WhoKey Roles, Assignments & WhoKey Status

Information from sections 2 & 3 of the [WhoKey Administration User Manual](#), please refer to the manual for full details.

Non-Fund 500/510 Roles & How Assigned

Fund 900 role assignments are not managed by campus. Reviewer is automatically assigned to Capital Asset Management staff.

Institutional Role – Business Officers	Required?	How is Role Assigned?	WhoKey Admin functionality	Can reconcile TDR?
Business Officer (Org)	Yes	**Primary role:** Assigned by Accounting & Financial Reporting initially & can replace if requested or if vacated.	• Assign Owner and all Reviewers • Assign/Edit Purpose • Request Close & Inactivation • View "My Org/Dept/Subdept WhoKeys"	No
Delegate(s) for Business Officer	No	**Admin Delegate role:** Assigned by Business Officer & can also replace/remove.		
Dept Admin	Yes	**Primary role:** Assigned upon Department setup from CF/WK application request. Business Officer & Delegate(s) can replace if needed; Accounting & Financial Reporting can replace if vacated.	• Assign Owner and all Reviewers • Assign/Edit Purpose • Request Close & Inactivation • View "My Org/Dept/Subdept WhoKeys"	No
Delegate(s) for Dept Admin	No	**Admin Delegate role:** Assigned by Business Officer, Delegate(s) & Dept Admin; can also replace/remove.		
Subdept Admin & Delegate(s)	No	**Primary role:** Assigned upon Subdept setup from CF/WK application request; or Business Officer, Dept Admin & Delegate(s) can assign & replace/remove. **Admin Delegate role:** Assigned by Business Officer, Dept Admin, Delegate(s) & Subdept Admin; can also replace/remove.	• Assign Owner & all Reviewers • Assign/Edit Purpose • Request Close & Inactivation • View "My Org/Dept/Subdept WhoKeys"	No
WhoKey Role	**Required?**	**How is Role Assigned?**	**WhoKey Admin functionality**	**Can reconcile TDR?**
Owner	Yes	• Assigned upon WhoKey setup from CF/WK application request or • Manually added for WhoKeys <u>not</u> setup through CF/WK application or updated in WhoKey Admin application 'Edit' functionality by: • All Business Officer roles	• Assign all Reviewers • Assign/Edit Purpose • Request Close & Inactivation • View "My Assigned WhoKeys"	Yes
Reviewer	Yes	• Assigned upon WhoKey setup from CF/WK application request or • Manually added for WhoKeys <u>not</u> setup through CF/WK application or updated in WhoKey Admin application 'Edit' functionality by: • All Business Officer roles and Owner	• Assign Secondary Reviewers • Request Close & Inactivation • View "My Assigned WhoKeys"	Yes
Secondary Reviewer (4)	No	• Assigned upon WhoKey setup from CF/WK application request or • Manually added for WhoKeys <u>not</u> setup through CF/WK application or updated in WhoKey Admin application 'Edit' functionality by: • All Business Officer roles, Owner and Reviewer	• Request Close & Inactivation • View "My Assigned WhoKeys"	Yes

Fund 500/510 Roles & How Assigned

Institutional Role – Research Administrators	Required?	How is Role Assigned?	Additional Comments	WhoKey Admin functionality	Can reconcile TDR?
Division (Org) Research Admin	No	Assigned by Grant Accounting	Role assignment is not required as not all units have sponsored project funding. However, if the role is not assigned & Fund 500/510 WhoKeys exist, the WhoKey Research Admin roles will be blank.	• View/Search WhoKeys	No
Delegate(s) for Division (Org) Research Admin	No	Assigned by Division (Org) Research Admin	N/A	• View/Search WhoKeys	No
Departmental Research Admin	No	Assigned by Division (Org) Research Admin	If role is not assigned, Division (Org) Research Admin role is used for WhoKey Admin roles.	• View/Search WhoKeys	No
Subdept Research Admin	No	Assigned by Division (Org) Research Admin or Dept Research Admin	If role is not assigned, Departmental Research Admin role is used for WhoKey Admin roles.	• View/Search WhoKeys	No

WhoKey Role	Required?	How is Role Assigned?	Additional Comments	WhoKey Admin functionality	Automatic Access to EFR Grant Reports?	Can reconcile TDR?
Owner/PI (Principal Investigator)	Yes	Assigned automatically to the individual identified by the Sponsor to lead the externally funded project (as identified in the UI Proposal Routing form).	Any changes in PI must be approved by the Sponsor through Sponsored Programs using this procedure: https://dsp.research.uiowa.edu/pi-transferdeparturechange-status	• Assign all Reviewers • View "My Assigned WhoKeys"	Yes	Yes
Reviewer	Yes	• Manually assigned in WhoKey Admin application for any new BR# 01 WhoKey by: PI (Owner), all Business Officer & Research Admin roles. • Automatically carried forward for Grant/Program# starting with 1, 2, or 3 when a new BR# is established for an existing WhoKey.	N/A	• Assign Secondary Reviewers • View "My Assigned WhoKeys"	Yes	Yes
Secondary Reviewers (4)	No	Same as Reviewer	N/A	• View "My Assigned WhoKeys"	Yes	Yes
PI Dept Research Admin	Yes	Assigned automatically based on the Org/Dept/Subdept of the WhoKey with the first assigned Research Admin role: Subdept Research Admin, Dept Research Admin, Division (Org) Research Admin. If none of the roles are assigned, default is blank.	Any changes in PI Dept Research Admin must be made in the Institutional Roles application.	• Assign all Reviewers View "My Assigned WhoKeys"	Yes	Yes

WhoKey Role	Required?	How is Role Assigned?	Additional Comments	WhoKey Admin functionality	Automatic Access to EFR Grant Reports?	Can reconcile TDR?
Co-I(nvestigator)	No	Assigned manually by Grant Accounting. If a subcomponent is established for a Co-I, the Department/PI may request that Grant Accounting assign a Co-I, which is manually assigned in ePost.	Any changes to the Co-Investigator must be initiated by the PI/PI Dept Research Admin by sending a request to the Grant Accounting contact: https://gao.fo.uiowa.edu/contact-us	• Assign all Reviewers • View "My Assigned WhoKeys"	Yes	Yes
Co-I(nvestigator) Dept Research Admin	Yes	Assigned automatically anytime a sub-component is established based on the Org/Dept/Subdept of the WhoKey with the first assigned Research Admin role: Subdept Research Admin, Dept Research Admin, Division (Org) Research Admin. If none of the roles are assigned, default is blank.	Any changes in Co-I Dept Research Admin must be made in the Institutional Roles application	• Assign all Reviewers • View "My Assigned WhoKeys"	Yes	Yes
Alternate Research Admin	No	Assigned manually by Grant Accounting at the request of PI/PI Dept Research Admin.	N/A	• Assign all Reviewers • View "My Assigned WhoKeys"	Yes	Yes

Questions on non-Fund 500/510 role assignments can be directed to as-efr@uiowa.edu.

Questions on Fund 500/510 role assignments and electronic grant report distribution can be directed to gao-efr@uiowa.edu.

Open/Closed/Inactive – Status of a WhoKey & What it Means:

WhoKey Status	Will journal entries post?	Are there journal entry posting exceptions?	Can you **VIEW** in WhoKey Administration application?	Can you **EDIT** information in the WhoKey Administration application?
Open	Yes	N/A	Yes	Yes
Closed	No	Yes – **Bypass Entries** [1]	Yes	Yes
Inactive [2]	No	No	Yes	No

[1] Use of Bypass Entries is limited to:
- ✓ VPFO central Accounting staff and Healthcare Finance staff in order to make final adjustments to balances before making a WhoKey inactive or closing the WhoKey to new entries while analysis/cleanup of balances is performed.
- ✓ Limited central feeder systems' entries with approval from Accounting and Financial Reporting (E.g. Accounts Payable and Payroll)

[2] Inactivating a WhoKey is the final step in the closure process. Inactive WhoKeys should have zero life-to-date balances in all balance sheet Institutional Accounts and all TDRs are reconciled.

Business Rules

Included/Excluded from application:

- ✓ Open, closed and inactive WhoKeys are included and can be searched.
- ✓ Inactive WhoKeys are viewable in the application but are not editable by campus.
- ✓ Fund 900 WhoKeys are included for Business Officers, Department Administrators and their delegates to assist units with management of these WhoKeys as well as for closures & inactivations. Reviewer is automatically assigned to Capital Asset Management staff. Owner, Secondary Reviewer & Purpose cannot be assigned or modified.

WhoKey Role Assignments:

- ✓ **Owner:** Required for open & closed accounts:
  - o Can be the same as the Reviewer but not the same as the Secondary Reviewer.
  - o Cannot be removed from an account once assigned, can only be replaced with another eligible individual.
  - o **Non-Fund 500/510 Accounts:** Must be an active employee, excluding students.
  - o **Fund 500/510 Accounts:** Can be an active or inactive employee, excluding students.
    - ▪ Inactive employees will remain in the role, until official notification of a change in PI is received from the Sponsoring Agency.
    - ▪ Any change in PI must be approved by the sponsor through Sponsored Programs using this procedure: https://dsp.research.uiowa.edu/pi-transferdeparturechange-status
  - o **Fund 900 Accounts:** Not required and cannot be assigned or modified.
- ✓ **Reviewer:**
  - o Can be the same as the Owner but not the same as the Secondary Reviewer.
  - o Individual must be an active employee, including students.
  - o **Non-Fund 500/510 Accounts:** Required for open & closed accounts:
    - ▪ Cannot be removed from an account once assigned, can only be replaced with another eligible individual.
  - o **Fund 500/510 Accounts:** Optional for open & closed accounts, as long as PI Department Research Administrator role is populated:
    - ▪ Can be populated, removed or updated in the WhoKey Administration application.
  - o **Fund 900 Accounts:** Automatically assigned to Capital Asset Management staff and cannot be modified.
  - o Per UI policy and from an application perspective, there is no distinction in the responsibility or hierarchy of Reviewers (I.e. Account Reviewer & all Secondary Reviewers have the same level of responsibility).
- ✓ **Secondary Reviewers:** Optional for all account types:
  - o Cannot be the same as the Owner or Reviewer.
  - o Can be removed from an account after assigned.
  - o Individual must be an active employee, including students.
  - o Individual can only be assigned to one Secondary Reviewer role per account.
  - o Fund 900 Accounts: Cannot be assigned or modified.
  - o Per UI policy and within the application, there is no difference in the responsibility of the Reviewer or Secondary Reviewer roles. Displayed alphabetically by Last Name, First Name.

WhoKey Purpose:

- ✓ **Non-Fund 500/510:** Required for open & closed accounts; cannot be removed after assigned.
- ✓ **Fund 500/510:** Not required for open & closed accounts, because field is <u>not</u> maintained through the WhoKey Administration application. The WhoKey purpose is pulled from the eDSP Long Title field.
- ✓ **Fund 900:** Not required and cannot be added or modified.