

**Effort Reporting System Management Group**  
**Meeting Notes**  
**June 13, 2007**  
**Accepted September 13, 2007**

This meeting was conducted as a conference call. Participants included:

Sue Abeles, Mike Allred, John Ellis, Joyce Freedman, Don Larson, Eric Vermillion, Jorge Ohy, Adam Cohen, Steve Hunter, and Jon Good.

**Discussion Topics:**

Review of 4/12/2007 Meeting Notes

The April 12, 2007, meeting notes were accepted as written.

Project Status

Two additional releases are currently planned:

- Release 8.1 is on target for release on June 29. The highlight enhancement for this release is support for multiple co-PIs, in addition to several bug fixes in the late pay process and minor enhancements.
- Release 8.2 is planned for release in the late July/early August timeframe. The highlight enhancement for this release is the implementation of weighting 11/12 pay, which will facilitate combination of summer pay into a regular reporting cycle. As the opportunity arises, bug fixes and minor enhancements will be included in this release.

Following Release 8.2, it is hoped that a less frequent release schedule, such as quarterly, can be established and that Base ERS support will be limited to the two most recent significant releases. Intervening releases would be limited to only the most urgent of fixes, those which prevent the ERS from functioning at all or where an external or UC requirement comes along with a University-wide mandated implementation date occurring before the next scheduled release. The Technical Advisory Group will be discussing a proposed schedule for periodic releases, to make sure that there is consistency with campus operations schedules. The Requirements Committee will be reviewing the list of functional enhancement requests and bug reports on its next conference call, so the appropriate work can be scheduled for subsequent releases.

Requirements Committee Update

The Requirements Committee met via conference call on May 10th.

The committee continued discussion of a potential enhancement for the certification of multiple effort reports at one time (also known as Enhancement Request #515). Discussion concluded with agreement to make a change to existing navigation to support movement from one effort report display to the next, in a list of effort reports, without being taken back to the list itself. This will achieve part of one objective to eliminate as many mouse clicks as possible and part of the other objective to make less work of certification for PIs certifying multiple effort reports, all without compromising existing controls.

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

Technical Advisory Group Update

The Technical Advisory Group did not meet in April or May. The TAG will next meet via conference call on June 26 (tentative) to discuss support for old releases and the release schedule going forward.

Project Finances

Each year about this time, Base ERS expense projections for the coming fiscal year are prepared for participant budget planning purposes as well as for discussion of the level of Base ERS support required. Beginning with FY 2006-2007, Base ERS funding is prorated among participating campuses on the basis of the prior fiscal year’s Total Direct Cost amounts. Based on the experiences for this fiscal year, the following is a generic calendar of Base ERS finances discussions and actions :

<b>Month</b>	<b>ERS Management Discussion / Action</b>
May	<u>Discussion:</u> First presentation of expense projections and campus allocations for next FY
June	<u>Discussion:</u> Second presentation (if requested) of expense projections and campus allocations for next FY
August	<u>Discussion:</u> Presentation of revised expense projections for the newly started FY
November	<u>Discussion:</u> Presentation of final expense projections and allocations for the FY, with allocations based on newly available Total Direct Cost from the prior FY <u>Action:</u> ERS Management Group endorses expense projections and associated participant allocations.
November / December	<u>Action:</u> UCOP requests Transfer of funds from participating campuses <u>Action:</u> Participating campuses initiate transfers of the requested amounts via the Interlocation Transfer of Funds system
February	<u>Discussion:</u> Presentation of current expenses and projections for the current FY

Included with this report is a spreadsheet [ERS\_Cash\_Flow\_UCOP\_200705.xls] with updated information on current fiscal year expenses and next fiscal year projections. The tab labeled “Annual Flow” presents information in four sections:

- the familiar Base ERS project allocations and expenses summary by year

- prorated participant allocations amounts by fiscal year (lines 42-54); of importance to the Management Group at this juncture are the 2007-2008 projections
- Original Base ERS projections from March 2004
- The spread of original sponsors' budgeted development amounts over fiscal years

The proration calculation details are shown on spreadsheet tab "2007-2008 Proration". This proration is currently based on FY 2005-2006 TDC.

Current projections for Base ERS FY 2006-2007 expenditures show an approximate \$9,000 surplus.

Projected expenses for FY 2007-2008 total close to \$243,000. This amount reflects one staff member for twelve months and one contractor for approximately nine months. Though it is still not clear how much modification of the Base ERS will be needed as a result of feedback from the first production cycles across all campuses, the level of staffing projected for FY 2007-2008 assumes that most significant feedback will occur in the second half of calendar 2007 and that one or two significant enhancements may need to be addressed by the end of March 2008. Should approved enhancement requests necessitate additional resources beyond those budgeted for FY 2007-2008, the Management Group will be asked to approve additional funding for the work or to give guidance on enhancement priorities, as appropriate.

#### Non-sponsor Campuses - Status

Jorge Ohy reported on responses to the letter from Anne Broome to Controllers at non-sponsor campuses asking for campus plans to implement the ERS:

- Irvine – no response yet
- Riverside – no response yet
- Santa Barbara – no response yet (Jon Good mentioned that he'd had a conversation with Jim Corkill. Jim indicated that Santa Barbara would like to try to go live with ERS in January 2008. Jon has provided Jim with numbers for Base ERS support as well as ERS Hosting at UCOP.)
- Santa Cruz – responded that implementation is planned for FY 2008-2009.

#### Actions When Effort Is Not Certified

Sue Abeles mentioned that she had received some minor feedback on the "consequences" statement from Eric Vermillion, but had not heard from anyone else.

Don Larson indicated that he would be forwarding the one comment he received from a review of the statement among a few high-level people at San Diego.

Mike Allred commented that the draft looks good.

Mike suggested that the policy statement of completing certification within 45 days of report issuance was posing some issues with respect to dealing with late pay and suggested extending this to 60 days. Don reported that San Diego is running into a similar timing issue, particularly among multiple departments with multiple PI's. John Ellis added that he was getting similar feedback at Berkeley. Sue commented that the specification of 45 days to complete certification was a way of addressing concerns for timeliness in the spirit of A-21.

Jorge suggested not changing the policy from 45 days, but instead articulating that certifications not completed within 60 days of issuance would be subject to consequences articulated in the policy. The group agreed that issues (such as related to late pay) should be resolved within that timeframe.

Sue indicated she would finalize the statement upon receipt of final comments from the group members and would then formally send it to Vice Provost Larry Coleman for review and action.

### Campus Status Reports

San Francisco – Joyce Freedman reported that San Francisco is up and running as of May 5th. Roughly 1,900 faculty effort reports need to be certified in this cycle. Last report was that 60% of these effort reports have been certified. Everyone seems to be pleased with the ERS

Davis – Mike Allred reported that Davis has approximately 5,400 effort reports in its current cycle and, as of yesterday, 92% have been certified.

San Diego– Don Larson reported that San Diego has overcome issues with the implementation of single sign-on and is ready to go live next week (involving 6 pilot departments, 130 PIs, and 600-700 effort reports). Once caught up with certifications from this group, San Diego will start adding departments in increments with the goal of having the entire campus on ERS next year.

Berkeley – John Ellis reported that Berkeley has just missed its June deadline for beginning the pilot in production. Reasons for the delay are across-the-board, not limited to a single area. A new plan for the next rollout opportunity will be developed in the next couple of weeks.

Los Angeles– Sue Abeles reported that Los Angeles is currently in process of trying to complete three quarters simultaneously (summer, fall, and winter by June 30<sup>th</sup>). Each cycle is roughly 5,500-6,000 effort reports. No completion numbers are yet available. EFM group has been conducting town-hall meetings to answer questions. Once caught up with the three past cycles, UCLA expects to run ERS on a regular cycle.

### Next Meeting

The next meeting is scheduled for **Wednesday, July 11, 2007, from 1:00pm-3:00pm**. This meeting will be conducted as a conference call.

**Effort Reporting System Go-Live Plans  
June 13, 2007**

<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>	to be determined	to be determined	Yes		
<b>Davis</b>	July-December 2006	March 2007	No		In Production March 2007
<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	To be in limited production week of 6/18/2007
<b>San Francisco</b>	Fall 2006	April 2007	Yes		In Production 4/16/2007
<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	