



# Kuali Scope Statement

## **Purpose**

The purpose of the Kuali Project is to create a comprehensive suite of functionality to serve the financial system needs of all Carnegie Class institutions. The design will be an enhancement of the proven functionality of Indiana University's Financial Information System (FIS).

## ***Summary and Background***

In light of skyrocketing software prices and plummeting resources available for purchase and implementation of systems, certain universities have been invited into a discussion about forming partnerships to pool each institution's limited resources to provide greater benefit for all.

This document, along with the consortium model, business model, and notional architecture for the system, provides a framework for forming the Kuali Project to fulfill the vision statement for its member institutions. Institutions invited to participate either have not recently implemented new financial systems, or have made a commitment to purchase and implement new or enhanced financial systems in the near future. Under this framework, the members will plan and provide funding for a new financial system based on the FIS products currently in use at Indiana University.

## ***Vision***

The Kuali Project is dedicated to providing and maintaining a richly featured financial system for use by its member institutions. The consortium will work to ensure:

- that the baseline of the new system is FIS;
- that its financial system modules meet GASB and FASB standards;
- the system enables a strong control environment;
- thoughtful and timely changes are made to keep pace with advances in both technology and business;
- that no one member bears the bulk of the cost for system development, or reaps the overwhelming majority of the benefit/profit from it; and

- that an efficient governance and administrative structure is created and maintained to support the member institutions with new or improved functionality, fixes, and service releases.

## ***Current System***

An outline is provided at the end of this document marked “Attachment A” which provides functionality that already exists with FIS core and module components.

## ***Phases***

The current FIS system will be converted using current code. The project encompasses two phases that span twenty-seven months.

Phase I of the project, which is currently defined as the first year, will include conversion of the Chart of Accounts, General Ledger, Transaction Processing and associated financial and chart of accounts documents with workflow and decision support. Phase I assumes no major enhancements to these modules, although recommendations for enhancements are listed below.

Phase II of the project will encompass the conversion of all other current modules of FIS (listed below). Phase II will be completed in the fifteen months following Phase I. It is expected that some enhancements, as recommended below, will be incorporated into these modules. It is also possible in Phase II that enhancements requested in the base system provided in Phase I might also occur during this second phase of the project.

It is assumed that enhancements that fall under **Essential Priority** or **High Priority** will be accomplished in Phase I or II. **Essential** is defined as enhancements that if not completed in Phase I or II will not be acceptable. Additional modules that are recommended below should be accomplished in Phase II if possible.

The order of enhancements listed by module at each priority level does *not* indicate their relative priorities.

## *Phase I*

### *General Requirements*

An important element of the Kuali Project software will be its modular architecture. Institutions may implement only those functional elements that meet their needs. This modularity and a highly flexible Chart of Accounts will enable the software to be scaled to meet the needs of complex multi-campus research-intensive institutions as well as small private liberal arts colleges or community colleges.

It is expected that specifications will be documented and available so that **interfaces** to the core system modules can be developed.

**Data models, data dictionaries, and metadata** will be developed for each module and will be available for all users of the system.

More effective use of **screen landscape** will occur. Currently special buttons exist to get to additional information on an electronic document. Sub-accounting is a good example of this.

Although it is understood that **access security** to both transaction processing and decision support will be needed by most private and some public schools, the Kuali project is only expected to supply an infrastructure that will accommodate restricted access (restricted would be defined by the institution needing this functionality, but could be restriction based on user id, some elements associated with the user, on a group the user may be a member of, or on the values of data that the user may be seeking to access). An access security module is not considered to be a part of the Kuali project.

### *Chart of Accounts*

- Chart code
- Account
- Object code
- Organization
- Sub-account
- Sub-object code
- Project

### *Current IU TP Documents:*

- Account
- Account Delegate
- FIS User

Global Account  
Global Account Delegate  
Object Code  
Organization  
Payee Maintenance  
Project  
Review Hierarchy  
Sub-account  
Sub-object  
Workgroup

**Prioritization of which eDocs will be in Phase I will be determined by the Functional Council.**

*Recommended Enhancements:*

### **ESSENTIAL PRIORITY**

- COA-E1: Attribute on account that links endowment account to operating income account (endowment account attribute). (Resource Requirement: Small)
- COA-E2: The ability to add institutional dependent attributes to the system. A new table should be added to the system that will be used by those institutions who want to add institution-specific attributes (Resource Requirement: Small)

### **HIGH PRIORITY**

- COA-H1: Additional attributes and tables to identify org “levels”. (Resource Requirement: Small)
  - System or user assigned attribute that identifies what “level” the org is at for ease in running reports at same level. Examples are an assigned level for all schools, auxiliary reporting units, administrative departments, etc.
- COA-H2: Global documents for sub-object code. (Resource Requirement: Medium)
  - A new document that allows for global changes to sub-object codes that has the ability to cross fiscal years, accounts and object codes.

### ***General Ledger***

General ledger data  
Carryforward  
Reversals  
Interface Processing  
Indirect Cost Reallocation  
Other general ledger processes

*Recommended Enhancements:*

**ESSENTIAL PRIORITY**

- GL-E1: Carry forward flexibility for governmental appropriations that must be separately identified and expensed. (Resource Requirement: Medium)
  - This item is related to the *Transaction Processing* requirement to be able to link a transaction to a budget year.

**HIGH PRIORITY**

- GL-H3: Flexible “claim on cash” functionality so that each school can decide whether cash is posted in same account as entry, designated school/division account or designated campus account. An alternative to this is an on/off switch for cash offsets. (Resource Requirement: Small)
- GL-H4: Indirect Cost Encumbrances (Resource Requirement: Medium)

***Transaction Processing***

Features  
Environment  
Routing control tables  
On-line inquiry

*Current IU Financial TP Documents:*

Auxiliary Voucher  
Budget Adjustment  
Bursar Control Screen  
Cash Receipt  
Disbursement Voucher  
Distribution of Income/Expense  
General Error Correction  
Indirect Cost Adjustment  
Internal Billing  
Journal Voucher  
Non-Check Disbursement  
Pre-Encumbrance  
Service Billing  
Transfer of Funds

*Recommended Enhancements:*

**ESSENTIAL PRIORITY**

- GL-E1: Carry forward flexibility for governmental appropriations that must be separately identified and expensed. (Resource Requirement: Medium)

- This item is related to the *Transaction Processing* requirement to be able to link a transaction to a budget year.
- Identify a transaction to a budget year. (Resource Requirement: Medium)

### HIGH PRIORITY

- TP-H1: Ability in balance inquiry screens to be able to view multiple balance scenarios: (Resource Requirement: Large)
  - With pending approved documents
  - With pending documents
  - Prior day balances w/o pending approved and pending documents (i.e., posted transactions only)
- TP-H2: Systematic upload of transactions into various TP documents. (Resource Requirement: Large)
  - Allow for the upload of files into the FIS for the automatic creation of eDocs so that Workflow can be utilized for authorizations and the audit trail is an FIS doc.
- TP-H3: Budget Adjustment Change. (Resource Requirement: Small)
  - Budget Adjustment doc needs to be changed to allow for multiple accounts on non-general fund accounts. Should be able to move budgets from one account to another. Allow for this movement within orgs in the same sub-fund group.

### *Reporting / Decision Support*

Data architecture  
 Information delivery architecture  
 Layered set of services

*Recommended Enhancements:*

### HIGH PRIORITY

- DS-H1: Add pending transactions table(s) in DSS from TP in order to allow units to include or exclude the pending transactions and related balances in queries. The system needs to allow the flexibility for how and when these tables will be populated. (Resource Requirement: Large)

### *Workflow*

Will copy current functionality in FIS with the following minimal enhancements that are currently being developed in OneStart Workflow:

- Workgroups can be created for primary delegate role.
- New user type created that allows for review prior to approval by delegate/fiscal officer role.

## *Phase II*

### ***Labor Distribution***

- Labor ledger
- Calculated salary foundation
- Budget construction and salary setting
- Appointment funding transaction
- Encumbrances
- Position management
- Labor reports
- Effort Certification

#### *Current IU Labor Distribution TP Documents:*

- A21 Recreate Document
- Benefit Expense Transfer
- Budget Construction
- Instructional Effort Report
- Payroll Accounting Distribution
- Salary Expense Transfer
- Labor-Job Maintenance
- Labor-Position Maintenance

#### *Recommended Enhancements:*

### **ESSENTIAL PRIORITY**

- LD-E1: Creation of Labor JV Document (**Resource Requirement: Medium**)
  - Equivalent of the general ledger JV which allows processing of transactions that cannot be accomplished via a salary transfer document or a benefit expense transfer document.

### **HIGH PRIORITY**

- LD-H1: Creation of Labor Ledger Scrubber (**Resource Requirement: Medium**)
  - This will allow for the validation of all labor ledger entries against the chart of accounts, create error files for correction by central accounting office and provide explanation of errors encountered.
- LD-H2: Creation of Labor Ledger correction process in FIS. (**Resource Requirement: Medium**)
  - Allow central accounting office to correct errors found in the labor ledger scrubber and reprocess those entries. This will also provide an auditable trail of corrections made.

## ***Capital Asset Management***

- Maintenance of assets
- Inquiry to asset database
- Bar coding inventory process
- Depreciation
- Space Management

### *Current IU CAMS TP Documents:*

- Add Asset
- Add Payment
- Asset Retirement
- Asset Security
- Asset Transfer
- Equipment Loan/Return
- Fabrication Request
- Asset Merge
- Bar Code Inventory
- Capital Asset Builder
- Capital Asset Maintenance
- Insurance Maintenance
- Location Maintenance
- Pre-asset Tagging
- Separate an Asset
- System Manager Maintenance
- Tag an Asset

### *Current CAB (Capital Asset Builder) Functionality:*

- Pulls in all capital object code line item detail each night
- Pulls in other detail needed to create capital asset
- Allows for adding to the line items
- Allows for splitting of line items for application to more than one asset
- Insures automatic reconciliation of cost from Purchasing to general ledger entry
  - Has pending invoices ability that allows for holding of invoices information until new and additional line items are received. Pending invoices can be cut and pasted from pending to asset line item.

## ***Accounts Receivable***

- Invoice entry/maintenance
- Customer entry/maintenance
- Reports
- Payment processing

*Current IU AR TP Documents:*

Application  
Cash Control  
Credit Memo  
Customer  
Invoice  
Organization Accounting Defaults  
Organization Options

*Recommended Enhancements:*

**HIGH PRIORITY**

- AR-H2: Ability to upload data from various file types (excel/text – to be determined). (Resource Requirement: Medium)
- AR-H3: Ability to run aged receivable report as of a specific date (Resource Requirement: Small)
- AR-H4: Include open credit memos on a billing statement. (Resource Requirement: Small)

***Research Administration / Contracts and Grants***

Proposal Routing/Route Sheet  
Proposals  
Pre-Award  
Awards/Projects  
Process Management  
Effort Reporting  
Budget Preparation  
Human Subjects (HS) Management

*Current IU C&G TP/ERA Documents:*

Award  
Award Diary  
Proposal  
Proposal Diary  
Proposal Research Risk  
Agency  
Project Director  
Subcontractor  
ERA Routing Form  
ERA Budget  
Account Information Manager (AIM)  
Create a Study (HS)

## Manage a Study (HS)

### *Recommended Enhancements:*

#### **ESSENTIAL PRIORITY**

- CG-E1: Effort Reporting additional functionality. (Resource Requirement: Medium)
  - Additional functionality for Effort Reporting (batch printing, ability to defer A21 documents in FIS, use of EDEN routing to reach PI's and other non-FIS users).
- CG-E2: Integration between FIS/ERA. This entails completing ERA functionality so that budgets from awarded proposals can be imported into FIS budgets. This also entails seamless integration of inquiries through FIS and ERA (Resource Requirement: Large)
- OSU: Enhancement Requests
  - Integration with the SCT Banner Financial Information System
  - Integration with NSF's *Fastlane* Proposal Submission System
  - Development of Conflict of Interest Management Module
  - Development of Animal Testing Compliance Module
  - Project refactoring
  - Authentication and Authorization extensions

#### **HIGH PRIORITY**

- CG-H1: Additional attributes are needed on awards to group them for certain purposes, such as FDP, NSF Basic Research or Applied Research, or other reporting or management requirements. (Resource Requirement: Medium) Status: Canceled (KFC 14-16 Nov 05); additional attributes are accommodated in new recording attributes.
- CG-H2: An indicator for contributed cost share and a separate field for amount and/or field to say who gave it and what it is. (Could be multiples for a given grant.) (Resource Requirement: Medium) Status: Canceled (KFC 14-16 Nov 05); Cost Share indicator included in Pre-Award module.
- CG-H3: LOC improvements. Automate the calculations for LOC draws, and automate the Federal interest calculation based on average daily cash balance. (Resource Requirement: Medium)
- CG-H4: Integration with AIM. This entails seamless integration of inquiries through FIS and AIM. This also entails integration of FIS expenditures with AIM financial reporting capabilities to reduce manual reentry of financial data into invoices. (Resource Requirement: Large)
- CG-H5: Support for multi-year, multi-organizational projects and programs. (Resource Requirement: Large)

- This entails building a capability that makes year-to-year ongoing projects easy to maintain. It also entails building a mechanism for multi-account projects. Aggregate reporting across accounts or years is also necessary.  
 Status: Canceled (26 Nov 05 Becker email): Support will be provided by custom attribute for “Research Grant Projects” and string used to ID each account group.
- CG-H6: Calculate and post Indirect Costs encumbrances on “direct cost” encumbrances. (Resource Requirement: Small)  
 Status: Canceled (KFC 14-16 Nov 05): Indirect Costs encumbrances will be accommodated in the General Ledger.

### ***Budgeting***

Security  
 Enterprise Directions  
 Authentications

### ***Purchasing / Accounts Payable***

Process a Shopping Cart (B2B) Requisition  
 Process an Automatic PO  
 Process a Standard Requisition  
 Copy a requisition  
 Process a Standard PO  
     (with recurring payments as an option on a standard PO)  
     (with use of “standard clauses”)  
 Assign a Requisition to a Buyer  
 Amend a PO  
 Process a Legacy PO  
 Transmit a PO  
 Open, Close or Re-open a PO  
 Rescind a PO  
 Retransmit a PO  
 Process a Quote  
 Transmit a Quote  
 Create quote lists  
 Receiving (minimal)  
 Copy a requisition  
 Rescind a PO  
 Retransmit a PO  
 Process an invoice  
 Process a credit memo  
 Reports  
 All Workflow associated with the above

All GL entry updates for the above

*Current IU AR TP Documents:*

Quote  
Requisition  
Purchase Order  
Payment Request  
Credit Memo

*Recommended Enhancements:*

**ESSENTIAL ENHANCEMENTS**

- PA-E1: Commodity Codes will be added so that each institution can have their own distinct list. This will allow for reqs to router to buyers based on commodity code, searches by commodity codes, vendor identification, commodity codes at line item level, create bid list by commodity code and reporting spending by commodity code.
- PA-E2: A basic receiving module will be created that includes status of the receipt and electronic return process with reasons for returns.
- PA-E3: Electronic Invoicing
- PA-E4: Identification of sales or excise tax that can be isolated by account.
- PA-E5: Ability to select a bank account on a PREQ.
- PA-E6: Ability for one requisition to spawn multiple purchase orders and ability to select line items to assign to buyers.
- PA-E7: Ability to assign a requisition to a buyer based on multiple criteria such as commodity code or other method.  
*Status: Canceled (KFC 14-16 Nov 05): Multiple criteria assignment accommodated in Reporting / Decision Support*

***Endowment***

**ESSENTIAL ENHANCEMENTS**

- EN-E1: Tables that can be fed through batch process for endowment information. Data would need to be fed to DSS. *(Resource Requirement: Large)*
  - The ability to accept feeds from external systems and store investment pool data (number of shares, market value per share) for all funds that participate in an institution's investment pool(s).
  - The ability to accept transactions that allocate investment income, realized gains, unrealized gains, and fees to the pooled funds.

- The ability to identify the net asset balance of a true endowment fund between its components of historical book value and accumulated earnings.
- The ability to identify all funds that participate in an investment pool.
- The ability to allocate (based on shares) a budgeted payout to the income accounts affiliated with a principal account.

### **HIGH PRIORITY**

- EN-H1: Endowment Module that has full functionality **might** have the following functionality: (Resource Requirement: Large):
  - Investment Pool Participation
  - Investment Pool Participation Title
  - Investment Vehicle
  - Investment Pool
  - Principal Account(s)
  - Principal Target
  - Restriction Description
  - Restriction End Date
  - Specific Purpose
  - Unspent Income Instructions
  - Market Value Account
  - Income Account
  - Income Distribution Instructions
  - Controlling Organization
  - Beneficiary Organization
  - Campaign
  - CASE Purpose
  - Donative Instrument
  - FASB Restriction Classification
  - GASB Restriction Classification

### ***Transaction Processing***

#### **HIGH PRIORITY**

- TP-H4: Enhancements to Financial Transaction documents
  - Modify financial eDocs based on Phase I experience
  - Make more effective use of screen landscape

### ***Document History***

Kuali Functional Council	15 Apr 05	Initial Draft
Kuali Functional Council	15 Sep 05	Minor additions from review at Aug 1-3 Functional Council meeting
Phil McKown	6 Oct 05	<ul style="list-style-type: none"> <li>• Codify Enhancements</li> <li>• Reconcile Enhancements with Plan Summary &amp; Oncourse</li> <li>• Move medium &amp; low priority Enhancements to new Appendix B</li> <li>• Add new Appendix C for Future Enhancements</li> </ul>
Phil McKown	12 Jan 06	Update status of some Enhancements or move to Appendix C: Future Enhancements, based on decisions reached at 14-16 Nov 05 Kuali Functional Council meeting

## Appendix A: Current System

The General Ledger is comprised of a poster and scrubber that is the institutional database for financial information, including detailed transaction information and multiple financial balances. The following are deliverables with the current FIS package.

### A. General Ledger

1. GASB/FASB Compliant
2. Support for Cash, Modified Cash, or Accrual Based Accounting
3. Access to online real time financial information
4. Drill down capabilities on entries to view supporting detail
5. Unlimited years of transaction data
6. Flexible user defined account structure
7. Flexible object code structure
8. Sub-account and sub-object code
9. Current month, year to date, and project to date vs. budget
10. Project accounting
11. Flexible month-end and year-end closing
12. Transaction Reversals
13. Interface Processing
14. Indirect Cost Reallocation
15. Business rules to eliminate cash and fund balance offsets to maintain self-balancing accounts
16. Financial Reporting
  - a. Balance Sheet
  - b. Income Statement
  - c. Statement of Cash Flow
  - d. Statement of Changes in Financial Position
  - e. Actual versus Budget
  - f. Weekly and Monthly Transaction Listing
  - g. Enhanced reporting ability for Project, Grant , and Endowment Management
  - h. Multiple Fiscal Year Reporting
  - i. Daily trial balances
17. Financial Electronic Documents
  - a. Budget Adjustment
  - b. Cash Receipt
  - c. Cash Disbursements
  - d. Auxiliary Voucher
  - e. Distribution of Income & Expense

- f. General Error Correction
- g. Indirect Cost Adjustment
- h. Internal Billing
- i. Journal Voucher
- j. Non-Check Disbursement
- k. Service Billing
- l. Transfer of Funds
- m. Recurring Entry Documents
- 18. Integrated requisition, purchase order, and accounts payable
- 19. Validates available budget at requisition entry

#### B. Labor Distribution

- 1. Electronic Forms
  - a. A21 Recreate Document
  - b. Benefits Expense Transfer
  - c. Budget Construction
  - d. Instructional Effort Reporting
  - e. Payroll Accounting Distribution
  - f. Salary Expense transfer
  - g. Labor-Job Maintenance
  - h. Labor-Position Maintenance
- 2. Labor Ledger
- 3. Calculate salary foundation
- 4. Budget construction and salary setting
- 5. Appointment funding transaction
- 6. Encumbrances
- 7. Position management
- 8. Labor reports
- 9. Effort Certification

#### C. Decision Support

- 1. Data architecture
- 2. Information delivery architecture
- 3. Layered set of services
- 4. Drill down capability

#### D. Fixed Assets

- 1. Maintenance of Assets
- 2. Inquiry into Asset Database
- 3. Bar code inventory processing
- 4. Depreciation (IRS standard and custom)

5. Space management
6. Sub-accounting functionality in Capital Asset Builder
7. Ability to decentralize Capital Asset Builder to departments for creation of assets below threshold
8. Support transfer-in document for assets coming into organization
9. Create historical asset transactions
10. Track depreciation over multiple years
11. View summary of all transactions generated for a particular asset
12. Record notes on asset
13. Ability to store a photograph of the asset
14. Provide the next scheduled maintenance of the asset
15. Warranty information
16. Integration with Purchasing and General Ledger

#### E. Accounts Receivable

1. Electronic Documents
  - Cash Control
  - Credit Memo
  - Customer Information
  - Customer Bill
  - Organization Accounting Defaults
  - Organization Options
2. Billing entry and maintenance
3. Customer entry and maintenance, customer profile
4. Payment Processing
5. Application of Payments
6. Electronic Invoicing
7. Web Payments
8. Ability to add late fees or automatic percent charge after certain date
9. Collection notes and associated data groups for reporting
10. Generate customer statements
11. Record receivables, receipts, credits
12. Place credit hold on customer
13. Generate Customer Statements
14. Integrated with General Ledger
15. Accounts Receivable Summary Report
16. Aging and detail ledger reports

#### F. Grants and Contracts

1. Electronic Documents
  - a. Award
  - b. Award Diary
  - c. Proposal
  - d. Proposal Diary
  - e. Proposal Research Risk
  - f. Agency
  - g. Project Director
  - h. Subcontractor
2. Proposal preparation
3. Pre-award
4. Process Management
5. Support for multi-year, multi-organization project and programs
6. Maintain agency, subcontractor and vendor tables

#### G. Budgeting

1. Report on Budget vs. Actual
2. Track budget adjustments throughout the fiscal year
3. Allow fiscal year and project year budgets
4. Create new year budgets from current and previous year

#### H. Electronic Research Administration (ERA)

Electronic Research Administration (ERA) at Indiana University provides a way to electronically conduct research administration. Some features include:

- Automation of business processes, rules and regulations
- Single entry point of data
- Electronic exchange of data
- Reporting and analysis
- Linkages to the Financial Information System (FIS)
- Library of agency forms printed with system-captured data

ERA electronically transmits forms and attachments to facilitate workflow routing and approvals, submission of proposals to the research office, budget development and event management. The modules in production include the routing form, a budget development tool, and a maintenance feature. The routing form allows users to utilize an electronic approval routing process, attach additional documentation, link and fill information from an ERA budget, and populate the FIS with proposal information. The budget development module allows user to create a budget across multiple projects and periods, import salary information from the FIS, use reliable percentages for fringe benefit and indirect cost rates, and output to agency-specific

budget forms. The maintenance piece allows the research offices to maintain tables for fringe benefits and indirect cost rates and also allows them to approve a routing form on an individual's behalf. Some upcoming modules include Human Subjects (currently in development), Animals, and Conflict of Interest.

## Appendix B: Medium & Low Priority Enhancements

### *Phase I*

#### *Chart of Accounts*

##### **MEDIUM PRIORITY**

- CA-M1: Department transaction field by transaction line item. (Resource Requirement: Small )
- CA-M2: Additional mapping between object code hierarchies from 3 to 4 levels. (Resource Requirement: Large)
  - Currently object codes map to levels and levels map to consolidations. There is interest in having object codes map to a new “level” that then maps to level, that would then map to consolidations.
- CA-M3: Development of additional assurance reports. (Resource Requirement: Large)
  - Although current assurance reports exist that provide information on the integrity of the chart, a full scope of reports needs to be developed that could automatically run on an institution’s predetermined schedule that would provide reports on exceptions. Chart eDocs that check for these items, but preloaded data that occurs at implementation might not be as clean. .
  - Assurance reports are useful in at least three situations:
    - confirming the integrity of initial data, which is usually loaded without being subjected to the business rules embodied in transaction eDocs
    - investigating and diagnosing problems that may be manifestations of corrupt or improperly structured data
    - periodic integrity validation, as outlined above.

#### *General Ledger*

##### **MEDIUM PRIORITY**

- GL-M1: Automatic movement of plant fund balances. (Resource Requirement: Medium)
  - Develop a process to move balances in the General Ledger when a change to an organization code or a change to the plant fund account number moves balances in CAMS to a new plant fund account number.

- GL-M2: New business rules to eliminate cash and fund balance offsets that are not necessary to maintain self-balancing accounts. (Resource Requirement: Medium)
  - This is related to the “claim on cash” enhancement listed as a high priority in this section.

### **LOW PRIORITY**

- GL-L1: Systematic retirement for fully depreciated leased assets. (Resource Requirement: Medium)
  - Develop a batch retirement process to retire fully depreciated leased assets that are under the capitalization threshold. Leased assets that are under the capitalization threshold, but are capitalized from a lease agreement may not be monitored by departments.

## ***Transaction Processing***

### **MEDIUM PRIORITY**

- TP-M1: Ability to allow only one person to approve a transaction when accounts with different fiscal officers are involved. Others would receive FYI. Ability to control by document the routing because there are times when the fiscal officer is not necessary. This functionality would have an on/off switch to allow institutions to choose the implementation of this feature. (Resource Requirement: Large)
- TP-M2: Balance screens need to allow for people to see base budget in a consolidated way. (Resource Requirement: Medium)
- TP-M3: Drill down in balance inquiries on data not in FIS such as students, travel, etc. (Resource Requirement: Large)
- TP-M4: Drill down from TP to FDRS. (Resource Requirement: Large)
- TP-M5: Ability to click on approved documents to see the actual ledger entries. (Resource Requirement: Medium)

### **LOW PRIORITY**

- TP-L1: Recurring entries document. (Resource Requirement: Medium)
  - Identify where recurring entries need to occur and either add functionality for recurring entries to current docs or create a new eDoc.
- TP-L2: Review of business rules for C&G accounts. (Resource Requirement: Medium)

## ***Reporting / Decision Support***

### **LOW PRIORITY**

- DS-L1: Drill down from FDRS to TP (Resource Requirement: Large)

- DS-L2: Performance Metrics functionality. (Resource Requirement: Large)
  - Join financial and other data and provide graphical representations of the results. This would be similar to the balances scorecard functionality IU has developed for its auxiliary and service units.

## *Phase II*

### *Capital Asset Management*

#### **MEDIUM PRIORITY**

- CA-M1: Add systematic functionality in CAB that allows for adding payment to multiple assets. (Resource Requirement: Medium)
  - Develop a process to add payments to multiple assets (represented by many asset numbers or a range of numbers), as well as one asset. This will eliminate the need for manual data entry of each asset number.
- CA-M2: Create payment options in CAB. (Resource Requirement: Medium)

#### **LOW PRIORITY**

- CA-L1: Add a flag to identify if an asset type code is active or inactive. (Resource Requirement: Small)

### *Accounts Receivable*

#### **MEDIUM PRIORITY**

- AR-M1: Additional drill down capability (Resource Requirement: Small)
  - Ability to drill down via customer name or number for list of all invoices for the customer.
- AR-M2: Convert credit memo process to an eDoc so that routing/approval process can be utilized. (Resource Requirement: Medium)
- AR-M3: Billing statement flexibility to include only open items or both open & closed items, ability to run for single or multiple customers. (Resource Requirement: Small)

#### **LOW PRIORITY**

- AR-L1: Add pop up warning message to advise if customer being invoiced has any outstanding collection issues (Resource Requirement: Small)

## ***Research Administration / Contracts and Grants***

### **MEDIUM PRIORITY**

- CG-M1: FIS capability to automatically calculate and track Indirect Costs on Cost Share and unrecovered Indirect Costs for all grants/contracts including waived employee benefits on the grant. (Resource Requirement: Medium)
- CG-M2: Modifications to the Indirect Costs exclusions tables in FIS. The system is currently too cumbersome. (Resource Requirement: Large)
- CG-M3: Additional fields in Proposal, Award and Account documents . (Resource Requirement: Medium)
  - Additional fields are needed for departmental uses, as well as fields for account-specific flags.
- CG-M4: Functionality for Master Agreement proposals (Resource Requirement: Large)
  - These typically are zero-dollar agreements, but have task orders associated with them.
- CG-M5: Modify Monthly Operating Statements and Monthly Operating Detail Reports. (Resource Requirement: Small)
  - Create Monthly Operating Statements and Detail Transaction Listing reports that exclude accruals, for use when reporting actual expenditures to agencies.
- CG-M6: Audit trail for changes to original entries. (Resource Requirement: Large)
  - Mechanism to trace all income/expense transactions that hit the general ledger and are transferred between accounts, much as the labor ledger traces transfers of labor expenditures between accounts.
- CG-M7: The capability in FIS to easily select multiple transactions when transferring income or expenses between accounts or between accounts and sub-accounts. (Resource Requirement: Large)

### **LOW PRIORITY**

- CG-L1: Expand the functionality of Federal-Pass-Through fields. (Resource Requirement: Medium)
  - This will allow for the tracking of pass-through funds from non-federal sources as well as federal sources.
- CG-L2: Stronger search capabilities in proposal and award documents. (Resource Requirement: Small)
- CG-L3: Combine the Agency and Subcontractor tables, and add additional fields for addresses. (Resource Requirement: Medium)
- CG-L4: Functionality to lock down proposal and award data after each month. (Resource Requirement: Medium)
  - This will insure that the data cannot be changed except by special process. This ensures consistency in monthly institutional reporting.

## ***Budgeting***

### **MEDIUM PRIORITY**

- BC-M1: Ability to perform “what ifs” . (Resource Requirement: Large)
- BC-M2: Ability to perform multi-year budgeting. (Resource Requirement: Large)

## Appendix C: Future Enhancements

### *Accounts Receivable*

#### **HIGH PRIORITY (Deferred)**

- AR-H1: Increased flexibility in design of invoice to fit needs of various users. (Resource Requirement: Large)
  - Current functionality has a set design that all users have to use. We have had multiple requests with legitimate reasons for expansion of this functionality.

Status: deferred (KFC 14-16 Nov 05)

### *Budget*

#### **HIGH PRIORITY (Deferred)**

- BC-H1: Multiple ways to allocate periodic budgets. (Resource Requirement: Large)
  - Support budgeting by period (standard periods of years, quarters, and months, as well as user-defined periods).
  - Support multiple allocation methods (e.g., by percentage, by amount).

Status: deferred (KFC 14-16 Nov 05)

### *Capital Assets Management*

#### **HIGH PRIORITY (Deferred)**

- CA-H1: Allow more than one asset to be affected by a financial document. (Resource Requirement: Medium)
  - This enhancement will allow capital transactions to be moved between capital assets without manual intervention.
- CA-H2: Develop a Template General Error Correction (GEC). (Resource Requirement: Medium)
  - This eDoc is needed to remove manual data entry of the GEC from CAB. The information required to process the GEC is readily available in CAB. This enhancement will populate the GEC with data from CAB and remove the manual data entry of the GEC.

Status: assigned Priority 2 among CA enhancements (KFC 14-16 Nov 05)

- CA-H3: Expand use of CAB to more than just moveable capital equipment. (Resource Requirement: Large)

- Allow non-movable equipment (buildings, fixed equipment, improvements other than building) additions to be processed in CAB. This will eliminate the need for manual addition of non-movable assets using the Add Asset Document.
- Create payment options (payment by percent, allocate payment, divide pmt by qty.) for the inclusion of non-movable additions. Currently all payments are allocated by the total cost of the asset (s) the payment is applied to.

Status: assigned Priority 3 among CA enhancements (KFC 14-16 Nov 05)

## *General Ledger*

### **HIGH PRIORITY (Deferred)**

- GL-H1: Systematic process for closing out accounts.  
Status: deferred (KFC 14-16 Nov 05)

## *Research Administration / Contracts and Grants*

### **HIGH PRIORITY (Deferred)**

- CG-H7: Ability to link accounts for identification with each other. (Resource Requirement: Medium) **THIS ENHANCEMENT HAS BEEN DEFERRED.**
  - Could be used for projects, contracts and grants, etc.
  - If there are specific reasons to link accounts to each other, or to some other business entity, it would be better to have them listed as individual separate requirements. Support for projects, contracts and grants, endowment principal and income account, and cost-sharing are examples of business reasons for linking accounts. Specific mechanisms for these linkages either are already provided in FIS, or have been proposed as enhancements. A general mechanism for linking accounts without an obvious business requirement, is in our opinion unnecessary, and likely to lead to problems caused by inconsistent application.
  - Institutions that need to link accounts for which the Kuali design does not provide a solution can implement additional tables to record the linkages and additional business entities; that “generic” linkage capability does not need to be built into the Kuali system.