Kuali Coeus Implementation
Preaward Blueprinting Workshop 3

KC-PRE16: Routing and Approval of KC Proposal
KC-PRE17: Submit Proposal to Sponsor

October 3, 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>
<th>Process</th>
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<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>

Red - processes presented today. Green - future workshops. Gray - processes outside KC or specific to Central Business Office
KC-PRE16: Routing and Approval of KC Proposal
KC-PRE16: Routing and Approval of KC Proposal

**Future State**
KC-PRE16: Routing and Approval of KC Proposal
Data Assumptions
KC-PRE16: Routing and Approval of KC Proposal

• Data needed for process initiation
  – Completed Proposal Development document that has been submitted into routing

• Transactional data (both input and output)
  – Proposal Development Document

• Data generated on process complete
  – Fully routed and approved Proposal Development document
Configuration Values
KC-PRE16: Routing and Approval of KC Proposal

• Parameter Values
  – There are four Institutional Level parameters for KC-PRE16

• Validation Rules
  – None specific to this process

• Notifications

• Code Tables

• Special Configuration Items
  – None specific to this process
Configuration Values: Notifications
KC-PRE16: Routing and Approval of KC Proposal

– Notification sent to previous approvers when a proposal attachment is replaced during approval routing (out of the box)
  • Modification to this notification: Expand the recipients of the notification to include the aggregators identified within the proposal
Configuration Values: Code Tables
KC-PRE16: Routing and Approval of KC Proposal

Proposal Development Editable Columns

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Description</th>
<th>Field Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sponsor Deadline Date*</td>
<td>Proposal ID</td>
<td>Sponsor Deadline Date</td>
<td>Description</td>
</tr>
<tr>
<td>Sponsor Deadline Type*</td>
<td>Sponsor</td>
<td>End Date</td>
<td>Start Date</td>
</tr>
<tr>
<td>Mailing Address*</td>
<td>Proposal Type</td>
<td>Opportunity ID*</td>
<td>Activity Type</td>
</tr>
<tr>
<td>Notice of Opportunity*</td>
<td>Proposal Type</td>
<td>Proposal Type</td>
<td>Award ID</td>
</tr>
<tr>
<td>Opportunity ID*</td>
<td>Sponsor Deadline Date</td>
<td>Sponsor Deadline Time</td>
<td>Mail By</td>
</tr>
<tr>
<td>Proposal Type*</td>
<td>Sponsor Deadline Date</td>
<td>Sponsor Deadline Type</td>
<td>Type</td>
</tr>
<tr>
<td>Project Title*</td>
<td>Opportunity Title</td>
<td>Mail Account ID</td>
<td>Mail Account ID</td>
</tr>
<tr>
<td>Prime Sponsor ID*</td>
<td>Sponsor Proposal ID</td>
<td>Number of Copies</td>
<td>Name and Address</td>
</tr>
<tr>
<td>NSF Science Code*</td>
<td>Sponsor Program Code</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sponsor Div Code*</td>
<td>Proposal State</td>
<td></td>
<td></td>
</tr>
<tr>
<td>CFDA Number*</td>
<td>Anticipated Award Type</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Subaward Flag*</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Original Institutional Proposal ID</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Grants.gov Opportunity</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

* indicates fields being proposed as available for OSP Approver to edit during routing.
Configuration Values: Code Tables
KC-PRE16: Routing and Approval of KC 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

* indicates proposed additions to out of the box functionality.
Roles Defined/Assigned
KC-PRE16: Routing and Approval of KC Proposal

• List of roles
  – All roles in KC-PRE16 are Derived Roles and are based on the units represented in the Credit Split in the Proposal Development document.
    • PI, Co-I and Key Persons
    • Department Chair
    • Dean
    • OSP Approver (Lead Unit)
Roles Defined/Assigned
KC-PRE16: Routing and Approval of KC Proposal

• Consequence: who has access to what information for KC-PRE16: Routing and Approval of KC Proposal
  – All approvers can approve, disapprove, or reject the proposal when it is in their approval node.
  – All approvers can Ad Hoc as many recipients as they would like for the purposes of FYI, Acknowledge or Approval.
  – When an Ad Hoc recipient is added, KC adds them to the route log/workflow process as the next person in the list to take the action requested. All Ad Hoc recipients will move ahead of other required approvers and the approval process will not continue until those requested to approve have done so.
  – All approvers can send a notification to anyone they feel appropriate.
  – All approvers can print all forms and reports.
## Potential Gaps

**KC-PRE16: Routing and Approval of KC Proposal**

<table>
<thead>
<tr>
<th>GAP</th>
<th>Possible Solutions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Grand total of all subawards in a proposal not displayed on the approver view screen.</td>
<td>Adding a validation rule to insure subawards “yes/no” 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 subaward as well as the cumulative total of all subawards included in the proposal.</td>
</tr>
<tr>
<td>The approver view screen does not display notes that previous approvers may have written.</td>
<td>A user can open the Proposal Development document to view this information.</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.</td>
</tr>
<tr>
<td>Notes related to non-quantified voluntary cost share do not appear on the approver view of the submitted Proposal Development document.</td>
<td>Add a custom data element (Additional Voluntary Cost Share - text field) to allow the user to enter a statement about the voluntary cost share that they are committing. This statement would then appear in the custom data area of the reviewer view (proposal summary) screen.</td>
</tr>
<tr>
<td>Special Approvers (OPB, International, etc) not being in the approval route.</td>
<td>OSP could &quot;Ad-Hoc&quot; approve or FYI the necessary recipients in the first stop of the workflow route.</td>
</tr>
</tbody>
</table>
Integrations

- Other KC Modules
  - Institutional Proposal

- Other Kuali Products
  - Kuali Rice

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

- MSU Legacy Systems
  - None specific to this process
KC-PRE17: Submit Proposal to Sponsor
KC-PRE17: Submit Proposal to Sponsor

**Future State**

Data Assumptions
KC-PRE17: Submit Proposal to Sponsor

• Data needed for process initiation
  – Proposal Development document which has been submitted into routing

• Transactional data (both input and output)
  – Proposal Development document which has been submitted into routing –or–
  – Fully approved Proposal Development document

• Data generated on process complete
  – Proposal Development document which has been submitted to the sponsor
  – Notification that proposal has been submitted to sponsor
  – Institutional Proposal (IP) document and IP number generated
  – Proposal Development and Institutional Proposal document links generated in Medusa
Configuration Values
KC-PRE17: Submit Proposal to Sponsor

• Parameter Values
  – There are six Institutional Level parameters for KC-PRE17

• Validation Rules
  – None specific to this process

• Notifications

• Code Tables
  – None specific to this process

• Special Configuration Items
  – None specific to this process
Configuration Values: Notifications

KC-PRE17: Submit Proposal to Sponsor

- Notification sent to the investigators and past approvers that the proposal has been submitted to the sponsor
  
  • Modification to this notification: Expand the recipients of the notification to include the unit administrator
Roles Defined/Assigned
KC-PRE17: Submit Proposal to Sponsor

• List of roles
  – OSP Approver - Derived
Roles Defined/Assigned

KC-PRE17: Submit Proposal to Sponsor

• Consequence: who has access to what information for KC-PRE17: Submit Proposal to Sponsor
  – On S2S submissions, OSP Approver will need to remember to go back into the Proposal Development document and hit Submit S2S to send it to the funder.
  – If a Proposal Development document is Blanket Approved by the OSP Approver, IP will be created. All approvers who have yet to approve will receive an item in their Action List to Acknowledge document was Blanket Approved. At this point, an IP will be created and an award can be linked to it.
  – If the OSP Approver hits Submit to Sponsor before the Proposal Development document has been approved by all approvers, IP will be created, but an award can’t be linked to the IP until all approvers have approved the Proposal Development document.
Potential Gaps

KC-PRE17: Submit Proposal to Sponsor

• List possible process gaps for KC-PRE17: Submit Proposal to Sponsor
  – None specific to this Process
Integrations

• Other KC Modules
  – Institutional Proposal

• Other Kuali Products
  – Kuali Rice

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

• MSU Legacy Systems
  – None specific to this process
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>