

ERS Compliance Reporting Requirements - DRAFT

General Requirements

G1. Compliance reports should be available via a menu integrated with the ERS web application.

G2. The standard Export/Send/Print toolbar functions should be provided for compliance reports.

G3. Compliance reports should be produced on-demand using the live ERS database, rather than being generated nightly or on a scheduled basis using static snapshots of the ERS database.

G4. Access to compliance reports should be limited to ERS users with a specific role and should be associated with one or more specific departments so that compliance reporting is restricted to the departments for which a user is authorized. Central office ERS users should have access to compliance reports for all campus departments.

G5. Specific compliance report formats should define the columns of the report, the column order and any totaling or grouping required.

G6. Specific compliance report formats should define whether the report is a summary report or a detail report or both. Summary reports should not list individual effort reports; detail report should list individual effort reports.

G7. Specific compliance report formats should define whether the compliance report provides selection criteria. Selection criteria could include: effort report status code, effort reporting period, home department, and organization unit. Selection of an organization unit should provide an option to include subordinate units in the selection.

G8. All compliance reports should provide the ability to specify current data, or an "as of" date to reflect the state of the database as of a specific point in time.

G9. A selection of at least one effort reporting period should be required for all compliance reports. Multiple effort reporting periods may be selected for any compliance report.

G10. A user interface should prompt the user for selection criteria, "as of" date, and other options, when the compliance report is selected from a menu.

G11. All compliance reports should be able to be sorted by any column on the report.

R1. Effort Report Status Report - Requirements

This compliance report should provide a roster of all effort reports, their status, and summary information.

Columns on the Report

1. Reporting Period
2. Home Department
3. Employee Name/ID
4. ER Date/Time/Version
5. ER Status
6. Count
7. Percent

Sorting

This compliance report should be sortable on any column displayed.

The default sort order should be ER Status.

When the compliance report is grouped, sorting should be applied within a grouping level.

Selection/Filtering

This compliance report should allow selection of one or more departments to be included.

This compliance report should allow selection of one or more effort report status codes to be included.

This compliance report should allow selection of one or more effort reporting periods to be included and must require at least one effort reporting period.

Totaling

This compliance report should calculate and display a total of effort reports with each status code in the Count column, when summary mode is selected.

This report should calculate and display a percent of total of effort reports with each status code in the Percent column, when summary mode is selected.

This report should include a total line which calculates and displays a total of complete effort reports, and the percent of total of complete effort reports, for each selected department and/or reporting period.

For the purpose of this total line, “complete” effort reports have a status of *Certified* or *Not Required*. All other reports are incomplete.

This report should include a grand total line which calculates and displays a total of complete effort reports, and the percent of total of complete effort reports, for all selected department(s) and reporting period(s).

Grouping

This compliance report should provide an option to group the compliance report lines by either or both of the selection/filtering criteria, above.

Each of the items under “Totaling”, above, should be sensitive to the grouping selection.

Options

This compliance report should allow the user to select summary mode or detail mode.

Summary mode should only display one line for each distinct status code, along with the required count and percent.

Detail mode should display a line for every effort report that matches the selection/filtering criteria, without displaying a value in the count and percent columns.

R2. Certification Listing Report - Requirements

This compliance report should provide the means to identify the certifier of each effort report and to highlight effort reports certified by someone other than the reportee.

Columns on the Report

1. Reporting Period
2. Home Department
3. Employee Name
4. Employee ID
5. Employee Title Code
6. Employee Academic Indicator
7. Employee PI Indicator
8. ER Status
9. ER Date/Time/Version
10. Multiple certification indicator
11. Certified by - Name
12. Certified by - Employee ID - if certifier is an employee
13. Certified by - Title code - if certifier is an employee
14. Certified by - Academic Indicator, if certifier is an employee
15. Certified by - PI Indicator, if certifier is an employee

When an effort report is in multiple certification mode, the multiple certification indicator should display a non-blank value and a line on the compliance report should be created for each distinct value of "Certified by".

Sorting

This compliance report should be sortable on any column displayed.

The default sort order should be Employee Name.

When the compliance report is grouped, sorting should be applied within a grouping level.

Selection/Filtering

This compliance report should allow selection of one or more departments to be included.

This compliance report should allow selection of one or more effort reporting periods to be included and must require at least one effort reporting period.

This compliance report assumes that only effort reports with a status of *Certified* or *Certified-Adjustment Required* should be displayed.

Totaling

No requirements.

Grouping

This compliance report should provide an option to group the compliance report lines by either or both of the selection/filtering criteria, above.

Options

This compliance report should only provide a detail mode. Detail mode should display a line for every effort report that matches the selection/filtering criteria.

R3. Statistical Analysis Report – Requirements

This compliance report should provide the means for a central office or administrator to monitor overall compliance with effort reporting policy on the campus.

Columns on the Report

1. Reporting Period
2. Home Department
3. Employee Name/ID
4. ER Status
5. ER Date/Time/Version
6. Age
 - a. For an open effort report, number of days overdue
 - b. For a certified effort report, number of days between issue date and certified date
7. Adjustment Age
 - a. For a certified effort report, the number of days between original certified date and final certified date. Zero for reports that never had a status of *Certified/Adjustment Required*.
8. Times Reopened
 - a. Count of effort report versions that have a status of reopened

The report columns for age, adjustment age and times reopened should display blank when the calculated value is zero.

Sorting

This compliance report should be sortable on any column displayed.

The default sort order should be Employee Name/ID.

When the compliance report is grouped, sorting should be applied within a grouping level.

Selection/Filtering

This compliance report should allow selection of one or more departments to be included.

This compliance report should allow selection of one or more effort reporting periods to be included and must require at least one effort reporting period.

Totaling

This compliance report should calculate and display a minimum, maximum and average number of days overdue for all open effort reports. *Open reports* is defined as

reports with a status of Open, Open-Reopened, Required, Partially Certified, Exception, Open-Reissued.

This compliance report should calculate and display a minimum, maximum, and average number of days to certification for all certified effort reports. *Certified reports* is defined as effort reports with a status of Certified or Certified/ Adjustment Required.

This compliance report should calculate and display a count of effort reports that have a version number of 3 or higher to identify reports that have been certified multiple times. This compliance report should calculate and display a percent of total of effort reports that have a version number of two or higher.

This compliance report should calculate and display a count of effort reports that were reopened. This compliance report should calculate and display a percent of total of effort reports that were reopened.

Each of the items under "Totaling", above, should be sensitive to the grouping selection.

The compliance report should include a total line which calculates and displays the minimum, maximum, and average number of days overdue, and the minimum, maximum and average number of days to certification, for all selected departments and/or reporting periods.

Grouping

This compliance report should provide an option to group the compliance report lines by either or both of the selection/filtering criteria, above.

Options

This compliance report should allow the user to select summary mode or detail mode.

Summary mode should only display a line for each grouping level selected in the selection/filtering criteria. The columns for age, adjustment age and times reopened should not be displayed.

In summary mode, for each grouping level, the report should calculate and display:

1. minimum, maximum, and average number of days to certification for all certified effort reports;
2. count of effort reports that have a version number of 2 or higher;
3. percent of total of effort reports that have a version number of two or higher;
4. count of effort reports that were reopened;
5. percent of total of effort reports that were reopened.

Detail mode should display a line for every effort report that matches the selection/filtering criteria. The columns for age, adjustment age and times reopened should be calculated and displayed for each line of the compliance report.

University of California ~ Effort Reporting System
Effort Report Status-DETAIL

Displaying All Periods

By Department

Winter 04/05				
Department	Employee Name	Employee ID	Last Modified	Status
CHEMISTRY AND BIOCHEMISTRY	SON, DYNG	838615773	08/03/2006 - v5.0	Certified/AdjustReqd
CHEMISTRY AND BIOCHEMISTRY	CLIRK, INDRAW	555555555	03/24/2006 - v11.1	Open
CHEMISTRY AND BIOCHEMISTRY	ALIRK, INDRAW	333333333	03/24/2006 - v11.1	Open
CHEMISTRY AND BIOCHEMISTRY	BLIRK, INDRAW	222222222	03/24/2006 - v11.1	Open
CHEMISTRY AND BIOCHEMISTRY	DLIRK, INDRAX	111111111	03/24/2006 - v11.1	Certified
CHEMISTRY AND BIOCHEMISTRY	CLIRK, INDRAW	444444444	03/24/2006 - v11.1	Certified
MOLECULAR AND CELL BIOLOGY	CLIRK, INDRAW	838615773	03/24/2006 - v11.1	Certified
MOLECULAR AND CELL BIOLOGY	CLIRK, INDRAW	555555555	03/24/2006 - v11.1	Certified
MOLECULAR AND CELL BIOLOGY	CLIRK, INDRAW	333333333	03/24/2006 - v11.1	Open
MOLECULAR AND CELL BIOLOGY	CLIRK, INDRAW	222222222	03/24/2006 - v11.1	Open
MOLECULAR AND CELL BIOLOGY	CLIRK, INDRAW	111111111	03/24/2006 - v11.1	Open
MOLECULAR AND CELL BIOLOGY	CLIRK, INDRAW	444444444	03/24/2006 - v11.1	Open
MOLECULAR AND CELL BIOLOGY	CLIRK, INDRAW	838615773	03/24/2006 - v11.1	Certified
PHYSICS	CLIRK, INDRAW	555555555	03/24/2006 - v11.1	Certified
PHYSICS	CLIRK, INDRAW	333333333	03/24/2006 - v11.1	Certified
PHYSICS	CLIRK, INDRAW	222222222	03/24/2006 - v11.1	Certified
PHYSICS	CLIRK, INDRAW	111111111	03/24/2006 - v11.1	Certified
PHYSICS	CLIRK, INDRAW	444444444	03/24/2006 - v11.1	Open
PHYSICS	CLIRK, INDRAW	838615773	03/24/2006 - v11.1	Open
Spring 04/05				
Department	Employee Name	Employee ID	Last Modified	Status
CHEMISTRY AND BIOCHEMISTRY	SON, DYNG	838615773	08/03/2006 - v5.0	Certified/AdjustReqd
CHEMISTRY AND BIOCHEMISTRY	CLIRK, INDRAW	555555555	03/24/2006 - v11.1	Open-Reopened/Overdue
CHEMISTRY AND BIOCHEMISTRY	ALIRK, INDRAW	333333333	03/24/2006 - v11.1	Open-Reopened/Overdue
CHEMISTRY AND BIOCHEMISTRY	BLIRK, INDRAW	222222222	03/24/2006 - v11.1	Open-Reopened/Overdue
CHEMISTRY AND BIOCHEMISTRY	DLIRK, INDRAX	111111111	03/24/2006 - v11.1	Open-Reopened/Overdue
CHEMISTRY AND BIOCHEMISTRY	CLIRK, INDRAW	444444444	03/24/2006 - v11.1	Open-Reopened/Overdue
MOLECULAR AND CELL BIOLOGY	CLIRK, INDRAW	838615773	03/24/2006 - v11.1	Open-Reopened/Overdue
MOLECULAR AND CELL BIOLOGY	CLIRK, INDRAW	222222222	03/24/2006 - v11.1	Open-Reopened/Overdue
MOLECULAR AND CELL BIOLOGY	CLIRK, INDRAW	111111111	03/24/2006 - v11.1	Open-Reopened/Overdue
MOLECULAR AND CELL BIOLOGY	CLIRK, INDRAW	444444444	03/24/2006 - v11.1	Open-Reopened/Overdue
MOLECULAR AND CELL BIOLOGY	CLIRK, INDRAW	838615773	03/24/2006 - v11.1	Open-Reopened/Overdue
PHYSICS	CLIRK, INDRAW	555555555	03/24/2006 - v11.1	Open-Reopened/Overdue
PHYSICS	CLIRK, INDRAW	333333333	03/24/2006 - v11.1	Open-Reopened/Overdue
PHYSICS	CLIRK, INDRAW	222222222	03/24/2006 - v11.1	Open-Reopened/Overdue
PHYSICS	CLIRK, INDRAW	111111111	03/24/2006 - v11.1	Open-Reopened/Overdue

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Effort Report Status-SUMMARY

Displaying All Periods

By Reporting Period

Winter 04/05						
Department				Status	Count	Percent
CHEMISTRY AND BIOCHEMISTRY				Certified/AdjustReqd	14	5.0%
				Open/Overdue	29	10.3%
				Certified	235	83.3%
				Exception	4	1.4%
MOLECULAR AND CELL BIOLOGY				Certified/AdjustReqd	3	0.7%
				Open/Overdue	12	2.8%
				Certified	412	96.3%
				Exception	1	0.2%
PHYSICS				Certified/AdjustReqd	1	0.3%
				Open/Overdue	5	1.4%
				Certified	318	91.6%
				Open	23	6.6%
Spring 04/05						
Department				Status	Count	Percent
CHEMISTRY AND BIOCHEMISTRY				Certified/AdjustReqd	14	5.0%
				Open/Overdue	29	10.3%
				Certified	235	83.3%
				Exception	4	1.4%
MOLECULAR AND CELL BIOLOGY				Certified/AdjustReqd	3	0.7%
				Open/Overdue	12	2.8%
				Certified	412	96.3%
				Exception	1	0.2%
PHYSICS				Certified/AdjustReqd	1	0.3%
				Open/Overdue	5	1.4%
				Certified	318	91.6%
				Open	23	6.6%

University of California ~ Effort Reporting System
Effort Report Status-SUMMARY

Displaying All Departments

By Department

CHEMISTRY AND BIOCHEMISTRY						
Reporting Period				Status	Count	Percent
Winter 04/05				Certified/AdjustReqd	14	4.8%
				Open	10	3.4%
				Open/Overdue	29	9.9%
				Certified	235	80.5%
				Exception	4	1.4%
Period Total				COMPLETE REPORTS:	235	80.5%
Spring 04/05				Certified/AdjustReqd	3	0.7%
				Open	10	3.4%
				Open/Overdue	12	2.7%
				Certified	412	94.1%
				Exception	1	0.2%
Period Total				COMPLETE REPORTS:	412	94.1%
Department Total				730	COMPLETE REPORTS:	647 88.6%
MOLECULAR AND CELL BIOLOGY						
Reporting Period				Status	Count	Percent
Winter 04/05				Certified/AdjustReqd	14	4.8%
				Open	10	3.4%
				Open/Overdue	29	9.9%
				Certified	235	80.5%
				Exception	4	1.4%
Period Total				COMPLETE REPORTS:	235	80.5%
Spring 04/05				Certified/AdjustReqd	3	0.7%
				Open	10	3.4%
				Open/Overdue	12	2.7%
				Certified	412	94.1%
				Exception	1	0.2%
Period Total				COMPLETE REPORTS:	412	94.1%
Department Total				730	COMPLETE REPORTS:	647 88.6%
PHYSICS						
Reporting Period				Status	Count	Percent
Winter 04/05				Certified/AdjustReqd	14	4.8%
				Open	10	3.4%
				Open/Overdue	29	9.9%
				Certified	235	80.5%
				Exception	4	1.4%
Period Total				COMPLETE REPORTS:	235	80.5%
Spring 04/05				Certified/AdjustReqd	3	0.7%

			Open	10	3.4%	
			Open/Overdue	12	2.7%	
			Certified	412	94.1%	
			Exception	1	0.2%	
Period Total			COMPLETE REPORTS:	412	94.1%	
Department Total			730	COMPLETE REPORTS:	647	88.6%
GRAND TOTAL			COMPLETE REPORTS:	1941	88.6%	

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 Certification Listing-DETAIL

Displaying Winter 04/05

By Department

Winter 04/05													
Department	Employee					Last Modified	Status	Mult Cert	Certifier				
	Name	ID	Title Code	Acad Ind	Is PI				Name	ID	Title Code	Acad Ind	Is PI
CHEMISTRY AND BIOCHEMISTRY	SON, DYNG	838615773	7275	Y	Y	08/03/2006 - v5.0	Certified/AdjustReqd		Self				
	CLIRK, AADRAW	555555555	3411	Y		03/24/2006 - v11.1	Certified		Self				
	ALIRK, CBBDRAW	333333333	3422	Y	Y	03/24/2006 - v11.1	Certified		Self				
	BLIRK, DDDRAW	222222222	3444	Y	Y	03/24/2006 - v11.1	Certified		Self				
	DLIRK, TTINA	111111111	4222	Y	Y	03/24/2006 - v11.1	Certified		Self				
	CLIRK, INDRAX	444444444	3422	Y		03/24/2006 - v11.1	Certified		Self				
Total self-certified xxx (xx.x%), certified by others xxx (xx.x%)													
MOLECULAR AND CELL BIOLOGY	CLIRK, INDRAW	838615773	3211	Y	Y	03/24/2006 - v11.1	Certified		Self				
	DDDIRK, INDRAW	414444144	3211	Y	Y	03/24/2006 - v11.1	Certified		Self				
	CCCCLIRK, INDRX	313131313	3211	Y	Y	03/24/2006 - v11.1	Certified		Self				
	ZZZCLIRK, INDR	211111122	3211	Y	Y	03/24/2006 - v11.1	Certified		Self				
	PATYIRK, PLAYZ	555342424	7275	Y		03/24/2006 - v2.0	Certified		BLDEESO, JAZ	231123907	1200	A	Y
	AACLIRK, ANDRAW	232788899	3211			03/24/2006 - v11.1	Certified		Self				
	BBBBCLIRK, INDRAW	838615773	3211	Y	Y	03/24/2006 - v11.1	Certified		Self				
Total self-certified xxx (xx.x%), certified by others xxx (xx.x%)													
PHYSICS	ADDDD, IAAAAW	414414414	3100			03/24/2006 - v11.1	Certified	Y	DRAGRY, ALLN	934123901	1100	A	Y
									BLDEESO, JAZ	231123907	1200	A	Y
									FRUGAL, PYTR	345990231	1100	A	Y
	BDDDD, WIIIW	123123123	3211	Y	Y	03/24/2006 - v11.1	Certified		Self				
	GGGK, DRAW	399999999	3211	Y	Y	03/24/2006 - v11.1	Certified/AdjustReqd		Self				
	ZZEFDCLIRK, WW	533533533	3200	Y	Y	03/24/2006 - v11.1	Certified		Self				
Total self-certified xxx (xx.x%), certified by others xxx (xx.x%)													

University of California ~ Effort Reporting System

Statistical Report-Summary

Displaying **Winter 04/05**

By Department

Winter 04/05							
Department	Employee	Employee ID	Last Modified	Status	Effort Report Age	Adjustment Age	Times Reopened
CHEMISTRY AND BIOCHEMISTRY							
Overdue reports:		minimum XX days, maximum XXX days, average XXX days					
Days to certification:		minimum XX days, maximum XXX days, average XXX days					
Reopened reports:		XXX reopened reports, XX.x% of total					
Recertified reports:		XXX recertified reports, XX.x% of total (xxx total)					
MOLECULAR AND CELL BIOLOGY							
Overdue reports:		minimum XX days, maximum XXX days, average XXX days					
Days to certification:		minimum XX days, maximum XXX days, average XXX days					
Reopened reports:		XXX reopened reports, XX.x% of total					
Recertified reports:		XXX recertified reports, XX.x% of total (xxx total)					
PHYSICS							
Overdue reports:		minimum XX days, maximum XXX days, average XXX days					
Days to certification:		minimum XX days, maximum XXX days, average XXX days					
Reopened reports:		XXX reopened reports, XX.x% of total					
Recertified reports:		XXX recertified reports, XX.x% of total (xxx total)					
TOTAL							
Overdue reports:		minimum XX days, maximum XXX days, average XXX days					
Days to certification:		minimum XX days, maximum XXX days, average XXX days					
Reopened reports:		XXX reopened reports, XX.x% of total					
Recertified reports:		XXX recertified reports, XX.x% of total (xxx total)					

University of California ~ Effort Reporting System

Statistical Report-Detail

Displaying Winter 04/05 11/12 Academics

By Department

Winter 04/05 11/12 Academics							
Department	Employee Name	Employee ID	Last Modified	Status	Effort Report Age	Adjustment Age	Times Reopened
CHEMISTRY AND BIOCHEMISTRY	SON,DYNG	838615773	08/03/2006 - v2.0	Certified/AdjustReqd	13	16	
	CLIRK,INDRAW	555555555	03/24/2006 - v2.0	Certified	25		
	ALIRK,INDRAW	333333333	03/24/2006 - v2.0	Certified	24	14	
	BLIRK,INDRAW	222222222	03/24/2006 - v2.0	Certified	23		
	DLIRK,INDRAX	111111111	03/24/2006 - v4.0	Certified	18		2
	CLIRK,INDRAX	444444444	03/24/2006 - v2.0	Certified	19		
Overdue reports:		minimum XX days, maximum XXX days, average XXX days					
Days to certification:		minimum XX days, maximum XXX days, average XXX days					
Reopened reports:		XXX reopened reports, XX.x% of total					
Recertified reports:		XXX recertified reports, XX.x% of total					
Total reports:		XXX reports, XX.x% of total					
MOLECULAR AND CELL BIOLOGY	CLIRK,INDRAW	838615773	03/24/2006 - v2.0	Certified	25		
	CLIRK,INDRAW	989898989	03/24/2006 - v2.0	Open/Overdue	4		
	CLIRK,INDRAW	222222222	03/24/2006 - v2.0	Open/Overdue	4		
	PATYIRK,PLAYZ	111111111	03/24/2006 - v2.0	Open/Overdue	4		
	CLIRK,INDRAW	444444444	03/24/2006 - v2.0	Certified	22		
	CLIRK,INDRAW	838615773	03/24/2006 - v2.0	Certified	22		
Overdue reports:		minimum XX days, maximum XXX days, average XXX days					
Days to certification:		minimum XX days, maximum XXX days, average XXX days					
Reopened reports:		XXX reopened reports, XX.x% of total					
Recertified reports:		XXX recertified reports, XX.x% of total					
Total reports:		XXX reports, XX.x% of total					
PHYSICS	CLIRK,INDRAW	555555555	03/24/2006 - v2.0	Certified	18		
	ALIRK,INDRAW	555556555	03/24/2006 - v2.0	Certified	17		
	DLIRK,INDRAW	554555555	03/24/2006 - v2.0	Certified	13		
	CLIRK,INDRAW	111111111	03/24/2006 - v2.0	Certified	15		
	CLIRK,INDRAW	444444444	03/24/2006 - v3.0	Certified/AdjustReqd	17	12	1
	CLIRK,INDRAW	838615773	03/24/2006 - v2.0	Certified	14		
Overdue reports:		minimum XX days, maximum XXX days, average XXX days					
Days to certification:		minimum XX days, maximum XXX days, average XXX days					
Reopened reports:		XXX reopened reports, XX.x% of total					
Recertified reports:		XXX recertified reports, XX.x% of total					
Total reports:		XXX reports, XX.x% of total					
TOTAL							
Overdue reports:		minimum XX days, maximum XXX days, average XXX days					
Days to certification:		minimum XX days, maximum XXX days, average XXX days					
Reopened reports:		XXX reopened reports, XX.x% of total (xxx total)					
Recertified reports:		XXX recertified reports, XX.x% of total (xxx total)					