Kuali Coeus Implementation Award and Preaward Review

June 17, 2013
Kuali Coeus Implementation at MSU
Planned Functionality and Application Modules

• Preaward
  — Proposal Development
  — Budgets
  — Institutional Proposal
  — Grants.gov and Research.gov System-to-System (S2S) Submission
  — Proposal Log
  — Negotiations

• Award
  — Awards
  — Subawards
  — Report Tracking

• Compliance
  — Conflict of Interest (COI)
  — Institutional Review Board (IRB) Human Subjects
  — Institutional Animal Care and Use Committee (IACUC)
Kuali Coeus Implementation at MSU
Review Goals and Outcomes

• Goals
  – Opportunity to preview status of Preaward and Award implementations in advance of blueprint workshops in the Fall
  – Identify issues and areas for improvement
  – Every question is good
  – Answers will accurately reflect status of project, but may not be “complete”

• Outcomes
  – List of issues and areas for improvement
  – Project team will provide a follow up on action(s) taken for each issue and improvement area before the Fall workshops
Kuali Coeus Implementation: Award Progress Report

June 17, 2013
Award Presentation Outline

• Current State Documentation
• Future State Process Development
• KC-AWD2, Standard Award
  – Process Diagram
  – Data Assumptions
  – Rice Tables (Workflow, Identity Management, etc.)
  – Roles
  – Process Gaps
• Integration Assumptions
• Legacy Data Assumptions
• Current Process Gap List
Award Contributors

• Project Team
  – Renee Dolan, Workgroup Lead
  – Jonathan Buffenbarger, Analyst
  – Chris Kropelnyckyj, Analyst
  – Traci Wightman, Analyst

• Business Unit(s)
  – Dan Evon, Director CGA
  – Evonne Pedawi, Assistant Director CGA
  – Lindsay Naglick, Manager CGA
  – Stacy Salisbury, Manager CGA
  – Kasey Schiellerd, Manager CGA
  – Kristy Smith, Manager CGA
## Award Current State Documentation

<table>
<thead>
<tr>
<th>Process #</th>
<th>Process</th>
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<tr>
<td>CGA1</td>
<td>High Level Post Award</td>
<td>CGA11</td>
<td>Accounts Receivable – Holding Account</td>
<td>CGA21</td>
<td>PI Progress Reports</td>
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<td>CGA2</td>
<td>Hardship</td>
<td>CGA12</td>
<td>Accounts Receivable – Non LOC Billing</td>
<td>CGA22</td>
<td>Cost Sharing</td>
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<td>CGA3</td>
<td>Advance</td>
<td>CGA12</td>
<td>Accounts Receivable – Receive Funds</td>
<td>CGA23</td>
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<td>CGA4</td>
<td>Standard Award</td>
<td>CGA14</td>
<td>LOC Fund Draws</td>
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<td>CGA5</td>
<td>Subaccounts</td>
<td>CGA15</td>
<td>Accounts Receivable – Deposits</td>
<td>CGA25</td>
<td>Changes Requiring Agency Approval</td>
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<td>CGA6</td>
<td>Accounts Receivable – Set Up</td>
<td>CGA16</td>
<td>Accounts Receivable – Collections</td>
<td>CGA26</td>
<td>Pre-Closeout Activities</td>
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<td>CGA7</td>
<td>Subcontracts</td>
<td>CGA17</td>
<td>Effort Reporting</td>
<td>CGA27</td>
<td>Closeout</td>
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<td>CGA8</td>
<td>MSU is a Subcontractor (A-133)</td>
<td>CGA18</td>
<td>LOC Reporting</td>
<td>CGA28</td>
<td>Record Retention</td>
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<td>CGA9</td>
<td>Personnel – Incurring Expenses</td>
<td>CGA19</td>
<td>Non-LOC Financial Reporting</td>
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<td>Reporting for Board Report</td>
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<td>CGA10</td>
<td>Non-Personnel – Incurring Expenses</td>
<td>CGA20</td>
<td>ARRA Reporting</td>
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## Award Future State Development

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<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>
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<tr>
<td>AWD2</td>
<td>Standard Award</td>
<td>AWD10</td>
<td>Rebudget</td>
<td>AWD18</td>
<td>Subawards</td>
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<td>AWD3</td>
<td>Amendments</td>
<td>AWD11</td>
<td>Record Retention</td>
<td>AWD19</td>
<td>Subaward Invoicing</td>
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<tr>
<td>AWD4</td>
<td>Hardship</td>
<td>AWD12</td>
<td>Enter Cost Share</td>
<td>AWD20</td>
<td>Create Award Hierarchy</td>
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<tr>
<td>AWD5</td>
<td>Advance</td>
<td>AWD13</td>
<td>PI Progress Reports</td>
<td>AWD21</td>
<td>KC – KFS Integration</td>
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<tr>
<td>AWD6</td>
<td>Sponsor Template</td>
<td>AWD14</td>
<td>Financial Reporting</td>
<td>AWD22</td>
<td>Research Gifts</td>
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<tr>
<td>AWD7</td>
<td>No Cost Extension</td>
<td>AWD15</td>
<td>Cost Share Tracking</td>
<td></td>
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</tr>
<tr>
<td>AWD8</td>
<td>Changes Requiring Sponsor Approval</td>
<td>AWD16</td>
<td>Invoicing</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Award Process Highlight

KC-AWD2 - Standard Award – Future State

1. Submit proposal
2. Receive proposal notice of award
3. Consider proposal for award
4. Awarded?
5. Send agreement/notice of award
6. Receive agreement notice of award
7. Negotiate Agreement
8. Receive fully-executed award
9. Review application for compliance approvals, cost share, and budget
10. Complete?
11. Send request for missing documentation
12. Receive and respond to request for missing documentation
13. Hardship or Advance?
14. Create award document in KC
15. Edit award document
16. Enter any Cost Share

DEPT/College

OSP

CGA

Sponsor
Data Assumptions
KC-AWD2, Standard Award

• Data needed for process initiation
  – Institutional Proposal ID
  – Lead Unit or Post Award Unit (if different than proposal)
  – Notice of Award (identifiers, F&A rate, reporting requirements, terms & conditions, budget, etc.)

• Transactional data (both input and output)
  – Award Status
  – Award Type
  – Prime Sponsor (if applicable)
  – Subawardee Information (name and amount, if applicable)
  – Sponsor template (for more common sponsors)
  – Credit Split information (if different than proposal)
Data Assumptions (cont’d)
KC-AWD2, Standard Award

• Transactional data (both input and output)
  – Compliance information (protocol number, status, exemption classification)
  – Award Amount for Award Budget Limit
  – Cost Share information (if applicable)
  – Protocol information is updated as the compliance processes continue
  – KC Award Data populates info in KFS Account document
  – KC Award Budget generates a KFS Budget Adjustment document
  – KC Award Notice generated for PIs and Department Administrators

• Data generated on process complete
  – Invoicing / Financial Reporting notification to verify information
  – Subaward notification to initiate subaward documents
Rice Tables
KC-AWD2, Standard Award

- Parameters (54, including 2 shared)
- Validation Rules (out of the box only – nothing added)
- Notifications (out of the box only – nothing added)
- Other Configuration Items
  - Code Tables (76, including 26 shared)
  - Special Configuration Items
    - Sponsor Templates created (approximately 15)
Roles Defined/Assigned
KC-AWD2, Standard Award

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

CGA Administrator
  Award Modifier
  Time and Money Modifier
  Award Attachment Maintainer
  Award Budget Administrator
  Award Budget Approver
  Maintain Award Report Tracking
  Modify Subaward
  Modify Subaward Invoice
  * Modify Sponsor Template

CGA Reporting / Invoicing
  Award Modifier
  Maintain Award Report Tracking
  Time and Money Modifier

OSP Administrator
  Award Modifier
  Award Viewer
  Time and Money Viewer
  Modify Subaward
  *Modify Sponsor Template

* Modify Sponsor Template permission will only be given to a small subset of individuals.
Roles Defined/Assigned
KC-AWD2, Standard Award

• List of roles and permissions for each role (cont’d)
  ➢ Award Defined Roles (made by grouping several roles together)

**Dept/College Administrator**
- Award Viewer
- Time and Money Viewer
- Award Attachments Viewer
- Award Budget Aggregator
- Maintain Award Report Tracking
- View Subaward
- Modify Subaward Invoice
- Template Viewer

**Principal Investigator**
- Award Viewer
- Time and Money Viewer
- Award Attachments Viewer
- Award Budget Aggregator
- Maintain Award Report Tracking
- View Subaward
- Modify Subaward Invoice
- Template Viewer
Roles Defined/Assigned (cont’d)
KC-AWD2, Standard Award

• Consequence: who has access to what information for KC-AWD2
  – CGA Administrators will have access to all information in every award.
  – OSP 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.
  – Principal 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 Process Gaps
KC-AWD2, Standard Award

• List possible process gaps for KC-AWD2
  – No graphical tools for displaying the duration of various data elements
  – Lacks ability to track cost share commitment at the person-level like Account Explorer – Costshare
  – Lacks ability to collect budgeted effort for personnel on individual awards and effort certification functionality across awards
  – No invoicing module
  – No Accounts Receivable module
  – No Created By field in Special Review tab
  – No Legacy Account # field
  – No link to populate an untitled email message with an address
  – No Requires Estimate field
  – No Deadline Date field
  – No Deposited field
Potential Process Gaps
KC-AWD2, Standard Award

• List possible process gaps for KC-AWD2 (cont’d)
  – Cannot view apps associated with an award from search results list
  – Lacks ability to populate an award notification email with account details and restrictions

  ❖ Amount funded to date for a project is not displayed in search results list
  ❖ Co-Is are not displayed in search results list (only the PI is displayed)
  ❖ Full amount requested for a proposal /award is not displayed in search result list
  ❖ Prime sponsor is not displayed in search results list
  ❖ No fourth street address line

  ❖ Indicates shared gaps between other KC modules
Award Integrations

• Other KC Modules

• Other Kuali Foundation Products
  – KFS, Kuali Rice

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

• MSU Legacy and Supplemental Systems
  – PI Profile, Account Explorer
  – Export Control
  – iEdison
Award Legacy Data Assumptions

- Note: Data conversion has not yet been discussed.

- **What data are needed within application?**
  - Sponsors from CGA/OSP (Agency table) and HRPP (Sponsor table in Filemaker Pro)
  - Person data from SAP-EDW
  - Object Codes from KFS
  - Unit Information from OOI

- **What data are needed electronically?**
  - All active awards would need to be in KC
  - Person data available nightly via a batch process from SAP-EDW
  - CFDA numbers added via www.cfda.gov as a batch process in KC

- **What data are needed in archive?**
  - Closed, inactive awards

- **What data can be disposed?**
## Award Potential Gap List (25 Award, 12 Shared)

<table>
<thead>
<tr>
<th>Award Gaps</th>
<th>Award Gaps</th>
</tr>
</thead>
<tbody>
<tr>
<td>No Account Name field</td>
<td>No cost share commitment field for tracking subawardee cost share met</td>
</tr>
<tr>
<td>No Created By field in Special Review tab</td>
<td>No Deobligated Amount field for subawards</td>
</tr>
<tr>
<td>No Legacy Account # field</td>
<td>No Deposited field</td>
</tr>
<tr>
<td>No link to populate an untitled email message</td>
<td>No Submitted By field for progress/tech reports</td>
</tr>
<tr>
<td>with an address</td>
<td></td>
</tr>
<tr>
<td>No Close Out Assigned field</td>
<td>Lacks ability to encumber subaward balances</td>
</tr>
<tr>
<td>No Requires Estimate field</td>
<td>Lacks ability to track cost share commitment at the person-level like</td>
</tr>
<tr>
<td></td>
<td>Account Explorer - Costshare</td>
</tr>
<tr>
<td>No Close Out Started field</td>
<td>No invoicing module</td>
</tr>
<tr>
<td>Award Gaps</td>
<td>Award Gaps</td>
</tr>
<tr>
<td>--------------------------------------------------------------------------</td>
<td>------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>No Deadline Date field</td>
<td>In KC, a user can open a proposal development eDoc from within Awards using Medusa. It is read-only and cannot be edited or revised</td>
</tr>
<tr>
<td>No graphical tools for displaying the duration of various data elements</td>
<td>Lacks ability to populate an award notification email with account details and restrictions</td>
</tr>
<tr>
<td>No Closed Subaward Balance field</td>
<td>Lacks ability to view apps associated with an award in search results list</td>
</tr>
<tr>
<td>No Subaward notes field</td>
<td>No Accounts Receivable module</td>
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<tr>
<td>No Subaward Advance Total field</td>
<td>Lacks ability to search account closing emails</td>
</tr>
<tr>
<td>Lacks ability to collect budgeted effort for personnel on individual awards and effort certification functionality across awards</td>
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## Award Potential Gap List (cont’d)

<table>
<thead>
<tr>
<th>Shared Gaps</th>
<th>Shared Gaps</th>
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<tbody>
<tr>
<td>No Board Acceptance Date field</td>
<td>Prime sponsor is not displayed in search results list</td>
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<tr>
<td>No Board Report logic</td>
<td>No fourth street address line</td>
</tr>
<tr>
<td>Proposal final approval date or date the IP was created is not displayed</td>
<td>Co-Is are not displayed in search results list (only the PI is displayed)</td>
</tr>
<tr>
<td>in search results list</td>
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</tr>
<tr>
<td>Amount funded to date for a project is not displayed in search results</td>
<td>No 'Link App To New Account' link in search results list</td>
</tr>
<tr>
<td>list</td>
<td></td>
</tr>
<tr>
<td>Full amount requested for a proposal /award is not displayed in the search</td>
<td>No debarment certification date created field</td>
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<tr>
<td>results list</td>
<td></td>
</tr>
<tr>
<td>No A-133 certification date created field</td>
<td>No routing for approval on post-submission changes or revisions</td>
</tr>
</tbody>
</table>
Award Upcoming Activities

• KC Configuration
• Fit Gap Analysis and Proposed Action
  – Code change
  – Configuration change
  – Business process change
  – Ignore (no action on gap)
• Reporting / Data Security
• Workshop Preparations
Kuali Coeus Implementation: Preaward Progress Report

June 17, 2013
Preaward Presentation Outline

• Current State Documentation
• Future State Process Development
• KC-PRE3 Prepare a KC Proposal Development Document and Submit for Routing
  – Process Diagram
  – Data Assumptions
  – Rice Tables
  – Roles
  – Process Gaps
• Integration Assumptions
• Legacy Data Assumptions
• Current Process Gap List
Preaward Contributors

• Project Team
  – Maria Skinner, Workgroup Lead
  – Jatasha Haralson, Lead Analyst
  – Marc Melton, Lead Analyst
  – Laura Allen, Analyst

• Business Unit(s) OSP-SPA
  – Doreen Woodward, Associate Director
  – Katie Cook, Assistant Director Grants & Other Contracts
  – Sue Morgan, Assistant Director Federal Contracts & URO Contract Lead
  – Clint Jones, Systems
## Preaward Current State Documentation

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<tr>
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<tbody>
<tr>
<td>PRE1</td>
<td>High Level Preaward Proposal Process</td>
<td>PRE10</td>
<td>Review Administratively-Complete Proposal</td>
<td>PRE19</td>
<td>Receive Request for Modification from Sponsor</td>
</tr>
<tr>
<td>PRE2</td>
<td>PI Review of Solicitation</td>
<td>PRE11</td>
<td>Review eTransmittal and Approvals</td>
<td>PRE20</td>
<td>Receive Request for Documentation</td>
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<tr>
<td>PRE3</td>
<td>OSP Review of Solicitation</td>
<td>PRE12</td>
<td>Review F&amp;A Waiver</td>
<td>PRE21</td>
<td>Prepare Account Review</td>
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<td>PRE4</td>
<td>Prepare an eTransmittal Form</td>
<td>PRE13</td>
<td>Non-Regular Investigator Exception Review</td>
<td>PRE22</td>
<td>Receive Fixed-Price Contract</td>
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<td>PRE6</td>
<td>Prepare Administrative Portions of Proposal</td>
<td>PRE15</td>
<td>Review for Export Control Issues</td>
<td>PRE24</td>
<td>Receive Bilateral Award (non-SBIR/STTR)</td>
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<td>PRE7</td>
<td>Review a Preliminary Budget</td>
<td>PRE16</td>
<td>Enter New Sponsor in System</td>
<td>PRE25</td>
<td>Receive SBIR/STTR Award</td>
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<tr>
<td>PRE8</td>
<td>Review Final Proposal and Submit to Sponsor</td>
<td>PRE17</td>
<td>Receive Fully-Executed Unilateral Grant</td>
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<tr>
<td>PRE9</td>
<td>Limited Submission Process</td>
<td>PRE18</td>
<td>Receive Rejection Notice</td>
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# Preaward Future State Development

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<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>
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<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>
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<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>
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<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>
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<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>
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<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>
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<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>
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<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>
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<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>
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<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>

[MICHIGAN STATE UNIVERSITY](http://www.msu.edu)
Preaward Process Highlight
Preaward Process Highlight

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

1. Search for PI using Employee Search
   - Yes: Person in database?
   - No: Add Employee or Non-employee to KC System
   - Yes: Select Individual
   - Yes: Select proposal route
   - Yes: Update Key Personnel fields
   - Yes: Enter Combined Credit Split values if required
   - Yes: Other Key Personnel?
   - Yes: Create new protocol in appropriate KC module
   - Yes: Proposal found?

2. Enter Approval Status and other information
3. Human Subjects or Animal Use Involved?
   - Yes: Create new protocol in appropriate KC module
   - No: Proposal found?

4. Verify final budget is in proposal
5. Verify all attachments are in proposal
6. Answer questions as required
7. Turn on data validation and features
8. Submit proposal for routing

CUSTOM DATA
- Enter Custom Data as required

ABSTRACTS AND ATTACHMENTS
- Enter abstract information if required
- Upload proposal, personnel, external attachments as needed
- Add cover exception letter as required

QUESTIONS
- Answer questions as required

PROPOSAL ACTIONS (FINALIZE AND SUBMIT FOR ROUTING)
Data Assumptions
KC-PRE3 Prepare a KC Proposal Development Document and Submit for Routing

• Data needed for process initiation
  – Proposal Number (Auto generated)
  – Proposal Type
  – Sponsor Data (Direct Sponsor)
  – Applicant Organization Information (e.g. MSU and performance site information)
  – Unit and unit hierarchy information (MSU lead unit Information)
  – Project Start Date
  – Project End Date
  – Activity Type
  – Project Title

• Transactional data (both input and output)
  – 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
  – 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)
Data Assumptions (cont’d)
KC-PRE3 Prepare a KC Proposal Development Document and Submit for Routing

• Transactional data (both input and output) continued
  – 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 (if applicable - covered in a separate process)

• Data generated on process complete
  – Route log for review and approval driven by unit and unit hierarchy in following order:
    • OSP or Business Connect
    • PI, Co-I, and Key Persons
    • Department Chairs
    • College Deans
    • Special Condition Reviewers (e.g. University Advancement)
    • OSP or Business Connect Final Review
Rice Tables

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

• Parameters (33 including 8 shared)
• Validation Rules (56 – many are dependant upon Sponsor)
• Notifications (2)
• Other Configuration Items
  – Code Table configuration (35 including 20 shared tables)
  – Special Configuration Items
    • Questions and Questionnaires
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)

**Proposal Creator**
Create Proposal Dev. Doc.

**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

**Delete Proposal**
Delete Proposal
View Budget
View Narratives
View Proposal

**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 View
Alter Proposal Data
Create Award
Create Valid Rate
View Negotiation – Unrestricted
View Active Special Review Types
View Budget
View Narratives
View Proposal
Certify
Print Proposal
Submit Proposal Dev. Doc. Into Routing
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>OSP Proposal Admin., Contract Admin. &amp; Asst. VP.</th>
<th>OSP Shared Services</th>
</tr>
</thead>
<tbody>
<tr>
<td>(Teams 1, 2, and 3)</td>
<td>Aggregator</td>
</tr>
<tr>
<td>(Team 1 and 2)</td>
<td>Budget Creator</td>
</tr>
<tr>
<td>Aggregator</td>
<td>Create Proposal Log</td>
</tr>
<tr>
<td>Budget Creator</td>
<td>Delete Proposal</td>
</tr>
<tr>
<td>Create Proposal Log</td>
<td>Institutional Proposal Maintainer</td>
</tr>
<tr>
<td>Institutional Proposal Maintainer</td>
<td>Negotiation Administrator</td>
</tr>
<tr>
<td>Negotiator Administrator</td>
<td>OSP Administrator</td>
</tr>
<tr>
<td>OSP Administrator</td>
<td>Proposal Creator</td>
</tr>
<tr>
<td>Proposal Creator</td>
<td>Viewer</td>
</tr>
<tr>
<td>Viewer</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>OSP Asst. Director</th>
</tr>
</thead>
<tbody>
<tr>
<td>Aggregator</td>
</tr>
<tr>
<td>Budget Creator</td>
</tr>
<tr>
<td>Create Proposal Log</td>
</tr>
<tr>
<td>Delete Proposal</td>
</tr>
<tr>
<td>Institutional Proposal Maintainer</td>
</tr>
<tr>
<td>Negotiation Administrator</td>
</tr>
<tr>
<td>OSP Administrator</td>
</tr>
<tr>
<td>Proposal Creator</td>
</tr>
<tr>
<td>Viewer</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>OSP Admin Professional</th>
</tr>
</thead>
<tbody>
<tr>
<td>Create Proposal Log</td>
</tr>
<tr>
<td>Institutional Proposal Maintainer</td>
</tr>
<tr>
<td>Negotiation Administrator</td>
</tr>
<tr>
<td>Proposal Creator</td>
</tr>
</tbody>
</table>

**Kuali coeus**

12

**Michigan State University**
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.
Potential Process Gaps
KC-PRE3 Prepare a KC Proposal Development Document and Submit for Routing

• Possible process gaps for KC-PRE3
  – No PI Profile that includes the PI’s default and alternate credit split information
  – Fiscal officer, Account Supervisor, Preaward Contact, and Postaward Contact not displayed in the Proposal Development document
  – Request for a new sponsor cannot be performed within Proposal Development document
  – Proposal Development document/Institutional Proposal search results list does not include, e.g., Board Date, awarded amount, total requested amount
  – Cannot search Institutional Proposal by PI; Co-I; key word; CFDA; award
  – No 'add me' link in Proposal Development document
  – No Post Award Unit contact present in the Proposal Development document
  – Proposal Development document does not have a separate field to differentiate between Lead Unit and Postaward Unit

* Co-Is are not displayed in search results list (only PI is displayed)
* Full amount requested for a proposal/award is not displayed in the search results list
* Prime sponsor not displayed in search results list
* No fourth street address line

* Indicates shared Gaps between other KC Modules
Preaward Integrations

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

• Kuali Foundation Products
  – KFS, Kuali Rice

• MSU EBS Systems
  – SAP-EDW, OOI

• MSU Legacy and Supplemental Systems
  – PI Profile
  – Export Control
  – Training
Preaward Legacy Data Assumptions

• What data are needed within application?
  – Sponsor data from OSP/CGA Agency table, and HRPP Sponsor data from File Maker Pro
  – Person data from SAP-EDW
  – Object Codes from KFS
  – Unit and unit hierarchy data from OOI
  – MSU specific budget rate data, e.g., F&A rates, Fringe benefit rates
  – S2S Sponsor form sets from Grants.gov and Research.gov

• What data are needed electronically?
  – Person data available via a nightly Batch Process from SAP-EDW
  – S2S Proposal Opportunities available through a link to Grants.gov
  – S2S Proposal Opportunities available through a link to Research.gov
  – CFDA numbers added via www.cfda.gov as a batch process in KC

• What data are needed in archive?

• What data can be disposed?
  – Proposals that have not been funded after 3 years
### Preaward Potential Gap List (35 Preaward, 12 shared)

<table>
<thead>
<tr>
<th>Preaward Gaps</th>
<th>Preaward Gaps</th>
</tr>
</thead>
<tbody>
<tr>
<td>No SI for fringe benefits. Fringe rates are established in KC for employee</td>
<td>Current year budget cannot be copied to the total budget</td>
</tr>
<tr>
<td>types but not calculated for each individual like in SI</td>
<td></td>
</tr>
<tr>
<td>No calculation for the anticipated value of F&amp;A research facilitation funds</td>
<td>No exact equivalent of the Account Review Sheet</td>
</tr>
<tr>
<td>returned to colleges or departments</td>
<td></td>
</tr>
<tr>
<td>No PI Profile that includes the PI's default and alternate credit split</td>
<td>Proposal Development document/Institutional Proposal search results list</td>
</tr>
<tr>
<td>information</td>
<td>does not include, e.g., Board Date, awarded amount, total requested amount</td>
</tr>
<tr>
<td>Grand total of all subawards in a proposal not displayed on the approver</td>
<td>The approver screen does not display the amount requested for first year</td>
</tr>
<tr>
<td>view screen</td>
<td></td>
</tr>
<tr>
<td>No 3/4 or halftime appointments out-of-the-box</td>
<td>The approver view screen does not display notes that previous approvers</td>
</tr>
<tr>
<td></td>
<td>may have written</td>
</tr>
<tr>
<td>Fiscal officer, Account Supervisor, Preaward Contact, and Postaward Contact</td>
<td>No 'VAT or other tax reporting' field</td>
</tr>
<tr>
<td>not displayed in the Proposal Development document</td>
<td></td>
</tr>
<tr>
<td>PI's areas of expertise not captured in the Proposal Development document</td>
<td>No 'active' checkbox (for Sponsors)</td>
</tr>
<tr>
<td>Budget detail cannot be exported to Excel</td>
<td>No 'Grants.gov' checkbox</td>
</tr>
<tr>
<td>The average fringe % rate for all project personnel is not displayed</td>
<td>No 'Show in Agency' check box</td>
</tr>
</tbody>
</table>
Preaward Potential Gap List (cont’d)

<table>
<thead>
<tr>
<th>Preaward Gaps</th>
<th>Preaward Gaps</th>
</tr>
</thead>
<tbody>
<tr>
<td>Request for a new sponsor cannot be performed within Proposal Development document</td>
<td>No 'billing' or 'mailing' contact drop-down</td>
</tr>
<tr>
<td>User cannot click a link to populate an untitled email message with an address</td>
<td>Maintenance of two tables (Sponsor and Organization) instead of OSP single table for Grantor</td>
</tr>
<tr>
<td>Cannot select phone # type for Sponsors</td>
<td>Ability to identify if a proposal is a Limited submission proposal</td>
</tr>
<tr>
<td>A URL field does not exist in the Non-Employee maintenance doc (this field exists in the grantor management area of eTransmittal)</td>
<td>Special Approvers (OPB, International, etc.) not being in the approval route</td>
</tr>
<tr>
<td>No 'GoTo' URL link</td>
<td>COI Annual Disclosure not displayed in the Proposal Development document</td>
</tr>
<tr>
<td>No ‘add me’ link in Proposal Development Document</td>
<td>The COI Training Check box does not display in the Proposal Development Document</td>
</tr>
<tr>
<td>Notes related to non-quantified voluntary cost share do not appear on the approver view screen of the submitted Proposal Development document</td>
<td>Proposals will only appear in OSP ‘s action list after they have been submitted into routing, not when in draft mode</td>
</tr>
<tr>
<td>Cannot search Institutional Proposal by PI, Co-I; key word; CFDA; award</td>
<td>Proposal Development document does not have a separate field to differentiate between Lead Unit and Postaward Unit</td>
</tr>
<tr>
<td>No Post Award Unit contact present in the Proposal Development document</td>
<td></td>
</tr>
</tbody>
</table>
# Preaward Potential Gap List (cont’d)

<table>
<thead>
<tr>
<th>Shared Gaps</th>
<th>Shared Gaps</th>
</tr>
</thead>
<tbody>
<tr>
<td>No Board Acceptance Date</td>
<td>Prime sponsor not displayed in search results list</td>
</tr>
<tr>
<td>No Board Report logic</td>
<td>No fourth street address line</td>
</tr>
<tr>
<td>Proposal final approval date or date the IP was created is not displayed in search results list</td>
<td>Co-Is are not displayed in search results list (only PI is displayed)</td>
</tr>
<tr>
<td>Amount funded to date for a project is not displayed in search results list</td>
<td>No ‘Link App to New Account’ link in search results list</td>
</tr>
<tr>
<td>Full amount requested for a proposal/award is not displayed in the search results list</td>
<td>No debarment certification date created field</td>
</tr>
<tr>
<td>No A-133 certification date created field</td>
<td>No routing for approval on post-submission changes or revisions.</td>
</tr>
</tbody>
</table>
Preaward Upcoming Activities

• KC Configuration
• Fit Gap Analysis and Proposed Action
  – Code change
  – Configuration change
  – Business process change
  – Ignore (no action on gap)
• Reporting / Data Security
• Workshop Preparations