Kuali Research Community
Operating Procedures
Final Version – August 11, 2016

Contents

Purpose

Kuali Research is an open source electronic research administration system designed to manage all components of research administration and research compliance from proposal development through award closeout. The Kuali Research Community (KRC) is the source of pooled financial resources and human capital that collectively influence Kuali Research development and support the research enterprises of KRC members. The KRC efforts are focused on:

- providing effective stewardship of the revenue from the Community
- ensuring the continued development and support of Kuali Research that is of the highest quality
- developing and maintaining code in accordance with industry best practices
- promoting and supporting Kuali Research so that it effectively meets the needs of research institutions
- providing feedback, recommendations, and prioritization for Kuali as it deploys the cloud-based version of the KC Research software.

Composition of the Kuali Research Community

Kuali Research Community Partners and Members

The KRC is composed of the Kuali Foundation ("the Foundation"), Kuali, Inc. ("the Company" or "Kuali") and research institutions that are Basic or Executive Leadership Team ("ELT") Kuali Research Members. Research institutions, whether they have hosted or on-premises installations of Kuali Research may become KRC members. KRC membership benefits and services are based on the level of annual financial contribution to the KRC. All institutions receiving hosted services are considered KRC members at the Basic Level and have the option to join at the ELT level.

Kuali Foundation

The Kuali Foundation is a non-profit 501(c)3 organization dedicated to the development of open source administrative software solutions for higher education, including, but not limited to, financial management, research administration, student services, library management, business continuity, and middleware/workflow.

Kuali, Inc.

Kuali, Inc., is a for-profit company dedicated to accelerating the development of the full suite of Kuali software, improving the Kuali user experience, and offering cloud-sourced, multi-tenant versions of Kuali applications.

Kuali Research Community Basic Members

Basic Members contribute basic-level membership dues annually and receive the following benefits and services (Items 1 through 3 do not require membership dues):

1. Access to the open source Kuali Research application
2. The right to download all upgrades to the software
3. Kuali Research user and application documentation
4. In addition, the following benefits are available through a Service Level Agreement (SLA) between the Foundation (on behalf of the KRC members) and the Company:
    a. Access to the Kuali Research Application help desk.
    b. Access to Coeus-to-Kuali Research migration support.
    c. Updates to Kuali Coeus and Coeus Grants.gov forms and other forms.
    d. Participation in KRC User Group activities and meetings.
    e. Access to pre-release modules for testing and feedback.
    f. Access to technical and functional webinars that will address specific application and technical aspects of the Kuali Research application.
    g. Access to User Group and KRC mailing lists.

Kuali Research Community ELT Members

KRC ELT Members contribute ELT-level membership dues annually and have access to the benefits and services available to KRC Basic Members, plus the following:

1. Membership and one vote on the Executive Leadership Team (ELT), which is the highest level governance group in the KCC .
2. Appointing one (1) representative (ELT representative) who actively participates in ELT meeting, activities, discussions and decisions.
3. Appointing one (1) alternate designee to participate as a quiet member; it is the role of the primary representative to keep the backup informed and engaged.
4. Access to the Kuali project and issue tracking software (Jira queues) for product enhancement.

User Groups

User Groups exist within the KRC and are comprised of representatives from Basic and ELT Member institutions who work together and also engage directly with the Company as a group. These groups define, drive and prioritize development of Kuali Research minor enhancements and bug fixes, and provide system specifications and testing. From time-to-time, they may identify, discuss and initiate a

proposal to the Executive Leadership Team for a strategic development project. User Groups, include, but are not limited to:

- On Premises Installations technical group
- Hosted services users
- Pre-award
- Award
- Protocols
- COI

Executive Leadership Team

Within the KRC, a high-level leadership group – the KRC Executive Leadership Team (ELT) functions as a product development board responsible for:

- Kuali Research strategic planning throughout the system development life cycle;
- Effective stewardship of KRC resources, including defining product functional requirements, prioritizing these requirements, and developing/maintaining the functional roadmap for the product lifecycle;
- Effective stewardship of KRC resources contributed by members through the Foundation for new development projects; and
- Facilitating and promoting communications within the KRC and between the KRC and non-KRC entities (e.g., federal government agencies, non-KRC research institutions, etc.).

Governance

Executive Leadership Team (ELT) Membership

1. The ELT consists of one (1) Voting Representative appointed by each ELT Member. The Member is defined as the institution which holds the ELT Membership. The Voting Representative is the single person that represents the Member in its entirety.
2. Each ELT Member should choose its ELT representative based on the individual's experience in positions of responsibility at their home institutions and their ability to effectively represent the ELT Member.
3. ELT representatives are expected to have functional and financial decision-making authority for the ELT Member.
4. ELT Members may assign one alternate designee for their ELT representative. The alternate designee retains the same authority and responsibility as the voting representative.
5. ELT representatives serve a 2-year term, commencing on October 1, and are eligible for re-appointment by the respective ELT Member Institution. In the event that an ELT representative is unable to complete their appointed term, the ELT Member Institution shall appoint another representative to complete the remainder of the departing representative's term.

6. The ELT is led by an Executive Team consisting of six (6) ELT members: a Chair, a Chair-Elect, an Immediate Past Chair, a Treasurer, a Secretary, and a Communications Representative.
7. The Executive Director of the Foundation and the Kuali Research Project Director from the Company will attend ELT meetings as non-voting guests.
8. Additional guests may attend ELT meetings by invitation; the ELT Chair, representing the ELT Members, will extend meeting invitations to guests, as appropriate. only.

ELT Voting Procedures

1. Formal voting methods and procedures
   a. Prior to any vote, voting instructions will be sent as appropriate to all ELT representatives.
   b. A quorum of 50% plus 1 of all ELT representatives must cast votes in accordance with the voting instructions for a vote to be binding.
   c. Each ELT representative may cast one (1) vote unless voting instructions state otherwise (e.g., when prioritizing projects).
   d. Unless stated otherwise in the voting instructions, all matters taken to vote must receive a majority to pass. A majority is defined as two-thirds (2/3) of the ELT representatives who cast a vote.
   e. All formal votes will be recorded in the meeting minutes with the exception of those formal votes held during executive session.

2. Informal voting methods
   a. Informal voting (e.g., non-binding straw polls) may be used at the discretion of the ELT Chair to clarify current thinking, gage consensus, or for other reasons as appropriate. Informal voting methods may include, but are not limited to lazy consensus, where silence conveys assent or agreement.
3. Guests
   a. Guests may participate in ELT discussions, but do not have voting privileges. At any time during an ELT meeting in which guests are present, the ELT Chair may ask any or all of the guests to leave any part of the meeting or for the remainder of the meeting.

User Group Membership

1. Basic and ELT Members may appoint any number of representatives to participate in User Groups.
2. Representatives should be chosen to serve based on their experience and subject matter expertise, and their ability to effectively represent the functional needs of their institutions.
3. User Groups are expected to engage with each other and directly with the Company.
4. Each User Group shall have one User Group Point of Contact (UGPOC), appointed by the ELT.

5. User Groups are responsible for reporting their plans, activities and accomplishments to the ELT Secretary through each UGPOC.

Kuali Research Community Responsibilities

ELT Responsibilities

1. Elect and seat an ELT Chair, Chair-Elect, Treasurer, Secretary, and Communications Representative, as well as develop and maintain job descriptions for these positions.
2. Develop and maintain expectations for ELT representative participation and ensure that they fulfill their responsibilities as ELT representatives.
3. Provide effective and ethical stewardship of KRC resources and ensure that the KRC is fiscally sound.
    a. Determine annual membership dues for Basic and ELT Members.
    b. Develop member agreements and update as appropriate.
    c. Develop the terms and conditions, length and dollar value of contracts with Kuali, and update as necessary, as well as work with the Foundation in its role as Signatory when a contract or contract amendment may be signed.
    d. Ensure that members are informed well in advance of changes in dues to ensure that member institutions can build dues into their budgets.
    e. Ensure the budget presented to the ELT by the Treasurer is reviewed and modified as necessary on a regular basis.
4. Ensure Kuali, Inc. accountability.
    a. Assure that Kuali software performance and support are delivered in accordance with industry best practices to achieve ELT priorities.
    b. Monitor Kuali project performance by reviewing project analytics provided by Kuali. This oversight includes software performance and security, bug fix and maintenance, timeline, budget, help-desk, documentation, and ongoing government agency monitoring.
    c. Coordinate with Kuali regarding communications to the KRC and in the marketing of Kuali Research within the KRC, as well as assist Kuali in marketing Kuali Research to potential customers by providing access to ELT representatives as references and/or for the purpose of comparing institutions and Kuali Research installations.
5. Ensure User Group accountability.
    a. Ensure that User Groups fulfill their responsibilities as defined in the User Group Responsibilities section.
    b. Appoint UGPOCs.
    c. Ensure that User Groups are actively engaged within the KRC, productive and are communicating with Kuali and the ELT.
    d. Approve the formation of Ad Hoc Working Groups (including cross-User-Group task forces) and ensure that each ad-hoc group has a clear charter with timelines, deliverables and associated resources dedicated to the work.

6. Kuali Research strategic planning.
    a. Set product and functional priorities for Kuali Research.
    b. Coordinate with Kuali in review of the roadmap for Kuali Research functionality.
    c. Work with the ELT representatives, Kuali, and User Groups to understand the scope, budget, and timeline of each initiative and assess the impact of various functional and roadmap decisions.
    d. Ensure that KRC resources are assigned to effectively achieve KRC objectives within the constraints of the scope, budget, and timeline.
    e. Conduct periodic surveys of member institutions regarding their current implementation status, goals and needs, as well as provide a forum for identifying and advancing Kuali Research priorities identified by members.
7. Develop and coordinate a program to recognize the significant and outstanding contributions of KRC members individually or as part of a group.
8. Coordinate and actively engage with Federal Demonstration Partnership (FDP), Council on Government Relations (COGR), National Council of University Research Administrators (NCURA) and other national organizations.
9. Coordinate with Kuali on joint activities at conferences.
10. Monitor member recruitment, marketing, and other activities necessary to promote the KRC and maintain its future success.

User Group Responsibilities

1. Attend User Group meetings and participate in online discussions.
2. Work closely with Kuali, the company, through each User Group Point of Contact, to:
    a. Develop User Group expectations for member participation.
    b. Identify appropriate support/facilitation roles, records creation/maintenance roles, and ad-hoc functional testing, and develop processes to assign users to those roles.
    c. Maintain the User Group distribution lists.
3. Provide Subject Matter Experts (SMEs) for all Kuali Research modules to ensure product excellence.
    a. Basic and ELT Members should assign SMEs for each User Group to assure the community is addressing all members' needs.
4. Collaborate to form best practices across the KRC
    a. Work closely with Kuali, the Company, to poll KRC members regarding needed application features to assure that feature prioritization and product functionality meet those needs. This responsibility is crucial for a vibrant community and for developing software that meets the needs of the wider community.
5. Perform product testing and participate in quality assurance reviews to ensure that the application delivers the required functionality and provide feedback to the ELT and Kuali.
6. Engage and communicate with Kuali.

       a.   Inform Kuali of bugs and minor enhancement requests to existing software; including sharing local contributions to base code (e.g. bug fixes and minor contributed enhancements).

       b.   Prioritize bugs and minor enhancements to assist Kuali with the roadmap.

       c.   Maintain a list of open contributions.

7. Engage and communicate with the ELT.
   a. Report progress and discuss shared functionality and operational matters, etc.
   b. Propose Ad Hoc Working Groups to the ELT to address cross-User-Group issues.
   c. When new strategic challenges are encountered, identify and propose innovative solutions to the ELT.
   d. Hold the ELT accountable for the pace and strategic direction of Kuali Research product development.

Kuali the Company (Kuali, Inc.) Responsibilities

1. Deliver well-architected, quality, secure, and modern software that meets the needs of the KRC.
2. Provide support to meet operational needs of the KRC.
3. Coordinate the User Groups meetings and communications.
4. Provide administrative support for User Group meetings and ensure appropriate record keeping.
5. Develop the Kuali Research roadmap in collaboration with the ELT & User Groups, and deliver software in accordance with the roadmap.
6. Pro-actively communicate needs and issues that may necessitate any changes to the roadmap.
7. Coordinate KRC contributions and bug fixes in a way that makes efficient use of KRC resources.
8. Coordinate with the ELT regarding KRC-wide communications through the ELT Communications Representative (see Appendix A for ELT position descriptions).
9. Apply Company revenues and funding to support maintenance projects.
10. Provide the ELT with timely and accurate project management reports (to be determined between the two entities) reflecting the status of all active development projects.

Kuali Foundation Responsibilities

1. Offer KRC Basic and ELT Memberships to research institutions.
2. Contract, on behalf of KRC members, with the Company for Service Level Agreements, and with the Company or other third parties for all project development agreements.
3. Collect membership contributions and distribute funds to:
   a. Kuali, in accordance with the terms of applicable contracts, as part of the overall funding received and utilized by the Company to provide support under established SLAs.

> b. The ELT for the allocation of funding to support new development projects.

4. Provide financial information regarding membership payments and other revenue related to the KRC to the ELT Treasurer.
5. Provide tools for collaboration and support as needed to assist with administrative, legal, financial, tax, and trademark issues.
6. Assist with the activities of the ELT to ensure adherence to the Operating Procedures.
7. Coordinate KRC events and procedures in conjunction with the activities of the other Kuali governance groups

Elections and Appointments

Kuali ELT Appointments

Appointments to the ELT are specified in the Governance section above.

ELT Elections

1. The ELT Executive Team shall consist of five (5) ELT representatives: one (1) Chair, one (1) Chair-Elect, one (1) Treasurer, one (1) Secretary, and one (1) Communications Representative. The responsibilities of each of these positions are described in Appendix A below.
    a. ELT Executive Team positions shall be elected by the ELT representatives.
    b. ELT Chair shall serve a one-year term.
    c. ELT Chair-Elect shall serve a one-year term, and at the end of that term will automatically serve an additional one-year term as ELT Chair.
    d. ELT Treasurer shall serve a two-year term.
    e. ELT Secretary and ELT Communications Representative shall each serve one-year terms.
2. ELT elections are held in September, with terms starting on October 1.
3. Only ELT representatives are eligible to hold elected positions on the ELT provided that they possess the necessary skills and experience.

User Group Appointments

1. User Groups shall consist of any number of KRC volunteers appointed by Basic and ELT Members.
2. Each User Group shall have one (1) UGPOC appointed by the ELT to serve a two- year term.

Procedures for Amending Operating Procedures

1. Any change to these Operating Procedures will require a 2/3 vote by the ELT.
2. When changes are adopted, the Secretary will publish the updated Operating Procedures.

Appendix A: ELT Elected and Appointed Positions, Responsibilities and Terms

ELT Executive Team Responsibilities and Terms

1. ELT Chair

   The ELT Chair is responsible for leading the activities of the ELT and ensuring that KRC operations and resources are managed to achieve KRC strategic objectives and functional priorities.

   a. The ELT Chair must have leadership skills and effectively represent the KRC.
      i. The Chair serves as the Chair of the ELT meetings.
   b. Chair Responsibilities
      i. Serve as the primary leader, facilitator, communicator for and representative of the KRC.
      ii. Work closely with the Foundation and the Company to ensure that KRC operations and resources are managed to achieve KRC strategic objectives, including that services are procured and support functions performed in a fashion that meets KRC expectations in terms of timeline, quality, and budget.
      iii. Work with vendor representatives as necessary to ensure expected outcomes.
      iv. Preside over ELT meetings.
      v. Develop ELT agendas.
      vi. Periodically survey KRC for input, as appropriate.
      vii. Provide an annual report to the KRC.
   c. Should the Chair step down, the chair-elect will assume the chair position for the remainder of that term. Depending on the length of time remaining in the term, a new chair-elect may be selected.

2. Chair Elect

   The Chair Elect is responsible for assisting the Chair in leading ELT activities and executing its responsibilities.

   a. The Chair Elect must have experience and skills as required for the Chair.
      i. The Chair Elect serves as Chair of the ELT in the absence of the Chair
   b. Chair Elect Responsibilities
      i. Facilitate ELT meetings.

      ii.   Assist the Chair with executing the business of the ELT.

3. Immediate Past Chair

The Immediate Past Chair is responsible for assisting the Chair as requested.

4. Secretary

The Secretary creates and maintains all ELT records.
   a. The Secretary must have effective organizational, communication, and collaboration skills and experience.
   b. Secretary Responsibilities
        i.   Assist the Chair in preparation of meeting times and agendas.
        ii. Ensure minutes are taken for all ELT meetings.
        iii. Ensure appropriate archival of ELT records.
        iv. Maintain membership lists in collaboration with Kuali.
        v.   Ensure receipt of minutes and reports from each UGPOC.
        vi. Present User Group reports and meeting summaries to the ELT at least quarterly.
        vii. Coordinate with host schools regarding meetings of the ELT, User Groups, or technical resources.
        viii. Communicate with ELT members regarding upcoming meetings, agendas, past meeting minutes, and project-wide issues.
        ix. Assist the Chair with communications to KRC members and implementing institutions regarding the annual KRC meetings.
        x.   Submit to the ELT proposed amendments to these Operating Procedures and record approved changes.
        xi. Notify the ELT that elections are held each year no later than September 30th, accept nominations and assemble the slate of nominees, conduct the election and and certify election results.

5. Treasurer

The Treasurer ensures that funds allocated to the KRC Projects are appropriately recorded and expended in accordance with the ELT's decisions.

   a. The Treasurer must have budgeting, accounting, and financial management experience.
   b. Treasurer Responsibilities

<ol type="i" start="1">
Monitor required annual dues for Basic and ELT Members, record payments and communicate with KF Accountant on delinquent payments as appropriate.
Coordinate closely with the Foundation accountants on all financial records.
Maintain membership lists and send out renewals.
Work with the Foundation to approve invoices against the approved budget on behalf of the KRC project.
Communicate with Foundation to ensure payment processing to vendors for services in accordance with associated contracts.
Provide financial statements as requested by the ELT.
Prepare budgets, financial projections, and models as needed.
Provide quarterly financial statements to the ELT.
Advise the ELT on budget related issues.

<ol start="6">
ELT Communications Representative
<ol type="a">
The ELT Communications Representative must be an engaging, effective and strategic communicator.
ELT Communications Representative Responsibilities
<ol type="i">
Coordinate with the Foundation and the Company to ensure all KRC communications are clear, consistent, and timely announced or published.
Acting as the primary ELT representative to the non-KRC community related to recruitment of potential members.
Coordinate with the Company regarding KRC representation at research administration professional meetings in support of the Company's marketing and sales efforts.
Ensure effective communication between UGPOCs , the ELT and the Company.
Serve as the Kuali Days KRC-track chair.

KRC User Group Points of Contact (UGPOC) Responsibilities and Terms

Any User Group member may volunteer for the position of UGPOC.
ELT shall appoint one (1) UGPOC for each User Group to serve a two-year term. In the event that a UGPOC cannot complete their appointed term, the ELT shall appoint a new UGPOC to complete the appointed term.
UGPOC Responsibilities
<ol type="a">
Serve as the primary contact between the ELT and User Groups.
Coordinate with the ELT Communications Representative to ensure effective communication between ELT and User Groups.
Submit User Group meeting minutes and reports to ELT Communications Representative at least quarterly.