Effort Reporting System Management Group
Meeting Notes
May 13, 2009
Accepted June 10, 2009

This meeting was conducted as a conference call. Participants included: Sue Abeles, Mike Allred, John Ellis, Cecilia Hamilton, Don Larson, Kirk Lew, Bobbi McCracken, Matt Hull, Bruce Morgan, Jorge Ohy, Rachelle Jeppson, Luanna Putney, Carrie Gatlin, Steve Hunter, and Jon Good.

Discussion Topics:

Review of 2/11/2009 Meeting Notes

The February 11, 2009, meeting notes were accepted as written.

Review of 4/9/2009 Meeting Notes

The notes of the special April 9, 2009, meeting were accepted as written.

ERS Compliance and Audit Review

Rachelle Jeppson and Luanna Putney described the proposed Compliance and Audit review of ERS (referring to materials distributed prior to this con call).

At the last meeting ERS Management Group meeting Sheryl Vacca indicated plans to conduct visits to selected campus to interview a small selection of participants in the ERS process. Rachelle and Luanna will be conducting these interviews. The selected campuses are: Davis, Berkeley, San Francisco, and Los Angeles (all of which have implemented ERS), and Riverside (which has not yet implemented ERS). Interviews will be up to 45 minutes in length.

In addition to the interviews, a short survey will be sent to others involved with effort reporting at the selected campuses. The number of people surveyed will be in the hundreds across the campuses.

The Management Group generally agreed that the size of the population sample for the survey was good.

There was general consensus that the one-size-fits-all survey set of proposed interview questions was not likely to be workable for all interviewees. For example, an Executive Vice Chancellor/Provost might not be aware of the particulars or have an opinion on training (yet talking with the EVC/Provost is important).

John Ellis inquired as to how the proposed survey questions are differentiated from questions asked during the internal audits, expressing concern about giving the appearance of repetitive questioning of PIs who had been interviewed by internal audit. Rachelle responded that audit

talked with 10-20 people total on each campus and that the survey questions should overlap little with audit questions, if at all.

Luanna indicated that they would obtain a list of audit interviewees prior to scheduling interviews so as to avoid overlap with this process.

Bobbi McCracken pointed out that Riverside hasn't yet implemented ERS and asked whether questions for Riverside will be different from ERS campuses. Rachelle responded in the affirmative.

Rachelle requested feedback on the campus interview and survey questions. The survey itself will be conducted using SurveyMonkey.com which does not carry any identifier of the survey responder.

Rachelle will be contacting each of the target campuses over the next few days to begin scheduling the interviews and surveys.

Questions about the interview or survey processes should be directed to Rachelle and Luanna.

Project Status

Carrie Gatlin reported that activity is underway on the next release, planned for the end of June. This release will include several enhancements and fixes.

Steve Hunter noted that two high priority bug fixes will be included in the next release:
1. new notification types for batch jobs
2. an optional edit for the online portion of the application – if enabled by the campus-- which provides a message that "a PPS transfer will be required" when a user changes the pre-populated effort amounts and then tries to save the changes.

Carrie Gatlin reported that ERS Release 10.0 was issued in April. Release 10 addressed the following enhancements and bug fixes:
- 1033 – Compliance reports can now be filtered and grouped by account and fund organizations, in addition to home department.
- 1453 – A new user preference has been added to highlight key data elements on the payroll drilldown screen.
- 1851 – On reports in multiline certification mode, CDUE reminders will not be sent to PIs who have already certified their lines on an enhancement.
- 1863 – For external authoriziation, capacity for a "timeout" URL has been added.
- 1948 - Hyperlinks to the payroll drilldown on the generated amount column have been removed from the Edit Effort Report screen.
- 1950 - The online single generate feature now works without risk of causing an application server out-of-memory failure.
- 1985 - The IAuthorizer authorizer interface has been extensively reworked to facilitate external authorization

- 2023 – Reporting periods can now be saved using the online system administration feature.
- 2025 – You can now delete a permission if it's linked to a role.

Requirements Committee Update

Carrie Gatlin reported that no issues about the system had been raised by the Requirements Committee requiring Management Group attention.

The Requirement Committee will be prioritizing lower priority bugs during its next conference call.

Cecelia Hamilton mentioned that UCSF wants to discuss the need for additional compliance reports. Sue Abeles indicated that UCLA is also interested in this topic and has been trying to develop some internally. She suggested that perhaps other campuses have similarly developed some reports that could be shared and integrated into the system for the benefit of all the users. Carrie indicated that she would add this to the agenda for the Requirements Committee call.

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

Project Finances

Carrie Gatlin reviewed the proposed FY 2009-2010 budget. The budget assumes that neither Santa Cruz nor Irvine will participate financially in 2009-2010.

Kirk Lew mentioned that Santa Cruz is trying to obtain funding for implementing ERS in 2009-2010

Questions about the project finances should be sent to Carrie and Jon Good.

UCOP ERS Audit Finding

Carrie Gatlin reported that UCOP recently underwent an internal audit examining UCOP ERS practices and process controls from the perspective of both the campus ERS hosting service as well as Base ERS maintenance. The audit pointed out that there is no formal approval and sign-off process in place for changes to Base ERS, and recommended that such controls be put in place.

Carrie proposed that the campus that submits an enhancement request should have primary responsibility to perform user acceptance testing and signoff on changes, on behalf of the larger requirements group, before the enhancement is included in a release. **The Management Group agreed.** [The Requirements Committee discussed and agreed to this proposal on May 14th.]

Carrie will provide an update to the Requirements Committee tomorrow.

ERS-PPS Coordination

Carrie Gatlin reported that the ERS Requirements Group is looking to pursue a change to the Base PPS as a result of discussions on ERS enhancements. This happens periodically.

Sue Abeles pointed out that UCOP Payroll Coordination functions as the liaison for the UC Controllers, who are the functional owners of PPS. The Controllers should be looped in on elective change requests to PPS. Sue recommended bringing to the Management Group any proposed change discussed in the ERS context that also requires modification of PPS. The Management Group will discuss and coordinate with those Controllers who do not participate in the Management Group. **The Management Group agreed with this recommendation.**

The current issue which brought this topic for discussion: NIH Salary Cap edits. Specifically, UC Davis analysis uncovered a large volume of expense transfers occurring to FAUs subject to the NIH salary cap rule. Currently the base PPS system has functionality to test the NIH salary cap requirement when a PPS processor creates or updates appointment distributions. There is also a compliance report and tab-delimited file which report on payroll earnings records over the NIH salary cap. There is no current function in PPS to block expense transfers or other pay transactions over the cap.

Mike Allred noted that this is an important compliance matter, but not directly related to ERS. Mike volunteered to schedule a meeting with Jorge Ohy and Mike O'Neill to discuss possible modifications to PPS to address this issue.

Actions When Effort Is Not Certified
Time Limits for Generating/Certifying Effort Reports

Sue Abeles mentioned that Jon Good was working on a response letter to Mary Croughan in follow-up to her experiences with ERS at UCSF, but that this does not address the larger issues raised by the Academic Council with respect to ERS.

Don Larson and John Ellis commented on the need to get the new time limits into policy sooner rather than later. All agreed that there is a need to revise the current 30 day criteria in existing policy. The proposed language provides for a total of 120 day certification period.

Sue suggested adding language to Jon's response letter to indicate that review of the Academic Council's issues is still underway with Compliance and Audit, and that there is a need to move forward with policy changes pertaining to time limits, excluding the consequences portion, due to the risks to the University. Jorge suggested that if we are unsuccessful in moving the policy forward through this process that we minimally should revise the timeframe in the existing policy.

Jon, Sue, and Jorge Ohy will come up with appropriate wording for the letter.

Campus Status Reports

Riverside – Bobbi McCracken reported that Riverside's central computing has been working with UCOP ERS hosting services and is nearing completion on theh integration of single sign-on and distributed access controls. Testing is currently planned for June, with a pilot of Spring PARs in the July/August timeframe and campus-wide deployment in the fall.

Next Meeting

The next meeting is scheduled as a conference call for **<u>Wednesday, June 10, 2009, from 1:00pm-3:00pm</u>**.

Remaining scheduled conference calls for 2009:

Wednesday July 8, 2009 1-3pm [if needed]
Wednesday August 12, 2009 1-3pm
Wednesday November 4, 2009 1-3pm

Effort Reporting System Go-Live Plans
May 13, 2009

Campus	Effort Reporting Period Start	Calendar Start	UCOP Hosting?	Notes	Status/Comments
Berkeley	Fall semester 2007	February 2008	Yes		In Production February 2008.
Davis	July-December 2006	March 2007	No		In Production March 2007
Los Angeles	Spring quarter 2006	Mid-August 2006	No		In Production September 2006
San Diego	Summer Qtr 2007	August 2007	Yes		In Production March 2008.
San Francisco	Fall 2006	April 2007	Yes		In Production 4/16/2007
Merced					Using UCLA ERS
UCOP					Using UCLA ERS
Irvine	Unknown	Unknown	Unknown		ERS Overview presented 12/5/2005; Implementation will depend on outcome of FDP activities – decision should occur in 2nd quarter 2009.
Riverside	To Be Determined	To Be Determined	Yes		Preparing for Rollout
Santa Barbara	To Be Determined	To Be Determined	Yes		Pilot of Summer 2008 planned for fall early 2009
Santa Cruz	To Be Determined	To Be Determined	Yes		Working on obtaining funding
DANR					Using Davis ERS