Follow-up:
Project Review of UAccess Research (Kuali Coeus)

February 2016   **FY16 - #02**

Submitted to:

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Summary

Follow-up on prior audits was included in our Fiscal Year ("FY") 2016 Audit Plan. The professional standards for internal auditing require auditors to follow-up on any recommendations included in prior audit reports.

Background: Internal Audit completed audit report, FY13 - #05, that evaluated the practices and controls in place for the UAccess Research ("UAR") project to implement the Kuali Coeus software. The audit was included in our approved FY 2013 Audit Plan. The audit report included management responses ("Action Plan") to our recommendations and target implementations dates from the Office for Research and Discovery ("ORD").

The audit report contained a finding related to the project management practices and resources assigned to complete the project. The finding included high-risk areas of project management such as an agreed upon work plan, a method for prioritization of work, and the expectations of the project management role.

Audit Objective: To evaluate whether the open Action Plan items from the February 2013 Action Plan were implemented and functioning as intended.

Methodology: We accomplished our objective by providing ORD with the *Departmental Action Plan Status Form,* which includes the action plan items from the audit report. We reviewed the responses provided regarding the status of the action plan items and the supporting documentation.

Conclusion: We found that governance structure and functional oversight for the UAccess Research system was implemented. The governance committee reviews and prioritizes enhancements, upgrades, and bug fixes for the system. The work plan is managed via the Confluence software system, and a roadmap which outlines a timeline for work on the system is in place.

Since the new version of the software was not released when the original audit report was issued, the plans for the upgrade and implementation of new modules were based on estimates. We found that the UAccess Research system upgrade was completed along with the implementation of selected new functionality on April 26, 2015. The modules that were in production at the time of the audit were upgraded, and the Subaward module was implemented.

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Kuali Coeus, the software product behind UAR consists of twelve modules. To date seven of the twelve modules have been implemented. The remaining modules include: Grants.gov, Report Tracking, Conflict of Interest ("COI"), Institutional Animal Care and Use Committee ("IACUC"), and the integration with UAccess Financials. In addition campus roll-out of the Institutional Review Board ("IRB") is not yet complete.

ORD considers the risk related to the remaining modules as low impact to the University's ability to manage its research initiatives. The ORD considers the existing systems and processes sufficient to provide for the functionality of the modules that have not been implemented. However, the modules continue to be assessed and prioritized by the UAR governance committee based on business need, risk, and the availability of resources in UITS to complete the work.

No further follow-up will be required.

/s/

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Attachment: *Departmental Action Plan Status Form*

Departmental Action Plan Status Form
Internal Project Review of UAccess Research (FY13-05)
February 2016

Please complete the right side of this form indicating the status of each of the action plan items listed on the left. As a convenience, action plan items are listed and referenced in the same order as they appear in the audit report. For any items that have not been implemented, please indicate the targeted date or the alternate solution implemented.

Departmental Action Plan	Status
Target Implementation Date: June 2013 With the expiration of the Mosaic charter, a formal work plan and governance structure will be defined for the UAccess Research project. The ORD will work with UITS to develop a detailed work plan based on availability of resources. The ORD will also work with UITS to establish governance and functional oversight teams that will use the UAccess Financials model as a guide. The work plan and governance structure will be completed by June 30, 2013.	**Status: Implemented** The UAccess Research project was completed on 4/26/2015. Since that time, all new work is approved and prioritized by a governance committee that was established on 7/11/2013. The work plan is managed by the governance committee. A roadmap for future UAR development has been completed. All system work is managed via the Confluence, team collaboration software product. Current members of the governance committee are listed below. The committee meets monthly, agenda and minutes are distributed via email by the Business Analyst Senior and archived in a shared Box folder. UITS: • Business Analyst Senior • Executive Director, Campus IT Operations • Director, Enterprise Technical Services ORD: • Senior Director, Research Partnership Services • Senior Director, Human / Clinical Research Compliance Services • Director, Human Subjects Projection Program • Director, Sponsored Projects Services • Assistant Director, Sponsored Projects Services (Compliance) • Assistant Director, Sponsored Projects Services (PreAward) • Institutional Review Board Manager, Human Subjects Protection Program

Departmental Action Plan	Status
	• Manager, Sponsored Projects Services • UAIR: • Senior Director, Business Intelligence • Program Manager, Business Intelligence In addition, a user group was formed to help obtain campus feedback on UAR implementation and processes.
Target Implementation Date: June 2015 UAccess Research will be considered complete when the modules slated to be released in version 5.1.1 have been fully implemented including rollout to campus users. The target date for overall completion is June 30, 2015. The overall target date is based on the business needs at this point in time. Required technical resources have not been vetted or committed to support this target date, and the Kuali Foundation has not yet released 5.1.1, which is a dependency for several of the modules.	**Status: Implemented** UAccess Research was successfully upgraded to version 5.2.1 (rather than Version 5.1.1) effective 4/26/2015, the system is now considered to be in maintenance mode. Requests for additional functionality are managed by the UAR governance committee. A roadmap (timeline) was developed and is used as a planning tool for the committee. At the time the audit report was issued, version 5.1.1 was not yet released and therefore resources had not been vetted. Due to resource availability, the upgrade strategy (to Version 5.2.1) focused on functional equivalency plus one new module (Subaward). Additional functionality and the remaining modules will be prioritized by the UAR Governance Committee based on business requirements and risk. The implementation of the remaining modules is considered low risk to the University's ability to administer and manage research projects. The functionality provided by the modules is currently provided by manual processes or existing systems.

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The status and the description of actual corrective actions taken as described on this form are accurately reported.

Sherry B Esham   3/23/2016

Signature   Date

Sherry L. Esham, Director SPS, 626-6309

Print Name, Title and Telephone Number