HSC TARA Forum

August 1, 2012
AGENDA

Welcome Christine Lavoie
CORES Pilot Beverly Chen
Post-Award Management Nick Bowerman
Financial Projections Steve Wagner
diSClose Dan Shapiro
Wrap Up and Adjourn Christine Lavoie
CORES Pilot Implementation

Beverly Chen
Agenda

• What is CORES?
• What are the benefits?
• What are the key functionalities?
• What other institutions are using CORES?
• What is the CORES pilot and who is part of it?
• What is the timeline?
What is CORES?

• CORES – Core Ordering and Reporting Enterprise System
• Created by Vanderbilt University
• Implemented in 2001
• Web-based
What are the benefits?

• Centralize core usage transactions
• Increase efficiency by automating invoicing and billing
• Reduce operational cost
• Standardize all research cores
• Obtain consistent reporting
What are the key functionalities?

• Allows Principal Investigators to enter orders for products and services provided by the research cores
• Sends electronic monthly invoices to the customers
• Produces a file for finance to upload to the general ledger for the debits and credits to the accounts
• Provides standard usage reports
CORES Order Entry Screen
Other CORES Partners

- University of Virginia
- Meharry Medical College
- Virginia Commonwealth University
- Seattle Children’s Research Institute
- Cleveland Clinic
- Children’s Hospital of Philadelphia
- Georgetown University Lombardi Cancer Center
- University of Notre Dame
- Rensselaer Polytechnic Institute
- Oregon Health & Science University
- Indiana University
- Mt. Sinai School of Medicine
What is the USC CORES pilot?

• Onboard a small group of research cores initially

• Analyze and make adjustments based on the feedback from the pilot groups before rolling out to the other research cores

• Provide an opportunity to create an instance of CORES that works for the USC community
Who is part of the USC CORES pilot?

- Molecular Imaging Center-Small Animal Imaging Core
- Center for Electron Microscopy and Microanalysis
- Molecular Genomics Core
- NanoBiophysics Core
- Cancer Research Informatics Core
- Clinical Translational Science Institute
- Photonics Lab
What is the timeline?

- Currently working with the CORES pilot group on set up
- User Testing begins in October 2012
- CORES pilot roll out to pilot groups in November 2012
- Schedule for broader roll out is to be determined
TARA Post-Award Management

Nick Bowerman
Agenda

• What does post award include?
• Key functionality
• Award management
• Progress & closeout reporting
• Rollout timeline
What Does Post Award Include?

• Setup of sponsor approved award
• Account establishment
• Financial accounting
• Award & budget changes
• Report tracking (sponsor-required reports)
• Reporting on awards/accounts
• Sponsor billing
• Award closeout
Key Functionality

• Set up sponsor award
• Identify PI and other Key Personnel
• Create master/satellite award hierarchy
• Record sponsor-approved budget
  (vs. detailed, internal budget maintained in KFS)
• Record terms and conditions
• Attach notes and documentation to the award
• Route award setup for review and approval
Sample Award Setup
# Award Management Workflow

## Award/Account Set-up Workflow

<table>
<thead>
<tr>
<th>SPONSOR</th>
<th>Kuali Coeus</th>
<th>Kuali Financial System</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sponsor Award Document</td>
<td>Setup Award and Sponsor Approved Budget</td>
<td>Review and approve financial budget setup (Comptroller's Office)</td>
</tr>
<tr>
<td>Create award hierarchy</td>
<td>Review &amp; approve award setup</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>DCG</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>SPA</td>
<td></td>
</tr>
<tr>
<td>PI/RA</td>
<td></td>
</tr>
<tr>
<td>Other Processes</td>
<td></td>
</tr>
</tbody>
</table>

- Receive system notification that accounts are available
- Provide detailed budget to SPA
- Additional account setup for internal management
- Set up internal accounting budget for account(s)
- Manage/Close Out Awards
Award Setup Workflow - KC

- Sponsor Award Document
- Setup Award and Sponsor Approved Budget
- Create award hierarchy
- Review & approve award setup
Award Setup Workflow - KFS

**DCG**
- Review and approve financial budget setup (Comptroller’s Office)

**SPA**
- Receive system notification that accounts are available
- Additional account setup for internal management
- Set up internal accounting budget for account(s)
  - Provide detailed budget to SPA
  - Manage/Close Out Awards

**PI/RA**

**Other Processes**
Award Progress & Closeout

Report Tracking

• Setup at time of award setup
• System generated emails to PI’s notifying reports are due
• Types of reports included:
  - Financial
  - Property
  - Intellectual
  - Technical / Management
  - Procurement
• Customizable report tracking views to see what’s coming due
# Report Tracking – Sample Screen

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<tr>
<th>Report Classes</th>
<th>Frequency</th>
<th>Frequency Base</th>
<th>OSP File Copy</th>
<th>Due Date</th>
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<tbody>
<tr>
<td><strong>Final (Final Report)</strong></td>
<td>90 days after expiration</td>
<td>Project End Date Base Date: 07/31/2013</td>
<td>Letter Only</td>
<td></td>
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<tr>
<td><strong>Recipients (0)</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td><strong>Details - Report Tracking</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td><strong>Progress/Status</strong></td>
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<td>As Required Base Date: As Required</td>
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<tr>
<td><strong>Recipients (0)</strong></td>
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<td></td>
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<tr>
<td><strong>Details - Report Tracking</strong></td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>SF 298 Report Documentation Page (Final Report)</strong></td>
<td>90 days after expiration</td>
<td>Project End Date Base Date: 07/31/2013</td>
<td>Letter Only</td>
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</tr>
<tr>
<td><strong>Recipients (0)</strong></td>
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<tr>
<td><strong>Details - Report Tracking</strong></td>
<td></td>
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</tbody>
</table>
# TARA Post-Award Roll-out Timeline

## Iteration 1
**Users:** DCG, SPA, PI, Dept/School, IRB

**Functionality:**
- KC award setup & maintenance
- KC/KFS integration
- KC/iStar IRB integration
- Basic award reporting

**Dates:** 9/4/12 - 9/30/12

## Iteration 2
**Users:** DCG, SPA, PI, Dept/School

**Functionality:**
- KC award change request
- KFS CGB (Billing), Phase 1
- Enhanced award reporting
- KC customizations

**Dates:** 10/1/12 - 10/30/12

## Iteration 3
**Users:** DCG, SPA, PI, Dept/School, Core Service/Recharge Centers

**Functionality:**
- KC Financial Projections (FiPS)
- CORES pilot program
- KFS CGB (Billing), Phase 2

**Dates:** 11/1/12 - 12/31/12
Financial Projections System (FiPS)

Steve Wagner
Agenda

• Provide general overview of the Financial Projection System (FiPS)

• Provide update of FiPS project
Accomplished 5/1 to 7/31

• Met with various groups of faculty, research administrators, support staff, and SBOs to gather desired system requirements.
• Created the high-level specification document submitted to Randy Hall for review.
• Created a first-round of system/screen mock-ups and reviewed with Office of Research and Research Administration Task Force.
• Currently working on revised system/screen mock-ups and detailed functional specification document.
FiPS Quick Overview

- Provide financial projection capability for Principal Investigators (PIs) and Research Administrators (RAs).
- Provide ability to combine existing data (known data) with future projected plans (unknown data).
- Improved methods for payroll projections and input (effort utilization).
- Enhanced projection reporting capabilities.
FiPS Functionality

FiPS will allow users to:

– **Access existing data** (as available) from KFS, KC, Workday/Payroll, and SIS via:
  • Their accounts (research and non-research)
  • Their proposals
  • Their employees (including faculty, staff, GRAs, post-docs, and student workers)

– **Modify account and employee parameters and add simulated accounts** (for projection purposes only)

– **Perform financial projections** on accounts or simulated accounts (creating future spending plans for compensation and non-compensation)

– **Run projection reports** (selecting accounts, simulated accounts, and proposals and projection period as desired)
KC FiPS Walkthrough

PI, Research Admin, or Designee

Updates

KC Financial Projection System
- View Existing Awards, Proposals, and Employees
- Create simulated accounts for projections
- Modify Award/Account/Budget Parameters for projections
- Select Projection Period
- Enter Projection Data

USC Data Warehouse (KFS, KC*, Workday*/Payroll, Student Information System*)
- Awards
- Accounts
- Proposals
- Employees

Projection Data

Cognos Report Generator
- Run: view, export or email projection reports

Output
- View on screen
- Cognos
- Email or Download
  - Excel
  - PDF

* Pending availability of data
Next Steps

• Complete system/screen mock-ups.
• Complete detailed functional specifications.
• Review mock-ups and specifications with development team.
• Make adjustments to mock-up and specification plans as necessary (if programming issues are identified).
• Obtain final approvals of system design.
• Development team begins programming.
• Quality Assurance testing.
• User Acceptance Testing.
• Training & Go Live! 😊
### My Financial Projections - Projects and People

#### My Proposals

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<th>Proposal Type</th>
<th>Proposal State</th>
<th>Project Title</th>
<th>Proposal Budget</th>
<th>Sponsor Name</th>
<th>Lead Unit Name</th>
<th>Sponsor Deadline Date</th>
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<td>101</td>
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#### My Awards/Accounts

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<thead>
<tr>
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<th>Account Active?</th>
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### Financial Projection Document

#### F&A

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<tr>
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<td>Select</td>
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#### Fringe Benefits

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<tr>
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<th>Description</th>
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<th>End Date</th>
<th>Institute Rate</th>
<th>Applicable Rate</th>
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<tbody>
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<td>3</td>
<td>Fringe Benefits</td>
<td>Standard</td>
<td>07/01/2013</td>
<td>06/30/2014</td>
<td>32.80%</td>
<td>32.00%</td>
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<td>Fringe Benefits</td>
<td>Post-Doc</td>
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<td>22.50%</td>
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<td>Select</td>
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### Projected Effort

#### Faculty Annual Base Salary

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</thead>
<tbody>
<tr>
<td>Nicholas Bowerman</td>
<td>11200</td>
<td>0.00%</td>
<td>0.00%</td>
<td>30.00%</td>
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<td></td>
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<td></td>
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<td>0.00%</td>
<td>0.00%</td>
<td>0.00%</td>
<td>$30,075.00</td>
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<td>Nicholas Bowerman</td>
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<td></td>
<td>20.00%</td>
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<td>0.00%</td>
<td>20.00%</td>
<td>$20,050.00</td>
<td>$6,335.80</td>
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<tr>
<td>Candice Poolman</td>
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<td>30.00%</td>
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<td></td>
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<td></td>
<td>0.00%</td>
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<td>0.00%</td>
<td>60.00%</td>
<td>$78,088.07</td>
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</table>

**Totals:**
- Projected Salary: $128,213.00
- Calculated Fringe: $40,515.3

#### Graduate Research Associate - Stipend

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</thead>
<tbody>
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<td>25.00%</td>
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<td></td>
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<td></td>
<td></td>
<td>25.00%</td>
<td>50.00%</td>
<td>25.00%</td>
<td></td>
<td>$8,354.17</td>
<td>$0.00</td>
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<tr>
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<td></td>
<td></td>
<td></td>
<td>25.00%</td>
<td>25.00%</td>
<td>25.00%</td>
<td>25.00%</td>
<td>$4,881.95</td>
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**Totals:**
- Projected Salary: $13,236.12
- Calculated Fringe: $0.00

#### Other Professional

<table>
<thead>
<tr>
<th>Person</th>
<th>Object Code</th>
<th>Aug 1-15</th>
<th>Sept</th>
<th>Oct</th>
<th>Nov</th>
<th>Dec</th>
<th>Jan</th>
<th>Feb</th>
<th>Mar</th>
<th>Apr</th>
<th>May</th>
<th>June</th>
<th>July</th>
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<th>Calculated Fringe</th>
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<tbody>
<tr>
<td>Winnie Lai</td>
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<td>$40,100.00</td>
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**Totals:**
- Projected Salary: $40,100.00
- Calculated Fringe: $12,671.60

#### Admin- Non Exempt

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<th>Sept</th>
<th>Oct</th>
<th>Nov</th>
<th>Dec</th>
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<th>Apr</th>
<th>May</th>
<th>June</th>
<th>July</th>
<th>Projected Salary</th>
<th>Calculated Fringe</th>
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</table>

**Totals:**
- Projected Salary: 
- Calculated Fringe: 

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Note: The table above details the projected effort for different categories including Faculty, Graduate Research Associate, Other Professional, and Admin- Non Exempt. Each category has columns for months (Aug 1-15, Aug 15-31, Sept, etc.) and corresponding percentages for each person. The table also includes columns for Projected Salary and Calculated Fringe.
diSClose

Dan Shapiro
Wrap Up and Adjourn

Christine Lavoie