SJSU | RESEARCH FOUNDATION

Appendix of Use Case Scenarios

March 23, 2023

Contents

Finance and Accounting: Accounts Payable
Use Case Scenarios

AP UC-1	1099 Reporting
Primary Actor(s)	*AP Manager; AP Lead*
Stakeholders and Interest	*Finance; IRS; Suppliers*
Trigger	*Payments of $600 or more in reportable payments paid to supplier.*
Pre-conditions	• *Correct flags must be set up in ERP system* • *Audit reports to review transactions are correctly identified* • *Reporting entity (RF) must be set up in reporting tool*
Post-conditions	*1099 forms are created and sent out by due date.*
Main Success Scenario	1. *Run audit report and review transactions to ensure they are properly flagged (reportable/non-reportable)* 2. *Make any required updates to include/exclude payment* 3. *Review international students that may require 1042S reporting.* 4. *Compare Audit report to 1099 report to ensure that the expected amounts are indicated for each reportable supplier.* 5. If there are difference between the audit report and the 1099 report, check details to ensure that all changes were updated in system. 6. Identify which states you will need to file with 7. Import data into the ERP reporting tool (if required by new system). Review the data in the reporting tool to the audit & 1099 reports to ensure all amounts imported correctly. Ensure that state amounts and the state are indicated correctly in reporting tool. 8. Create test file for uploading to the IRS FIRE Check site daily until the files are confirmed as GOOD. Allow at least one week prior to due date of live files. 9. Generate the 1099 forms. Print copies for mailing and a PDF to save for our records. 10. Do a spot check on printed forms for any missing data. 11. Put forms into 1099 Envelopes and mail prior to January 31st 12. Once test files are confirmed as GOOD, create file for upload and file on the IRS FIRE site. Check site daily until confirmation that the file has been accepted. Save the confirmation with the digital files. 13. File with states, as required, by January 31st. Save confirmations with digital files.
Extensions	• List of students or suppliers requiring 1042S reporting are forwarded to HR for reporting. • Prior to year end order envelops for 1099 mailing • Correct any forms with errors and resend to payee. If corrections are needed after filing with the IRS, file a correction with the IRS via the FIRE system.
Priority	*High*
Special Requirements	• *Flags to identify reportable suppliers in supplier setup (1099 & 1042-S reporting)*

	• *Audit reports that lists Vendor name; vendor #; Invoice #; Description; Vendor affiliation; 1099 Flag (Yes; Never; as indicated in AP) payment amount and payment date.* • *Report showing expected 1099 forms with amounts by box (forms MISC & NEC).* • *All reports exportable to Excel.* • *System must be able to print reports on plain paper.* • *System must be able to create upload file to upload to IRS* • *System must be able to create correction file for the IRS* • *System should create forms for state reporting* • *Reports for payees requiring 1042S reporting* • *Support for state & federal withholding (reports)*
Open Questions	• *Can system email 1099s?*

AP UC-2	AP Close
Primary Actor(s)	*AP Team, AP Manager*
Stakeholders and Interest	*AP Team, Controller*
Trigger	*End of fiscal period*
Pre-conditions	*All invoices and payments for the period are posted*
Post-conditions	*AP sub-ledger is reconciled to the GL and the period is closed. New period is opened.*
Main Success Scenario	1. *Day 1 of close, the AP Team completes processing of all approved invoices into the ERP system.* 2. *The AP Lead & AP Manager review the batches and the AP Manager posts the batches.* 3. *The AP Manager posts all wires and direct debit payments in the ERP system.* 4. *Any journal entries required for payment variances are posted as of the date the payment was made (typically, use tax rounding)* 5. *Run open aging report as of the last day of the period and save as an Excel workbook in the close folder. Reformat for ease of use (headers, footers, etc.)* 6. Copy the reconciliation workbook from the prior month and save it with the current month's name. 7. Copy the aging report to the reconciliation workbook and separate the accrued sales tax and total separately from the other invoices to get total by GL (70100 & 72810) 8. Run report showing AP balances by fund. Paste a copy into the workbook and add the totals to the reconciliation tab. 9. Run Trial balance by account (fund) for AP Control account 70100 and Sales & Use Tax Liability 72810 separately. 10. Paste copies of the trial balance reports to the related tab in the reconciliation workbook. 11. Enter the trial balance totals by fund into reconciliation tab. 12. The variance for account 70100 should equal the balance of the 72810 account. Adjust column C by the use tax amounts. Add back the use tax into the fund line. Add the adjustment amount to the appropriate fund line under the Use Tax object. 13. Any inter-fund variances need to be adjusted by journal entry to correct the fund. Once done, you will need to re-run the reports and correct the reconciliation file. 14. Once the account is reconciled, email the completed workbook to the Controller for review & signature. Request the closure of the prior period and the opening of the new period. Once confirmed, notify the AP Team. 15. Save the signed reconciliation in the monthly folder. Reconcile the Travel Advance Account 1. Copy the prior period reconciliation and save for the current period.

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2. Run the GL detail for all accounts and object 53585 (travel advance). Run report by account total, export to Excel and paste into the reconciliation workbook.
3. Run the trial balance for 53585. Paste into reconciliation workbook.
4. Identify the new and remaining balances. Detail can be posted onto the remaining balance tab.
5. On the reconciliation tab, add new advances with the account; date & amount and any notes as to when travel will occur. Remove any advances that have been settled. Total the amount column and add the total from the trial balance. Resolve any variances.
6. Email the workbook to the controller for review and signature. Save the signed reconciliation.

Year End

1. Before year end, the AP Lead will run the Open PO report for review. The report is sorted by requester and a copy is sent to each PI & OSP for review.
2. The PI & OSP will review the report to determine if we need to accrue any amounts for year end or if the PO needs to be closed
3. The AP Lead closes Pos as directed and prepares a summary of amounts to be accrued. The summary is sent to the AP manager for the AP Accrual.
4. Close AP according to the normal monthly process and do a preliminary reconciliation.
5. Notify P-Card holders to reconcile transactions from the last statement through the end of the month. The transaction report will be used to accrue charges that occurred after the statement date and before month end.
6. For 2 weeks, prior year invoices are entered in separate batches and posted to the prior fiscal year.
7. Final Reconciliation is completed
8. Review the PO Summary to determine if invoices were received against the open balances, adjust the summary if necessary.
9. The AP Lead contacts SJSU to determine if there are any un-invoiced charges to be accrued and requests invoices or a listing of pending charges.
10. Invoices related to the prior fiscal year that are received in the week after the final close are processed in separate batches and a log is kept.
11. The AP Manager prepares the accrual using the summarized PO report, SJSU invoices outstanding; the invoice log and the PCard transaction list.
12. Once the accrual JE has been completed, any invoices related to the prior year valued at $50K or greater are logged and given to the Finance Director to decide if they should be accrued or not.

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<td>**Extensions**</td>
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- Outstanding Check Review
- Debarment

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	• AP Metrics • Supplier additions/changes review • Journal Entries
Priority	*High*
Special Requirements	• *Report for outstanding checks* • *Supplier report listing all suppliers* • *Payments report listing all payments for specified period* • *Posted invoice report also showing login for person entering invoice. Needs to also show how many PO invoices and non-PO invoices.* • *Cash Receipts report also showing login for person entering receipts.* • *PO report listing Pos created and amended during specified period.* • *Report for supplier additions* • *Report for supplier updates* • *Open PO Report*
Open Questions	

UC-3	Invoice Processing
Primary Actor(s)	*Accounts Payable Specialists; AP Lead; AP Manager; PIs; OSP Post-Award Analyst*
Stakeholders and Interest	*PIs; Accounts Payable; OSP Post-Award Analyst*
Trigger	*Invoice is received by accounts payable*
Pre-conditions	*Supplier exists in Supplier Master; Purchase order (per policy) or purchase initiated by PI.*
Post-conditions	*Invoice is recorded to the correct grant or GL account. Invoice moves on to payment process.*
Main Success Scenario	1. *Invoice is electronically (some US Mail) in the AP email inbox.* 2. *Invoices are distributed by the AP Lead to the individual AP Specialists per the assignment list.* 3. *AP Specialist identifies and attaches Purchase Order & requisition (if any) and routes invoice via DocuSign to the PI and in some cases to the OSP Post-Award Analyst.* 4. *Approved invoices are batched and entered into the ERP system. Attach invoices to entry record.* 5. *AP Specialist prints batch proof report and saves it with invoices in a batch folder under their name.* 6. *AP Lead reviews the invoice batches for accurate input and appropriate tax or bank fee accruals. Note any required updates on the Batch Proof report.* 7. *AP Manager does final review ensuring that all approvals are in place and spot checks for use tax accruals and proper treatment of prepaid invoices.* 8. *AP Manager posts batch in ERP system.* 9. *Invoice is successfully recorded in ERP and available for payment.*
Extensions	• Any data entry errors or other adjustments are noted in the batch report and the AP Specialist makes required corrections. • AP Manager will review to ensure that the corrections are completed accurately before posting the batch • Batch reports • Aging Report • PCard • Expense report software • Reports: batch reports, posting reports • Use tax payment & filing • Withheld tax payment, filing & reporting • DE542 Reporting
Priority	*High*
Special Requirements	• *Functioning payment terms that calculate discounts at the time of payment.* • *Capability of marking invoices as reportable from invoice entry screen.* • *Attach invoice copies to the record entered into the ERP.* • *Integration with P-Card (upload transaction capability)* • *Prohibit duplicate invoice #s.* • *Integration with Expense reporting software (import capability)*

	• *Performing withholding as required by multiple state and federal agencies. Supporting reports.* • *Bank (our bank) and payment type should default from supplier setup.* • *Ability to change payment type after posting.* • *Use tax accrual at invoice entry, supporting reports.* • *Ability to cancel invoices.* • *Report for 1099 processing* • *Report for DE542* • *Reports for 1042S*
Open Questions	

AP UC-4	Expense Reporting
Primary Actor(s)	*Research Foundation Employees; Managers; Accounts Payable Team*
Stakeholders and Interest	*Employees or grant participants (Faculty; staff; students participating in grant activities) who incur expenses on behalf of the Research Foundation*
Trigger	*Employee or grant participant incurs travel or other expenses on behalf of the Research Foundation.*
Pre-conditions	*Individual must be set up in expense reporting and ERP software*
Post-conditions	*Expense report is successfully imported into ERP software.*
Main Success Scenario	1. *Employee creates expense report and attaches receipts* 2. *Expense report is submitted and routes for approval* 3. *Approved expense reports are reviewed by AP for compliance and possible use tax accruals.* 4. *AP imports expense reports into ERP* 5. Expense Report batches are reviewed by AP Lead / AP manager 6. AP Manager posts batch 7. Expense reports are available for payment in ERP.
Extensions	• AP Specialist will follow up with Employee for any discrepancies; policy violations and missing receipts • Subject purchases missing sales tax on invoice will have tax accrued once the report is imported into the ERP System • Reports (pending reports, completed, etc.)
Priority	*High*
Special Requirements	• *Must be able to set up object codes by account (match objects to grant budget)* • *Ability to select object codes by description as assigned to account* • *Work flow for approvals* • *Workflow for grants set up by account number (route to PI; OSP)* • *Expense documents are maintained in Expense Reporting Software* • *Must be able to import into ERP system.* • *Reports for pending reports; exported reports* • *Default mileage rates in setup.*
Open Questions	• *May require custom work flow for grant activity?* • *Custom to allow to link users to grant account with its budget objects?*

AP UC-5	Payment Processing
Primary Actor(s)	*AP Manager; AP Lead*
Stakeholders and Interest	*Suppliers; employees; OSP; Faculty; Staff; Students*
Trigger	*Weekly payment schedule*
Pre-conditions	*Invoice or expense reimbursement must have been processed in ERP System*
Post-conditions	*Payment successfully issued*

Main Success Scenario	1. Check Payments
	  • Run aging report and select invoices for payment
	  • Send Aging to Controller for approval, with total to be paid
	  • Run selection process in AP payment module. Make sure total ties to AP Aging selections.
	  • Print checks
	  • Copy checks for records
	  • Ensure that checks $5K or more have second signature
	  • Post payment batch and download posting reports
	  • Mail checks
	  • Run positive pay file to upload to bank
	  • Upload positive payment file
	2. ACH Payments
	  • Run aging report and select invoices for payment
	  • Send Aging to Controller for approval, with total to be paid
	  • Run selection process in AP payment module. Make sure total ties to aging selections.
	  • Create export file for ACH payments
	  • Post payments
	  • Upload ACH payment files to bank for processing.
	3. Wire / Direct Debit
	  • Run Aging report and filter by wire payment type
	  • Run bank report for week and identify all payments to be applied to invoices
	  • Select payments in ERP system and post by date.
	  • Download all payment posting reports.

Extensions	• If a payment fails (lost check; ACH/Wire return) payment must be voided. (See Void Payment Use Case) • Positive Pay upload to bank • ACH payment upload to bank • Reports (payment register, posting register, etc.)
Priority	*High*
Special Requirements	• *Interface to upload ACH payments to bank. (file upload or Host to Host)* • *Interface to upload positive pay file to bank. (file upload or Host to Host)*

Open Questions	• *Can we post wire/direct debit payments from individual selection screen with payment dates rather than batch posting?*

AP UC-6	Purchase Order Processing
Primary Actor(s)	*AP Lead; AP Manager*
Stakeholders and Interest	*PIs; Accounts Payable Specialists; OSP Post-Award Analyst, Research Foundation Suppliers*
Trigger	*Purchase Order request*
Pre-conditions	*Obtain a quote from supplier; Sole Source justification form approval if applicable. Complete a requisition approved by both PI and OSP. Submit to AP for generating the purchase order.*
Post-conditions	*Purchase order is generated and sent to the supplier for processing. PI and OSP also receives a copy of the purchase order*
Main Success Scenario	1. *PI reaches out to the suppliers to obtain a quote of services/materials they need. A Sole Source Justification form is completed and approved, if required. Upon receiving the quote, PI completes the requisition form and sends to OSP analyst via DocuSign for approval.* 2. *Approved requisition supported by a quote is submitted to AP inbox for processing.* 3. *AP Lead will process the purchase order in the ERP system.* 4. *Purchase order copy is printed and emailed to the OSP Analyst and PI for their records.* 5. *Attach requisition documents to PO in ERP system.* 6. *Purchase order copy is also sent to the supplier for processing and placing the order via email. Getting an order confirmation receipt from supplier.* 7. *PO is created with a unique number and available for invoice processing.*
Extensions	• PO amendments: Requisition to extend/increase the PO will be submitted to AP for processing. • Open PO report
Priority	*High*
Special Requirements	• *Capability to delete line items on the purchase order if needed.* • *System to be able to receive the orders (portal the receiving department should have access to at the university).* • *Ability to attach requisitions to the purchase order in the ERP system.* • *Online requisitions with workflow*
Open Questions	• *Can the Purchase orders be emailed to the supplier directly from the system?*

AP UC-7	Supplier Master – Additions & Changes
Primary Actor(s)	*AP Manager and AP Lead*
Stakeholders and Interest	*Finance & Accounting; Office of Sponsored Programs; Principal Investigators.*
Trigger	*New supplier or changes to existing supplier*
Pre-conditions	*Supplier has been cleared through Visual Compliance and source data has been vetted for accuracy and checked in IRS Tin matching program.*
Post-conditions	*Supplier is set up in software and available for use by purchasing & accounts payable.*
Main Success Scenario	1. PI identifies supplier based on project needs. 2. Contact data is supplied to AP along with sole source documentation and quote, as required 3. AP checks system to determine if supplier already exists in supplier master. 4. AP obtains New Supplier Form and W9/W8 from supplier 5. Supplier is checked in Visual Compliance for debarment; embargo and other databases for eligibility. 6. Tax ID is run through IRS TIN matching system to ensure name & tax ID match. 7. All new supplier forms are approved by AP Manager. 8. New Supplier is created in Supplier Master. 9. AP Manager reviews data input for accuracy. 10. Supplier is created with a unique ID and is available for PO; Invoice & Payment processing
Extensions	If changes to existing supplier are required: 1. Supplier is contacted at known number or email to confirm any changes. 2. Supplier form is created with new address or banking information. Attach any confirming emails or other support documents. 3. AP Manager approves changes 4. Changes are entered into the Supplier Master. 5. AP Manager reviews data input for accuracy. 6. Supplier additions & changes reports 7. Supplier listing report
Priority	*High*
Special Requirements	• *Reports: Additions & updates* • *Supplier listing with 1099 flags* • *Ability to categorize suppliers (student; employee; government; Non-resident student; Foreign Vendor, etc.)*
Open Questions	*Supplier portal for self-entry and submission of required tax forms?*

AP UC-8	Void Payments
Primary Actor(s)	*AP Manager; AP Specialist*
Stakeholders and Interest	*Suppliers; Employees; OSP; Faculty; Staff; Students*
Trigger	*Lost check; rejected electronic payment; recall incorrect payment.*
Pre-conditions	*Payment previously issued, notification that payment wasn't received or that the ACH / wire failed or was incorrect.*
Post-conditions	*Invoice available for payment again or cancellation if necessary.*
Main Success Scenario	1. *Notice is received from bank that an ACH was reversed or notice from payee that check was never received.* 2. *For checks: Review system status or run report to determine if check has been cleared.* 3. *Issue stop payment order on bank website. Download and provide to AP Specialist to attach to void request.* 4. *For ACH, request to reverse the "cleared" flag.* 5. *For rejected ACH, contact payee to obtain updated banking information and submit request to update in system to AP Lead.* 6. *Complete the Void Payment Request form, attach required documentation and submit to AP Manager for approval.* 7. *Process void in ERP system.* 8. *AP Manager reviews and posts void payment.* 9. *Save processing reports in Payment / Voids folder.*
Extensions	• Report of issued payments with status (outstanding, cleared, voided, stale dated)
Priority	*High*
Special Requirements	• *System should not automatically reverse the invoice* • *Option to reverse the invoice if needed*
Open Questions	

GL UC-1	Accounts Receivable Invoicing
Primary Actor(s)	*GL Accountant, AR Accountant, Controller*
Stakeholders and Interest	*Finance & Accounting; Office of Sponsored Programs; Principal Investigators; Sponsors*
Trigger	*Invoices are submitted monthly, quarterly, or as needed*
Pre-conditions	*Expenses have been posted to their respective accounts; Agreement specifies a specific invoice due date; As requested by PI/OSP managers.*
Post-conditions	*Invoice has been processed into ERP system and has been submitted to sponsor.*
Main Success Scenario	1. On ERP, generate monthly account status report for all active JL accounts. 2. Create a list of accounts with expenses that are going to be invoiced. 3. Update/Create invoice template for the listed accounts, using the account status report. 4. Create invoice document from the template, and attach necessary supporting documents. 5. Process the invoicing information (such as amount, account number, object codes, invoice number, invoice date, and description) into ERP. 6. Run batch report to review all information is processed correctly. 7. Send batch report and invoices to GL Accountant for review. 8. Approved invoices are signed by Controller. 9. Submit signed invoices to sponsors for payment.
Extensions	If revision for an existing invoice is needed, then: 1. Confirm needed revision with point of contact for invoice. 2. Update invoice template with the needed revision. 3. In the ERP, create a new batch to process the revised invoice information. 4. In the new batch, input an entry to reverse the original invoice amount of the original invoice number. 5. Then, input a second entry with the revised invoice amount. 6. Run batch report for review. 7. Send new batch report and revised invoices to GL Accountant for review. 8. Approved revised invoices are signed by Controller. 9. Submit signed revised invoices to sponsors for payment.
Priority	*High*
Special Requirements	*Run Account Status report, AR invoice report, and OSP AR invoicing report to narrow down which accounts need to be invoiced for the month*
Open Questions	*Note: Ideally, the ERP can system generate the invoice using the expense data from the Account Status report. But also, we need to be able to flag which accounts do not require a system generated invoice. The reason we need to flag specific accounts are as follows: 1. Account does not require an invoice. 2. Account is a Letter of Credit Drawdown. 3. Account has a sponsor provided invoice template. 4. Account has a scheduled, fixed fee amount.*

	ERP system generated invoice should be somewhat modifiable. Requires the ability to input award numbers, purchase order numbers from the sponsor, other identifying numbers, or other required information by the customer. *An internal system workflow, where the invoice is generated/prepared within the system and then forwarded to the reviewer and approver?*

GL UC-2	Cash Receipt
Primary Actor(s)	*AP Specialist and GL Accountant*
Stakeholders and Interest	*Finance & Accounting; Office of Sponsored Programs; Principal Investigators; Sponsors*
Trigger	*Receiving checks, ACH payments, credit card payments, and/or cash*
Pre-conditions	*Payment has been received and is for a SJSURF account; Checks have been scanned for bank deposit*
Post-conditions	*Payment has been recorded to the correct SJSURF account*
Main Success Scenario	1. AP Specialist has identified checks belonging to SJSURF and GL Accountant has identified ACH payments for processing. 2. In ERP system, create a new cash receipt batch to enter in data from check/ACH information to process payment. 3. After processing payments into cash receipt batch, print batch report to review for any errors. 4. Notify GL Accountant to review and post the cash receipt batch.
Extensions	Not applicable.
Priority	*High*
Special Requirements	*Not applicable.*
Open Questions	*None.*

GL UC-3	Journal Entry Workflow
Primary Actor(s)	*Accounting, Post-award OSP Managers, Payroll*
Stakeholders and Interest	*Finance & Accounting; Office of Sponsored Programs; Principal Investigators*
Trigger	*A journal entry (JE) needs to be processed as determined by individual primary actor.*
Pre-conditions	*There is a need to record and/or adjust a transaction.*
Post-conditions	*The transaction has been recorded and/or adjusted.*
Main Success Scenario	1. Requestor completes online Journal Entry Request form on the ERP and attaches supporting documents electronically. 2. Online approval via workflow forwards the Journal Entry Request to the fiscal approver. 3. Upon approval, Journal Entry is auto-created with supporting documents attached. 4. Process posted journal entries to archive.
Extensions	If Journal Entry Request has a significant number of lines for data entry, then: 1. Requestor completes offline Journal Entry Request form on Excel. 2. The Excel file is then uploaded to the ERP, in which the ERP will complete the online Journal Entry Request form. 3. Supporting documents are attached electronically. 4. Online approval via workflow forwards the Journal Entry Request to the fiscal approver. 5. Upon approval, Journal Entry is auto-created with supporting documents attached. 6. Process posted journal entries to archive. If Journal Entry Request recurs monthly (such as month end interest), then: 1. Requestor completes offline Month End Interest Journal Entry form on Excel to ensure accurate interest calculations. 2. Enter accurate Journal Entry information into ERP. 3. Supporting documents are attached electronically. 4. Online approval via workflow forwards the Journal Entry Request to the fiscal approver. 5. Upon approval, Journal Entry is auto-created with supporting documents attached. 6. Process posted journal entries to archive. 7. This Journal Entry is repeated at the end of every month.
Priority	*High*
Special Requirements	*Ability to drill to back-up documents.*
Open Questions	

Finance and Accounting: Self Support Programs
Use Case Scenarios

CRADA Project Monitoring

SS UC-1	CRADA Project Monitoring
Primary Actor(s)	SJSU faculty or administrator (aka "Principal Investigator"), SJSU Research Foundation Self Support Program Manager, SJSU Research Foundation Executive Director and/or Director of Finance, SJSU Research Foundation Finance and Accounting.
Stakeholders and Interest	Principal Investigator, SJSU Research Foundation Executive Director and/or Director of Finance, SJSU Research Foundation Finance and Accounting.
Trigger	The Principal Investigator and/or designee request invoice to be issued to a client who wishes to Flight Control Software License.
Pre-conditions	SJSU Research Foundation has an agreement with Principal Investigator via Cooperative Research and Development Agreement (CRADA) with US Army Combat Capabilities Development Command (CCDC) in her role as researcher with NASA AMES. This agreement allows SJSU Research Foundation the right and access to license out Flight Control Software being leased to qualified and interested users.
Post-conditions	Clients are invoiced and funds are deposited to the CRADA related accts.
Main Success Scenario	The clients are invoiced and once paid, gain full access to the licensed software for the period of time of the invoice.
Extensions	1. The request to invoice client along with purchase order and license agreement is sent by the PI or designee to SJSURF Self Support Program Manager. 2. SJSURF Self Support Program Manager will forward the quote to our Finance and Accounting Department to have them issue payment to the client. 3. SJSURF Self Support Program Manager will create a folder in CRADA account folder in our internal drive and copy the information sent by the PI or designee. 4. SJSURF Self Support Program Manager will upload the account documents to the cloud based storage. 5. Once a month, the Self Support Program Manager will check the CRADA account report and transfer 5% of any new fees received from our client to our internal account 34-7200-0003 (CRADA License Fee) via Journal Entry. There is a MOU on file for this transfer agreement. 6. Once the journal entry is posted, send a copy to the PI and/or designee via email.
Priority	High
Special Requirements	
Open Questions	*<Notes and questions>*

SS UC-2	**Closing of Self Support Program Accounts**
Primary Actor(s)	SJSU faculty or administrator (aka "Principal Investigator"), and SJSU Research Foundation Self Support Program Manager
	Principal Investigator and SJSU Dept Chair, SJSU College Dean, SJSU Research Foundation Director of Finance or SJSU Research Foundation Executive Director
Trigger	Principal Investigator sends request to SJSU Research Foundation Self Support Program Manager to close account(s) via email.
Pre-conditions	Self Support Account is active and was previously approved by SJSURF and/or SJSU.
Post-conditions	The account can be closed.
Main Success Scenario	The account can is fully reconciled with zero balance and is closed.
Extensions	
Priority	High
Special Requirements	1. The Principal Investigator sends a request to the SJSU Research Foundation Self Support Program Manager to close a self support program account(s). 2. SJSU Research Foundation Self-Support Account Manager will review the request and if there are funds remaining will determine where to move the funds. Once that is determined, a journal entry will be created and routed to SJSU Research Foundation Director of Finance. 3. The SJSU Research Foundation Self-Support Program Manager will go into the the accounting system and close the account . 4. SJSU Research Foundation Self Support Program Manager will create closed account check list form and attach the back up documentation (email from PI, final account balance report, Closed confirmation page) and route to SJSU Research Foundation Director of Finance or SJSU Research Foundation Executive Director for approval. 5. SJSU Research Foundation Self-Support Program Manager will upload copy of the closed account paperwork to OnBase. Self Support Account Manager will then delete the account information in the List of Self Support Accts-Live document spread sheet. 6. Principal Investigator is notified that the account has been reconciled and closed.
Open Questions	*<Notes and questions>*

SS UC-3	**New Account Set Up for Internally Funded Self Support Program Accounts**
Primary Actor(s)	SJSU faculty or administrator (aka "Principal Investigator"), SJSU Research Foundation Self Support Program Manager,
Stakeholders and Interest	Principal Investigator, SJSU Research Foundation HR Director, SJSU Research Foundation Risk Mgmt Manager, SJSU Dept Chair, SJSU College Dean, SJSU Research Foundation Director of Finance or SJSU Research Foundation Executive Director
Trigger	Self Support Program Manager may receive request from Principal Investigators (or dept/college designee) OR from internal (SJSU Research Foundation Central Office) to open a new internally funded Self Support Program account(s) (ex: F&A returns, transfer of remaining funds from fixed price contracts, Woodward Committee Math Dept Investment Acct, MLML Marine Ops accts partially funded by F&A and grants, Division of Research, or SJSU Colleges/Depts from their F&A accounts) for professional development or to support RSCA (Research, Scholarship & Creative Activity).
Pre-conditions	The activity is defined as being non-state funded that enhances SJSU's educational mission and enriches the university's learning environment (i.e. faculty hosted seminars, conferences and workshops, specialized training (non-academic credit), and special events). All such activities must also comply with the guidelines and procedures of SJSU Research Foundation, CSU Policy 13680 and CSU Executive Order 1059 (EO 1059).
Post-conditions	The approved activity can commence and be administered by SJSU Research Foundation.
Main Success Scenario	The account number is assigned and opened in our system and allows the PI to start to his/her activities.
Extensions	The internally funded Self Support Program Accounts can also be extended via request by Principal Investigators. The process is the same as Updating Self Support Program Account referred separately.
Priority	High
Special Requirements	1. The Self Support Program Manager will receive request for internally funded Self Support Program Account(s). 2. The Self Support Program Manager will send the Principal Investigator a Internally Funded Self Support Account Request form. 3. SJSU Research Foundation Self-Support Program Manager will review the form for completeness and then route to SJSU Research Foundation Director of Finance or SJSU Research Foundation Executive Director for approval. 4. Once the signed form is returned, SJSU Research Foundation Self Support Program Manager will assign the account number and set up the account in our system.

	5. SJSU Research Foundation Self Support Program Manager will create new account check list form and attach the signed Internally Funded Self Support Program Account form and upload a copy to OnBase system. 6. Self Support Program Manager will then set up the account information in the List of Self Support Accts-Live document spread sheet. 7. SJSU Research Foundation Self Support Program Manager will inform SJSURF accounting and finance dept and the PI that the account is open.
Open Questions	*<Notes and questions>*

SS UC-4	New Account Set Up for Self Support Program Accounts
Primary Actor(s)	SJSU faculty or administrator (aka "Principal Investigator") and SJSU Research Foundation Self Support Program Manager,
Stakeholders and Interest	Principal Investigator, SJSU Research Foundation HR Director, SJSU Research Foundation Risk Mgmt Manager, SJSU Dept Chair, SJSU College Dean, SJSU Research Foundation Director of Finance or SJSU Research Foundation Executive Director and SJSU AVP of Finance
Trigger	Principal Investigator identifies an activity that he/she would like to run through SJSU Research Foundation
Pre-conditions	The activity is defined as being non-state funded that enhances SJSU's educational mission and enriches the university's learning environment (i.e. faculty hosted seminars, conferences and workshops, specialized training (non-academic credit), and special events). All such activities must also comply with the guidelines and procedures of SJSU Research Foundation, CSU Policy 13680 and CSU Executive Order 1059 (EO 1059).
Post-conditions	The approved activity can commence and be administered by SJSU Research Foundation.
Main Success Scenario	The account number is assigned and opened in our system and allows the PI to start to his/her activities.
Extensions	After initial review of the Principal Investigator's submission of the Request/Agreement for Self-Support Project Form, if there are any questions in regards to whether the activity can be administered under SJSU Research Foundation Self-Support Program, internal discussions may take place if needed with SJSU Research Foundation Director of Finance and or Executive Director. Since SJSU has final authority in approving such requests, SJSU AVP of Finance may also be consulted.
Priority	High
Special Requirements	1. The Principal Investigator initiates the request for opening a Self-Support Project Account by downloading and completing the first three pages of the Request/Agreement for Self-Support Project Account form. 2. SJSU Research Foundation Self Support Program Manager will review the form and route to SJSU Research Foundation HR Director and/or SJSU Research Foundation Risk Mgmt Manager for signature of approval as appropriate if the Principal Investigator indicates on the form that the activity may involve use of minors/volunteers, use of hazardous materials or require procurement of insurance coverage. 3. The SJSU Research Foundation Self Support Program Manager along with the SJSU Research Foundation Director of Finance and/or SJSU Research Foundation Executive Director assess the information to ensure that it meets the CSU Executive Order 1059 and CSU ICSUAM Policy 13680 compliance.

	4. SJSU Research Foundation Self Support Program Manager will then route to SJSU Research Foundation Director of Finance and then to SJSU AVP of Finance for final review and approval of the form. 5. SJSU Research Foundation Self Support Program Manager will assign the account number and set up the account in our system. Self Support Program Manager will then upload information to Onbase system. 6. Self Support Program Manager will then set up the account information in the List of Self Support Accts-Live document spread sheet. 7. SJSU Research Foundation Self Support Program Manager will inform SJSURF accounting and finance dept and the PI that the account is open.
Open Questions	*<Notes and questions>*

SS UC-5	Updating the Self Support Program Accounts
Primary Actor(s)	SJSU faculty or administrator (aka "Principal Investigator"), SJSU Research Foundation Self Support Program Manager,
Stakeholders and Interest	Principal Investigator, SJSU, SJSU Research Foundation HR Director, SJSU Research Foundation Risk Mgmt Manager, SJSU Dept Chair, SJSU College Dean, SJSU Research Foundation Director of Finance or SJSU Research Foundation Executive Director and SJSU AVP of Finance
Trigger	IT produces Self Support Project Account closing list by ending date via email at end of each month, or PI may request that the account be renewed directly via email.
Pre-conditions	Self Support Account is active and was previously approved by SJSURF and SJSU and per requirements set forth in CSU Policy ICSUAM 13680 and CSU Executive Order 1059 (EO 1059), these accounts must be reviewed and updated every three years.
Post-conditions	The renewed activity can continue and be administered by SJSU Research Foundation for another 3 years. If the activity is no longer required, the account will be closed. See Closing Self Support Project Account Process.
Main Success Scenario	The account will remain active for another three years.
Extensions	After initial review of the Principal Investigator's submission of the renewal Request/Agreement for Self-Support Project Form, if there are any questions in regards to whether the activity can be continue to be administered under SJSU Research Foundation Self Support Program Program (especially if purpose of activity has been changed and or updated), internal discussions may take place if needed with SJSU Research Foundation Director of Finance and or Executive Director. Since SJSU has final authority in approving such requests, SJSU AVP of Finance may also be consulted.
Priority	High
Special Requirements	1. The Self Support Program Manager emails the Principal Investigator reminding him/her to request renewal of the Self Support Project Account for another 3 years if they wish to keep it active. 2. The Principal Investigator initiates the request for renewing a Self Support Project Account by downloading and completing the first three pages of the Request/Agreement for Self Support Project Account form and submitting it to the Self Support Program Manager. 3. SJSU Research Foundation Self Support Program Manager will review the form and route to SJSU Research Foundation HR Director and/or SJSU Research Foundation Risk Mgmt Manager for signature of approval as appropriate if the Principal Investigator indicates on the form that the activity may involve use of minors/volunteers, use of hazardous materials or require procurement of insurance coverage.

	4. The SJSU Research Foundation Self Support Program Manager along with the SJSU Research Foundation Director of Finance and/or SJSU Research Foundation Executive Director assess the information to ensure that renewal requests still meets the CSU Executive Order 1059 and CSU ICSUAM Policy 13680 compliance (page 4 of the Self-Support Project Account form). 5. SJSU Research Foundation Self Support Program Manager will then route to SJSU Research Foundation Director of Finance and then to SJSU AVP of Finance for final review and approval of the renewal form. 6. Once the signed form is returned, SJSU Research Foundation Self Support Program Manager will update the end date in our system. 7. SJSU Research Foundation Self Support Program Manager will create updated account check list form and attach the signed renewal request/Agreement for Self Support Project Form and forward to upload a copy to OnBase. 8. Principal Investigator is notified and the Renewal of Request/Agreement for Self Support Project Form has been approved for another 3 years. Note: Self-Support Project Accounts that were opened PRIOR to the release of CSU Policy ICSUAM 13680 and Executive Order (EO1059) and were allowed to remain with SJSU Research Foundation after the initial EO1059/ICSUAM Policy 13680 compliance audit in 2012. They were certified in the first quarter of 2013. The list is updated and stored in our system. Self Support Account Manager will review this updated list for these accounts, every 3 years (first quarter). Any accounts that were closed are deleted from this list. Self Support Program Manager will then upload the account documents to the onbase system.
Open Questions	*<Notes and questions>*

SS UC-6	**Updating the Self Support Program Accounts (updating signers)**
Primary Actor(s)	SJSU faculty or administrator (aka "Principal Investigator"), SJSU Research Foundation Self Support Program Manager,
Stakeholders and Interest	Principal Investigator and SJSU Dept Chair, SJSU College Dean, SJSU Research Foundation Director of Finance or SJSU Research Foundation Executive Director
Trigger	Principal Investigator (or dept/college designee on behalf of the PI) will submit request to update signer(s) on Self Support Project Account(s) due to dept change, PI change/retirement etc.
Pre-conditions	Self Support Account is active and was previously approved by SJSURF and SJSU.
Post-conditions	The account signer(s) are updated on the Self Support Project Account(s).
Main Success Scenario	The signers on the account(s) are updated with the new signers. They will be authorized to approve transactions on the account(s).
Extensions	If the signer(s) are new and not in the current accounting system, Self Support Program Manager will need to request the ID number be created by requesting it to the SJSU Research Foundation AP Lead.
Priority	High
Special Requirements	1. Principal Investigator (PI) and or SJSU Research Foundation Central Office will initiate request for making changes to signers, report recipients and or to account title via email to Self Support Program Manager. 2. The Self Support Program Manager will email Acct Signer Update Request Fillable Form to the Principal Investigator to complete. 3. SJSU Research Foundation Self Support Program Manger will review the form once returned from the Principal Investigator and then update the signer(s) in the system. 4. SJSU Research Foundation Self Support Program Manager will notify the Principal Investigator that the signer(s) have been updated. 5. SJSU Research Foundation Self Support Program Manager will create updated account check list form and attach the Acct Signer Update Form and route it for signature to the SJSU Research Foundation Director of Finance or SJSU Research Foundation Executive Director. 6. Self Support Program Manager will upload the updated signer form to Onbase. Self Support Program Manager will then update any primary signer account information in the List of Self Support Accts-Live document spread sheet.

Open Questions	Ability to renew existing accounts in any new system including updating of signer(s).

SS UC-7	Journal Voucher Entries
Primary Actor(s)	SJSU faculty or administrator (aka "Principal Investigator"), SJSU Research Foundation Self Support Program Manager, SJSU Research Foundation Sponsored Program Post Award Manager, SJSU Research Foundation Finance and Accounting.
Stakeholders and Interest	Principal Investigator, SJSU Research Foundation Self Support Program Manager, SJSU Research Foundation Sponsored Program Post Award Manager and SJSU Accounting and Finance Department
Trigger	A request to move expenditures and or revenues from on fund to another or between line items within a fund is initiated from Principal Investigator, SJSU Research Foundation Sponsored Program Post Award Manager, SJSU Research Foundation Self Support Program Manager or from SJSU Research Foundation Finance and Accounting.
Pre-conditions	An error in previously posted transaction to an SJSU Research Foundation account(s) is discovered.
Post-conditions	Correcting errors are posted to the accounts.
Main Success Scenario	Account balances reflect the correct total along with object codes.
Extensions	1. The request for transfer of funds between accounts I submitted along with explanation and justification to the Self Support Program Manager. 2. The transfer request must be approved by the Principal Investigator, SJSURF Self Support Program Manager, SJSURF Sponsored Program Post Award Manager and/or SJSURF Finance and Accounting depending on the fund acct(s) affected along with explanation and documentation. 3. The journal entry is prepared and entered into our accounting system. 4. It is then approved and posted the SJSU Research Foundation Finance and Accounting.
Priority	High
Special Requirements	
Open Questions	*<Notes and questions>*

SS UC-8	Monthly Acct report summary to COSS Dean's office and CPGE
Primary Actor(s)	SJSU faculty or administrator (aka "Principal Investigator") and or designee, SJSU Research Foundation Self Support Account Manager,
Stakeholders and Interest	SJSU faculty or administrator (aka "Principal Investigator") and or designee, COSS and CPGE Dean's office
Trigger	SJSURF Accounting and Finance sends notification that month is closed.
Pre-conditions	SJSU Research Foundation Self Support Account Manager will go into accounting system to run custom account statement summary reports
Post-conditions	The account summary reports are sent out to the COSS and CPGE Dean's offices.
Main Success Scenario	COSS and CPGE Dean's office receives correct account summary reports that provides the monthly activities.
Extensions	1. At month end close, send custom reports to COSS Dean's office listing their acct summary (GL_RPT12A): GL Account Balance Report by Fiscal Year / specify GL account. Once the report is created, convert to excel and send to COSS Dean's office. 2. At month end close, send custom reports to CPGE Director of Finance and CPGE Dean their acct summary. GL Historical Report (by multiple accounts) and (GL_RPT2_Rev_Exp): YTD Financial Analysis Report (For multi accounts) / GL_RPT3_Rev_Exp. Once the report is created, convert to excel and send to CPGE.
Priority	High
Special Requirements	
Open Questions	*<Notes and questions>*

SS UC-9	Pay Pal Project Monitoring
Primary Actor(s)	SJSU faculty or administrator (aka "Principal Investigator") and or designee, SJSU Research Foundation Self Support Account Manager, SJSU Research Foundation Executive Director and Pay Pal Manager.
Stakeholders and Interest	SJSU faculty or administrator (aka "Principal Investigator") and or designee, SJSU Research Foundation Self Support Account Manager, SJSU Research Foundation Executive Director and Pay Pal Manager.
Trigger	SJSURF has entered into an agreement with PayPal on behalf of SJSU Information and Technology Dept to identify and hire qualified SJSU students and potential SJSU students (including from other institutions) to work on various projects focused on machine learning for which we get reimbursed. The goal is to provide meaningful training and educational opportunities that will hopefully prepare students for career in high technology (including with Pay Pal) after graduation and or for possible enrollment at SJSU academic programs focused on such areas.
Pre-conditions	The agreement is reviewed and renewed annually by extending the agreement and/or adding additional funds to the agreement via task order.
Post-conditions	The agreement is renewed and/or additional fund are added.
Main Success Scenario	Students are hired through the project at Pay Pal and upon successful results of their performance, some maybe offered positions at Pay Pal upon graduation.
Extensions	1. Once the PI and or designee and Pay Pal identifies a qualified candidate for work (approved by SJSU and Pay Pal), paperwork is initiated through via docusign. 2. Once HR approves the employment, the Self Support Program Manager will log onto a third party portal that Pay Pal uses to onboard program and employee information. SAP Fieldglass Login (https://www.fieldglass.net) Pass word and instructions are stored in fa business server under Self Support Program Manager folder. 3. Create a folder for onboarding documents for each student in cloud based storage folder and upload to the cloud based storage. 4. Annual renewal agreement once signed is also uploaded in cloud based storage under the account folder.
Priority	High
Special Requirements	
Open Questions	*<Notes and questions>*

SS UC-10	Review and approve program expenses
Primary Actor(s)	SJSU faculty or administrator (aka "Principal Investigator") or designee, SJSU Research Foundation Self Support Program Manager.
Stakeholders and Interest	SJSU faculty or administrator (aka "Principal Investigator") or designee, SJSU Research Foundation Self Support Program Manager, SJSURF Accounts Payable Department, SJSURF Risk Management and SJSURF HR dept.
Trigger	Principal Investigator or designee submits requisitions to Self Support Program Manager for approval and process of payments (personal reimbursements, travel reimbursements or to vendors), purchase orders (PO), Independent Contractors (IC) or Student Award Payments.
Pre-conditions	Self Support Account is active and was previously approved by SJSURF and SJSU.
Post-conditions	The payments (reimbursements or to vendors), purchase orders, Independent Contracts (IC) or Student Award Payments are submitted to SJSURF Accounts Payable for process.
Main Success Scenario	The payments (reimbursements or to vendors), purchase orders, Independent Contracts (IC) or Student Award Payments are processed by SJSURF Accounts Payable Dept. Employee appointment forms are processed by Human Resources Dept.
Extensions	1. Once the request is received from the Principal Investigator or designee, Self Support Program Manager will check for compliance such as allowability, proper documentation and acct balance of the account. 2. For Independent Contractor (IC), it must have Principal Investigator's approval then HR's approval based on the determination form. Once completed, Self Support Program Manager will submit the IC agreement to Accounts Payable to set up an internal Purchase Order (PO). Once the invoice is received, it is forwarded to Accounts Payable to process against the PO. 3. For Student Award Payments, the Requisition is submitted by the Principal Investigator along with student award letter to set up an internal Purchase Order (PO). Once the PO is set up by Accounts Payable Dept, it is submitted to google sheet shared with the SJSU Bursar's Office who will disburse the payment directly to the students. They will then send invoice to Accounts Payable who will forward to the Self Support Program Manager to approve and reimburse the state side. 4. For travel reimbursements, the Principal Investigator will submit a Travel Approval form for pre approval to the Self Support Program Manager who will submit it to our Travel Desk. (International travel request will include issuance of travel insurance by our Risk

	Management Dept. After trip is completed travel expense claim form with back up documentation is submitted to Self Support Program Manager who will approve and forward to Accounts Payable Dept for process.
	5. For P Card reconciliation, the Principal Investigator and/or approved P Card holder uploads receipts to US Bank website. The Principal Investigator and/or approved P Card holder also emails the signed remittance report to Self Support Program Manager along with the receipts. Self Support Program Manager will review and approve the transactions on US Bank website and sends copy of the remittance report to Accounts Payable Dept.
	6. For Purchase Orders, the Self Support Program Manager receives the quote/service agreements from the Principal Investigator along with Requisition to issue the order. The Self Support Program Manager will approve and forward to Accounts Payable Dept to issue the Purchase Order. Accounts Payable Dept will issue the PO to the vendor and copy the Principal Investigator.
	7. For Vendor invoices, the Principal Investigator and/or Accounts Payable Dept submits a Requisition and attaches the vendor invoice (or just the vendor invoice) and sends it to the Self Support Account Manager for review and approval. Once approved, Accounts Payable Dept will process the invoice.
	8. For Personal reimbursements, the Principal Investigator submits a Requisition and receipts to the Self Support Program Manager for review and approval. Once approved Accounts Payable Dept will process the reimbursement.
	9. For employee appointment forms, the upon receiving the employee appointment forms (Faculty or Non Faculty appointment), the Self Support Program Manager confirms rate of pay, start/end dates and the account number then assigns the object codes. It is then forwarded to Human Resources Dept for process.
Priority	High
Special Requirements	Any questions regarding the invoice(s) and or reimbursements are returned to the Principal Investigator for additional clarification before it is approved for processing by the Self Support Program Manager.
Open Questions	*<Notes and questions>*

SS UC-11	San José Area Writing Project (SJAWP) revenue reconciliation
Primary Actor(s)	SJSU faculty or administrator (aka "Principal Investigator"), SJSU Research Foundation Self Support Account Manager, SJSU Research Foundation Finance and Accounting.
Stakeholders and Interest	Principal Investigator, SJSU Research Foundation Self Support Account Manager, and SJSU Finance and Accounting Department
Trigger	English and Comp Language Dept – San José Bay Area Writing Project (SJWAP) runs workshops at SJSU and area schools for young writers. The fees are collected from third party via their portal (cares.com) where the attendees can pay for the specific workshops.
Pre-conditions	Fees are posted on the cares.com site whenever a workshop attendee pays for the class(es). This can occur frequently, so the site needs to be accessed and checked daily.
Post-conditions	SJSURF Finance and Accounting Dept posts the wire fees to the SJAWP workshop account.
Main Success Scenario	Account balances reflect the correct total along with object codes.
Extensions	1. SJSU Research Foundation Self Support Account Manager goes into the cares.com site daily to check the activity. 2. The account should be reconciled daily by logging onto their link: Dashboard url: https://sanjoseareawritingproject.getgalore.com/dashboard 3. Once on the site, go to transaction window on the dashboard and click on transaction tab on the left to view detail of each transaction (it will show the gross amount of the workshop fees less processing fee by the third party = net amount). SJSURF Self Support Account Manager records the name of payee, description of event and date of event and fee amount + net amount into the spreadsheet titled: san-jose-area-writing-project-transactions list, which is located in the fa business server under Self Support Acct History folder titled SJAWP CK breakdown. 4. Provide a copy of the spreadsheet to SJSURF Finance and Accounting Dept, each time wire transfer email is received.
Priority	High
Special Requirements	
Open Questions	*<Notes and questions>*

SS UC-12	Service Agreements (workshops, training programs, recruiter agreements)
Primary Actor(s)	SJSU faculty or administrator (aka "Principal Investigator") and or designee, SJSU Research Foundation Self Support Program Manager, SJSU Research Foundation Finance and Accounting
Stakeholders and Interest	SJSU faculty or administrator (aka "Principal Investigator") and or designee, College Dean's and or Chairs.
Trigger	SJSU faculty or administrator (aka "Principal Investigator") and or designee submits request for workshop/service agreements
Pre-conditions	An appropriate self support account(s) exists for such agreements
Post-conditions	The agreement is executed by all parties via signature of approval
Main Success Scenario	Activities related to the agreement can commence
Extensions	1. Principal Investigator (PI) and or designee initiates the request for the service agreement by sending it via email to Self Support Program Manager. 2. Self Support Program Manager will review and then route to Contract Manager and/or Business & Risk Management Analyst (if applicable). 3. If its an agreement with international customer, Self Support Program Manager will do visual compliance to ensure customer and participants are not on prohibited list prior to sending it to Contract Manager and/or Business & Risk Management Anaylst 4. Once approved, route for signatures to all parties including SJSURF Director of Accounting and Finance. 5. The Self Support Program Manager will then upload the account documents to the cloud based storage under acct file then under service agreement.
Priority	High
Special Requirements	If the agreement involves any elements of research including collaboration with customer including IP, such agreements will need to be routed to SJSURF Director of Sponsored Programs for review as it may be appropriate to run those as research grants and/or contract.
Open Questions	<Notes and questions>

SS UC-13	Timpany Center Monitoring
Primary Actor(s)	SJSU faculty or administrator (aka "Principal Investigator"), SJSU Research Foundation Self Support Account Manager, SJSU Research Foundation Sponsored Programs, SJSU Research Foundation Executive Director and Director of Finance and Accounting. SJSU College Dean and Dept Chair, and County of Santa Clara.
Stakeholders and Interest	SJSU faculty or administrator (aka "Principal Investigator"), SJSU Research Foundation Self Support Account Manager, SJSU Research Foundation Sponsored Programs, SJSU Research Foundation Executive Director and Director of Finance and Accounting. SJSU College Dean and Dept Chair, and County of Santa Clara.
Trigger	There is a current executed 5th amendment that SJSURF has entered into with Santa Clara County on behalf of Dept of Kinesiology to manage Timpany Center, a non-profit educational and therapeutic service center that serves community members.
Pre-conditions	The review of the operation takes place at end of each month after SJSURF Finance and Accounting closes the month.
Post-conditions	Correcting errors are posted to the accounts.
Main Success Scenario	Account balances reflect the correct total along with object codes each month which is sent at end of each fiscal year to County of Santa Clara as part of the agreement to manage Timpany Center. From SJSURF standpoint, it is to ensure financial viability of the operation of the Center.
Extensions	1. Every Tuesday, Self Support Program Manager meets with PI (Principal Investigator) of the Timpany Center and her support staff to go over any issues, updates regarding the operation of the Center. Any urgent issues are forwarded to the SJSURF executive director. 2. At the end of each month end close, acct summary report and spreadsheet outlining the activities are forwarded to the SJSURF executive director and the PI for review. 3. At the end of the fiscal year, a summary report (gl_hist_rev11Ed): GL Historical Report (Excluded 35400 35405) and spreadsheet is forwarded to our contact at Santa Clara County. Any net positive number at the end of the fiscal year results in sharing of the amount with Santa Clara County on a 50/50 basis. Currently we are working off of a previous agreement with the Santa Clara County where we made a one time payment $193,254.00 of and they gave as a credit of $96,405.00 against the sharing amount so we will not have to distribute funds to the County until that amount is fully expended.
Priority	High
Special Requirements	
Open Questions	*<Notes and questions>*

SS UC-14	Woodward Accounts Process
Primary Actor(s)	SJSU faculty or administrator (aka "Principal Investigator"), SJSU Research Foundation Self Support Account Manager, SJSU Research Foundation Sponsored Programs, SJSU Research Foundation Executive Director and Director of Finance and Accounting. SJSU College Dean and Dept Chair
Stakeholders and Interest	SJSU faculty or administrator (aka "Principal Investigator"), SJSU Research Foundation Self Support Account Manager, SJSU Research Foundation Sponsored Programs, SJSU Research Foundation Executive Director and Director of Finance and Accounting. SJSU College Dean and Dept Chair
Trigger	The Woodward Committee (includes SJSU Research Foundation Executive Director and/or Director of Finance and Accounting) meets annually around the end of the 1st quarter of each calendar year to go over past funded projects and to consider new projects based on earnings report provided by SJSU Research Foundation.
Pre-conditions	The Woodward accounts are funded from a bequest to the SJSURF with the initial restricted purpose "Applied Mathematics at SJSU …. for research on the atmosphere on Venus." In February 2000, then Dean of College of Science, Gerry Selter initiated a petition to Santa Clara County Probate Court to interpret the intentions for clarification. From that endeavor a Woodward Committee was established, by the Dean of Science, to review and consider funding of internal research applications from Department of Mathematics that support research applicable to the restricted purpose of these funds. Senior management (currently Director of Finance and Acctg and/or Executive Director) from the SJSURF sits on the Woodward Committee and participates in the review and selection of research projects and to also close out completed projects on an annual basis.
Post-conditions	Old accounts are reconciled and closed, extende and/or new project accounts are approved and funded with new accounts opened.
Main Success Scenario	New accounts are funded, old accounts are closed and/or extended.
Extensions	1. **Open Acct** - Woodward Proposal (Description of project, $ amount to be awarded ,Budget and Start and End dates) that has been approved by the Woodward Committee is forwarded by SJSURF Woodward Committee representative to Self Support Program Manager, who will prepare and route New Account Request Form (internally funded acct request form) to the Math Dept to obtain necessary signatures (including College of Science Dean). Once the signed form is received, the Self Support Program Manager will assign acct # and prepare journal entry to transfer balance from Woodward Distribution Account 34-1504-0031 to the new account for the awarded amount. The Math Dept will then be notified that the account is now opened. The Self Support Program Manager will then upload the account documents to the cloud based storage.

	2. **Extend Old Acct(s)** - Woodward Committee may ask to extend projects and may also request to add additional funds. Self Support Program Manager will prepare journal entries and extend the end dates in the accounting system. 3. **Close Acct(s)** - Woodward Committee reviews and approves closing of completed projects. The SJSURF Woodward Committee representative communicates this information to the Self Support Program Manager (done via email or by written notification) who will then review the account balance and close out the account(s). Account balances that are either in the positive or negative balances (sometimes negative balances occur because the Release Times often budgeted for Woodward Projects are based on fringe benefit estimates at the time the award is approved) are offset by journal entry against the Woodward Distribution Account 34-1504-0031. The Self Support Program Manager will then upload the account documents to the cloud based storage.
Priority	High
Special Requirements	
Open Questions	*<Notes and questions>*

Human Resources
Use Case Scenarios

HR UC-1	New Hire Process
Primary Actor(s)	*HR Coordinator, HR Generalist, HR Manager, HR Director, Project Director, OSP*
Stakeholders and Interest	*New hires, Project directors, OSP*
Trigger	*hiring new employees*
Pre-conditions	*Recruitment process completed for the benefited new hires. The project has a budget to cover the position salary.*
Post-conditions	*Employee is onboarded and start working for the Research Foundation*
Main Success Scenario	1. *The candidate is identified by recruitment process for benefited position or direct hire identified by project director/hiring manager for non-benefited position.* 2. *Project director/account signer initiates personnel action to hire the candidate by providing candidates name, contact information, future start date of the assignment, end date of the assignment (end date of grant if it is long term assignment), pay rate, fte, project to which the salary be charged, and job title (from offer letter for benefited positions).* 3. *Sponsored Programs analyst assigned to the project review the personnel action to approve whether the position is covered in the budget. If covered, assigns the object code and fringe rate (benefited, non-benefited) based on the budget.* 4. *Approved Personnel action received by HR. HR coordinator contacts new hire to complete the new hire paperwork (includes W-4, emergency contact information, DE-4, CA notice, Handbook Acknowledgement, Confidentiality statement etc.) and Everify process. If sensitive position, provided also Livescan forms and instructions.* 5. *New hire completes all the documents, livescan (if sensitive position),review handbook and policies, completes e-verify. Once all the paperwork is completed, employee and project director receives message that onboarding process has been completed.* 6. *Employee receives SJSU id, SJSU email, instructions on activating SJSU email, employee dashboard and how to complete timesheet semi-monthly.*
Extensions	1. If an employee is currently non-benefited and the project director/hiring manager would like to convert them to a benefited position, project director must complete the recruitment process before initiating personnel action. 2. If information submitted by project director/hiring manager in step 2 is not in the budget and OSP rejects the personnel action, project director/hiring manager must correct the information in line with project budget before resubmitting for approval. 3. IF a new hire is not able to provide valid work authorization documents he/she will not be hired.

	4. If the new hire did not clear Livescan satisfactorily, he/she will not be hired.
Priority	*High*
Special Requirements	*Required notices by federal and state agencies, E-verify, Livescan*
Open Questions	*Does the vendor have its own e-verify system?*

HR UC-2	OnBoarding and Offboarding
Primary Actor(s)	*HR Coordinator I, HR Coordinator II & HR Generalist, HR Director*
Stakeholders and Interest	*Stakeholders are SJSURF PI's, Employees and HR Department*
Trigger	*PI or Department Head requests that a position be created or terminated due to project needs.*
Pre-conditions	*HR is notified that an employee is to be hired or terminated*
Post-conditions	• *Employee is on boarded, received all copies of necessary documentation, payroll information and is hired onto SJSURF payroll* • *Employee is terminated, receives their final check, received all required notices and COBRA information*
Main Success Scenario	*Hiring* 1. *HR Receives notification that a PI wishes to hire an individual to perform work on their project and submits the desired rate, fte and account number.* 2. *HR reaches out to the employee to collect new hire paperwork and complete e-verification.* 3. *Employee is provided video tutorials on all SJSURF functions (payroll and timecards, work schedule establishment, interacting with management, Discrimination Harassment Retaliation Prevention Training, SJSURF DEI Training) and are provided all compliance documentation.* 4. *HR transfers data from the hiring ATS to the ERP System for payroll* *Termination* 5. *HR Receives notification that a PI wishes to terminate or separate an individual from SJSURF payroll.* 6. *HR notifies the PI to submit a separation request via an Appointment Form and final timesheet for the employee at least 5 days before the termination date.* 7. *HR Coordinator receives the Separation Appointment Form and timesheet, prepares a termination check request and sends the information to payroll to process.* 8. *Employee is provided their final check on their last day of employment, HR Coordinator II reaches out to the employee to conduct an exit interview and collect any necessary company materials.*

	9. *HR Coordiantor II then provides the employee with all required notices for termination in compliance with applicable state law as appropriate for their employment status.*
Extensions	If Condition, then Alternative Steps
	1. Benefited Employee
	a. In the event that the employee being hired is working at 75% FTE or higher the position is required to be posted on all required sites and an offer cannot be made until 7 days have passed. See Recruitment Process
	b. When Terminating, a benefited employee receives a cobra packet to continue benefits coverage if required. Termination Dates are entered in the ERP system, I-9 system and PEoplesoft Email system.
	2. Non Resident Employee
	a. In the event that an employee is a non-resident HR will provide additional documentation to the employee, See Non Resident Tax Compliance Process
	b. When Terminating a Non resident employee, additional termination dates are supplied within the NRA Tax compliance software.Termination Dates are entered in the ERP system, I-9 system and Peoplesoft Email system.
	3. Faculty Employee
	a. In the event that a faculty employee is hired, the PI intiates a separate process in which appointment data (hourly rate, FTE, account number) are reviewed by SJSU Faculty Affairs and approved or denied.
	b. When terminating a Faculty Employee. Termination Dates are entered in the ERP system, and I-9 system
	4. Student Employee
	a. In the event that a student employee is being hired, HR is notified that additional paperwork should be collected (class schedule)
	b. When terminating a student employee, Termination Dates are entered in the ERP system, I-9 system and Peoplesoft Email system.
Priority	*High*
Special Requirements	*None*
Open Questions	*None*

HR UC-3	Compliance Reporting
Primary Actor(s)	HR Coordinator I & II, HR Generalist, HR Manager, HR Director
Stakeholders and Interest	SJSURF Central Office HR Department, SJSURF
Trigger	Federal, State or Other Compliance requirement
Pre-conditions	All SJSURF Employee and Benefits Data is present in the HRIS.
Post-conditions	Fully furnished and ideally convertible output of required report
Main Success Scenario	1. Agency or Department (Federal or State) has a requirement for Employee or Benefits Data organized in a specific format. 2. Agent (HR Coordinator, Generalist or Manager) is able to run a module/report to supply the data in line with the information request using check date, employment dates, or annual reporting prompts entered by the Agent.
Extensions	In the event that a *module/report to supply the data in line with the information request using check date, employment dates, or annual reporting prompts is not available…* 1. Agency or Department (Federal or State) has a requirement for Employee or Benefits Data organized in a specific format 2. Agent (HR Coordinator, Generalist or Manager) is able to create the required report in the HRIS or parallel system by requesting the data already present in the system in an organized and accessible manner by required prompts. 3. Upon Completion of the created report, the Agent reviews the report for accuracy in comparison with the employee or benefits data in the HRIS 4. After completion of the review, the Agent will then provide the report to the requesting Agency or Department via its preferred method of reception. 5. If employees are to be notified in accordance to said Agency or Department reporting requirements, The Agent will be responsible for fulfillment via the necessary communication method (email, postage or otherwise).
Priority	High
Special Requirements	HRIS System that houses all employee demographic, compensation/wage, ethnicity, benefits enrollment data. Ideally the HRIS would also integrate with our ATS system.
Open Questions	<Notes and questions>

HR UC-4	Personnel Action
Primary Actor(s)	*HR Coordinator, HR Generalist, HR Manager, Director,Employee, Project Director, Project Mangers, OSP*
Stakeholders and Interest	*HR Department, Project Directors (PI), Project Managers, Employees*
Trigger	*Reappointment* *Change of Position/Status (notification)* *Change of Account* *Add Account* *Salary Action* *Termination* *Employee Data Changes – (DD, Withholding, Address Changes)*
Pre-conditions	*Employee is already in the HRIS database with active status. Project directors and account signers have access to request/originate changes and OSP has access to approve/deny.*
Post-conditions	*New account, reappointment, salary action, termination or employee data changes happen in real time once HR approves.*

Main Success Scenario	1. Reappointment
	
	    1. Upon Approval by HR the assignment is extended and the new end date is recorded by the HRIS and accessible to payroll
	
	2. Change/Add Account
	
	    1. Upon Approval by HR the assignment is extended and the new end date is recorded by the HRIS and accessible to payroll.
	
	3. Salary Action
	
	    1. HR Manager/ HR Director Review proposed changes and provide approval or denial. Upon approval the pay date data is updated in the system in line with current payroll pay period requirements and an acceptable start date.
	
	4. Termination
	
	    1. HR prepare any necessary documentation regarding termination and send it to the employee
	
	5. Employee Personal Data Changes
	
	    1. HRIS sends the updated employee information to all relevant systems to ensure accurate information is consistent and relevant benefits are also updated.

Extensions	6. Reappointment

1. *A current PI and Current employee both receive notification via automated system message to their email stating that the employee's assignment is scheduled to end.*

2. *The PI/account signer knows that help is still needed with the project and thus wishes to extend the assignment. ThePI/account signer extends the assignment for the employee via credentialed log in and the data is sent to OSP for approval.*

3. *OSP reviews the extension date to make sure it is within project period and approves by assigning object code.*

4. HR Director/HR Manager reviews the request and approves it. If Denying, please see "Extensions" section.

5. Upon Approval by HR the assignment is extended and the new end date is recorded by the HRIS and accessible to payroll

7. Change/Add Account

   1. *A current PI receives a new project with an employment budget and would like to change/add that project for an existing employee so he/she can work on that project.*

   2. *The PI/account signer logs in and locate the employee in the system. Adds or change the current assignment by adding start date, end date, salary and the project account number.*

   3. *OSP reviews the data to make sure it is within project period and budget. If it is, it is approved by assigning object code.*

   4. HR Director/HR Manager reviews the request and approves it. If denying, please see "Extensions" section.

   5. Upon Approval by HR the assignment is extended and the new end date is recorded by the HRIS and accessible to payroll.

8. Salary Action

   1. A PI would like to provide a salary increase to an employee on a current project.

   2. The PI submits a request via credentialed login to increase the hourly rate of employees on their project by providing start date, end date, salary increase and project number.

   3. OSP reviews the requested salary action, checks budget to make sure funds are available and approves or denies based on availability. Upon approval by OSP the request is sent to HR.

   4. HR Manager/ HR Director Review proposed changes and provide approval or denial. Upon approval the pay date data is updated in

<table>
<tr><td rowspan="2"></td><td>the system in line with current payroll pay period requirements and an acceptable start date.</td></tr>
</table>

9. Termination

    1. PI is notified by a current employee that they are no longer going to work on the project and provides their two week notice.

    2. PI initiates a Termination request via credentialed login with the proper end date and termination reason code as well as forwards any appropriate documentation provided by the employee to HR.

    3. HRIS system notifies the PI that a final timesheet and appropriate documentation should be sent to HR.

    4. HR reviews the termination request and approves it if appropriate documentation is received.

    5. Payroll receives a request from HR to produce a final check for the employee on their date of termination.

    6. HR prepare any necessary documentation regarding termination and send it to the employee

10. Employee Personal Data Changes

    1. Employee is provided an automated system onboarding email which contains credentialed login information and instructions on how to submit changes to demographic data (Address/Dependents/ Withholding/ Direct deposit).

    2. Employee decides to move from their current address and submits a request for this information to be updated via credentialed login.

    3. Upon receipt of the request from the employee HR reviews the request and approves if all data provided is appropriate.

    4. HRIS sends the updated employee information to all relevant systems to ensure accurate information is consistent and relevant benefits are also updated.

Priority	*2, High*
Special Requirements	*Approval from of Office of Sponsored Programs* *Approval from HR Director and HR Manager*
Open Questions	*Vacation Request and Approval System?*

HR UC-5	Recruitment Process
Primary Actor(s)	*HR Manager, Project Director, Project Mangers, OSP*
Stakeholders and Interest	*SJSURF Central Office HR Department, Project Directors (PI), Project Mangers, New Hires*
Trigger	• *Grant Acquisition* • *Project/Departmental need indicated via communication from Project Director/Designee or Project Manager*
Pre-conditions	• *Applicant Tracking System that feeds applicant data into HRIS system* • *Applicant Tracking System has data storage component that can hold employee resume and cover letter data.* • *Applicant Tracking system has features to preserve DEI aspects of the hiring process that does not discourage/prohibit members of protected status groups to apply or from selection.*
Post-conditions	*Employee is hired toa benefited position with SJSURF*
Main Success Scenario	*Anytime there is a need for personnel in a grant project or department a PI is able to reach out to SJSURF HR to request recruitment for the proposed position. OSP serves as the initial contact and forwards the request to the HR Manager to begin recruitment activity after checking that the grant/department is able to accommodate said request.*

Extensions	1. Grant Acquisition
	
	   1. *A PI receives grant funding from a sponsor and needs to hire the correct personnel to work on their SJSURF project.*
	
	   2. *When funding is received by SJSURF, OSP provides PI Orientation which lists all of the aspects of running a grant project with SJSURF and is informed the HR department can assist with recruitment.*
	
	   3. *PI reaches out to HR to help develop a job description and get the position posted on all required and ancillary sites.*
	
	   4. (see steps 2 -9) of Section 2.
	
	2. Project/Departmental need
	
	   1. PI or Project Manager is aware that there is a need for personnel to fill a vacancy on their team and requests permission from OSP to open recruitment.
	
	   2. OSP Checks the project/department budget and forwards the request via a ticketing system (or email) to the HR department if the requested position can be accommodated.

	3. HR Manager receives the request to recruit and works with the PI/Hiring Manager on development of the job description, posting date, special job boards to be posted to and desired number of hires.
	4. Once the Job description details are submitted, HR Manager posts the position on all required sites and applicable job boards with a link to the SJSURF HR Applicant Tracking System for the candidates to apply via online method.
	5. *The PI or Project Manager is sent a list of qualified candidates based on the preferences outlined in the job description and pre-designated within the ATS by the HR Manager as they apply.*
	6. *The ATS tracks all candidates and both the HR Manager and the PI/Project Manager are able to review all candidates approving and rejecting individual candidates with reasoning provided, only viewable to the PI and HR Manager.*
	7. *Upon receiving good candidates, PI/ Project Manager or HR Manager reaches out the individuals via the ATS to schedule interviews in line with SJSURF recruitment practices.*
	8. *Once the PI or Project Manager has decided which candidate to offer the position to, they notify the HR Manger via the ATS or email and the HR Manager prepares and sends an offer letter to the candidate.*
	9. Upon completion of the offer letter process. The HR Manager transfers the data from the ATS into the HRIS and all remaining new hire forms are sent to the employee via automated system (HRIS or ATS) and a notification is sent to the PI once all required paperwork and e-verify has been received.
Priority	*-High*
Special Requirements	3. SJSURF HR Ticketing System 4. ATS and HRIS Integration 5. Manual Job description creation

Open Questions	None

HR UC-6	Performance Management
Primary Actor(s)	*HR Generalist, HR Manager, HR Director*
Stakeholders and Interest	*Stakeholders are SJSURF PI's, Employees and HR Department*
Trigger	*Annual Performance Appraisal Process*
Pre-conditions	*Employee is hired with SJSURF in a benefited position*
Post-conditions	*Employee receives annual performance review with Supervisor, Review is then filed and included in the employee Personnel File*
Main Success Scenario	1. *ERP System is able to house employee performance data.* 2. ERP System is able to distribute performance self-appraisals to their supervisor through an online portal. 3. Supervisor is able to review self-appraisal and complete their own appraisal of the employee performance and send that to the executive Director for approval. 4. Upon approval Supervisor is able to transmit performance appraisal documentation back to the employee and sets up a meeting to discuss.
Extensions	If Condition, then Alternative Steps ● HR drafts the memo/email notifying benefited employees and project directors about the process documents, timeline for each step. ● HR conducts performance management training for Central Office and Project employees. ● Central Office employees complete self Evaluation on Performance Appraisal form and send it to their Manager. Manager level employee also provides 3 names of peers they have worked with during the year for Peer Evaluation. ● NASA employees go through this process between 2/1 to 1/30 of each year in line with their increases ● Project employees complete self Evaluation on Performance Appraisal form and send it to their Manager. ● Manager/director reviews self evaluation and completes manager section of employee review. ● Manager reviews self evaluation and completes manager section of employee review. For manager level employees, send out the peer evaluation form to the 2 names listed by employee. Review th peer evaluation form before completing employee evaluation.

	● Manager sends the completed review to the Project/Dept. director for review before administering it. If any changes needed, manager and director discuss and include agreed upon ● Manager meets with employee to provide feedback and discuss the goals for next evaluation period ● Employee and manager agrees on the goals and sign off on the review. ● Completed Evaluation is sent to HR for signature and filing.
Priority	*High*
Special Requirements	*None*
Open Questions	*None*

HR UC-7	Retirement plan Enrollment
Primary Actor(s)	*HR Generalist, HR Manager, HR Director*
Stakeholders and Interest	*Stakeholders are SJSURF Employees and HR Department*
Trigger	*Completion of SJSURF Non Elective Deferral Qualifications*
Pre-conditions	*Employee is hired with SJSURF in a benefited position and is not a member of any of the excluded employees which include:* • *Employees under the age of 21* • *Certain nonresident aliens who have no earned income from sources within the United States* • *Employees who normally work less than 20 hours per week* • *Employees who are enrolled as students and regularly attending classes* • *Faculty of San José State University*
Post-conditions	*Employee is auto enrolled into Non Elective Deferrals for SJSURF's retirement plan.*
Main Success Scenario	1. *Upon Completing 1 year of benefited services with at least 1000 hours worked an SJSURF benefited employee will be automatically enrolled into the RF Non Elective Deferral Plan for retirement savings.* 2. *The ERP System will be able to recognize and grant the contribution based on the seniority date of the employee and hours worked.*

Extensions	*If Condition, then Alternative Steps*
	
	• *What happens if I'm a Participant, terminate employment and then I'm rehired?*
	    a. *If you are no longer a Participant because of a termination of employment, and you are rehired, then you will be able to participate in the Plan on the date on which you are rehired if you are otherwise eligible to participate in the Plan*
	    b.

Priority	*High*
Special Requirements	*None*
Open Questions	*None*

HR UC-8	Compliance Training
Primary Actor(s)	*HR Generalist*
Stakeholders and Interest	*Stakeholders are SJSURF Employees and HR Department*
Trigger	*Employee is hired and on boarded by SJSURF HR*
Pre-conditions	• *Employee is hired by SJSURF*
Post-conditions	*Employee is auto enrolled in all compliance training courses including but not limited to:* • *Discrimination Harassment Retaliation Prevention Training (Supervisor/Non-Supervisor)* • *SJSURF Diversity Equity and Inclusion Courses*
Main Success Scenario	1. *Upon being hired, an employee is enrolled in an interactive compliance course depending on their status as a supervisor or non-supervisor indicated by the HRIS* 2. *All SJSURF Employees are Enrolled into Diversity Equity and Inclusion Course.*
Extensions	*If Condition, then Alternative Steps* 1. *Depending on Supervisor or Non Supervisor status employees are enrolled into the corresponding correct discrimination course.*
Priority	*High*
Special Requirements	*Interaction/Compatibility with Sum Total's CSULearn.*
Open Questions	*None*

HR UC-9	Benefits Billing Reconciliation
Primary Actor(s)	*HR Coordinator II, HR Director*
Stakeholders and Interest	*Stakeholders are the SJSURF HR Department who has a vested interest in ensuring billing matches with employee contributions and deductions. SJSURF Finance and Accounting also shares interest in this as they make all required SJSURF payments.*
Trigger	*SJSURF Receives a bill or invoice for Employee benefits.*
Pre-conditions	*SJSURF HR contracts with a benefits broker or vendor who sends monthly or annual billing to SJSURF AP.* *Current Billing Includes: Active Employee Medical, Retiree Medical,Dental, Vision, Life Insurance, Employee Assistance Program, Retirement Contribution processing, Employee Parking,* *ERP system is able to create CDD reports collecting employee contribution and deduction data on a monthly or annual basis based on pay check dates.*
Post-conditions	*SJSURF HR is able to run a payroll report that lists all active employee CDH contributions and deductions into excel to reconcile received invoices with actual payroll contributions and deductions with date prompts to run the report as needed for monthly or annual reconciliation. The invoice is paid by SJSURF AP.*
Main Success Scenario	1. *SJSURF AP and SJSURF HR receive an invoice or bill from a benefits broker or vendor* 2. *HR Coordinator II reviews the bill/invoice and runs the appropriate payroll report detailing the period of performance indicated by the invoice.* 3. *HR Coordinator II then compares invoiced items to actual contribution and deduction data.* 4. *HR Coordinator II then prepares a requisition for payment of the invoices and sends it to the HR Director for review and approval.* 5. *Upon approval of the requisition. HR Coordinator II submits the approved requisition to SJSURF AP for payment.*
Extensions	*If Condition, then Alternative Steps* 1. *If Billing Reconciliation is not completed satisfactorily, HR Coordinator II will identify discrepancies and reach out to the vendor of the appropriate category to correct the invoice before payment.* 2. *If an employee fails to submit timesheets or employee deductions are set up incorrectly, HR Coordinator II will reconcile by adding*

	additional deductions or contributions to balance out discrepancies during the next billing cycle.
Priority	*High*
Special Requirements	*Email*
Open Questions	*None*

HR UC-10	Non Resident Tax Compliance
Primary Actor(s)	*HR Coordinator II, HR Generalist, HR Director*
Stakeholders and Interest	*Stakeholders are the SJSURF HR Department who has a vested interest in ensuring non-resident employees are taxed correctly and the employees themselves*
Trigger	*SJSURF hires a non-resident individual.*
Pre-conditions	*ERP system is able to house employee tax withholding information and process various situations with regard to tax situations.*
Post-conditions	*Employee is hired, their taxes are set up within the ERP system where they can be manipulated based on applicable tax law and residency status information provided by the employee.*

Main Success Scenario	*1. SJSURF HR receives completed appointment document.*
	
	2. SJSURF HR reviews the appointment, if it indicates the new hire is F-1/J-1 student or H1b (Nonresident Visa) Additional information is collected.
	
	3. HR Coordinator I reaches out to intended NRA new hires to provide required documentation. Required Documents are:
	
	    a. SSN
	
	    b. I-20/DS -2019
	
	    c. I-94
	
	    d. Visa/Passport
	
	4. SJSURF HR will analyze the I-20, I-94, DS2019 forms and ask questions about how many days a potential hire has been present in the US on their current and preivous Visa statuses
	
	5. SJSURF also reviews the Passport to determine if a potential hire is eligible to receive a Tax Treaty
	
	6. SJSURF reviews the employee's stated dates of presence against the substantial presence test per IRS regulations and checks on current Tax Treaties with the new hires home country.
	
	7. If an employee is still considered nonresident for tax purposes, they will be FICA exempt until they become resident alien for tax purposes. Employee can only complete their W-4 as S-0 or S-1 unless they are from India or South Korea.
	
	8. Completed W-4, Federal withholding form, and State Withholding form, CA DE-4 are collected. If an employee is eligible for a Tax Treaty, form 8233 is collected with any supporting documentation.

	8233 form is approved by HR and faxed to IRS. If no denial is received from IRS within 10 days, employee can be exempt from paying federal taxes for that calendar year. 9. *Completed forms and supporting documents are collected for record keeping.*
Extensions	*No SSN* 1. *If NRA new hire doesn't have an SSN they will be directed to contact Social Security administration to request one.* 2. *SSA will take 2-3 weeks to generate and mail the SSN card to the employee* 3. *The Employee must wait until the SSN is received before working on any SJSURF Project* *Tax Treaty Renewal* 4. *SJSURF Tracks all payments to foreign entities and Non Resident individuals in a database with tax exempt status. In November of every year, the HR Team will run a report of all individuals claiming tax treaty benefits and request renewal before the incoming calendar year.* 5. *SJSURF also tracks residency status changes and updates them annually.* *1042-S Process* 6. *SJSURF Tracks all payments to foreign entities and Non Resident individuals in a database with tax exempt status. In January of every year, the HR Team will request Finance and Accounting foreign payment Data. HR will use the data from F& A in conjunction with HR PY Data to create forms 1042-S* 7. *Employees (income codes 18, 19, 20), Nonresident alien students/scholars who received a non-service scholarship/fellowship (income code16). Nonresident alien royalty recipients (income codes10 and 12). Other nonresident aliens (income code 23).* 8. *The HR Team will use the data gathered from F&A andits own payroll data to create forms 1042 for each individual who received the required income type.* 9. *Once all Individual/Entity Records and payment data have been entered. HR Generalist reviews for accuracy and corrects any errors* 10. *When satisfied that all forms are included, correct, and ready to distribute, you must choose the method of form distribution. 1042-SShould be distributed by February 12 so that foreign nationals may*

	begin to prepare their tax returns. Forms are distributed electronically
	11. *1042-S and form 1042 should be finalized by the first week March each year in case any corrections need to be made. Once 1042-S have been finalized, there is no going back.*
	12. *Prepare form 1042 by Entering payment witholding dates in each respective month and day range category.. Once prepared the HR Team will submit the form to the HR Director for review and approval. The HR Director Reviews and Signs the form. The HR Team mails the form via certified mail with tracking capability before March 15th each year.*
Priority	*Medium*
Special Requirements	*Non Resident Tax Compliance Software*
Open Questions	*None*

HR UC-11	Workers Compensation
Primary Actor(s)	*HR Generalist, HR Director*
Stakeholders and Interest	*Stakeholders are the SJSURF HR Department who has a vested interest in ensuring employees are treated for their work related injuries and we are creating a safe work enviornment.*
Trigger	*SJSURF employee is injured while working.*
Pre-conditions	*ERP System is able to house information related to employee injuries including date, type of injury, work location and any provided resolution that was derived from investigation and correction of hazards.*
Post-conditions	*Employee injury claim is investigated and the employee is directed to follow up care for their covered injury or illness. SJSURF Claim administrator Sedgwick CMS performs all necessary follow up. SJSURF HR files all necessary documentation in the employee personnel file.*
Main Success Scenario	1. *During the New Hire Process employees are provided a Pre-designation form to designate their own doctor for worker compensation injury treatement. Doctor must sign off the form. Completed form must be on file before any injury occurs. Employee will be referred to nearest WC doctor if the form is not on file.* 2. *When an employee is injured or becomes ill on the job, and the injury or illness is work-related, the employee MUST IMMEDIATELY notify their assigned manager or supervisor, or call Human Resources directly, unless doing so would hurt the employee or delay medical assistance.* 3. *Supervisor/HR refers to the employee to nearest WC doctor for treatment or employee can go to pre designated doctor for treatment. Supervisor completes the incident report and sends to HR via email.* 4. *HR collects Injury/Illness Investigation Report from the Supervisor/employee. HR completes WC 4512 and send it to Sedgwick. This will include details about employees' employment and incident. HR also completes DWCl which includes employee information and WC carrier information and send it to the employee. The incident is logged on Form 300 and OSHA Form 301.* 5. *HR keeps track of doctor's note and restrictions and notify manager as needed. Log any days missed or restrictions information on Form 300.*
Extensions	*Serious Injury Situation* • *For serious injuries manager/HR may have to arrange transportation for the employee to the appropriate medical facility using the Preferred Providers Clinics list. If the injured or ill employee is a*

	student of SJSU, then refer the student to the SJSU Student Health Center. *Monitoring of Injured Status* • *HR works with employee and WC carrier to check on the status of employee recovery. If employee needed to be on leave, employee also receives FMLA/CFRA documentation. Refer to Leave of Absence process for details.* • *Once employee recovers and come backs to work with or without restrictions, follow the interactive process to accommodate any restrictions. If accommodations cause hardship, employee may be terminated.* *Annual Filings:* • *Annually SJSURF HR reviews all forms 301 on file and transfers the information into form 300 which records every injury for the calendar year and is required to be kept on file for 5 years.*
Priority	*Medium*
Special Requirements	*HR keeps separate files for Worker's Compensation claims for each injury for the life of the business per federal guidelines.*
Open Questions	*None*

Payroll
Use Case Scenarios

PY UC-1	Payroll Interface with HRIS
Primary Actor(s)	HR, Payroll, Employee, PI
Stakeholders and Interest	Other supervisors/managers
Trigger	Employee information from HRIS is used to effectively process payments for active employees.
Pre-conditions	New hires and changes are processed by HR and then audited by payroll for accuracy.
Post-conditions	Payroll processes payments.
Main Success Scenario	1. HR processes appointment forms, including entering new hires and making changes. 2. Payroll reviews changes completed by HR before processing begins. 3. All non-exempt employees will punch in and punch out for the applicable pay period. Hours for exempt employees will be system generated based on their FTE and employees will need to review and submit for the applicable pay period. 4. If there is a holiday, the system will assign holidays hours to eligible employees based on FTE. 5. Sick and vacation hours will also be added to the employee's timesheet if the employee has requested PTO and the hours have been approved by their supervisor. 6. Supervisor will then review and approve timesheets for direct reports. 7. Payroll accountant imports timesheets and closes the pay period. 8. System will send automatic reminders to employees and supervisors if action is still required. 9. Payroll technician audits timesheets and makes appropriate changes as indicated by the employee and supervisor, if any. System should automatically make most changes, such as picking up on overtime hours. 10. Payroll accountant reviews the final payroll for accuracy. 11. HR manager conducts a final review. 12. Payroll accountant pulls a reconciliation report for auditing. 13. Payroll is posted. 14. System prepares tax deposit files for payroll accountant to audit. Once approved, system will submit tax deposits. 15. System uploads EFT to bank. 16. Payroll accountant pulls retirement deduction and contribution report to be sent to HR for review and submission. 17. Payments are issued on pay date.
Extensions	● Submit out of state tax deposits. ● Submit quarterly filings.
Priority	High
Special Requirements	● Allow different start and end dates for assignments. ● Allow multiple assignments on different projects. ● Allow employees to report to different supervisors. ● Rely on system to enter holiday hours for eligible employees.

	• Audit hours submitted by employees based on FTE.
	• Apply overtime rules and regulations for various states.
	• Calculation of retro payments.
	• Assistance with calculating different types of payments such as supplemental pay and apply the correct tax withholdings.
Open Questions	What kind of reports and payroll record capabilities does the system provide that will make providing information to auditors easy? Does it comply with multiple state overtime laws?

PY UC-2	Online Timecard
Primary Actor(s)	Employee and PI (account signers)
Stakeholders and Interest	Payroll and other applicable managers/supervisors
Trigger	Employees need to submit hours worked for the correct account, for approval.
Pre-conditions	Employee is authorized to work on the project and the assignment is entered in HRIS. Employee can then report hours worked.
Post-conditions	Hours are submitted for the correct account by the employee and are then reviewed by the PI (account signer). Once approved, payroll will review and process payment.
Main Success Scenario	1. Non-exempt employees punch in and out and input hours worked for the correct account, for the applicable pay period. 2. System will assign hours for exempt employees based on FTE and the employee will review and submit the hours for approval. 3. Holiday hours will be assigned to eligible employees based on FTE. 4. Sick and vacation hours will be inputted to the employee's timesheet after approval by their PI. 5. Employee submits timesheet to PI for approval. 6. PI reviews hours and makes sure it is for the correct account. 7. PI approves, rejects, or returns timesheet to employee for revisions. 8. Automatic reminders are generated if action is still required by the employee or supervisor. 9. An approved timesheet will be audited and processed by payroll. 10. Payroll issues payment to the employee.
Extensions	● Payroll will reach out to the employee and PI if additional changes need to be made to the timesheet.
Priority	High
Special Requirements	● Ability to submit hours for multiple accounts. ● Approval of hours from multiple account signers. ● Different assignment start and end dates. ● Detect overtime hours and apply correct state rules and regulations.
Open Questions	Does the vendor allow for employees to allocate hours to multiple accounts and receive approval by different account signers?

PY UC-3	W-2 Processing
Primary Actor(s)	Payroll Accountant
Stakeholders and Interest	Employee and Social Security Administration
Trigger	Employee worked and was paid wages during the applicable calendar year.
Pre-conditions	Wages were paid to the employee from which income, social security, and medicare taxes are withheld.
Post-conditions	A W-2 form is furnished to the employee that details all wages and salary paid to them, along with amounts withheld for taxes and benefits. W-2s and W-3 forms are submitted to Social Security Administration.
Main Success Scenario	1. Reconcile and produce W-2 forms. 2. Distribute W-2 forms to employees via U.S Mail by January 31st of the following tax year. 3. Submit forms W-2 and W-3 to Social Security Administration via online portal by January 31st of the following tax year.
Extensions	● Reconcile quarterly 941 forms with W-2/W-3 forms.
Priority	High
Special Requirements	● Make W-2 forms accessible to employees via an online portal. ● Automatic distribution of W-2 forms to employees via U.S Mail by system. ● Automatic submission to SSA by system. ● Easy reconciliation of W-2 Forms with 941 quarterly forms.
Open Questions	1. How can the system assist if the employer needs to furnish a corrected W-2 form?

PY UC-4	Federal and State Tax Deposits
Primary Actor(s)	*Payroll Accountant*
Stakeholders and Interest	*Finance and employees*
Trigger	*Wages are paid to the employee and federal and state taxes are withheld*
Pre-conditions	*Employee submits a timecard for hours worked or requests other forms of compensation such as a one-time payment and vacation payout.*
Post-conditions	*Payroll must submit federal and state tax deposits after withholding federal and state taxes from an employee's pay.*
Main Success Scenario	1. *Payment is issued to the employee and federal and/or state taxes are withheld.* 2. *Payroll accountant submits tax deposits to EFTPS and EDD by the deadline.* 3. *For pay day Wed, Thurs, or Fri. payment is due by following Wed.* 4. *For pay day Mon, or Tues. payment is due by following Fri.* 5. *Out of state tax deposits are submitted on a monthly basis.*
Extensions	• Reconciliation of tax deposits with contributions and deductions. • Finance approval of payments.
Priority	*High*
Special Requirements	• *Automated federal and CA state tax deposits are made to EFTPS and ED by the deadline.* • *Automated Submission of tax deposits for different states.*
Open Questions	*N/A*

PY UC-5	Quarterly Federal and State Reporting
Primary Actor(s)	*Payroll Accountant*
Stakeholders and Interest	*Finance*
Trigger	*Employer pays wages to employees within the calendar quarter.*
Pre-conditions	*The employee works and receives payment from the employer, from which federal and state taxes are withheld.*
Post-conditions	*Employer submits forms DE 9 and DE 9C for California employees and form 941 for federal reporting.*
Main Success Scenario	*1. Employer submits quarterly contribution return and report of wages (DE9 and DE9C) to EDD.* *2. Employer submits quarterly federal tax return (Form 941) to IRS.*
Extensions	• Reconcile and audit information. • Provide payment if necessary.
Priority	*High*
Special Requirements	• *Automated reporting* • *Multiple state reporting*
Open Questions	*Can the system file federal and state quarterly taxes on behalf of employer?*

PY UC-6	New Hire Reporting
Primary Actor(s)	*Payroll Accountant*
Stakeholders and Interest	*New Hires and rehires*
Trigger	*An employee is hired or rehired and must be reported to the state of California.*
Pre-conditions	*An employee is hired or rehired into a vacant position and their information is enter in the system.*
Post-conditions	*The new hire begins working and must be reported to the state of California.*
Main Success Scenario	1. *A new employee is hired or rehired.* 2. *New hires and employees rehired, after separation of at least 60 consecutive days, must be reported within 20 calendar days of the employee's start date to the state of California.* 3. *Employee and employer information is submitted to EDD.*
Extensions	• *Information such as employer EDD account number and FEIN is required.* • *Information such as employee first name, middle initial, last name, SSN, address, and start of work date is required.*
Priority	*High*
Special Requirements	• *Automated new hire reporting to EDD and other states with similar requirement.*
Open Questions	*N/A*

PY UC-7	Garnishments
Primary Actor(s)	*Payroll Technician*
Stakeholders and Interest	*Employee*
Trigger	*Employer receives a garnishment order for an employee from an agency.*
Pre-conditions	*Employee owes money to an agency or must pay debt.*
Post-conditions	*Employer withholds an amount from the employee's wages for the payment of debt.*
Main Success Scenario	1. *Employee receives a garnishment order for an employee.* 2. *Employer confirms if the employee is an active employee and corresponds accordingly to the order.* 3. *If withholding is required, the garnishment amount is calculated.* 4. *First pay period of withholding must be at least 15 days after receiving the order.* 5. *Employer notifies the employee of the garnishment order.* 6. *Withholding amounts are sent to the collecting agency.* 7. *Withholding order ends after the full amount is paid.*
Extensions	●
Priority	*High*
Special Requirements	● *Easy calculation of garnishment amount.* ● *Can handle multiple garnishment orders.* ● *Automatically ends withholding amount after full amount is paid.*
Open Questions	*What types of garnishments can the system help process?* *Can the system send payments directly to the collecting agency?*

PY UC-8	CA Multiple Worksite Reporting
Primary Actor(s)	*Payroll Accountant*
Stakeholders and Interest	*Employees on payroll*
Trigger	*State requirement that multi-location employers must provide employment and wage data for all of their establishments covered under one UI account.*
Pre-conditions	*Employer has employees on payroll at different worksites with a total of 10 or more employees.*
Post-conditions	*Employment and wage data by worksite is submitted to U.S Bureau of Labor Statistics (BLS).*
Main Success Scenario	*1. Employer determines they have more than one establishment, with a total of 10 or more employees, reporting under the same UI account number within CA.* *2. Information is collected for reporting: monthly employment counts, total quarterly wages paid, name and address of business, description of industry, and any comments describing significant changes in data.* *3. Data is submitted on a quarterly basis to BLS.*
Extensions	N/A
Priority	*Medium*
Special Requirements	• *Custom reports to retrieve employment and wage data.*
Open Questions	*Can the system assist with multiple worksite reporting for different states?*

PY UC-9	Current Employment Statistics Data Reporting
Primary Actor(s)	*Payroll Technician*
Stakeholders and Interest	*Employees on payroll*
Trigger	*A monthly survey required to be submitted by employers to provide current employment statistics to the U.S Bureau of Labor Statistics (BLS).*
Pre-conditions	*Employer is required to submit survey on a monthly basis.*
Post-conditions	*The survey is submitted to BLS with employment, hours, and earnings information.*
Main Success Scenario	1. *Collect employment, hours, and earnings estimates based on payroll records after each 26th payroll pay date.* 2. *Information for all workers is collected: Total employee count, total women workers, total gross, and total hours.* 3. *Information for nonsupervisory workers is collected: Total employee count, total gross, and total hours.* 4. *Submit data on BLS website.*
Extensions	N/A
Priority	*Medium*
Special Requirements	• *Custom reports*
Open Questions	*N/A*

Information Technology
Use Case Scenarios

IT UC-01	Support ERP system operations
Primary Actor(s)	*IT team*
Stakeholders and Interest	*IT teams, Finance and Accounting, OSP, HR/Payroll users, Principal investigators*
Trigger	*Research Foundation Operations need*
Pre-conditions	
Post-conditions	*<Condition after the use case is successfully executed >*
Main Success Scenario	1. *The system should be a configurable cloud-based software system that easily scales to the San José State University Research Foundation growing needs.* 2. *The system should allow accessibility via secure sign-on from any device. The system should support multi-factor login* 3. *The data are stored securely. The vendor should provide backup and restore services* 4. *Provide both production and test environment and provide Test refresh* 5. *Provide SOC 1 Type 2 Report and Bridge letter. Meet the CSU and the annual audit requirements* 6. *Provide 24 x 7 helpdesk support* 7. *Allow assigning users access based on the user's job functions.* 8. *Provide Admin tool to monitor system activities, and run SQL statement* 9. *Automate every facet of the SJSU Research Foundation business, but provide the report writing tool to build custom reports, and provide the workflow design to automate tasks in the way working for SJSURF; provide the workspace design tool to build workspaces meeting the users' need.* 10. Log system activities and key data field changes. 11. Allow import and export of data 12. Can store images and link support documents to transactions
Extensions	Simplify ERP adoption with pre-configured industry versions, but allow custom setup to meet SJSURF needs.
Priority	*High*
Special Requirements	The system must pass the SJSU Information Security Office evaluation
Open Questions	*Can the system provide OBDC connections to other local systems?* *Can the system use SJSU active directory for authentication?*

IT UC-02 A	*OSP Admin Workload and OSP QA Workload*
Primary Actor(s)	*IT Team including IT manager and Application System Analyst*
Stakeholders and Interest	*IT team, OSP team*
Trigger	*RF Operations/ business needs*
Pre-conditions	*All data will be added by OSP team*
Post-conditions	*Data will be sent to recipients of each item in each OSP queues – Recipients needs to work on the queues and approve the items*

Main Success Scenario	1. *OSP team add the data into this form including fields below:*
	   a. *OSP Manager*
	   b. *OSP Admin assistant*
	   c. *Priority*
	   d. *Complexity*
	   e. *Task description*
	   f. *Links (Cayuse and server)*
	   g. *Status*
	   h. *Note Updates*
	   i. *Date info such as deadline, assigned date and completion date(completion date should be automatically added when the status changes to complete)*
	2. *Recipients (OSP Manager and OSP admin assist) should receive the email about the queue with a link*
	3. *They should able to click on the link and get into the queues (after login if they have not logged in yet)*
	4. *OSP team should have access to the reports and to do list based on the the data entered by the other teammate.*
	5. *Report for OSP should have edit, Group by, Advanced Search, Column selection, advanced Sorting, Export options (PDF, CSV, Excel, Word, XML) , Direct Print functionalities*
	   a. *Advanced sorting(user should be able to choose one or multiple columns to sort based on the priority)*
	   b. *Advanced Search(User should have all kind of option for each column. Such as contain, not contain. This is based on the type of column as well. For example if the column is date, the available criteria should be related to date such as between, before, after, etc.*
	   c. *Group By (The user should able to able to group by based on one or multiple column whenever it is needed)*
	6. *To DO List report, this grid should have personalized report for each user so they can see their own to do list items including all features explained above. This report should be grouped by the status based on each users.*
	7. Charts. Users should have access to the chart based on the data above. An example is a chart based on status or based on the recipients.

Extensions	IT should able to modify all apps such as forms, grids and charts. Custom field should be available to be added to the form anytime the business needs are changed. Any change should be easy enough to be able to implement it in less than 5 business days.IT Need full access to database so new dependencies , columns,

	etc. can be added there and IT should be able to add new custom fields to the forms, grids, etc. as well
Priority	*High*
Special Requirements	*The system must pass the SJSU information Security Office evaluation*
Open Questions	*Can the system use SJSU SSO for authentication?* *Can the system use 2FA or MFA ?* *Do we have full access to database and create OBDC connection to other local systems?*

IT UC-02 B	OSP Pre and Post Workflow and OSP subaward
Primary Actor(s)	*IT Team including IT manager and Application System Analyst*
Stakeholders and Interest	*IT team, OSP team*
Trigger	*RF Operations/ business needs*
Pre-conditions	*All data will be added by OSP team*
Post-conditions	*Data will be sent to recipients of each item in each OSP queues – Recipients needs to work on the queues and approve the items*

Main Success Scenario	1. *OSP team add the data into this form (similar to other admin queue but not entirely the same)*
	2. *OSP Team should able to read the data from the emails sent to them by the system or going to the system manually*
	3. *The system should allow the end users to access and manipulate the data in form or multiple line(excel) mode*
	4. *OSP team should able to see a chart based on the assignee of each queue. IF it is a Pre Workload, They should able to see the data based on year, month and # week of the month.(basically grouped by the week of the year, then group by the Manager and then grouped by the deadline type)*
	5. *Report for OSP should have edit, Group by, Advanced Search, Column selection, advanced Sorting, Export options (PDF, CSV, Excel, Word, XML) , Direct Print functionalities*
	    d. *Advanced sorting(user should be able to choose one or multiple columns to sort based on the priority)*
	    e. *Advanced Search (User should have all kind of option for each column. Such as contain, not contain. This is based on the type of column as well. For example if the column is date, the available criteria should be related to date such as between, before, after, etc.*
	    f. *Group By (The user should able to able to group by based on one or multiple column whenever it is needed)*
	6. *To DO List report, this grid should have personalized report for each user so they can see their own to do list items including all features explained above. This report should be grouped by the status based on each users.*
	7. *Charts. Users should have access to the chart based on the data above. An example is a chart based on status or based on the recipients.*

Extensions	IT team should have full access to database and app so they can customize the app whenever it is needed.
Priority	*High*
Special Requirements	*The system must pass the SJSU information Security Office evaluation*
Open Questions	*Can the system use SJSU SSO for authentication?* *Can the system use 2FA or MFA ?* *Do we have full access to database and create OBDC connection to other local systems?*

IT UC-02 C	Service Agreement Log
Primary Actor(s)	*IT Team*
Stakeholders and Interest	*IT team, OSP team*
Trigger	*RF Operations/ business needs*
Pre-conditions	*All data will be added by OSP team*
Post-conditions	*The data should be available for specific group of team*

Main Success Scenario	1. *Data will be added by users for tracking and reporting purposes*
	 2. Data should be available to read or edit.
	 3. *Report for OSP should have edit, Group by, Advanced Search, Column selection, advanced Sorting, Export options (PDF, CSV, Excel, Word, XML) , Direct Print functionalities*
	    g. *Advanced sorting(user should be able to choose one or multiple columns to sort based on the priority)*
	    h. *Advanced Search (User should have all kind of option for each column. Such as contain, not contain. This is based on the type of column as well. For example if the column is date, the available criteria should be related to date such as between, before, after, etc.*
	    i. *Group By (The user should able to able to group by based on one or multiple column whenever it is needed)*

Extensions	IT team should have full access to database and app so they can customize the app whenever it is needed.
Priority	*Medium*
Special Requirements	*The system must pass the SJSU information Security Office evaluation*
Open Questions	

IT UC-02 D	ERA system
Primary Actor(s)	*IT Team*
Stakeholders and Interest	*IT team, OSP team,*
Trigger	*RF Operations/ business needs*
Pre-conditions	*All data will be added by a specific OSP member(s)*
Post-conditions	*Data should be saved securely since it has sensitive data and only be accessible by some members*
Main Success Scenario	1. *Data entry should be available for some OSP team members* 2. *Data should be editable* 3. *Data should be accessible only for some members*
Extensions	IT team should have full access to database and app so they can customize the app whenever it is needed.
Priority	*High*
Special Requirements	*The system must pass the SJSU information Security Office evaluation*
Open Questions	1) *This contains level 1 data. How do you encrypt this or secure the data*

IT UC-02 E	OSP Email sentbox
Primary Actor(s)	*IT Team*
Stakeholders and Interest	*IT team, OSP team*
Trigger	*RF Operations/ business needs*
Pre-conditions	*All emails sent by OSP team from any of the queues should be saved under here*
Post-conditions	*Data should be available to read and perform advanced searches*

Main Success Scenario	1. *Team members should have access to this to locate their sent box email*
	2. *Report for OSP should have Group by, Advanced Search, Column selection, advanced Sorting, Export options (PDF, CSV, Excel, Word, XML) , Direct Print functionalities*
	    j. *Advanced sorting(user should be able to choose one or multiple columns to sort based on the priority)*
	    k. *Advanced Search (User should have all kind of option for each column. Such as contain, not contain. This is based on the type of column as well. For example if the column is date, the available criteria should be related to date such as between, before, after, etc.*
	    l. *Group By (The user should able to able to group by based on one or multiple column whenever it is needed)*

Extensions	IT team should have full access to database and app so they can customize the app whenever it is needed.
Priority	*Medium*
Special Requirements	*The system must pass the SJSU information Security Office evaluation*
Open Questions	

IT UC-02 F	Security(User/group/app management , Log report)
Primary Actor(s)	*IT Team*
Stakeholders and Interest	*IT team*
Trigger	*RF Operations/ business needs*
Pre-conditions	*The system should have user/group /app management with log report of user actions*
Post-conditions	*Data should be available to read and perform advanced searches*
Main Success Scenario	1) User management including adding new users (This should be also available as self-service system for end users as well) and Edit user info or access 2) If the system is using the User/Group/App to give specific access to end users, then IT need to able to create these groups and able to give specific access to each of these apps based on what groups the users are in. Any other access management approaches should be available to edit by IT team 3) Log Report: All Users actions including Access, Edit, Delete , etc. with all details (Old and New data) should be recorded for audit purposes .
Extensions	IT team should have full access to database and app so they can customize the app whenever it is needed.
Priority	*High*
Special Requirements	*The system must pass the SJSU information Security Office evaluation*
Open Questions	*What kind of security access you are using?*

IT UC-03	**User Creation, Deletion, User Access**
Primary Actor(s)	*IT Team*
Stakeholders and Interest	*IT, HR and OSP*
Trigger	*HR Team*
Pre-conditions	*New employee come onboard*
Post-conditions	*Terminated employee*
Main Success Scenario	*User Creation:* 1. *Create new user account based on job function* 2. *Apply user permission* 3. *Require Two-Factor-Authentication for login* *User Deletion:* 1. *Delete user account* *Change User Access Permission:* 1. *Change user access based on job function* 2. *Apply user permission*
Extensions	If Condition, then Alternative Steps ~~<List any extended steps/ scenarios that occur, other than the main success scenario.>~~ N/A
Priority	*High*
Special Requirements	1. *Able to generate users log and users access report* 2. *Able to lock/unlock user account* 3. *Able to generate deleted user account report*
Open Questions	*<Notes and questions>* *N/A*

IT UC-04	**Hardware and Software Inventory**
Primary Actor(s)	*IT Team*
Stakeholders and Interest	*IT Team*
Trigger	*HR Team*
Pre-conditions	*Purchase new hardware*
Post-conditions	*Deploy new hardware*
Main Success Scenario	1. *Access ERP system for creating assets database.* 2. *Able to update asset inventory (adding/deleting/updating information).* 3. *Fields Required including: Make, Model, Serial Number, Asset Tag, Specs., Owner, Department, PO #, Purchased Date, Purchased Price, Vendor, Comments*
Extensions	If Condition, then Alternative Steps 1. *PO # to be sync with AP system (i.e., ability to pull asset info by PO #)* 2. *Link to Fixed Asset System (i.e., ability to pull report by attributed defined in Fixed Asset System)*
Priority	*Medium*
Special Requirements	1. *Ability to run inventory report (sorted by Purchased Date, Asset Type)* 2. *Generate system log (i.e., modified by, date, changes history)*
Open Questions	

IT UC-05	Reports Creation/Update
Primary Actor(s)	IT Manager, Application systems analysts
Stakeholders and Interest	Finance & Accounting, OSP, HR/Payroll, Research and Innovation, Campus departments, Auditors
Trigger	Business needs
Pre-conditions	Report requirements provided by the stakeholders
Post-conditions	The requester tested and approved the report
Main Success Scenario	1. Department sends the reporting requirement to the IT 2. IT staff create a draft report and email the department for testing 3. After the report is tested and approved by the department, IT put the report in the department folder 4. IT team maintains the reports and ensures the reports are working correctly during the system upgrade.
Extensions	
Priority	High
Special Requirements	Provide an admin tool to run SQL statements to test the report design. Provide a tool to back up and restore the reports. Provide a data dictionary.
Open Questions	Can the system provide ODBC to the local systems?

IT UC-06	Workflow Automation
Primary Actor(s)	*IT Manager, Application systems analysts*
Stakeholders and Interest	*IT teams, Finance and Accounting, OSP, HR/Payroll users, Principal investigators*
Trigger	*Business need*
Pre-conditions	*Stakeholders send the requirement to the IT team*
Post-conditions	*Stakeholders tested and approved the workflow modules*
Main Success Scenario	

Main Success Scenario

1) **Timecard Approval**
   - Employee enters the hours, selects the timecard signer, and submits the timecard for approval
   - The system sends a receipt to the employee and routes the timecard to the signer for approval
   - The signer uses the email to approve/reject the timecard or logs in the system to approve/reject the timecard.
   - The system records the signer's decision and notifies the employee

2) **JE Approval**
   - OSP, F&A, HR/PY staff input the JE data and attach the support document, and then submit the JE for approval
   - The system email the JE to F&A manager in the JE approval role for review/approval
   - F&A manager approves/rejects the JE.
   - If the JE is approved, the system will route the JE to F&A staff in the posting role to post the JE and inform the creator. If the JE is rejected the system will inform the JE creator.

3) **Send Technical, Fiscal Reports Due reminder to PIs.**
   Send report due reminders to the recipient based on the report type. For report type "TECH", email the project PIs & Analysts managing the projects; for report type "COI" and "CSTSHAR", and all other report types, email Analysts only.

4) **Send the next 2-month Account End Soon reminder to the PIs and the Analyst managing the accounts.**

5) **Notify PIs of the expiring faculty appointments**

6) **Notify PIs and HR of the outstanding Vacation and Sick balance**

7) **Notify F&A of the expiring 34 accounts**

8) **AP EFT Notification to Payee**
   Notify the Payee of the payment detail and payment amount

9) **PY EFT Notification to Employees**

	Notify the payment amount. The employee will log in to the employee portal to view the payment detail.
Extensions	*Use SJSU google service mail to send and receive emails.*
Priority	*High*
Special Requirements	The system can log the workflow activity. Provide admin tool for troubleshooting. Provide a test environment for setup and testing the automation processes.
Open Questions	*Can the system provide ODBC to the local systems?*

IT UC-07	Build/Maintain Dashboards
Primary Actor(s)	*IT team*
Stakeholders and Interest	*Finance & Accounting, OSP, HR/Payroll, Research and Innovation, Campus departments, Principal investigators*
Trigger	*Business need*
Pre-conditions	*Stakeholders send the requirement to the IT team*
Post-conditions	*Stakeholders tested and approved the dashboards*
Main Success Scenario	1. *Users can get real-time visibility into costs, inventory, operations, and financials.* 2. The system provides a design tool to setup and troubleshoot the workspaces 3. *User can drill down to details. The system filters the return data based on the users' access.* 4. *Below are a few workspaces used in the current ERP system.* 1) *PI online workspace - allow Principal investigators(PI) to manage the projects and approve the staff's timecards. The system should filter the data based on the Principal investigator's access before displaying the information on the screen.* 2) *OSP Dashboard – shows five years of award/proposal activities and five years of expenditures.* 3) *CO Dashboard - Shows Central office budget and expenses* 4) *R&I Dashboard - Allow R&I staff to award and proposal activities reports by a given date range*
Extensions	Simplify ERP adoption with pre-configured industry versions, but allow custom setup to meet SJSURF needs.
Priority	*High*
Special Requirements	Provide a test environment for setup and testing the dashboard. Provide tool for backup and restore the dashboard
Open Questions	*< Can the system provide ODBC to the local systems?*

IT UC-08	Calendar Year-End Process
Primary Actor(s)	*IT Manager*
Stakeholders and Interest	*Finance & Accounting, HR/Payroll*
Trigger	*Calendar year-end 1099, w2, and other reporting needs. Tax tables for the new year, Refresh test environment.*
Pre-conditions	*Required by the calendar year-end*
Post-conditions	*Complete the year-end reporting before the IRS deadlines*
Main Success Scenario	1. Work with the vendor Central Square to install year-end Regulatory for 1099, w2, and other reporting needs in the Production and test environment 2. Upload tax tables for the coming year. 3. Refresh the test environment with the production data, and turn off the workflow modes in Test after data refresh. 4. Payroll Recompute for the current year 5. Rollover vacation/sick balance to the new year 6. Email HR to update the address lines which are over the IRS address length limit (22 characters) 7. W2/1099 processing support 8. Update the FICA and SDI wage control limit in common code PYPB.
Extensions	Yearend process must complete before the deadlines
Priority	*High*
Special Requirements	*Install the year-end patch and tax tables in both the Production and test environment*
Open Questions	

Office of Sponsored Programs
Use Case Scenarios

OSP UC-1	Proposal Routing and Approval Form
Primary Actor(s)	*OSP Pre Award Coordinator*
Stakeholders and Interest	*RF Pre Award, Principal Investigators, Respective ADRs, Chairs, AOR, Directors*
Trigger	*Notification from PI of intention to submit a proposal*
Pre-conditions	*See above PI eligibility, SJSURF eligibility (T&C)*
Post-conditions	*Completed and signed (approved) Proposal Routing Sheet*
Main Success Scenario	1. 2. 3. 4. Routed and signed PRAF
Extensions	*If any of the Research Compliance questions on the PRAF have been marked as **Yes**, refer to the information section to each corresponding question and take the necessary action as per the instructions.*
Priority	*high,*
Special Requirements	*<Any system related special requirements needed to fulfill the use case>*
Open Questions	*Initiation or follow up email from system?*

OSP UC-2	Compliance checks at Proposal Stage
Primary Actor(s)	*Pre Award Specialist/Manager*
Stakeholders and Interest	*Pre Award Specialist/Manager, PI*
Trigger	*Proposal initiation*
Pre-conditions	*PI eligibility*
Post-conditions	*Completed and filed compliance forms*
Main Success Scenario	1. *<visit STARTING-POINT* 2. *Step* 3. *Step* 4. *Make sure GOAL-ACHIEVED>*
Extensions	If Condition, then Alternative Steps <List any extended steps/ scenarios that occur, other than the main success scenario.>
Priority	*<indicate priority of high, medium or low)*
Special Requirements	*<Any system related special requirements needed to fulfill the use case>*
Open Questions	*<Notes and questions>*

OSP20_A	Subrecipient Risk Assessment Tool
Primary Actor(s)	*Subaward Specialist*
Stakeholders and Interest	*Subaward Specialist. Potentially: OSP Director, Exec Dir, PI*
Trigger	*Federally-funded subaward (SJSURF is PTE)*
Pre-conditions	*Award notice, Consortium site completed the Sub commitment form*
Post-conditions	*(1) Risk assessed and filed for audit, (2) risk assessed and additional T&C added to contract for monitoring*
Main Success Scenario	1. *Completed Risk Assessment for based on provided CS information (form or clearinghouse; audit)* 2. *If low risk, proceed as usual and complete subaward template* 3. *File Risk Assessment form for audit*
Extensions	If medium risk, decide additional T&C If high risk, elevate to Director of OSP
Priority	*High; this is a federal requirement*
Special Requirements	
Open Questions	*A truncated form for amendments is preferred.* *Is there a routing option for medium-to-high risk?*

OSP UC-21	Incoming FDP Subaward Agreement
Primary Actor(s)	*Subaward Specialist*
Stakeholders and Interest	*Subaward Specialist, PI, Director of OSP*
Trigger	*Incoming FDP Subaward Agreement*
Pre-conditions	*PTE has been issued a NOA*
Post-conditions	*FE subaward agreement*
Main Success Scenario	1. *Receive FDP template from PTE* 2. *Review T&C; negotiate if necessary* 3. *PE the subaward agreement and return to PTE* 4. *Receive FE subaward agreement from PTE* 5. *Intake as new award (tie back to proposal submission)*
Extensions	If negotiation is needed (re-budget): Work with SJSU PI to reallocate funds within the appropriate total costs provided by PTE.
Priority	*High*
Special Requirements	
Open Questions	

OSP21_B	Subrecipient Risk Assessment Form Amendment
Primary Actor(s)	*Subaward Specialist*
Stakeholders and Interest	*Subaward Specialist. Potentially: OSP Director, Exec Dir, PI*
Trigger	*Subaward Amendment (continuation year of funding)*
Pre-conditions	*Continuation subaward received*
Post-conditions	*(1) Risk assessed and filed for audit, (2) risk assessed and additional T&C added to contract for monitoring*
Main Success Scenario	1. *Updated and completed Risk Assessment form based on provided CS information (form or clearinghouse; audit)* 2. *If low risk, proceed as usual and complete subaward template* 3. *File Risk Assessment form for audit*
Extensions	If medium risk, decide additional T&C If high risk, elevate to Director of OSP
Priority	*High; this is a federal requirement*
Special Requirements	*<Any system related special requirements needed to fulfill the use case>*
Open Questions	*<Notes and questions>*

OSP UC-30	New Account Set up for Grants and Contracts
Primary Actor(s)	*OSP Post-Award Analysts*
Stakeholders and Interest	*Post-Award Team, Pre-Award Team , Principal Investigators, Accounts & Finance*
Trigger	*Notice of Award of FE Contract received*
Pre-conditions	*Compliance Checks completed*
Post-conditions	*A new account is set up and PI works on the project*
Main Success Scenario	1. *New account* 2. *PI is spending funds* 3. *PI submits progress report to sponsor* 4. *At the end of the project with zero balance and reports are submitted, Post-Award Analyst close the account in ERP*
Extensions	1. There are some cases where the Principal Investigator (PI) needs more time to finish the project, the Post-Award Analyst works with the PI to request a no cost extension. If it's approved by sponsor, the Analyst will extend the project in the ERP grant system 2. Close account
Priority	*High*
Special Requirements	1. *Ability to set up account for each award with a unique number in order to identify by college/department and fund sources (ex: federal, California state, non profit, profit company, local government, out of state government, etc..* 2. *Also ability to set up budget by expenses type (ex, personnel, fringe benefits, supply, travel, subcontract…) for budget management purpose.* 3. *Ability to track fiscal reports, progress reports due date reminder and sent date* 4. *Ability to general Effort Report base on the Payroll's data.* 5. *Ability to track costs share requirement* 6. *Ability to track subcontract monitoring* 7. *Ability to generate the awards or grant related reports*
Open Questions	*<Notes and questions>*

OSP UC-31	**Initial Budget Entry**
Primary Actor(s)	*OSP Post-Award Analysts*
Stakeholders and Interest	*Post-Award Team*
Trigger	*Notice of Award of FE Contract received, including the budget details*
Pre-conditions	*Budget approved by the sponsor agency*
Post-conditions	*Budget entried in Central Square and PI spending fund according to budget*
Main Success Scenario	1. *Entry the approved budget in Central Square* 2. *PI spends fund based on the approved budget* 3. *Analysts monitor the budget*
Extensions	Analysts on behalf of PI request approval for budget revision as needed
Priority	*High*
Special Requirements	*Ability to create budget line item by object codes* *Ability to adjust the budget (budget revision)* *Ability to sum up the total budget amount, direct and indirect costs* *Ability to map to GL for posting expenses to the grant account*
Open Questions	*<Notes and questions>*

OSP UC-32	Out Years Budget Entry
Primary Actor(s)	*OSP Post-Award Analysts*
Stakeholders and Interest	*Post-Award Team*
Trigger	*Notice of Award of FE Contract received, including the budget details for multiple year fundings*
Pre-conditions	*Budget approved by the sponsor agency (either by incremental funding, one year at the time; or full fundings for multiple years at the award*
Post-conditions	*Budget entried in Central Square base on the Notice of Award and PI spending fund accordingly*
Main Success Scenario	1. *Entry the approved budget in Central Square, either the first year budget or the full multiple years fundings* 2. *PI spends fund based on the approved budget* 3. *Analysts monitor the budget* 4. *Analysts follow up with sponsor for the incremental funding (2nd, 3rd years)* 5. *Analysts enters the 2nd or 3rd year budget in the Central Square*
Extensions	Analysts on behalf of PI follow up with sponsor for continue fundings. In case the incremental funding comes in late, the Analysts will prepare the Spending Authorization request for Incremental Funding form. Analysts on behalf of PI request approval for budget revision as needed
Priority	*High*
Special Requirements	*Ability to create budget line item by object codes* *Ability to adjust the budget (budget revision)* *Ability to add funds to existing account* *Ability to sum up the total budget amount, direct and indirect costs* *Ability to map to GL for posting expenses to the grant account*
Open Questions	*<Notes and questions>*

OSP UC-33	Budget Adjustments (increase, decrease)
Primary Actor(s)	*OSP Post-Award Analysts*
Stakeholders and Interest	*OSP Post-Award Analysts, Principal Investigators (PI), Sponsor Agencies*
Trigger	*Incremental funding on the multiple years project that sponsor only provide funding on the yearly basis. Also, Depending on the nature of the project and programmatic reason the sponsor may provides additional fundings or reduce the total award.*
Pre-conditions	*Multiple years funding and the project is in the second, or third or out years. Or PI requests for additional funding from the sponsor*
Post-conditions	*Budget increase or decrease*
Main Success Scenario	1. *On multiple years funding, the Post-Award Analysts follow up with the sponsor for out-years funding (2nd, or 3rd, 4th..)* 2. *Post-Award Analyst receives the incremental funding (or additional award from the same project) and enters the increase budget amount in the grant system by line items* 3. *Post-Award Analyst batches the budget over to the GL (mapping)* 4. *If there is a decrease funding, the Post-Award Analyst does the same progress, decrease the budget by line item in the grant module.*
Extensions	None
Priority	*Medium*
Special Requirements	*Ability to adjust the budget line item (increase, decrease) within the same account.* *Ability to generate the report before and/or after the budget adjustments*
Open Questions	*<Notes and questions>*

OSP UC-34	**Budget Reallocations (reallocate within line items)**
Primary Actor(s)	*OSP Post-Award Analysts*
Stakeholders and Interest	*OSP Post-Award Analysts, Principal Investigators (PI), Sponsor Agencies*
Trigger	*PI over or under estimated the budget line item that needs to be reallocated within line items*
Pre-conditions	*PI receives an award with approved budget.*
Post-conditions	*Budget reallocation update to reflect the need on spending for the project*
Main Success Scenario	1. *PI notifies the Post-Award Analyst that the budget line item needs to be reallocated in order to run the project* 2. *Post-Award Analyst works with PI for the revise budget (to move money from one line item to another)* 3. *Post-Award Analyst submit the budget revision to the sponsor for approval* 4. *Post-Award Analyst adjusted the budget line item (increase, decrease) in the system after receiving the budget revision from the sponsor.*
Extensions	None
Priority	*Medium*
Special Requirements	*Ability to adjust the budget line item (increase, decrease) within the same account.* *Ability to generate the report before and/or after the budget adjustments*
Open Questions	*<Notes and questions>*

OSP UC-35	No Cost Extensions
Primary Actor(s)	*OSP Post-Award Analysts and Principal Investigator (PI)*
Stakeholders and Interest	*Post-Award Team and Principal Investigator (PI)*
Trigger	*The project is ending but PI needs more time to finish the project*
Pre-conditions	*Sponsor allows no cost extensions*
Post-conditions	*Sponsor approves no cost extensions*
Main Success Scenario	1. *PI recognizes more time needed to complete the project.* 2. *Post-Award Analyst submits the no cost extension request to sponsor agency with the reason for a no cost extension (with new end date)* 3. *If Sponsor approves the no cost extension. Post-Award Analyst update the new end date in Central Square* 4. *PI continue spending fund if there is any money left or working on the final progress report.*
Extensions	In some cases the PI would need a 2nd no cost extension. The Post-Award Analyst follows the same process as the first no cost extension.
Priority	*High*
Special Requirements	*Ability to update the project period in any given time* *Ability to set automatic generate the progress reports reminder (prior the project end).* *Ability*
Open Questions	*<Notes and questions>*

OSP UC-36	Cost Transfer
Primary Actor(s)	*OSP Post-Award Analysts*
Stakeholders and Interest	*Post-Award Team, Finance and Accounting Team*
Trigger	*PI or Post-Award Analysts discover expenses posting errors. Pre-award spending using self support account. To clear overdraft from sponsor project account or allocation of share services*
Pre-conditions	*Expenses are posted to the sponsor project accounts*
Post-conditions	*Journal Voucher (JE) post to adjust expenses to correct account*
Main Success Scenario	1. *PI identities a discrepancy resulting in the need to transfer cost to different object code, or different account* 2. *Post-Award Analyst prepares the journal voucher (JE) and enter the JE in Central Square* 3. *Associate Director Post-Award reviews and approves the JE* 4. *Finance and Accounting reviews, approves and posts the JE*
Extensions	JE can result in changing the cash on hand of the sponsor project that Accounts Receivable team need to adjust the revenue
Priority	*High*
Special Requirements	*Ability to adjust expenses by object codes or by accounts* *Ability to perform JE through work flow* *Ability to attach support document to the JE*
Open Questions	*<Notes and questions>*

OSP UC-37	Cost Share Monitoring
Primary Actor(s)	*OSP Post-Award Analysts and Post-Award Assistant*
Stakeholders and Interest	*Post-Award Team, Pre-award Team, Principal Investigator (PI)*
Trigger	*Sponsor requires cost share as part of the conditions of the award.*
Pre-conditions	*Pre-Award Specialist works with PI to determin cost share amount in the budget*
Post-conditions	*Post-Award Analyst works with PI to document cost share during the course of the project*
Main Success Scenario	1. *Post-Award Analyst enters the cost share lump-sum amount required in the Central Square when set up new account.* 2. *Post-Award Assistant enters the cost share amount in the cost share log for tracking* 3. *Post-Award Analyst follows up with PI for cost share contribution such as time certification, project expenses.* 4. *Post-Award Assistant logs cost share amount when received from PI* 5. *Post-Award Assistant run cost share report quarterly for the cost share matching status*
Extensions	In some situations, PI could not come up with cost share amount due to some unforeseen situations, the Post-Award Analyst notifies sponsor for cost share reduction.
Priority	*High*
Special Requirements	*Ability to track cost share in the system by category, budget line item.* *Ability to run the cost share report* *Ability to track cost share contribution by sources*
Open Questions	*<Notes and questions>*

OSP UC-38	Progress Report Tracking/Reminder
Primary Actor(s)	*OSP Post-Award Analysts*
Stakeholders and Interest	*Post-Award Team, Principal Investigator (PI)*
Trigger	*Sponsor requires PI to submit progress reports outline in the Notification of the Award*
Pre-conditions	*PI works on the project, collect data during the course of the award*
Post-conditions	*PI submits the progress report to the sponsor*
Main Success Scenario	1. *Post-Award Analyst enter the progress report due date in the Central Sqauare when set up new account.* 2. *Central Square automatically sends email reminder to the PI and copy the Post-Award Analysts* 3. *PI submits the progress report and copies the Analyst* 4. *Analyst enters the report sent date in the Central Square*
Extensions	In some situations, PI can not submit the report on time, the PI or the Analyst contact the sponsor for the extension
Priority	*High*
Special Requirements	*Ability to track the due date and sent date of the progress report* *Ability to generate email reminder (30 days prior the due date)* *Ability to run the list of all progress reports due within the period range* *Ability to run the list of overdue reports and other report requirement such as Technology reports, inventory reports, etc…*
Open Questions	*<Notes and questions>*

OSP UC-39	**Financial Report**
Primary Actor(s)	*OSP Post-Award Analysts*
Stakeholders and Interest	*Post-Award Team*
Trigger	*Sponsor requires Research Foundation as grantee to submit financial reports showing expenditures incurred to the project*
Pre-conditions	*PI incurs expenses during the course of the project*
Post-conditions	*Post-Award Analyst prepares and submits the financial report by due dates*
Main Success Scenario	1. *Post-Award Analyst enter the financial reports due date in the Central Sqauare when set up new account.* 2. *Central Square automatically sends email reminder tp the Post-Award Analysts 30 days prior the due date* 3. *Post-Award Analyst prepares the financial report base on the GL transaction expenses report* 4. *Post-Award Analyst submits the financial report to the sponsor* 5. *Analyst enters the report sent date in the Central Square*
Extensions	In some situations, there is PO commitment that has not closed or final payment has not received but the financial report is due, the Analyst will submit the interim Final financial report.
Priority	*High*
Special Requirements	*Ability to track the due date and sent date of the financial report* *Ability to generate email reminder (30 days prior the due date)* *Ability to generate the GL transaction report in given a period* *Ability to run the list of all financial reports due within the period range* *Ability to run the list of overdue reports*
Open Questions	*<Notes and questions>*

OSP UC-40	Reporting
Primary Actor(s)	*OSP Post-Award Analysts*
Stakeholders and Interest	*Post-Award Team*
Trigger	*To keep SJSU PIs and Stake holders inform in the OSP proposals and awards activity as well as for Post-Award functions, there are numerous of reports that the system generate on the monthly basis or as needed, such as, Proposals and Awards reports; accounts status report, report listed of all active accounts, list of accounts by each PI, etc…*
Pre-conditions	*Request by PIs, stake holders or as part of Post-Award functions. These reports are required IT to write the reports*
Post-conditions	*Reports are generated in Central Square as needed*
Main Success Scenario	1. *PIs or Stake Holders request the report; or the Post-Award Analyst needs to generate the report to manage the grant award* 2. *Run the report (written by IT)*
Extensions	None
Priority	*Medium*
Special Requirements	*Ability to generate reports without IT pre-writing, program the report in a friendly user environment*
Open Questions	*<Notes and questions>*

OSP UC-49	Subrecipient Monitoring
Primary Actor(s)	*OSP Pre-Award Team, Post-Award Team and PI*
Stakeholders and Interest	*OSP Pre-Award Team, Post-Award Team, PI and Subrecipient institution*
Trigger	*The Research project requires to have other institution co-laborate to the researchwhich name in the approved budget*
Pre-conditions	*Sponsor approves the sub-recipient*
Post-conditions	*Post-Award Analyst prepares and submits*
Main Success Scenario	1. *The Pre-Award Specialist creates a subaward (subcontract) agreement and works witht the sub-recipient to finalize the subcotract* 2. *The Pre-Award Specialist transitions the subcontract to the Post-Award Analyst to monitor the subcontract* 3. *If the subcontract amount is $25,000 or more on the Federal award, Post-Award Analyst submits the FFATA (federal Funding Accountability and Transparency Act Reporting) report within 30 days of the signed agreement* 4. *The Post-AWard Analyst enters the subcontract information into the subrecipient log* 5. *The Post-Award Analyst enter the subcontract code in the Centeral Square, GM-associate code* 6. *The Post-Award Analyst sent invoices to the PIs for approval and double check the budget vs. actual from the invoice* 7. *The Post-Award Analyst follows up with the subrecipient to obtain their single audit report* 8. *The Post-Award Analyst sends subcontract release form when the project is ended and all payments are made*
Extensions	In some situations the subrecipient needs more than to complete the subcontract work, they can request a no cost extension if the prime sponsor award is allowed.
Priority	*High*
Special Requirements	*Ability to track the subrecipient single audit due date* *Ability to set up subcontract award in the system* *Ability to post track budget vs. actual in the system*
Open Questions	*<Notes and questions>*

OSP UC-41	Compliance Tracking/Follow up
Primary Actor(s)	*OSP Post-Award Analysts and OSP Administrative Assistant*
Stakeholders and Interest	*OSP Post-Award Analysts, OSP Pre-Award Specialists, OSP Administrative Assistant, Principal Investigators (PIs)*
Trigger	*Sponsor Agency and CSU requires PIs to disclosure the FCOI (Financial Conflict of Interest) or any other compliance such as IRB (Institution Review Board), IACUC (Institutional Animal Care & Use Committee, BUA (Bio hazard) etc…*
Pre-conditions	*Sponsor approves an award and the project has IRB, IACUC or BUA involved*
Post-conditions	*PI discloses the FCOI or receives approval for IRB, IACUC or BUA*
Main Success Scenario	1. *PI requires to disclose the FCOI at the proposal stage and renewal on the annual basic. If there is a disclosure, notify Research Compliance Director right away for the action plans* 2. *If there is BUA involved, Pre-Award Specialist will notify the IBC (Institution Bio Committee) for safety compliance* 3. *The Post-Award Analyst set up a renewal due date in Central Square when set up new account* 4. *The Central Sqauare generates the FCOI renewal dud date reminder 30 days prior to the due date* 5. *OSP Adminstrative Assistant follows up with the PI to renew the FCOI. If there is a disclosure of conflict, notify Research Compliance Director right away for the FCOI management plan.* 6. *The same steps above will be done for IRB and IACUC, only different is the IRB and IACUC.* 7. *The OSP Administrative Assistant files the renewal FCOI, IRB or IACUC in the account folder*
Extensions	*In some situations the PI needs more time to finish the project, the no cost extension may be granted and the FCOI, IRB or IACUC will need to be renewed if the approval date is expired.*
Priority	*Medium*
Special Requirements	*Ability to track the renewal dates in the system* *Ability to generate renewal due date reminder*
Open Questions	*<Notes and questions>*

OSP UC-42	Close Out
Primary Actor(s)	*OSP Post-Award Analysts*
Stakeholders and Interest	*OSP Post-Award Team, Principal Investiator (PI) Finance and Accounting (equipment inventory)*
Trigger	*The PI completes the project usually by the end of the project period*
Pre-conditions	*PI completes the project, reports submit to the sponsor*
Post-conditions	*The account is closed, status "C"*
Main Success Scenario	1. *The system generates the account close out reminder, 30 days prior the end date of the award* 2. *The account can only be closed when the budget and cash balance is zero and all the reports are submitted to the sponsor* 3. *If the account has a small amount remaining balance, the Post-Award Analyst will do the budget adjustment to zero out the balance.* 4. *If the account has a small amount of cash balance, the Post-Award Analyst will do the Journal Voucher (JE) to zero out the cash.* 5. *If the account has equipment, send memo to the Finance and Accounting team to close out the equipment inventory* 6. *The Post-Award changes the account status from A to C in Central Square*
Extensions	The account generally needs to be closed within 120 days from the end date of the award
Priority	*High*
Special Requirements	*Ability to track the account status in the system*
Open Questions	*<Notes and questions>*

OSP UC-43	Sponsor Contacts
Primary Actor(s)	*OSP Post-Award Analysts, OSP Pre-Award Specialists, OSP Administrative Assistant*
Stakeholders and Interest	*OSP Post-Award Analysts, OSP Pre-Award Specialists, OSP Administrative Assistant*
Trigger	*When the Pre-Awars Specialist works on the agreement or during the course of the project the Post-Award Analyst may need to contact the sponsor for advices or follow up on the request for approval.*
Pre-conditions	*PI or the Post-Award Analyst needs to check with sponsor for changes in the budget or needs any advice from the sponsor*
Post-conditions	*Be able to contact the right person at the sponsor agency and resolve issues may have arised*
Main Success Scenario	1. *Currently there is no sponsor contacts file or system to keep track all the contact information in one place except it is filed by the proposal or award account folder.* 2. *Pre-Award Specialist notices the sponsor contact information from the RFP or from the PI* 3. *OSP Admininistrative Assistant enters the sponsor contact information into the system while entering other information in the grant module*
Extensions	None
Priority	*Low*
Special Requirements	*Ability to record the sponsor contact informaiton* *Ability to generate the report sort by sponsor or by programmatic category*
Open Questions	*<Notes and questions>*

OSP UC-LOI	Letters of Intent (LOI) or Pre-proposals
Primary Actor(s)	*PI*
Stakeholders and Interest	*Pre Award Administrators, PIs, Director-OSP*
Trigger	*Notification from PI of intention to submit a letter of intent or pre-proposal*
Pre-conditions	*Meet solicitation eligibility, PI status*
Post-conditions	*Submitted LOI or pre-proposal*
Main Success Scenario	1. Pre-award Specialist (PAS) receives notification that PI would like to submit a letter of intent or pre-proposal. 2. PAS works with PI to finalize any pre-proposal documents. 3. Log the full proposal deadline in workqueue and follow up with PI.
Extensions	If a detailed budget is required for the submission, PI will go through the full routing process.
Priority	*high*
Special Requirements	
Open Questions	*Can the system be set up to input as a new proposal, then move to either "not funded" or "not submitted" so the open LOI does not recur on a Current and Pending report?*

OSP UC-OSA	FDP Outgoing Subaward Agreement
Primary Actor(s)	*Subaward Specialist*
Stakeholders and Interest	*Subaward Specialist, Director, Exec Director, Principal Investigator, Consortium Site*
Trigger	*SJSURF proposal awarded that includes consortium site(s)*
Pre-conditions	*Awarded Proposal, Completed Risk Assessment Form (UC-). Completed Sub or Svc Agmt Transition Checklist*
Post-conditions	*FE subaward*
Main Success Scenario	When both parties have signed the originals, the originals are considered to be "fully-executed." Each party keeps a fully-executed subaward agreement original in the OSP working folder. The **Pre Award (or Subaward) Specialist** will transition the executed subaward agreement to the **Post Award Analyst** using the **Subcontract or Service Agreement Transition Checklist**.
Extensions	Complete the **Subrecipient Risk Assessment Tool**: § Enter **PI name**, **prime sponsor, subrecipient institution and subrecipient PI name**. § Check the **Excluded Parties List (EPLS**) on System for Award Management (SAM) https://www.sam.gov/portal/SAM#1 to confirm that the subrecipient has not been excluded from eligibility to receive federal funds. § If the subrecipient has registered and there are no exceptions (from the Sam.gov report) check the **Low Risk** button in the first column; if the entity is not registered in sam.gov, check the button in the **Medium Risk** column; if the subrecipient is registered and has exceptions, check the button in the **High Risk** column. § Continue with each category; check only one button in one column for each category. § When you have answered all categories, add up the totals of each column; multiply that tally by the point value: **Low Risk Column** tally

is multiplied by 1, **Medium Risk tally** is multiplied by 3 and **High Risk tally** is multiplied by 4.

§ Based on the point value total, check the appropriate **Final Risk Assessment** box using the **Points Table**.

§ Add any notes or comments to the **Additional Comments** box.

§ If the subrecipient is assessed as a medium or high risk institution, the designated Proposal Development specialist and Grants and Contracts administrator will provide subrecipient training (via webinar) before entering the subaward agreement.

§ Obtain the subrecipient single audit report (formerly A-133 audit report). If the subrecipient has a single audit finding, the **Management Response Request for More Information Letter** or the **Management Response Approval** will be sent to the subcontractor.

2.   Send the form to the subrecipient for completion to obtain the information and certifications needed prior to the proposal submission

Note: Proposal Development must also complete the "internal use" Subrecipient Commitment Form

3.   From the **Pre-Award Intranet Menu**, select **OSP Pre-Award Forms**, and then select the appropriate **Contract Template.**

4.   Add the project details to the template, such as project period, amount budgeted for the subaward, contractor name, etc.

Note: It is best practice to issue a subcontract in accordance with the prime recipient's funded project period. **Example:** If the prime is funded for a three-year project period, the subcontract should be issued with a three-year performance period, depending on the approved budget.

5.   Include specific terms and conditions that the project sponsor requires (refer to the *Reviewing Guidelines Procedure*).

6.   If the sponsor requires an insurance clause, refer to *the Insurance Certification Procedure* and flow down the appropriate requirement to the subrecipient.

	7. Describe in detail the tasks or work to be accomplished within the body of the subaward agreement or on a separate page to be titled: **Scope of Work**, which is included as an attachment or exhibit to the subaward agreement. 8. Use either the budget submitted by the contractor (found in the project folder), or create a budget and include it as an attachment or exhibit to the subaward agreement. 9. Save the subaward agreement on the **H: server** in the OSP directory in the appropriate Colleges folder under the PI name/sponsor name/subrecipient name.
Priority	*high*
Special Requirements	*System ability to prompt; follow up reminders for idle contracts*
Open Questions	*<Notes and questions>*