Effort Reporting System Management Group
Meeting Notes
January 10, 2007
Accepted February 7, 2007

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, Steve Hunter, and Jon Good.

Discussion Topics:

Jon Good announced that Adam Cohen was leaving UCOP for a position at the Berkeley campus. Adam will be heading up the web applications group beginning January 16. Arrangements have been made with Berkeley for a limited amount of Adam's time to be made available to the Base ERS project, including continued participation in Management Group and Requirements Committee meetings, and continued leadership of the Technical Advisory Group.

Jon introduced Steve Hunter, a member of the Base ERS team, who will join in the Management Group discussions. Steve already participates in the Requirements Committee and the Technical Advisory Group. Steve can be reached at Steven.Hunter@ucop.edu or 510-987-0138.

Review and Acceptance of December 13, 2006, Meeting Notes:

The meeting notes of December 13, 2006, were accepted without revision.

Project Status Update:

Schedule

Adam reported that the Project Team is working on several enhancements addressing performance based on feedback from hosted and non-hosted campuses. These enhancements will be issued as Release 7.4 on Friday January 12. This release will also include revised training materials in PowerPoint format only, the format agreed upon in the November 9, 2006 Management Group conference call.

Adam mentioned that Release 8, which will contain compliance monitoring reporting functionality, is on schedule for issuance at the end of March.

Expanding on the topic of ERS performance, Adam noted that stress testing had been contemplated, but not performed. Given measures of activity, normal transaction processing was not likely to be a problem.

Jon added that questions from San Francisco about ERS performance had prompted examination of both the Base ERS and the hosted ERS environment to identify potential bottlenecks and find ways of improving performance. As Adam had reported earlier, enhancements to Base ERS have been made for performance and will be released by week's end. In the context of the hosted environment, the UCOP ERS Hosting team is looking carefully at all possible bottlenecks and options for improving performance.

Eric remarked that he raised the topic of performance to make sure of its visibility and was glad to hear that the matter was being pursued. Eric also mentioned that in discussions at San Francisco about the Hosted ERS environment, a "perfect storm" performance scenario for the hosted environment had been envisioned (where activity peaks simultaneously for all hosted ERS instances as well as other applications run at UCOP) and wondered whether this had been given consideration at UCOP. Jon responded that he wasn't aware of any such discussion but would pass this along to the ERS Hosting team for consideration.

Requirements Committee Update

Jon Good reported that the Requirements Committee met via conference call on December 14, reviewing highlights of the prior Management Group conference call and current campus implementation experiences. No issues were raised requiring Management Group involvement.

The Requirements Committee will next meet via conference call on Thursday, January 11, 2007.

Technical Advisory Group Update

Adam reported that TAG did not meet in December. The TAG will convene via conference call on January 23rd to touch base as a group.

Annual Certifications for Professorial and Professional Staff

Mike reported that 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)" has been through several iterations of revision with review by Jorge Ohy. The document explains more about the plan confirmation approach and related details. The document is in the process of being finalized and should be distributed to the Management Group by the end of the day.

Following discussion at the last Controllers meeting, Mike discussed the approach with key players on the Davis campus, and it was agreed that Davis would take the plan confirmation approach to effort reporting. Communications about the approach to effort reporting are being prepared for distribution to the campus in advance of the first effort reporting period.

Mike asked Adam if the analysis of the calculations related to incorporating summer effort reporting had been completed. Adam responded that some of the analysis had been done, but it would be helpful to go over the details of how full-year effort will be reported and the "up to 2% difference" in the reported effort for 11-month appointments. Adam indicted that he has an idea of how to deal with this in a way that would simplify communication about the effort calculation. Adam will set up a separate discussion with Mike, Debra Henn, and Larry Johnson, and bring the results to the next management group meeting.

Multiple Principal Investigators

Joyce Freedman commented that handling multiple co-PI's in the ERS shouldn't be a business problem at any given campus.

Don Larson asked how to avoid multiple co-PIs having to sign off for multiple research or lab assistants and know who has really done what.

Joyce responded that San Francisco will be tracking effort down at the fund level.

Sue Abeles remarked that UCLA goes down to the full accounting unit level, but the issue really is with security/access administration.

Adam mentioned that he and Jon had discussed next steps and will take this topic to the Requirements Committee. Specifically, the Requirements Committee will be asked where co-PI data is available at each campus to get particulars of the requirements for handling multiple co-PI's (e.g., security/access administration, "MyProjects" search, etc.). This topic will be on the agenda for the January 11 Requirements Committee con call.

Campus Status Reports

Los Angeles – Sue Abeles reported that UCLA has over 5,200 completed effort reports. The few open reports seem to be all work study (a result of UCLA starting production with ERS Release 5). At UCLA there seems to be broad acceptance of ERS, especially by faculty, primarily due to the fact that it is an online system. Department administrators are really happy with ERS. UCLA is now testing Release 7 and will jump to Release 7.4 when it is available. UCLA is planning on running both Summer and Fall 2007 cycles concurrently starting some time in March, 2007.

Davis – Mike Allred reported that Davis is working on communications for the rollout of ERS, and will start ERS training as soon as communications have been sent out to the campus. As previously discussed, the first cycle will begin in February and cover July-December 2006.

Berkeley – John Ellis reported that Berkeley is still on target for rollout in March. Berkeley is in the process of identifying two units to participate in the initial rollout: The College of

Engineering has agreed to participate and another small group is being sought for a pilot. The pilot group is expected to be representative of most of the campus effort reporting population. After the pilot, rollout to the rest of the campus will occur. In response to a question from Joyce, John responded that no paper PAR's would be kept for the pilot group.

San Francisco – Joyce Freedman reported that San Francisco has just completed a significant discussion about the handling of K-Awards, deciding to follow the UCLA model of categorizing amounts over the K-award cap as uncommitted cost sharing. There will be no linkage to the NIH salary cap. San Francisco is on target for a March 1 implementation.

San Diego – Don Larson reported that San Diego will have five units certifying live via ERS early in April. The five units include the School of Medicine, Bioengineering, the Supercomputer Center, and Physics. After this pilot, San Diego will bring on other departments and plan to have all departments online by fall.

Next Meeting

The next meeting is scheduled for **Wednesday, February 7, 2007, from 1:00pm-3:00pm**. This will be an in-person meeting. The location of this meeting will be at UCOP, 1111 Franklin Street, Conference Room 7409.

Effort Reporting System Go-Live Plans
January 10, 2006

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