Office for Sponsored Programs
A Business Process and Procedural Guide for the Kuali Financial System
Kuali Implementation Team

2012
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Proposals and Awards

- OSP staff will enter proposals and awards into KFS
- We will only enter proposals/awards for awarded grants and contracts
  So from a user perspective, it’s probably easiest just to look up the Award.
- KFS will have data only. There will not be any attachments (e.g. Award document) as we do with infoEd
- Only required fields will be populated for proposals
  The KFS Proposal # is system-generated (will not be the same as infoEd #)
- Required fields plus a few extras to be populated for awards
  The “Grant Number” field is being populated with the infoEd proposal number
- infoEd remains our “official” research administration software

To Look Up an Award

1. Log into KFS, go to the Main Menu and click “Award” as shown below
2. Enter any known information to help narrow the search

For example...

Click on the magnifying glass to look for a value

Enter “Suib” and click search to get a list of anyone with a last name of Suib
Click “return value”, then “Search” to get a list of awards for the individual selected.

From here, users can then choose to View Award or link to the proposal.
Most of the information on the Award Detail tab is right from the Proposal.

From an Award, users can also link to the Account(s) associated with that award.

This is the infoEd Proposal #
Account Set-Up and Routing

- OSP staff will set-up accounts for grant and contract activity.
- Unlike FRS, a KFS account must be routed for approvals before the set-up becomes “Final”.

FYI Copy to R. Ramprasad (PI)

Pending approval from Kara Palozie

Future approvals required by Neal Breen, Joanne Frederick, one person from Post-Award team and Haili Li Lin

When a group of individuals is listed (as shown in the box above), only one person needs to approve.
The screen below shows a Route Log after all the required approvals have been obtained.

- The first stop after OSP staff initiate the eDoc is the Fiscal Officer (FO).
- One feature of KFS routing is that subsequent reviewers can edit information in the account. **It is extremely important that FOs do not add information or change any fields on the account.**
- Making changes could delay completion of the account set-up and getting work started on the grant.
- If you have a concern about an account attribute, please contact the Post-Award Grant Manager that initiated the document.
- FYI – changes to account attributes must also be routed.
Account Attributes

- Most of the account attributes are the same as FRS (Screens 006 and 009)
- The main differences are where they reside and the field names

Reminder: KFS documents are in a tab format. Use the Show and Hide buttons to manage what you see on-screen.

This is how you identify your Post-Award team.

These are the same as Budget Period Start and End Dates in FRS.
Budgets

- OSP staff will establish budgets in grant and contract accounts after routing for the account set-up is complete.

- This will be done using a Single-Sided Budget Adjustment eDoc.

- Just like the Account Set-Up eDoc, the Single-Sided BA will also route to the Fiscal Officer (FO) for approval.

  It is extremely important that FOs do not change the BA.

- Making changes could delay completion of the budget set-up.

- If you have a concern about how the budget was entered, please contact the Post-Award Grant Manager that initiated the document.
Budgets (cont’d)

- The main difference with budgets in KFS is that the amount shown for any given category or line item is static. In other words, the budget amounts shown in the screen shot below will not change as encumbrances are created or expenditures are incurred.

Budgets can be entered in KFS at the following levels:
- Account
- Consolidation
- Level
- Mixed
- Object Code
- Sub-Account

OSP staff will be testing the use of levels over the next few months to determine how we can best match their use with sponsor requirements
Cost Share/Match

- KFS can track cost sharing
- Cost Share sub-accounts are part of the “main” grant account
- Sub-Accounts are “linked” to a source account
- Match amounts can be encumbered against the source account
- Initially, existing cost share/match accounts will be brought over to KFS as is. In other words, in a separate account (e.g. Match for ______)
- Eventually, we will use the KFS functionality as intended

Since we will no longer have the Screen 008 information as shown above, we will need to establish separate accounts for cost-shared PI effort.
Sub-Accounts

- Sub-Account functionality allows tracking of activity within an account at a finer level of detail.
- Cost share sub-accounts will be set up by OSP staff
- All other sub-accounts will be set up by departmental staff to meet individual needs
- A good example of the use of a sub-account would be to separate out a piece of a grant for work being done/coordinated by a Co-I

To set up a sub-account, complete the following steps:

**Go to the Main Menu and click Sub-Account as shown below**
Next click the “create new” button

Complete the required (indicated by an asterisk) fields as shown below

Click “Save” then “Submit”
Once approved, a Sub-Account Lookup search will give you the following screen.

Once the sub-account is established, you can then use it when coding expenditures.

Since use of sub-accounts is optional, expenditures won’t post to a sub-account unless it is included in the accounting string (lines).
Budget Adjustment eDoc to establish Sub-Account Budget

Available Balances Lookup
Sub-Object Codes

Sub-Object Code functionality allows finer distinction within a particular object code on an account. This is one of the coolest features KFS has for departmental users. These can be created at the department level and will not be used centrally. Departments can customize as they see fit.

Use of sub-object codes does not impact roll-up reporting.

Example of how a sub-object code would be used:

Let’s say you have 5 people traveling to a conference. You could use their initials to create 5 unique object codes. For example, out-of-state travel for Neal Breen could be 7635 NB.

To set up a sub-object code, complete the following steps:

Go to the Main Menu and click Sub-Object Code as shown below
Sub-Object Codes (cont’d)

Departmental users decide how these are used

Once approved, the sub-object code can be found using the lookup tool
In the example above, I’m using the Distribution of Income and Expense (DI), to move a $500 out-of-state travel expense from an unrestricted account to the 7635 NB sub-object code on grant account 5256780.

Once created and approved, sub-object codes can be used in any accounting string.
Continuation Accounts

- Required for any account with an expiration date
- Provides a “parking place” for post end-date transactions
- Initially, the use of the continuation will be “triggered” 30 days after the end date of the grant
- This will allow time for Payroll, Telecom and ProCard activity to post normally to grants
- There will be one continuation account per department
- These are designed to be clearing accounts – in theory they should have a zero balance
- They will not have budgets
- Funds can’t be transferred in, expenses must be moved out
- PIs / Department personnel will need to manage transactions that post to the continuation accounts
**Sufficient Funds Checking**

- Stops eDocs from processing when an account does not have a large enough balance to cover the transaction
- Established and customized on an account-by-account basis
- User is presented with an error message when an insufficient funds conditions exists

To determine what options have been selected for any given account, go to the Account Responsibility tab
Object Presence Control
This feature in KFS will help prevent unallowable expenditures at the object code level when activated.

If "Yes", the Object Code must have a budget.
Grant/Contract Transactions

Although transactions related to payroll and purchases occur somewhere other than OSP, KFS allows users to route eDocs to Post-Award staff on an ad hoc or FYI basis.

If a PI or department personnel are concerned about the allowability of a particular item (e.g. laptop computer) on a grant account, the initiator of the document can choose to route it to OSP.

Cost Transfers

- The Distribution of Income and Expense (DI) eDoc will be used to process cost transfers in KFS
- For now, requests for cost transfers will continue to be made using the existing web-based form
- OSP staff will initiate the DI

Rebudgets

- The Budget Adjustment (BA) eDoc will be used for rebudgets in KFS
- For now, requests for rebudgets will continue to be made using the existing web-based form
- OSP staff will initiate the BA

No-Cost Extensions

- An Account edit eDoc will be used to update an expiration date for an approved no-cost extension
- For now, requests for no-cost extensions will continue to be made using the existing web-based form
- OSP staff will initiate the Account edit eDoc

Subrecipient Invoices

- Will be routed to the PI for approval

Closeouts

The closeout process will change with our KFS implementation. At this point, we don't know what that change will entail. As we get more familiar with KFS, we expect that a logical process will evolve.
Account Balances

- Although users can get more up-to-date balance information in KFS, including pending entries, balances are only accurate as of a given point in time.
- Balances in KFS have a very different look.
- Balances by Consolidation is the closest to what you would see on Screen 019 in FRS.

For balance inquiries, select the link for the type of balance you would like to see.

Next enter the search criteria.

Enter UC for Chart Code and Account Number.

Opt to include GLPEs if you want to know what a balance will be after pending entries are processed.
Account Balances (cont’d)

- One very nice feature in KFS is the ability to drill down and identify what makes up a particular balance.
- This will become more apparent as activity occurs in KFS and users take advantage of functionality such as sub-accounts and sub-object codes.
## Balances by Consolidation

<table>
<thead>
<tr>
<th>Fiscal Year</th>
<th>Chart Code</th>
<th>Account Number</th>
<th>Sub-Account Number</th>
<th>Reporting Sort Code</th>
<th>Consolidation Code</th>
<th>Lookup By Level</th>
<th>Budget Amount</th>
<th>Actuals Amount</th>
<th>Encumbrance Amount</th>
<th>Variance</th>
</tr>
</thead>
<tbody>
<tr>
<td>2012 UIC</td>
<td>256780</td>
<td><em>ALL</em> A</td>
<td>REVN</td>
<td>Drill Down</td>
<td>(1,455,995.96)</td>
<td>(1,455,995.96)</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
</tr>
<tr>
<td>2012 UIC</td>
<td>256780</td>
<td><em>ALL</em> B</td>
<td>BENE</td>
<td>Drill Down</td>
<td>53,086.13</td>
<td>53,086.13</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
</tr>
<tr>
<td>2012 UIC</td>
<td>256780</td>
<td><em>ALL</em> B</td>
<td>GENX</td>
<td>Drill Down</td>
<td>998,649.56</td>
<td>774,088.39</td>
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<td>0.00</td>
<td>0.00</td>
<td>224,561.17</td>
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<tr>
<td>2012 UIC</td>
<td>256780</td>
<td><em>ALL</em> B</td>
<td>NCPA</td>
<td>Drill Down</td>
<td>0.00</td>
<td>299,111.72</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>(299,111.72)</td>
</tr>
<tr>
<td>2012 UIC</td>
<td>256780</td>
<td><em>ALL</em> B</td>
<td>CMN</td>
<td>Drill Down</td>
<td>413,359.37</td>
<td>334,708.82</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>78,550.55</td>
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</table>

### Totals

<table>
<thead>
<tr>
<th>Type</th>
<th>Budget Amount</th>
<th>Actuals Amount</th>
<th>Encumbrance Amount</th>
<th>Variance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Income</td>
<td>(1,455,995.96)</td>
<td>(1,455,995.96)</td>
<td>0.00</td>
<td>0.00</td>
</tr>
<tr>
<td>Income From Transfers</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
</tr>
<tr>
<td>Total Income</td>
<td>(1,455,995.96)</td>
<td>(1,455,995.96)</td>
<td>0.00</td>
<td>0.00</td>
</tr>
<tr>
<td>Expense</td>
<td>1,464,995.06</td>
<td>1,460,995.06</td>
<td>0.00</td>
<td>4,000.00</td>
</tr>
<tr>
<td>Expense From Transfers</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
</tr>
<tr>
<td>Total Expense</td>
<td>1,464,995.06</td>
<td>1,460,995.06</td>
<td>0.00</td>
<td>4,000.00</td>
</tr>
</tbody>
</table>

### Available Balance: 4,000.00
Reporting
  • UConn team has been working on developing reports
  • One of the first reports to be released is a monthly interactive pdf for balance information
  • Training to be held in July

Effort Reporting
  • We will be using KFS for effort reporting
  • First period will likely be Fall 2012
  • Most details to be announced as the process and procedures are developed

Conversion
  • Initially, grant accounts in KFS will have budgets but not balances
  • Sufficient funds checking will be turned off
  • Try to minimize transactions/activity between mid-June to mid-July
  • The most common issue will likely be access / ability to process eDocs
  • Please direct all questions about grant accounts to your Post-Award team
Historical Object Code Lookup

If you don't know the KFS Object Code, click the magnifying glass

Then enter the old (FRS) subcode in the field as shown and click "Search"
You’ll get the following screen

Use the “return value” link to bring the object code you’re your eDoc.