Kuali Coeus Implementation
Preaward/Award Blueprinting
Workshop 6

KC-PRE28: Prepare Summary Proposal
KC-AWD22: Research Gifts

November 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>
<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>

KC-PRE28: Prepare Summary Proposal
KC-PRE28: Prepare Summary Proposal

Future State

1. Receive request to create Proposal Development document.
3. Add and Certify Investigators/Key Persons.
4. Enter Custom Data.
5. Complete Questions.
6. Enter summary budget in proposal.
7. Attach copy of detailed budget.
8. Add all accompanying attachments and notes.

Next
Data Assumptions
KC-PRE28: Prepare Summary Proposal

• 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*
  – Proposal Type *
  – Lead Unit *
  – Activity Type*
  – Project Start Date *
  – Project End Date *
  – Project Title*
  – Proposal Key Persons (PI is required)*
  – Credit Split Information *
  – Proposal Person Certification (PI *, Co-I, and MSU Key Persons)

* signifies required field

This process will not be used for system to system proposals
Data Assumptions (cont’d)

KC-PRE28: Prepare Summary Proposal

• Transactional data (both input and output)
  – Custom Data
  – Questions*
  – Budget Summary – enter for each period of the project:
    • Direct Cost
    • F&A Cost
    • Total Sponsor cost
  – Attachments as needed (i.e. PDF of proposal submitted outside KC, detailed budget, budget justification, EFT or Check)
  – Notes as needed (i.e., Enter RG Account Number, if one exists)

• Data generated on process complete
  – Proposal Development document with a Proposal Document Number and Proposal Number ready to be submitted into route
Configuration Values
KC-PRE28: Prepare Summary Proposal

• Parameter Values
  There are 180 Institutional Level parameters for Preaward processes
  Examples Include:
  Activity Type code that corresponds to “Research”
  Display Proposal Summary Tab

• Validation Rules

• Notifications

• Code Tables

• Special Configuration Items

Many of the configuration items are the same as those presented in workshop #1. This workshop will cover examples in each category.
Configuration Values: Validation Rules
KC-PRE28: Prepare Summary Proposal

General:
• Warning
  • Lead PI is “non-standard PI” and the “Non Reg. PI Exception approval” letter is missing
  • No budget Justification
  • Opportunity ID is left blank

• Error
  • 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
  • MSU employee key person has not completed certification questions
  • MSU employee key person doesn’t have credit split information opted in
  • Sponsor is “TBN”

This is an example of validation rules that have been mentioned in previous workshops and could be triggered for a Proposal Summary.
Configuration Values: Notifications

KC-PRE28: Prepare Summary Proposal

- Notification sent to Investigators and Key Persons when proposal is submitted for routing reminding them to complete their event based COI disclosure.
Configuration Values: Code Tables
KC-PRE28: Prepare Summary Proposal

**Narrative Type** *
- Detailed Budget
- Budget Justification
- Project Summary (copy of what was submitted to sponsor)
- Scanned Copy of Payment (for Research gifts)

*There are over 147 different Narrative Types, these are a few Narrative types that would be required for a Proposal Summary.*
Configuration Values: Special Configurations
KC-PRE28: Prepare Summary Proposal

Questionnaire - Questions

Standard

- Have patent or copyright commitments been promised to the sponsor?
- 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?
- Have lobbying activities been conducted on behalf of this proposal?
- Will this project be part of an existing or pending Master Agreement with this sponsor?
- Is this a Clinical Trial?

This is an example of questions that would be asked on non system-to-system proposals including Proposal Summary.
### Roles Defined/Assigned

**KC-PRE28: Prepare Summary Proposal**

**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>
<tr>
<td><strong>Delete Proposal</strong></td>
<td>Delete Proposal, View Budget, View Narratives, View Proposal</td>
</tr>
<tr>
<td><strong>Narrative Writer</strong></td>
<td>Modify Proposal Dev. Doc., Modify Narrative, View Proposal</td>
</tr>
<tr>
<td><strong>Viewer</strong></td>
<td>Print Proposal, View Budget, View Narratives, View Proposal</td>
</tr>
<tr>
<td><strong>OSP Administrator</strong></td>
<td>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</td>
</tr>
</tbody>
</table>

*These roles could be assigned by PI/or designee*
Roles Defined/Assigned (cont’d)

KC-PRE28: Prepare Summary Proposal

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>

**OSP Teams (PG1,PG2,PG3,C1 and C2)**

- Aggregator
- Institutional Proposal Maintainer
- Negotiation Administrator
- OSP Administrator
- Proposal Creator
Roles Defined/Assigned (cont’d)

KC-PRE28: Prepare Summary Proposal

• Consequence: who has access to what information for KC-PRE28

– OSP:
  ▪ Can access all the information contained in a proposal (proposal, budget, attachments) within their assigned unit(s)

– PI:
  ▪ Can access all the information contained in a proposal (proposal, budget, attachments) that they have created or been granted access to

– Department/College Administrators:
  ▪ Can access all the information contained in a proposal (proposal, budget, attachments) within their unit(s)
## Potential Gaps

**KC-PRE28: Prepare Summary Proposal**

<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>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>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>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>
</tbody>
</table>

The Gap slides show some of the gaps presented in workshop #1. No new gaps specific to this process.
### Potential Gaps (cont’d)

**KC-PRE28: Prepare Summary Proposal**

<table>
<thead>
<tr>
<th>GAP</th>
<th>Possible Solutions</th>
</tr>
</thead>
<tbody>
<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>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>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>Co-I 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>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>
<tr>
<td>PI cannot create a Conflict of Interest activity within the proposal development document during routing and approval *</td>
<td>Once the proposal is created and saved and a PI is selected in the key person tab, the PI will be able to view &quot;New Proposals for disclosure&quot; in the Conflict of Interest module. Also a notification can be created reminding the PI they must complete their COI event disclosure.*</td>
</tr>
</tbody>
</table>

* Gap is a newly identified gap.
Integrations

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

• Other Kuali Products
  – Kuali Rice

• MSU EBS Systems
  – SAP-EDW (Enterprise Data Warehouse)
  – OOI
Questions
# Award Future State Development

<table>
<thead>
<tr>
<th>Process #</th>
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</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

![Kuali Coeus Logo](image)
KC-AWD22: Research Gifts
KC-AWD22: Research Gifts

**KC-AWD22 Research Gifts – FUTURE STATE**

1. **PI (grant designer):**
   - 4. Work with Dept./College to complete Summary Proposal

2. **OSP**
   - 7. Receive funds or NOA unassociated to any pending institutional Proposal
     - 8. Approve or reject proposal?
       - Yes: Turn Proposal into IP via Submit to Sponsor
       - No: Rejected if not research gift

3. **GAA**
   - 9. Establish a KC Award (See Standard Award KC-AWD2)

4. **Dept./College**
   - 1. Prepare Summary Proposal KC-PRE22
   - 2. Attach copy of funding notice to Proposal (e.g., check, EFT record)
   - 3. Enter RG Account No. if one exists
   - 5. Submit Proposal for routing
   - 6. Proposal is returned to the process initiator

**Last Updated By:** T. Wightman
**Last Saved:** 11/5/2013 4:29 PM

**Page 1 of 1**
Data Assumptions
KC-AWD22: Research Gifts

• Data needed for process initiation
  – Summary Proposal Development Document with Activity Type = Research Gift
  – A check, EFT deposit notice, or Notice of Award
  – RG account number (if there is an existing account)

• Transactional data (both input and output)
  – KC Award and KFS Account IDs
  – Sponsor template (see slide 27)
  – Credit Spilt information (if different than proposal)
  – Award Amount
  – KC Award Data populates info in KFS Account document

• Data generated on process complete
  – KC Award and KFS Account IDs (if there is no existing award or account)
  – Updated KC Award and KFS Accounts amounts (if there is an existing award or account)
Configuration Values
KC-AWD22: Research Gifts

• Parameter Values*
  43, including 2 shared with Preaward

• Validation Rules
  Out of the box only – nothing added

• Notifications
  Out of the box only – nothing added

• Code Tables

• Special Configuration Items

* Determined at Institutional Level
# Configuration: Code Tables
## KC-AWD22: Research Gifts

### Award Type
1. Grant
2. NIH Training Grant
3. Contract
4. Indefinite Delivery Contract
5. Cooperative Agreement
6. Facilities Agreement
7. Fellowship
8. Consortium Membership
9. Other Transaction Agreement
10. Student Financial Aid
11. Gift

### Activity Type
1. Research
2. Instruction
3. Public Service
4. Clinical Research*
5. Other
6. Fellowship – Pre-Doctoral
7. Fellowship – Post-Doctoral
8. Student Services
9. Construction
10. Research Gift*

* indicates proposed additions to out of the box functionality.
Configuration: Special Items
All Award Setup Processes

• Sponsor Templates
  Business Connect (RG Account)
  CGA (RG Account)
Roles Defined/Assigned
KC-AWD22: Research Gifts

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

CGA Administrator
  - Award Modifier
  - Award Attachment Maintainer
  - Award Budget Administrator
  - * Modify Sponsor Template

CGA Cash Management
  - Award Modifier
  - Maintain Award Report Tracking
  - Award Budget Maintainer
  - Proposal Approver

Dept/College Administrator & Principal Investigator
  - Award Viewer
  - Award Attachments Viewer
  - Award Budget Aggregator
  - Template Viewer

* Modify Sponsor Template permission will only be given to a small subset of individuals.
Roles Defined/Assigned
KC-AWD22: Research Gifts

• Consequence: who has access to what information for KC-AWD22: Research Gifts
  – CGA Administrators will have access to all information in every award.
  – Department / College Administrators will have access to view all information for every award in their unit or college.
  – Investigators will have access to view all of their award data.
  – This information includes: award data, attachments, award budgets, protocol information (only protocol number, status and exemption unless the user has the appropriate permissions to view the protocols).
## Potential Gaps (1)
### AWD22: Research Gifts Potential Gap List

<table>
<thead>
<tr>
<th>Award Gaps</th>
<th>Potential Solution(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>No Deposited field</td>
<td>A user could select 'Special Handling -- see comments' from the Payment Method drop-down and enter deposit info in the 'Invoice Instructions' box (or the Comments tab).</td>
</tr>
</tbody>
</table>
Integrations
KC-AWD22: Research Gifts

• Other Kuali Coeus Modules
  – Institutional Proposal
  – IRB
  – IACUC

• Other Kuali Foundation Products
  – KFS
  – Kuali Rice

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

• MSU Legacy Systems
  – Account Explorer
## 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>
</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>