<td>Computer Programmer</td>
<td>Laboratory use – Restock</td>
</tr>
<tr>
<td>9M Duration</td>
<td>Research Associate</td>
<td>Computing-IS Support</td>
</tr>
<tr>
<td>10M Duration</td>
<td>Data Manager</td>
<td>X-Ray</td>
</tr>
<tr>
<td>11M Duration</td>
<td>Data Entry</td>
<td></td>
</tr>
<tr>
<td>12M Duration</td>
<td>Project Director</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Undergrad Student*</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Grad Student*</td>
<td></td>
</tr>
</tbody>
</table>

* indicates proposed additions to out of the box functionality.
Roles Defined/Assigned

KC-PRE11: Prepare a Preliminary Budget

- List of Roles

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

- **Budget Creator**
  - Modify Proposal Development Document
  - Modify Budget
  - View Proposal
  - View Budget

- **Modify All Dev Proposals**
  - Modify Proposal Development Document
  - Modify Budgets
  - Modify Narrative
  - View Budget
  - View Narratives

- **OSP Administrator**
  - View Proposal
  - View Budget
  - View Narratives
  - Alter Proposal Data
  - Create Valid Rate
  - Create Award Account
  - View Active Special Review Types
  - View Negotiation- Unrestricted
  - Add Proposal Viewer

View Narratives
Print Proposal
Modify Proposal Rates
View Personnel Salaries
Modify Proposal Permissions
Modify Proposal Rates
Print Proposal
View Proposal
Roles Defined/Assigned (cont’d)
KC-PRE11: Prepare a Preliminary Budget

- Preaward defined new Roles (Nested - grouping several roles together) for Colleges/Department:
  - **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

*Denotes nested roles associated with this process*
Roles Defined/Assigned
KC-PRE11: Prepare a Preliminary Budget

• Consequence: who has access to what information for KC-PRE11
  – User has access to make changes to the data within the Proposal
  – User has access to make changes to the data within the Budget
  – User may have access to make changes to the proposal permissions
    (dependent upon specific user role)
## Potential Gaps

**KC-PRE11: Prepare a Preliminary Budget**

<table>
<thead>
<tr>
<th>Gap</th>
<th>Potential Solution</th>
</tr>
</thead>
<tbody>
<tr>
<td>No Specific Identification (SI) for fringe benefits. Fringe rates are established in KC for employee types but not calculated for each individual like SI.</td>
<td>Maintain the SI method of fringe benefit calculation and use it to develop a logical, reasonable number of fringe benefit salary ranges (bands) to which budgeted persons would be assigned. The fringe benefit rates associated with these ranges would then be used to calculate a proposal budget.</td>
</tr>
<tr>
<td>No calculation for the anticipated value of F&amp;A research facilitation funds returned to colleges or departments.</td>
<td>Possible report could be created to calculate the anticipated F&amp;A research facilitation funds returned to colleges or departments.</td>
</tr>
<tr>
<td>Grand total of all sub-awards in a proposal not displayed on the approver view screen.</td>
<td>Add a validation to ensure sub-awards “y/n” indicator on the proposal summary screen is accurate. From the proposal summary screen the approver can print the budget summary report which displays the value of each sub-award as well as the cumulative total of all sub-awards included in the proposal.</td>
</tr>
<tr>
<td>Budget detail cannot be exported to Excel.</td>
<td>The budget can be printed as a PDF from the Budget Actions tab, Print Forms panel.</td>
</tr>
<tr>
<td>The average fringe % rate for all project personnel is not displayed.</td>
<td>Can be manually calculated from the KC totals.</td>
</tr>
<tr>
<td>The approver view screen does not display the amount requested for the first year.</td>
<td>A user can open the Proposal Development Document and open the final Budget to view the Summary tab and first year amount.</td>
</tr>
<tr>
<td>Full amount requested for a proposal/award is not displayed in the search results list.</td>
<td>1. A user can open the appropriate document to see this information. 2. Information is listed on search display in the IP as separate amounts i.e. Direct and Indirect amounts which can be totaled manually. 3. A report could also be generated via Business Intelligence (BI) that shows the full amount requested.</td>
</tr>
</tbody>
</table>
Integrations

- Other KC Modules
  - Institutional Proposal
  - Award

- Other Kuali Products
  - Kuali Rice

- MSU EBS Systems
  - SAP-EDW (Enterprise Data Warehouse)
  - OOI

- MSU Legacy Systems
  - None specific to this process
KC-PRE14: Prepare and Submit F&A Waiver Request
KC-PRE14: Prepare and Submit F&A Waiver Request

**Future State**
Data Assumptions

KC-PRE14: Prepare and Submit F&A Waiver Request

• Data needed for process initiation
  – F&A Waiver Request
  – KC Proposal Development Document

• Transactional data (both input and output)
  – Abstract
  – Sponsor Solicitation
  – Detailed Proposal Budget

• Data generated on process complete
  – Approved/Disapproved F&A Waiver
Configuration Values

KC-PRE14: Prepare and Submit F&A Waiver Request

- Parameter Values
  None specific to this process

- Validation Rules

- Notifications
  None specific to this process

- Code Tables
  None specific to this process

- Special Configuration Items
  None specific to this process
Configuration Values: Validation Rules
KC-PRE14: Prepare and Submit F&A Waiver Request

• General:
  — Warning
    ▪ Display warning if Unrecovered F&A is > 0.00 and attachment, Approved F&A Waiver, is not present
  — Errors:
    ▪ None specific to this Process
Roles Defined/Assigned

KC-PRE14: Prepare and Submit F&A Waiver Request

• List of Roles

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

— **Narrative Writer**
  
  Modify Proposal Development Document  
  Print Proposal  
  View Narrative  
  Modify Narrative  
  View Proposal

Preaward defined new Roles (Nested - grouping several roles together) for Colleges/Department

— **College Admin**
  
  Award Viewer  
  Institutional Proposal Viewer  
  View Sub-award  
  *Narrative Writer  
  View Negotiation  
  Award Attachment Viewer  
  Proposal Creator  
  Delete Proposal  
  Budget Creator

— **Department Admin**
  
  Award Viewer  
  Institutional Proposal Viewer  
  View Sub-award  
  *Narrative Writer  
  View Negotiation  
  Award Attachment Viewer  
  Proposal Creator  
  Delete Proposal  
  Budget Creator

*Denotes nested role associated with this process
Roles Defined/Assigned (cont’d)
KC-PRE14: Prepare and Submit F&A Waiver Request

• Consequence: who has access to what information for KC-PRE14: Prepare and Submit F&A Waiver Request
  – User has access to make changes to the data within the Proposal
  – User has access to modify any attachments
  – User has access to make changes to the data within the Budget
Potential Gaps
KC-PRE14: Prepare and Submit F&A Waiver Request

• List possible process gaps for KC-PRE14: Prepare and Submit F&A Waiver Request
  – None specific to this Process
Integrations

• Other KC Modules
  – None specific to this Process

• Other Kuali Products
  – None specific to this Process

• MSU EBS Systems
  – None specific to this Process

• MSU Legacy Systems
  – None specific to this Process
Questions
## 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>
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<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>