

## USC Research Administration Software Functional Requirements - KC Assessment

Requirements Group	Sub-group topic	RAS Process ID	Issue ID	RAS Required Functionality	Out of the Box?	Kuali Module	KC Release	Validated (KC Test Drive 3.1)	Validation Notes	General Notes
General Requirements	Accessibility	n/a	1.1.1	Web-based access from common browsers via a unified portal	Yes	USC Portal	Not applicable	Not available for testing		
General Requirements	Accessibility	n/a	1.1.2	Allow school or department level administrators to set approval pathways that reflect their individual procedures.	Yes	Not module specific	3.1	Not available for testing		
General Requirements	User Interface	n/a	1.2.1	Easy navigation for movement across and within modules, minimizing the number of open windows simplifying access to information.	Yes	Not module specific	3.1	7/26/2011		
General Requirements	User Interface	n/a	1.2.2	Pre-population of all redundant information.	Yes	Not module specific	3.1	7/26/2011	Testing validated that data from tables that have been populated in the KC 3.1 Test Drive pre-populated fields in proposal and award development. Testing also validated that proposal data defaulted to the award record created for the proposal.	
General Requirements	User Interface	n/a	1.2.3	Integration of data among RAS modules to reduce duplication and coordinate real-time status of proposals and approvals among modules.	Yes	Not module specific	3.1	7/26/2011	Testing validated that proposals, awards, and protocols could be linked and share data.	
General Requirements	Information Security	n/a	1.3.1	Protect information through secure access, with differing levels of authorization by individual and module, including view only access to specified data, and ability to modify data for specified individuals.	Yes	KIM	Not applicable	Not available for testing		Authentication is not provided <i>out of the box</i> , but Authorization is built in with KIM.
General Requirements	Information Security	n/a	1.3.2	Protect information from loss during any disaster or system failure, and enable rapid recovery through maintenance of current information and documentation.	Yes	USC Disaster Recovery (DR)	Not release specific	Not available for testing		USC DR. Kuali KC is continuously updating databases as data is entered. In the event of a DR situation, the loss would be measured in minutes if the DR system is mirroring the servers. If backups are done using overnight updates, then loss would be one day.
General Requirements	Availability	n/a	1.4.1	Available at all hours without interruption, except for periodic maintenance. Any maintenance activity that requires disruption must be during off hours (late evening, such as 2:00-4:00 a.m.).	Yes	Not module specific	Not release specific	Not available for testing		
General Requirements	Availability	n/a	1.4.2	Accommodate surges in usage associated with proposal and reporting deadlines.	Yes	Not module specific	Not release specific	Not available for testing		
General Requirements	Timeliness	n/a	1.5.1	Real-time or near real time updates to data, including obligations of funds within financial systems.	Yes	Not module specific	Not release specific	Not available for testing		
General Requirements	Transition	n/a	1.6.1	Integration of data from legacy systems to ensure continuous support for pre-existing awards.	Yes	Not module specific	Not release specific	Not available for testing		Shared databases. Will require development of interfaces.
Pre-award	Budget Creation	1.1	2.1.1	Templates or wizards to simplify creation of budget.	Yes	KC-PDB	3.1	7/25/2011		
Pre-award	Budget Creation	1.1	2.1.2	Automatic extraction of salary information and rates; provide protection of salary information based on a simplified "need to know" authorization.	No	KIM	Not applicable	Not available for testing		Once data is entered into KC or fed from common database, system will pull info and give access per business rules. KC does not have a way to restrict salary data based on "need to know". One speculated solution is to design so that personal info will release only after <i>Person</i> gives authorization through eDoc.

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Pre-award	Budget Creation	1.1	2.1.3	Automatic extraction and application of institutional rates (e.g., fringe benefits and F&A).	Yes	KC-PDB, KC-Award	3.1	7/25/2011		Applicable to multiple modules; comes from institutional code tables.
Pre-award	Budget Creation	1.1	2.1.4	Flexibility to permit award periods of variable length and start/end dates.	Yes	KC-PDB	3.1	7/25/2011		
Pre-award	Budget Creation	1.1	2.1.5	Simple modification of budgets and ability to construct budget from target constraints (such as total award size).	Yes	KC-PDB	3.1	7/25/2011	Testing validated that target constraints can be entered and tracked from the Budget Parameters tab. Limits display on budgeting pages for budget creators.	
Pre-award	Budget Creation	1.1	2.1.6	Ability to calculate indirect costs, staff benefits and other burdens (such as recharges).	Yes	KC-PDB, KC-Award	3.1	7/25/2011		Not applicable to a specific module; comes from institutional code tables.
Pre-award	Budget Creation	1.1	2.1.7	Record cost sharing and matching requirements.	Yes	KC-PDB	3.1	7/25/2011	Testing validated that cost sharing commitments and unrecovered F&A can be tracked using fields on the Distribution & Income tab in the proposal budget. Cost sharing has fields that indicate source accounts and what amounts per budget period are committed. Also, notes can be entered in the Budget Overview to store information about cost-sharing and cash-matching. Fields on the Custom Data tab also allow for basic collection of cost-sharing information.	
Pre-award	Budget Creation	1.1	2.1.8	Upload a sub-award Scope of work, Letter of Intent, and Budget Support package.	Yes	KC-PDB	3.1	7/25/2011	Testing validated that sub-award files can be uploaded and attached on the Abstracts and Attachments tab.	
Pre-award	Initiation	1.2	2.2.1	Templates or wizards to simplify creation.	Yes	KC-PDB	3.1	7/26/2011		Uses previous proposals and pre-made proposals as templates.
Pre-award	Initiation	1.2	2.2.2	Import sections from prior proposals to initiate new proposals.	Yes	KC-PDB	3.1	7/26/2011	Testing validated that previously created proposals can be copied to create new proposals on the whole; subsections of proposals cannot be copied piecemeal from one proposal to another.	
Pre-award	Internal and Institutionally Limited	1.3	2.3.1	Post announcements for public view.	No					
Pre-award	Internal and Institutionally Limited	1.3	2.3.2	On-line upload proposals by faculty investigators.	Yes	KC-PDB	3.1	7/25/2011	Testing validated that within the proposal, files can be attached using the Abstracts and Attachments tab. Narratives and other types of documents can be attached here. Within the Institutional Proposal, files can be attached using Notes and Attachments on the Institutional Proposal main tab.	Files can be uploaded and attached to proposals.

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Pre-award	Internal and Institutionally Limited	1.3	2.3.3	Enter and track basic information/data associated with proposals.	Yes	KC-InstProp	3.1	7/26/2011		
Pre-award	Internal and Institutionally Limited	1.3	2.3.4	Enter needed approvals.	Yes	KC-PDB	3.1	7/26/2011		
Pre-award	Internal and Institutionally Limited	1.3	2.3.5	Distribute proposals to reviewers.	Yes	KC-PDB	3.1	7/26/2011		Approvers access the proposals within the system. Notifications of proposals awaiting approval appear on approvers Action Lists in the system, and email notifications can be sent out according to routing rules.
Pre-award	Internal and Institutionally Limited	1.3	2.3.6	Enter review comments.	Yes	KC-PDB	3.1	7/26/2011	Testing validated that comments can be entered on proposals that are disapproved or rejected.	
Pre-award	Internal and Institutionally Limited	1.3	2.3.7	Record decision and make decisions available to DCG and proposers.	Yes	KC-PDB	3.1	7/26/2011	Testing validated that decisions are tracked in the Proposal Route Log.	
Pre-award	Proposal Data Management	1.4	2.4.1	Utilize specific data fields for searching and later viewing, such as keywords and sponsor comments.	Yes	KC-PDB	3.1	7/27/2011	Specific, limited data fields are available out of the box for searching through proposal development, insitutional proposal, proposal log, and doc search pages.	KC offers some standard search criteria for proposals. Expanded searching can be configured through BI tools working with data warehouse. Specialized searching on specific fields (such as key words and sponsor comments) would be included in that kind of configuration.
Pre-award	Proposal Data Management	1.4	2.4.2	Record proposal status and documentation relating to disposition of proposals, such as reason for denial.	Yes	KC-PDB	3.1	7/26/2011		
Pre-award	Quality control	1.5	2.5.1	Simplified look-up of solicitation associated with proposals.	Yes	KC-PDB	3.1	7/26/2011	Testing validated that solicitation information can be entered in the Sponsor & Program Information of the Proposal page. Also, the Grants.gov page provides a lookup for the opportunity for the proposal.	
Pre-award	Quality control	1.5	2.5.2	Notification of solicitation specific requirements.	No					
Pre-award	Quality control	1.5	2.5.3	Automatic error checking prior to submission to sponsor.	Yes	KC-PDB	3.1	7/26/2011		
Pre-award	Electronic Submission	1.6	2.6.1	Generate proposals (e.g., forms and format) and direct system-to-system submission to Grants.gov and Fastlane, and ability to submit to other future proposal submission systems.	Yes - Partial	KC-PDB	3.1	Not available for testing	Connections to other systems are not set up in the Test Drive area, so testing could not address this issue directly.	System-to-system submission is available for Grants.gov in 3.1. While Fastlane does not allow for system-to-system interfaces, proposals can be submitted to NSF via Grants.gov. Further exploration should be done to determine the nature and extent of system-to-system interfaces USC needs now and anticipates needing in the future.

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Pre-award	Electronic Submission	1.6	2.6.2	Generate paper proposals when required.	Yes	KC-PDB	3.1	7/26/2011		
Post-award	Account Setup	2.1	3.1.1	Enable accounts to be quickly established and modified by importing data from other modules and data transmitted from sponsors (e.g., importation of budgets, award periods, etc.).	Yes	KC-Award	3.1	7/26/2011	Testing validated that if an award is associated with an existing proposal when it is created, the budget and basic proposal information will be imported into the award and modified in the award as necessary.	
Post-award	Account Setup	2.1	3.1.2	Verification and tracking that all regulatory requirements have been satisfied prior to account establishment.	Yes	KC-Award	3.1	7/26/2011	Testing validated that regulatory requirements can be tracked.	A HOLD status is available for awards, which could be used to indicate that not all regulatory requirements have been met. Further testing of the KC 3.1.1 release with KFS integration will allow for more exploration as this requirement is refined.
Post-award	Account Setup	2.1	3.1.3	Simplified budget modification by school administrators based on terms of award.	Yes	KC-Award	3.1	7/26/2011		
Post-award	Account Setup	2.1	3.1.4	Facilitate approval and establishment of cost share accounts.	Yes	KFS-GL	3.1.1	Not available for testing		KFS provides workflow options for creating and approving accounts. Further exploration will be done with respect to USC's implementation of KFS as requirements are refined.
Post-award	Account Setup	2.1	3.1.5	Record all relevant award data for later viewing, processing, and reporting.	Yes	KC-Award	3.1	7/26/2011		
Post-award	Account Setup	2.1	3.1.6	Record sponsor restrictions and utilize data to the greatest extent possible, e.g. automated restriction of unallowable budget changes and/or expenditures.	Yes	KC-Award	3.1	7/26/2011		
Post-award	Account Setup	2.1	3.1.7	Data field in award agreement records to indicate nature of IP terms of award, including terms between project collaborators. Record and link any associated non-disclosure agreements and material transfer agreements.	Yes	KC-Award	3.1	7/26/2011	Testing validated that terms and conditions of awards can be tracked on the Payment, Reports & Terms tab, and files can be uploaded on the Comments, Notes & Attachments tab.	
Post-award	Account Setup	2.1	3.1.8	Interface with financial system to establish new accounts, budgets, and future budget changes.	Yes	KC-Award / KFS Integration	3.1.1	Not available for testing		
Post-award	Account Setup	2.1	3.1.9	Automate award notifications to investigators and research administrators.	Yes	KC-Award	3.1	7/26/2011	Testing validated that the approval and FYI verification requests appear on the action list.	Automatic notifications are scheduled for an upcoming KC release; however, at the moment, the Award Notice (PDF) can be attached to an email manually.

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Post-award	Account Setup	2.1	3.1.10	Provide electronic process for investigators to approve unusual terms and conditions.	Yes	KC-Award	3.1	7/26/2011	Testing validated that the approval requests appear on the action list.	Automatic notifications are scheduled for an upcoming KC release; however, at the moment, the Terms (PDF) can be attached to an email manually. Also an ad-hoc approval request can be set up for the PI to review and approve at the award level (not terms level), which includes information about all Terms and Conditions.
Post-award	Account Setup	2.1	3.1.11	Facilitate efficient request, approval, and setup of advance funding/bridge funding.	Yes	KC-Award	3.1	7/26/2011	Testing validated that both Sponsor and Institutional Authorizations for advanced funding can be tracked in the award.	Awards can be routed for review and/or approval at the award level (not the advance funding level), which includes information about advance/bridge funding.
Post-award	Account Setup	2.1	3.1.12	Facilitate entry of terms and conditions, their timely review, and also provide easy access to PIs to view terms, conditions, and restrictions of awards, sub awards, and subcontracts, and record approval of any unique terms (e.g., terms related to intellectual property).	Yes	KC-Award	3.1	7/26/2011		Sponsor templates can be set up to allow for pre-population of standard sponsor terms and conditions when the award is created. Awards can be routed to PI for review and/or approval at the award level (not terms level), which includes information about all T/Cs.
Post-award	Account Setup	2.1	3.1.13	Archive of award documents.	Yes	KC-Award	3.1	8/25/2011	Testing validated that the archive location and archive date for the award can be tracked within the award.	
Post-award	Account Setup	2.1	3.1.14	Tracking outgoing sub-awards by prime award to USC.	Yes	KC-Subaward	4.0	Not available for testing		
Post-award	Negotiations	1.7	3.2.1	Research agreement generator using templates.	No					
Post-award	Negotiations	1.7	3.2.2	Track award negotiation process, including automatic notifications to those involved.	Yes	KC-Negotiation	4.0	Not available for testing		
Post-award	Sub-award	2.2	3.3.1	Facilitate efficient setup of subawards and subcontracts, including a subcontract start work and agreement letter generator using templates, tracking of subcontract status, and automated notifications when subcontracts are awarded.	Yes	KC-Subaward	4.0	Not available for testing		
Post-award	Sub-award	2.2	3.3.2	Interface with purchasing system to establish new POs, modifications and closeout, including the tracking the payment of invoices.	Yes	KC-Subaward	4.0	Not available for testing		
Post-award	Sub-award	2.2	3.3.3	Track reviews of A-133 audits of sub-award institutions for special considerations required in sub-awards.	Yes	KC-Subaward	4.0	Not available for testing		
Post-award	Service Center Recharge	2.3	3.4.1	Track and schedule usage of equipment and services within research service centers, accounting for constraints on individual access.	No					
Post-award	Service Center Recharge	2.3	3.4.2	Automatically generate charges to individual accounts based on use of services (or other bases, such as MTDC, labor costs, effort, headcount, etc.), and generate liens prior to scheduling services.	Yes	KFS	Not applicable	Not available for testing		

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Post-award	Service Center Recharge	2.3	3.4.3	Single monthly report of all charges for each recharge center; track charges and expenses against budget.	Yes	KFS	Not applicable	Not available for testing		
Post-award	Service Center Recharge	2.3	3.4.4	Verify and establish appropriate charges based on USC policy and based on business and research goals.	Yes	KFS	Not applicable	Not available for testing		
Post-award	Equipment Tracking and Reporting	2.4	3.5.1	Identify and assign status of equipment, such as ownership and taxable status, with this data automatically assigned if the award is electronically received.	Yes	KFS-CAM	Not applicable	Not available for testing		
Post-award	Equipment Tracking and Reporting	2.4	3.5.2	Interface with purchasing and equipment management systems to identify approved budget and terms and conditions governing the purchase of equipment.	Yes	KC-Award / KFS-CAM	3.1.1	Not available for testing		Information about budget terms and conditions can be stored in KC and linked to KFS; however, the interface with the purchasing and equipment systems is through KFS. One option is to use the Special Approvals panel to track the list of approved equipment items.
Post-award	Equipment Tracking and Reporting	2.4	3.5.3	Allow for tracking of fabricated equipment, including fabrication of items purchased through procurement cards as well as PO's.	Yes	KFS-CAM	Not applicable	Not available for testing		
Post-award	IP Tracking and Reporting	2.5	3.6.1	Interface to Inteum, the system used by USC Stevens for IP tracking:	No					
Post-award	IP Tracking and Reporting	2.5	3.6.1.1	Access to sponsorship information for use in completion of invention disclosures.	Yes	KC-Award	3.1	7/26/2011	Testing validated that terms and conditions as well as reporting requirements for awards can be tracked on the Payment, Reports & Terms tab.	
Post-award	IP Tracking and Reporting	2.5	3.6.1.2	Allow extraction of awarded research to identify those that contribute to the invention.	No					
Post-award	IP Tracking and Reporting	2.5	3.6.1.3	Allow extraction of IP information to be extracted from Inteum to be viewed by research administrators.	No					
Post-award	IP Tracking and Reporting	2.5	3.6.2	Generate alerts to disclose potentially patentable inventions at end of project, or periodically during project, and provision of such information to Inteum.	No					The KC Report Tracking module is expected to include an alerts option that can be used along with setting up property reporting requirements. This functionality may be useful in addressing this requirement.
Post-award	IP Tracking and Reporting	2.5	3.6.3	Access to award agreements to review the associated IP provisions.	Yes	KC-Award	3.1	7/26/2011	Testing validated that terms and conditions as well as reporting requirements for awards can be tracked on the Payment, Reports & Terms tab.	
Post-award	IP Tracking and Reporting	2.5	3.6.4	Track rights granted to sponsors (unlimited, government purpose, exclusive vs. non-exclusive), rights asserted in proposals, and special rights arrangements in sub-award agreements (royalty for use of inventions created by sub-award recipient).	Yes	KC-Award	3.1	7/26/2011	Testing validated that terms and conditions as well as reporting requirements for awards can be tracked on the Payment, Reports & Terms tab.	
Post-award	IP Tracking and Reporting	2.5	3.6.5	Archive non-disclosure agreements and material transfer agreements, and link archive to awards.	Yes	KC-Award	3.1	7/26/2011	Testing validated that files can be uploaded and attached to awards using the Comments, Notes & Attachments tab.	

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Post-award	Effort Reporting & Certification	2.6	3.7.1	Automatically populate assigned effort by project and activity from awarded budget into cash flow projection system (which is revised as the research progresses); use the cash flow projection system to populate the payroll system. The payroll system data is used to populate the effort reporting and certification system.	Yes	KFS-LD, KFS-CGB	Not applicable	Not available for testing		Effort reporting is part of the KFS LD (Labor Distribution) module. Certification of effort is in KFS, and further exploration will need to be done as the KFS-CGB (Contracts and Grants Billing) module becomes available to determine how to best meet requirements at USC.
Post-award	Effort Reporting & Certification	2.6	3.7.2	Administrator ability to designate individual required to certify effort.	Yes	KFS-LD	Not applicable	Not available for testing		
Post-award	Post-award Admin/Acctg.	2.7	3.8.1	Routing and approval of budget changes, salary and cost transfers, and award extensions.	Yes	KC Award / KFS	3.1	7/26/2011	Testing validated KC functionality; KFS functionality is not available on the KC 3.1 Test Drive.	Routing and budget changes can be done in KC. Salary and cost transfers are expected to be done in KFS; further research will be needed to determine which KFS module handles this.
Post-award	Post-award Admin/Acctg.	2.7	3.8.2	Accurately post and account for recovery of F&A, including ability to specify multiple indirect cost rates (including collection of undercharged F&A after budget changes are completed).	Yes	KC-Award	3.1	7/26/2011	Testing validated that F&A total costs and unrecovered costs can be entered for budget periods.	KC allows for on and off campus indirect rates to be used within an award for different fiscal years or periods; however, KFS allows only one indirect rate for each account. More research needs to be done to determine how USC needs to track these costs.
Post-award	Post-award Admin/Acctg.	2.7	3.8.3	Collect all data necessary to produce reports and/or data interface files as required by ARRA, A133, Federal Funding Accountability and Transparency Act (FFATA), and any other regulatory reporting requirements.	Yes	KC-Award	3.1, 5.0	7/26/2011	Testing validated KC 3.1 collection of basic award data, award budget data, and attachments to award.	ARRA module is KC 5.0 - Spring 2012; Information will come from KC and KFS.
Post-award	Post-award Admin/Acctg.	2.7	3.8.4	Facilitate the creation, routing, approval and payment of reimbursement requests.	Yes	KFS-CGB	Not applicable	Not available for testing		
Post-award	Post-award Admin/Acctg.	2.7	3.8.5	Facilitate the creation, routing, approval and payment of Independent Contractor Agreements.	Yes	KFS-Purap	Not applicable	Not available for testing		
Post-award	Post-award Admin/Acctg.	2.7	3.8.6	Automate notification regarding required deliverables to sponsors or satisfying required actions.	Yes	KC-Report Tracking	3.1, 4.0	7/26/2011	Testing validated that deliverables (reports) can be entered and tracked in award.	Some functionality in 3.1; more coming in 4.0 Winter 2012.
Post-award	Post-award Admin/Acctg.	2.7	3.8.7	Timely (preferably real-time, but no later than 24 hours beyond posting a transaction) and accurate accounting of all financial transactions related to an award, sub award, or subcontract.	Yes	KFS-GL	Not applicable	Not available for testing		
Post-award	Post-award Admin/Acctg.	2.7	3.8.8	Encumber pending charges based on purchase orders, procurement card purchases and other foreseeable expenses.	Yes	KFS-GL	Not applicable	Not available for testing		
Post-award	Post-award Admin/Acctg.	2.7	3.8.9	Automate notifications to PIs in regards to progress reports and deadline for filing grant extensions.	Yes	KC-Report Tracking	3.1, 4.0	7/26/2011	Testing validated that progress report dues dates and contacts as well as extension due dates can be entered and tracked in the award.	Some functionality in 3.1; more coming in 4.0 Winter 2012.
Post-award	Post-award Admin/Acctg.	2.7	3.8.10	Record the submission of required deliverables and/or reports.	Yes	KC-Report Tracking	4.0	Not available for testing		

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Post-award	Post-award Admin/Acctg.	2.7	3.8.11	Track subcontractor payments, and generate notifications to subcontractors to remind them to spend funds in advance of the deadline to expend funds.	Yes	KC-Subaward	4.0	Not available for testing		
Post-award	Post-award Admin/Acctg.	2.7	3.8.12	Record and track matching and cost sharing requirements and accounts to charge.	Yes	KC-Award	3.1	7/26/2011	Testing validated that cost sharing and the source account can be tracked in the award budget on the Distribution and Income tab.	
Post-award	Post-award Admin/Acctg.	2.7	3.8.13	Financial projections for both individual projects and for groups of projects for individual investigators, departments, centers or schools. Ability to modify budgets based on projects.	Yes	KFS	Not applicable	Not available for testing		
Post-award	Post-award Admin/Acctg.	2.7	3.8.14	Process requests for no cost extensions.	No					
Post-award	Post-award Admin/Acctg.	2.7	3.8.15	Track publications generated by research and awards/distinctions resulting from research. Provide for an easy way to cite publications in research proposals (standard formats).	No					
Post-award	AR & Billing	2.8	3.9.1	Module that is capable of contract billing, grant letter of credit drawdown, and receipt of cash (i.e. an A/R module).	Yes	KFS-CGB	Not applicable	Not available for testing		
Post-award	AR & Billing	2.8	3.9.2	Record sponsor billing contact information.	Yes	KC-Award	3.1	7/26/2011	Testing validated that sponsor contacts can be entered on under the Sponsor Contacts section of the Contacts page in the award, and a project role can be associated with each contact.	
Post-award	AR & Billing	2.8	3.9.3	Generate aging reports.	Yes	KFS	Not applicable	Not available for testing		
Post-award	AR & Billing	2.8	3.9.4	Record history of what was awarded compared to what was expended.	Yes	KFS	Not applicable	Not available for testing		
Post-award	AR & Billing	2.8	3.9.5	Record history of original budget compared to revised budgets.	Yes	KC-Award	3.1	7/27/2011	Testing validated that multiple budget versions are available from the award.	
Post-award	Award Closeout	3.1	3.10.1	Record and provide key information necessary to closeout an account, such as title to equipment, and identification and reconciliation of unobligated balances.	Yes	KC-Award	3.1	7/27/2011		If title and other documents are attached, they can be retrieved.
Post-award	Award Closeout	3.1	3.10.2	Request and record disclosure of any potentially patentable inventions at close-out.	Yes	KC-Award	3.1	7/27/2011	Testing validated that the Closeout section of the Payment, Reports & Terms page allows tracking of due date and final submission date of patents. Invention terms and conditions are maintained in the Terms section of the same page.	
Post-award	Award Closeout	3.1	3.10.3	Management tool to generate notifications that account will expire soon and final reports are due, route final reports to research administrators for review, and record when final reports are completed and submitted.	Yes	KC-Report Tracking	3.1, 4.0	Not available for testing	The KC 3.1 Test Drive has not been set up with this specific workflow, so testing could not be done.	Routing is a workflow issue. Can be done. Some functionality in 3.1, more coming in 4.0 Winter 2012.
Post-award	Award Closeout	3.1	3.10.4	Notify RAs and central administrative units if extension is expected, and assist in proper timing of freezing of POs, termination of account, and other required closeout tasks such as processing of subcontract invoices.	No					



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Requirements Group	Sub-group topic	RAS Process ID	Issue ID	RAS Required Functionality	Out of the Box?	Kuali Module	KC Release	Validated (KC Test Drive 3.1)	Validation Notes	General Notes
Post-award	Award Closeout	3.1	3.10.5	Cross-departmental, collaborative, award closeout checklist that all departments and PIs can view, along with who is responsible for which item and status of completion, with automated notifications where possible.	Yes	KC-Report Tracking	3.1, 4.0	7/27/2011	Testing validated that the Closeout section of the Payment, Reports & Terms page allows tracking of Final Reports, Due Dates, and Final Submission Dates that can function as a checklist.	Some functionality in 3.1; more coming in 4.0 Winter 2012.
Post-award	Award Closeout	3.1	3.10.6	Employ controls so that terminated accounts are not charged, and notify RAs so that new accounts can be used.	Yes	KFS-GL	Not applicable	Not available for testing		KFS-GL functionality.
Post-award	Award Closeout	3.1	3.10.7	Account for all equipment purchased, including equipment purchased by subcontractors.	Yes	KC-Award	3.1	7/27/2011	Testing validated that equipment approvals can be tracked on the Payment, Reports & Terms page; equipment comments can be entered and any files related to equipment purchase can be uploaded on the Comments, Notes & Attachments page.	
Workflow (Pre and Post-Award)	Routing and Notification	1.4	4.1.1	Flexibility to allow alternative routing pathways, specified by school, center or investigator. Permit parallel/simultaneous approvals to expedite.	Yes	KEW	3.1	7/27/2011 (partial)	Testing could validate the ability for users at different levels to add ad-hoc routing for individual proposals; however, full manipulation of KEW is not available in the KC 3.1 Test Drive for testing.	
Workflow (Pre and Post-Award)	Routing and Notification	1.4	4.1.2	Allowance of alternative approver if primary approver is unavailable.	Yes	KEW	3.1	Not available for testing	Manipulation and set up of KEW is not available in the KC 3.1 Test Drive.	
Workflow (Pre and Post-Award)	Routing and Notification	1.4	4.1.3	Track status and generate alerts based on need to approve, including automated notification to "watchers" of specific proposals when status changes or when proposal is submitted.	Yes	KEW	3.1	Not available for testing	Manipulation and set up of KEW is not available in the KC 3.1 Test Drive.	
Workflow (Pre and Post-Award)	Routing and Notification	1.4	4.1.4	Track status of all required approvals, including administrative, training, regulatory, and institutionally limited competitions. Generate tickler notifications to remind appropriate staff to check on status of award and to provide updates to PIs and research deans.	Yes	PDB	3.1	7/26/2011	Testing validated that the approval request appears on the action list, but email notifications are not turned on for the KC 3.1 Test Drive.	Email notification is not turned on out of the box. Users need to be set up, email parameters configured, and routing rules set up in order for KC to send out email notifications.
Regulatory & Compliance	Protocol	4.1	5.1.1	Creation, routing and submission of research protocols and disclosures for key regulatory committees (IRB, IACUC, COI, SCRO, IBC, Radiation Safety Committee, Chemical Safety Committee).	Yes	KC-IRB	3.1	7/27/2011	Testing validated that KC 3.1 has IRB protocol creation, submission, and routing/approval.	COI in 4.0, IACUC 5.0; Biosafety, Chemical Tracking, Export Controls may come after that.
Regulatory & Compliance	Protocol	4.1	5.1.2	Execution of decisions on submitted protocols and disclosures.	Yes	KC-IRB	3.1	7/27/2011		COI in 4.0, IACUC 5.0; Biosafety, Chemical Tracking, Export Controls may come after that.
Regulatory & Compliance	Protocol	4.1	5.1.3	Integration of decisions of multiple regulatory committees to permit parallel review of protocols, when applicable.	Yes	KC-IRB	3.1	Not available for testing	KC 3.1 Test Drive is not configured with committees and rules that allowed for testing.	Multiple committees can be set up in KC and business rules can be configured to route a protocol to them for approval. Each committee would process actions according to its own policy, and approvals would be tracked.
Regulatory & Compliance	Protocol	4.1	5.1.4	Tracking completion of required training, including training required by regulatory committees and training required for responsible conduct of research, through interface with training systems.	No					This is on the future module wish list.

## USC Research Administration Software Functional Requirements - KC Assessment

Requirements Group	Sub-group topic	RAS Process ID	Issue ID	RAS Required Functionality	Out of the Box?	Kuali Module	KC Release	Validated (KC Test Drive 3.1)	Validation Notes	General Notes
Regulatory & Compliance	Protocol	4.1	5.1.5	Track completion of required medical surveillance required by regulatory committees; this includes tracking occupational health exams, the offer to provide vaccines, pre-injury health risk assessment, etc.	No					
Regulatory & Compliance	Protocol	4.1	5.1.6	Access to proposal, budget, and award terms and conditions.	Yes	KC-Award	3.1	7/26/2011	Testing validated that protocols can be linked to proposals and awards that can be viewed from within the protocol.	
Regulatory & Compliance	Protocol	4.1	5.1.7	Management of submitted protocols and disclosures once approved, including renewals, amendments, and adverse/unanticipated events.	Yes	KC-IRB	3.1	7/27/2011		
Regulatory & Compliance	Protocol	4.1	5.1.8	Integrate protocol status and approvals into award specific information.	Yes	KC-Award, KC-IRB	3.1	7/27/2011	Testing validated that protocols can be linked to proposals and awards that can be viewed from within the award.	
Regulatory & Compliance	Tracking Controlled Materials & Lab Safety	4.2	5.2.1	Tracking completion of chemical inventory, including flagging of select agents, nano-materials, DHS chemicals of interest, etc.	No					
Regulatory & Compliance	Tracking Controlled Materials & Lab Safety	4.2	5.2.2	Tracking ordering, delivery and use of radioactive materials.	No					
Regulatory & Compliance	Tracking Controlled Materials & Lab Safety	4.2	5.2.3	Creation, routing and submission of Environmental Impact Questionnaires, Certificates of Environmental Compliance, and Institutional Safety Assurances (where required by DOE, DOD submissions).	No					
Regulatory & Compliance	Tracking Controlled Materials & Lab Safety	4.2	5.2.4	Tracking laboratory rooms associated with research protocols, and attendant regulatory requirements including scheduled safety inspections, equipment certification (e.g., biological safety cabinets, fume hoods).	No					
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 1.0	5.3.1	Verification of training and authentication of user.	Yes - Partial					KC allows the recording of training.
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 1.1	5.3.1.1	Compare identifier for user against database of individuals who have completed COI training.	Yes - Partial					KC can verify training based on a information in the system.
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 1.2	5.3.1.2	Authenticate identity of user to manage access to records based on assigned privileges. Privileges will include these categories of access to records: <b>All</b> (e.g., Office of Compliance, VP Research); <b>School</b> (e.g., dean of school or designee); <b>Department, Center, or Institute</b> (e.g., chair or director). The system must allow for the potential addition of user roles and associated access privileges as needed.	Yes	KC-COI	4.0	Not available for testing		
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 1.3	5.3.1.3	Enable system administrator to assign access privileges to users.	Yes	KIM	Not applicable	Not available for testing		
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 1.4	5.3.1.4	Record history of which individuals have accessed which records and any modifications that they have made.	Yes	KC-COI	4.0	Not available for testing		
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 2.0	5.3.2	Annual and updated disclosures of financial interests.	Yes	KC-COI	4.0	Not available for testing		
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 2.1	5.3.2.1	Personal payments for consulting, speaking or other individual services, and description of work to be performed.	Yes	KC-COI	4.0	Not available for testing		

## USC Research Administration Software Functional Requirements - KC Assessment

Requirements Group	Sub-group topic	RAS Process ID	Issue ID	RAS Required Functionality	Out of the Box?	Kuali Module	KC Release	Validated (KC Test Drive 3.1)	Validation Notes	General Notes
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 2.2	5.3.2.2	If required based on status of discloser, or if requested: compensation computed hourly, terms of consulting. Upload PDF of consulting agreement.	Yes	KC-COI	4.0	Not available for testing		Users can enter in information about their consulting rates and terms. Files can be uploaded and attached into the disclosure.
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 2.3	5.3.2.3	Reimbursed travel expenses.	Yes	KC-COI	4.0	Not available for testing		
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 2.4	5.3.2.4	Managerial roles in outside entities.	Yes	KC-COI	4.0	Not available for testing		
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 2.5	5.3.2.5	Equity / ownership interests in outside entity, including valuation.	Yes	KC-COI	4.0	Not available for testing		
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 2.6	5.3.2.6	Use of students.	Yes	KC-COI	4.0	Not available for testing		
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 2.7	5.3.2.7	Create reminders to investigators who are obligated to submit annual disclosure.	Yes	KC-COI	4.0	Not available for testing		
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 2.8	5.3.2.8	Notify Office of Compliance, VP of Research, and DCG when an individual has not complied with disclosure requirements.	Yes	KC-COI	4.0	Not available for testing		
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 3.0	5.3.3	Transactional disclosures.	Yes	KC-COI	4.0	Not available for testing		
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 3A	5.3.3.1	Transactional disclosures of potential research conflicts	Yes	KC-COI	4.0	Not available for testing		
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 3A.1	5.3.3.1.1	Description of research activity within the university.	Yes	KC-COI	4.0	Not available for testing		
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 3A.2	5.3.3.1.2	Description of outside activity.	Yes	KC-COI	4.0	Not available for testing		
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 3A.3	5.3.3.1.3	Compelling circumstance(s) justifying relationship (if applicable).	Yes	KC-COI	4.0	Not available for testing		
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 3A.4	5.3.3.1.4	Generate proposed management plan from template.	Yes	KC-COI	4.0	Not available for testing		In KC, compliance committees can create letters that can be stored with the COI.
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 3A.5	5.3.3.1.5	Modify or enter proposed management plan.	Yes	KC-COI	4.0	Not available for testing		In KC, compliance committees can create letters that can be stored with the COI.
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 3A.6	5.3.3.1.6	Load and store consulting agreements or other personal contracts when needed for assessing potential conflicts of interest.	Yes	KC-COI	4.0	Not available for testing		Files can be uploaded and attached into the disclosure.
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 3B	5.3.3.2	Transactional disclosure of personal or financial relationships covered by COI and Ethics policy.	Yes	KC-COI	4.0	Not available for testing		
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 3B.1	5.3.3.2.1	Description of activity.	Yes	KC-COI	4.0	Not available for testing		
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 3B.2	5.3.3.2.2	Description of current or prospective employee relationship with outside entity.	Yes	KC-COI	4.0	Not available for testing		
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 3B.3	5.3.3.2.3	Amount of compensation received.	Yes	KC-COI	4.0	Not available for testing		
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 3B.4	5.3.3.2.4	Time commitment associated with the activity.	Yes	KC-COI	4.0	Not available for testing		
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 3B.5	5.3.3.2.5	Generate proposed management plan.	Yes	KC-COI	4.0	Not available for testing		In KC, compliance committees can create letters that can be stored with the COI.
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 3B.6	5.3.3.2.6	Modify or enter proposed management plan.	Yes	KC-COI	4.0	Not available for testing		In KC, compliance committees can create letters that can be stored with the COI.

## USC Research Administration Software Functional Requirements - KC Assessment

Requirements Group	Sub-group topic	RAS Process ID	Issue ID	RAS Required Functionality	Out of the Box?	Kuali Module	KC Release	Validated (KC Test Drive 3.1)	Validation Notes	General Notes
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 3B.7	5.3.3.2.7	Load and store relevant agreements when needed for assessing potential conflicts.	Yes	KC-COI	4.0	Not available for testing		Files can be uploaded and attached into the disclosure.
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 4.0	5.3.4	Review of disclosures and financial interests.	Yes	KC-COI	4.0	Not available for testing		
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 4.1	5.3.4.1	Screen financial disclosures to identify those that may present a conflict of interest, and identify the relevant policies. Screening shall include association with funded research projects.	Yes	KC-COI	4.0	Not available for testing		
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 4.2	5.3.4.2	Screen disclosures of healthcare provider relationships with industry.	Yes	KC-COI	4.0	Not available for testing		
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 4.3	5.3.4.3	Screen disclosures of personal or financial relationships that may create a conflict of interest and / or commitment under COI and Ethics policy.	Yes	KC-COI	4.0	Not available for testing		
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 4.4	5.3.4.4	Alert designated reviewer in Office of Compliance to act on potential conflicts of interest.	Yes	KC-COI	4.0	Not available for testing		
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 4.5	5.3.4.5	Automatically route disclosures to person responsible for reviewing or acting on a potential conflict of interest or covered industry relationship; permit Office of Compliance to manually route disclosures to designated individuals as needed for further review.	Yes	KEW				
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 4.6	5.3.4.6	Route disclosures to members of Conflict of Interest Review Committee when their review is needed.	Yes	KEW				
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 4.7	5.3.4.7	Route RWI disclosures to Department Chairs for assessment and approval.	Yes	KEW				
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 4.8	5.3.4.8	Route COI and Ethics disclosures to supervisor or Business Conflict Review Committee, as appropriate.	Yes	KEW				
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 4.9 (4.5)	5.3.4.9	Record committee minutes for Conflict of Interest in Research disclosures, restricting access to only those given access to "All" records.	Yes	KC-COI	4.0	Not available for testing		
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 4.10 (4.6)	5.3.4.10	Record communication to discloser once decision is made, and automatically copy communication to affected units, including DCG, IRB, IACUC, HRA, department chair, and dean.	Yes	KC-COI	4.0	Not available for testing		
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 5.0 (A)	5.3.5.1	Mangement of disclosed conflicts of interest.	Yes	KC-COI	4.0	Not available for testing		
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 5.1 (A)	5.3.5.1.1	Enter decision on whether conflict of interest is permissible.	Yes	KC-COI	4.0	Not available for testing		
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 5.2 (A)	5.3.5.1.2	Enter stipulations, to include: (a) required disclosure in publications, presentations and proposals; (b) required disclosure in informed consents; (c) whether students may participate in the project and, if so, who is responsible for monitoring their academic progress; (d) required times for update; (e) stipulation on intellectual property negotiations.	Yes	KC-COI	4.0	Not available for testing		
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 5.3 (A)	5.3.5.1.3	Create reminders to update disclosures at specified interval.	Yes	KC-COI	4.0	Not available for testing		
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 5.4 (A)	5.3.5.1.4	Record any instances of non-compliance and actions taken as a result of non-compliance.	Yes	KC-COI	4.0	Not available for testing		

## USC Research Administration Software Functional Requirements - KC Assessment

Requirements Group	Sub-group topic	RAS Process ID	Issue ID	RAS Required Functionality	Out of the Box?	Kuali Module	KC Release	Validated (KC Test Drive 3.1)	Validation Notes	General Notes
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 5.5 (A)	5.3.5.1.5	Store and record documents that demonstrate compliance with disclosure requirements.	Yes	KC-COI	4.0	Not available for testing		
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 5.0 (B)	5.3.5.2	Management of disclosed relationships with industry.	Yes	KC-COI	4.0	Not available for testing		
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 5.1 (B)	5.3.5.2.1	Enter decision on whether relationship is permissible.	Yes	KC-COI	4.0	Not available for testing		
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 5.2 (B)	5.3.5.2.2	Enter stipulations, to include: (a) limitations on scope of activity; (b) limitations on compensation associated with activity; (c) disclosures to students, residents, and fellows of activity.	Yes	KC-COI	4.0	Not available for testing		
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 5.3 (B)	5.3.5.2.3	Create reminders to update disclosures at specified interval.	Yes	KC-COI	4.0	Not available for testing		
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 5.4 (B)	5.3.5.2.4	Record any instances of non-compliance and actions taken as a result of non-compliance.	Yes	KC-COI	4.0	Not available for testing		
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 5.5 (B)	5.3.5.2.5	Store and record documents that demonstrate compliance with disclosure requirements.	Yes	KC-COI	4.0	Not available for testing		
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 5.0 (C)	5.3.5.3	Management of disclosed conflicts covered by COI and Ethics policy.	Yes	KC-COI	4.0	Not available for testing		
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 5.1 (C)	5.3.5.3.1	Enter decision on whether relationship is permissible.	Yes	KC-COI	4.0	Not available for testing		
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 5.2 (C)	5.3.5.3.2	Enter stipulations, to include: (a) disclosure of conflict to parties involved in a business transaction; (b) recusal from participating in certain negotiations, decisions, or transactions; (c) recusal from managing or supervising particular faculty members, staff or student employees, consultants, temporary agency employees, volunteers, or others engaged by the university; (d) recusal from managing or overseeing certain business transactions; (e) severance of outside relationships posing conflicts; (f) appropriate monitoring and oversight; and (f) obtaining approval required by the Faculty Handbook, staff employment policies, or other relevant university policies.	Yes	KC-COI	4.0	Not available for testing		
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 5.3 (C)	5.3.5.3.3	Create reminders to update disclosures at specified interval.	Yes	KC-COI	4.0	Not available for testing		
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 5.4 (C)	5.3.5.3.4	Record any instances of non-compliance and actions taken as a result of non-compliance.	Yes	KC-COI	4.0	Not available for testing		
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose 5.5 (C)	5.3.5.3.5	Store and record documents that demonstrate compliance with disclosure requirements.	Yes	KC-COI	4.0	Not available for testing		
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose Interface	5.3.6.1	Interface with routing and proposal data management system: diSClose receives notification when proposal is submitted to designated sponsors requiring annual disclosure.	Yes	KC-COI	4.0	Not available for testing		This could be handled by reporting and/or by the links between proposals and COI notes entered for a proposal.
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose Interface	5.3.6.2	Interface with routing and proposal data management system: diSClose receives notification when proposal indicates potential COI.	Yes	KC-PDB KC-COI	4.0	Not available for testing		In KC, when users create a proposal, they can indicate any need for special review, including potential conflicts of interest.
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose Interface	5.3.6.3	Interface with online training system: diSClose receives completion of training requirement.	No					

## USC Research Administration Software Functional Requirements - KC Assessment

Requirements Group	Sub-group topic	RAS Process ID	Issue ID	RAS Required Functionality	Out of the Box?	Kuali Module	KC Release	Validated (KC Test Drive 3.1)	Validation Notes	General Notes
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose Interface	5.3.6.4	Interface with account establishment: diSClose sends failure to comply with disclosures requirements or management plan.	No					In KC, COI is linked to proposals and awards, so COI status is available to the user creating the account within the award.
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose Interface	5.3.6.5	Interface with account establishment: diSClose sends failure to designate a potential COI that requires disclosure and review.	No					In KC, COI is linked to proposals and awards, so COI status is available to the user creating the account within the award.
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose Interface	5.3.6.6	Interface with account establishment: diSClose sends approval of COI and associated management plan.	No					In KC, COI is linked to proposals and awards, so COI status is available to the user creating the account within the award.
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose Interface	5.3.6.7	Interface with account establishment: diSClose receives listing of all active research projects.	No					The BI tool can be used to generate this type of report.
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose Interface	5.3.6.8	Interface with protocol submission and review (iStar): diSClose receives notification when protocol indicates potential COI.	No					
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose Interface	5.3.6.9	Interface with protocol submission and review (iStar): diSClose sends approval of COI and associated management plan.	No					
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose Interface	5.3.6.10	Interface with HRA: diSClose receives listing of all active research projects.	No					
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose Interface	5.3.6.11	Interface with HRA: diSClose sends approval of COI and associated management plan.	No					
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose Training 4.3.1	5.3.7.1	On-line documentation will provide a basic instruction manual for each module and for the system as a whole.	Yes	KC-COI	4.0	Not available for testing		
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose Training 4.3.2	5.3.7.2	On-line training will both explain regulations and policies surrounding COI and also provide instructions on use of software.	No					
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose Training 4.3.3	5.3.7.3	Help system, in the same visual format as iStar for IRB, will provide "pop-up" response to questions. A chat option with the help desk will be provided.	No					
Regulatory & Compliance	Conflict of Interest Disclosure System	diSClose Training 4.3.4	5.3.7.4	Help desk support to respond to questions via email or phone.	No					

## USC Research Administration Software Functional Requirements - KC Assessment

Requirements Group	Sub-group topic	RAS Process ID	Issue ID	RAS Required Functionality	Out of the Box?	Kuali Module	KC Release	Validated (KC Test Drive 3.1)	Validation Notes	General Notes
Business Intelligence	Research Activity	5.1	6.1.1	Customized and automated reports on funded research activity, as reflected in proposals, awards, and expenditures, classified by individual investigator, academic unit, interdisciplinary collaboration, sponsor. Examples include account summaries, funds available, drill-down to detailed account activity, roll-ups of satellite accounts to their associated master account, transactions grouped by category such as travel, materials and supplies.	Yes - Partial	BI Tool				Reporting will be available through Business Intelligence tools associated with KC and KFS. Further research needs to be done to make sure USC reporting requirements are fully understood and to determine the most effective means of delivering the required reporting functionality.
Business Intelligence	Research Activity	5.1	6.1.2	Projections of important metrics such as proposal yield, award volume, school and department projections, expected continuation funding, accounting of post docs, space usage, recovery of indirect cost, forecasting for PIs, burn rates, projecting time required for various award processing steps based on historical data.	Yes - Partial	BI Tool				Reporting will be available through Business Intelligence tools associated with KC and KFS. Further research needs to be done to make sure USC reporting requirements are fully understood and to determine the most effective means of delivering the required reporting functionality.
Business Intelligence	Research Activity	5.1	6.1.3	Search tool to identify awards by keyword, title, sponsor, academic unit, investigator, award period. Produce summary report on each identified award.	Yes - Partial	BI Tool				Reporting will be available through Business Intelligence tools associated with KC and KFS. Further research needs to be done to make sure USC reporting requirements are fully understood and to determine the most effective means of delivering the required reporting functionality.
Business Intelligence	Research Activity	5.1	6.1.4	Reports needed to fulfill government requirements on impact of research, such as "STAR Metrics", and track associated data.	Yes - Partial	BI Tool				Reporting will be available through Business Intelligence tools associated with KC and KFS. Further research needs to be done to make sure USC reporting requirements are fully understood and to determine the most effective means of delivering the required reporting functionality.
Business Intelligence	Research Activity	5.1	6.1.5	"What-if" analytical tools so that users may generate reports based on given assumptions and historical data.	Yes - Partial	BI Tool				Reporting will be available through Business Intelligence tools associated with KC and KFS. Further research needs to be done to make sure USC reporting requirements are fully understood and to determine the most effective means of delivering the require
Business Intelligence	Research Activity	5.1	6.1.6	Interface with an enterprise business intelligence tool, providing access to all data elements deemed relevant to research administration needs, which may include data from several systems of record.	Yes - Partial	BI Tool				Reporting will be available through Business Intelligence tools associated with KC and KFS. Further research needs to be done to make sure USC reporting requirements are fully understood and to determine the most effective means of delivering the require

## USC Research Administration Software Functional Requirements - KC Assessment

Requirements Group	Sub-group topic	RAS Process ID	Issue ID	RAS Required Functionality	Out of the Box?	Kuali Module	KC Release	Validated (KC Test Drive 3.1)	Validation Notes	General Notes
Business Intelligence	Research Activity	5.1	6.1.7	Download feature so that any reports can be accessed via download and import	Yes - Partial	BI Tool				Reporting will be available through Business Intelligence tools associated with KC and KFS. Further research needs to be done to make sure USC reporting requirements are fully understood and to determine the most effective means of delivering the require
Business Intelligence	Research Activity	5.1	6.1.8	Comprehensive searching and filtering capabilities.	Yes - Partial	BI Tool				Reporting will be available through Business Intelligence tools associated with KC and KFS. Further research needs to be done to make sure USC reporting requirements are fully understood and to determine the most effective means of delivering the require
Business Intelligence	Research Activity	5.1	6.1.9	Assure that sensitive data is only accessible to those that are authorized to view such data.	Yes - Partial	BI Tool				Reporting will be available through Business Intelligence tools associated with KC and KFS. Further research needs to be done to make sure USC reporting requirements are fully understood and to determine the most effective means of delivering the require
Business Intelligence	Research Activity	5.1	6.1.10	Provide data with minimal latency; one day would be ideal.	Yes - Partial	BI Tool				Reporting will be available through Business Intelligence tools associated with KC and KFS. Further research needs to be done to make sure USC reporting requirements are fully understood and to determine the most effective means of delivering the require
Business Intelligence	Research Activity	5.1	6.1.11	Provide tools for users to create their own report templates, which can then be shared with others, with no or minimal programmer involvement.	Yes - Partial	BI Tool				Reporting will be available through Business Intelligence tools associated with KC and KFS. Further research needs to be done to make sure USC reporting requirements are fully understood and to determine the most effective means of delivering the require
Business Intelligence	Research Activity	5.1	6.1.12	Link accounts for multi-year awards for reporting purposes.	Yes	KC-Award	3.1	7/27/2011	Testing validated that multiple budget versions are available from the award and that multiple accounts, each with its own budget, can be set up using the parent/child hierarchy in awards.	Further research needs to be done to determine how USC wants to manage award accounts for multiple-year awards and how USC wants to report on these accounts.
Business Intelligence	Research Activity	5.1	6.1.13	Track foregone F&A, as well as cost-sharing commitments.	Yes	KC-Award	3.1	7/27/2011	Testing validated that F&A, unrecovered IDC, and cost-sharing can be tracked in proposal and award budgets.	



## USC Research Administration Software Functional Requirements - KC Assessment

Requirements Group	Sub-group topic	RAS Process ID	Issue ID	RAS Required Functionality	Out of the Box?	Kuali Module	KC Release	Validated (KC Test Drive 3.1)	Validation Notes	General Notes
Business Intelligence	Research Administration	5.2	6.2.1	Status alerts as reminders for when actions or decisions are needed by staff or investigators.	Yes	KC-All Modules	3.1	7/27/2011	Testing validated that approval and acknowledgement requests appear on the action list, but email notifications are not available in the KC 3.1 Test Drive.	More research needs to be done to determine whether this functionality fully covers USC's requirements.
Business Intelligence	Research Administration	5.2	6.2.2	Period performance report, showing average time (and percentile times) to action at each process step and each business unit.	No					
Business Intelligence	Research Administration	5.2	6.2.3	Automatically generate customer surveys based on key transactions (e.g., proposal submission) and tabulate results.	No					
Business Intelligence	Conflict of Interest Disclosure System	diSClose 6.0	6.3.1	Business intelligence on disclosure processing.	Yes - Partial	BI Tool				Reporting will be available through Business Intelligence tools associated with KC and KFS. Further research needs to be done to make sure USC reporting requirements are fully understood and to determine the most effective means of delivering the require
Business Intelligence	Conflict of Interest Disclosure System	CIODS 6.1	6.3.1.1.	Automatically generate performance statistics on a monthly basis providing the number of disclosures made by type, time to reach decision, number of current disclosures being managed, status of managed disclosures.	Yes - Partial	BI Tool				Reporting will be available through Business Intelligence tools associated with KC and KFS. Further research needs to be done to make sure USC reporting requirements are fully understood and to determine the most effective means of delivering the require
Business Intelligence	Conflict of Interest Disclosure System	diSClose 6.2	6.3.1.2	Enable queries to extract disclosures of specified types or for specified individuals.	Yes	KC-COI	4.0	Not available for testing		
Data Integration	Data Exchange	1.2	7.1.1	Extraction of bios from external database, such as Baxter.	Yes	KC-PDB	3.1			Further research needs to be done to determine how interfaces and data feeds need to be set up and which systems need to interface with KC.
Data Integration	Data Exchange	1.2	7.1.2	Extraction of publication references from external database, such as Baxter.	Yes	KC-PDB	3.1			Further research needs to be done to determine how interfaces and data feeds need to be set up and which systems need to interface with KC.
Data Integration	Data Exchange	1.2	7.1.3	Extraction and maintenance of bio-sketches used in prior proposals.	Yes	KC-PDB	3.1			Further research needs to be done to determine how interfaces and data feeds need to be set up and which systems need to interface with KC.
Data Integration	Data Exchange	1.2	7.1.4	Extraction of student outcome data from external database, for construction of training grants.	Yes	KC-PDB	3.1			Further research needs to be done to determine how interfaces and data feeds need to be set up and which systems need to interface with KC.

## USC Research Administration Software Functional Requirements - KC Assessment

Requirements Group	Sub-group topic	RAS Process ID	Issue ID	RAS Required Functionality	Out of the Box?	Kuali Module	KC Release	Validated (KC Test Drive 3.1)	Validation Notes	General Notes
Data Integration	Data Exchange	1.2	7.1.5	Extraction of current and pending support from RAS business intelligence module.	Yes	KC-PDB	3.1	8/25/2011	Testing validated that a current support report and a pending support report for individual PIs could be generated and printed from the Institutional Proposal Actions page.	The Quicklinks menu on the KC home page also has a Current & Pending Support link that is not currently active, but may become available in a future release. USC also may want to look at how business intelligence and reporting tools can be used to extract information in the format in which they need it.
Data Integration	Data Exchange	1.2	7.1.6	Extraction and maintenance of facilities information and other standardized proposal sections.	Yes	KC-PDB	3.1	7/27/2011		Proposal templates can be created with these documents loaded in the Abstract and Attachment section. When a new proposal is created, the templates are pre-loaded into the new proposal.
Data Integration	Attachments	1.2	7.2.1	Upload documents to satisfy required section of proposals.	Yes	KC-PDB	3.1	7/25/2011		
Data Integration	Sponsor Forms	1.2	7.3.1	Automatic population of required sponsor forms.	Yes	KC-PDB	3.1	7/26/2011	Testing validated the population of Generic sponsor forms available in the KC 3.1 Test Drive.	