

**Effort Reporting System Management Group**  
**Meeting Notes**  
**December 13, 2006**  
**Accepted January 10, 2006**

The meeting was conducted as a conference call. Participants included: Sue Abeles, Mike Allred, John Ellis, Joyce Freedman, Don Larson, Jorge Ohy, Eric Vermillion, Adam Cohen, and Jon Good.

**Discussion Topics:**

Review and Acceptance of November 9, 2006, Meeting Notes:

The meeting notes of November 9, 2006, were accepted without revision.

Protocol for Committee Participation

Concluding discussion begun via email about appointment of participants to ERS committees, it was agreed that the Management Group members would coordinate on their respective campuses and be the authority for appointing individuals to ERS committees.

It was also agreed that the current charge and scope of the Requirements Committee was appropriate and should be continued.

Project Status Update:

Schedule

Adam reported that the Project Team is working on compliance monitoring reporting, which should be ready for release at the end of January, and a few enhancements and bug fixed. The team is also providing assistance to Davis in its implementation of ERS as well as the Berkeley, San Diego, and San Francisco hosted implementations.

Multiple Principal Investigators

Sue inquired about what's going to be done about the co-PI issue reported by UCLA. Adam clarified that the current issue at UCLA was due to missing data that was not loaded into ERS, and that the system currently supports a co-PI for each sponsored project.

Sue asked whether this would be an issue for other campuses since NIH changes will require more than one co-PI to have the same level of access to effort reports as the PI.

Adam responded that to the extent that co-PI functionality has been implemented (a PI and one co-PI) this should not be a problem with ERS. The question remains as to what is needed for more than one co-PI. Clear requirements need to be prepared for the functionality and timeline for implementation. Handling more than one co-PI will likely impact ERS significantly since the database and the financial systems interface were all designed with only one co-PI in mind. Joyce will research COGR information on co-PI's. Adam will put this item on enhancements request list.

Adam noted that San Francisco has developed an approach to allow multiple co-PIs on a project, but this accomplished by a manual security administration process. Sue commented that UCLA doesn't want to take this approach since administration of ERS has been decentralized.

#### Requirements Committee Update

Jon Good reported that the Requirements Committee met via conference call on November 9, reviewing the ERS Users Group meeting and covering the usual requirements topics. No issues were raised requiring Management Group involvement.

The Requirements Committee will next meet via conference call on Thursday, December 14, 2006.

#### Technical Advisory Group Update

Adam reported that TAG did not meet in November and will not meet in December. All campuses are in various stages of implementation and no implementation issue has been raised which requires consideration by the TAG as a whole. The TAG will likely get together in January just to touch base as a group.

#### Base ERS Budget 2006-2007

Jon reviewed the financial worksheets for Base ERS support that were distributed by email on December 5<sup>th</sup>. The worksheets show up-to-date expenses through October 2006 and detail the projections for the balance of FY 2006-2007. Campus costs for FY2006-2007 have been prorated based on Total Direct Cost from FY 2005-2006. Remaining expenses from the development phase, which the group had previously agreed ended with the end of FY2005-2006, have been split equally among the original six sponsors and added to the FY2006-2007 costs to come up with a total for FY2006-2007 allocations from each location. Projected campus costs for 2007-2008 and beyond will be updated following the usual planning process and the appropriate TDC numbers will be updated when available each fall.

The group agreed with the FY 2006-2007 allocation numbers. Jon will follow-up with an email to the group requesting transfer of funds for Base ERS support for FY 2006-2007.

## Annual Certifications for Professorial and Professional Staff

Mike Allred began the discussion by referring to the document, “Annual Effort Certification in accordance with the Principles for Determining Costs Applicable to Grants, Contracts and Other Agreements with Educational Institutions (OMB Circular A-21)”, that he had distributed via email to the group earlier in the day. This document explains UC Davis plans for implementation of annual certification and the relevant A-21 considerations.

Mike indicated that the key to the annual certifications approach is a “plan confirmation” approach in which PI’s review project account and associated detailed transactions (financial transactions, payroll, etc.) on a monthly basis. This is done via web site that allows the PI to click a box that costs are true and allowable, effectively certifying the financial activity. Such monthly web-based review of financial transactions was mandated at UCD beginning July 1, 2006, and compliance with these monthly reviews is currently at about 80%.

Sue questioned how ERS would work given that the system was been built based on the “after-the-fact” effort reporting method, not plan confirmation. Mike responded that Davis has tested ERS and, though the testing is not complete, no substantive issues with ERS handling this plan confirmation approach have been uncovered

Sue asked Jorge whether we should go to DCA to obtain approval for the Davis approach before it is implemented. Jorge responded that if we believe that the Davis proposal is truly a plan confirmation approach, then prior approval from DCA isn’t necessarily needed. Jorge suggested that the document Mike had distributed be revised to describe how the annual certification approach fits into the plan confirmation mode. Mike will elaborate on the plan confirmation methodology in the document.

Sue asked whether Davis timecards have projects identified on them. Mike responded that this would be the case in the future, since time reporting modifications need to be made and a process put in place to do so. Over time, as timecard reporting is enhanced, hourly employees will be moved off ERS.

Sue mentioned that the end of a reporting period triggers effort certification and asked how certifications would take place whenever plans change, such as a change in the mix of funding. Mike responded that Davis will rely on its Effort Commitment System to detect changes in plans and trigger certifications.

Jorge asked whether the question of how ERS will handle summer salary in a single annual effort report had been resolved. Adam responded that the issue of weighting summer salary for individuals with 11/12 salary still needs to be resolved, since it looks like 13/12<sup>th</sup> effort instead of 100% effort. He pointed out that the ERS was designed to handle summer research as a reporting period unto its own. Sue asked whether the Requirements Committee was addressing this topic. Adam replied that this topic has not been put on that group’s agenda pending the Management

Group's decision to proceed with this approach. Mike asked whether an estimate of the programming effort was available to deal with this change. Adam responded that he would prepare an estimate.

Mike asked whether the Project Team could make annual effort reporting a configuration option so any campus can choose to implement or not. Adam answered that the design approach would be to make this a campus configuration option.

Mike asked the group whether there was any problem with setting the annual reporting period as October 1 through September 30. No one made comment about this being a problem.

Jon asked about getting the Requirements Committee started on discussions on potential modifications to address the proposed annual certifications. Sue commented that analysis of the scope of modifications necessary to support annual certifications should take place before bringing the topic before the Requirements Committee. Mike, Pixie, and Adam will discuss the issues around the ERS calculation of effort and include this in the the estimate Adam will prepare.

This topic is also on Controllers agenda for discussion on Thursday, December 14.

### Campus Status Reports

Los Angeles – Sue Abeles indicated that she did not have anything new to report. John Ellis asked whether UCLA had achieved 100% certification for the summer cycle. Sue responded that she did not have current information but will pass that information along when she gets it.

Sue mentioned that Riverside's Vice Chancellor for Research, Charles Louis, had asked whether consequences for not certifying have been proposed; he's considering some really serious measures, including not submitted new proposals until certifications take place for existing awards. Don asked whether we should talk about consequences as a group. The group agreed to put this on agenda for the next meeting.

Davis – (See Annual Certification for Professorial and Professional Staff, above)

Berkeley – John Ellis reported that Berkeley is still proceeding with a February rollout. John reported that the campus was about two weeks behind schedule because of problems loading interfaces. Adam mentioned that apparently there was a miscommunication about the redesign of Berkeley's financial system interface feed to ERS and a reload was necessary. (John and Jon will discuss this topic offline.)

San Francisco – Joyce Freedman reported that San Francisco is still planning to go live in March.

San Diego – Don Larson reported that San Diego is moving forward and on target to begin the pilot after the first of the year.

### Opportunities with Kualu

Joyce Freedman reported that her discussions with the Contracts and Grants Managers at Berkeley, Davis, and San Francisco didn't yield any issue or concern about contributing ERS to Kualu.

Mike suggested that Berkeley and San Diego might consider contributing developer resources to Kualu rather than UC contributing ERS to Kualu. SD interested in going the developer contributions rather than give ERS. UCD is holding off on the next phase of their InfoEd research administration system because of costs (\$1M one-time and \$250K/year) to see where grants.gov goes and whether Kualu Research Administration is going in the right direction. UCSF recently obtained Cayuse for grants.gov, but Cayuse is focused on NIH.

The group agreed that it would be okay to demonstrate ERS to the Kualu Foundation.

Eric Vermillion remarked that at their last meeting the Planning and Budget Officers expressed interest in investigating contributing ERS to Kualu but not see any urgency in doing so while rollout to the campuses is taking place.

Don Larson commented that San Diego in the middle of a COEUS conversion project and is not presently in a position to contribute resources to Kualu.

### Next Meeting

The next meeting is scheduled for **Wednesday, January 10, 2007, from 1:00pm-3:00pm**. This will be an in-person meeting.

**Effort Reporting System Go-Live Plans  
December 13, 2006**

<b>Campus</b>	<b>Effort Reporting Period Start</b>	<b>Calendar Start</b>	<b>UCOP Hosting?</b>	<b>Notes</b>	<b>Status/Comments</b>
<b>Berkeley</b>	Fall 2006	February 2007	Yes		
<b>Davis</b>	July-December 2006	February 2007	No		
<b>Los Angeles</b>	Spring quarter 2006	Mid-August 2006	No		In Production September 2006
<b>San Diego</b>	Summer Qtr 2007	August 2007	Yes	Will follow quarterly cycle awaiting annual cycle resolution	Pilot to begin with Summer 2006 reporting cycle.
<b>San Francisco</b>	Fall 2006	March 2007	Yes		
<b>Merced</b>				Will use UCLA ERS	UCLA Overview presentation scheduled for 7/24/2006 at UC Merced
<b>UCOP</b>				Will use UCLA ERS	
<b>Irvine</b>	Unknown	Unknown	Unknown		ERS Overview presented 12/5/2005
<b>Riverside</b>	Unknown	Unknown	Unknown	Implementation planning about to get underway	ERS Overview presented 12/5/2005 – Overview presented to expanded campus audience 6/19/2006.
<b>Santa Barbara</b>	Unknown	2007	Unknown		ERS Overview presented 5/22/2006
<b>Santa Cruz</b>	Unknown	2008	Unknown		ERS Overview presented 5/25/2006
<b>DANR</b>				Will use Davis ERS	