

**Effort Reporting System Management Group**  
**Meeting Notes**  
**June 10, 2009**  
**Accepted August 12, 2009**

This meeting was conducted as a conference call. Participants included: Sue Abeles, Mike Allred, Jim Corkill, Cecilia Hamilton, Don Larson, Kirk Lew, Bobbi McCracken, Jorge Ohy, Rachelle Jeppson, Carrie Gatlin, Steve Hunter, and Jon Good.

**Discussion Topics:**

Review of 5/13/2009 Meeting Notes

The May 13, 2009, meeting notes were accepted as written.

ERS Compliance and Audit Review

Rachelle Jeppson thanked the Management Group for the support and assistance moving the fact-finding process along within a short timeframe. Rachelle provided the following update on the fact-finding:

- At Davis 15 individuals have been interviewed. In addition, the survey is being tested out at Davis to determine whether additional or alternate questions should be posed to capture enough information. Surveys were sent to 75 individuals and about one-third of those have already been returned.
- At Riverside, 10 individuals have been interviewed.
- At San Francisco, scheduling of interviews is underway.
- At Los Angeles, a somewhat different approach is being taken: Sue Abeles and Research Administration staff were interviewed to leverage prior Huron findings.
- At Berkeley, John Ellis is being provided a list of “themes” gleaned from other campus visits. John will review the information and make any necessary additions to capture Berkeley’s perceptions.

Rachelle noted that the product of the fact-finding will be materials for presentation at the President’s Compliance Committee meeting on July 8<sup>th</sup>. Sue Abeles and Mike Allred will be participating in the July 8<sup>th</sup> meeting. Materials for this meeting need to be completed by June 22<sup>nd</sup> and will include an overview of the ERS system and project history as well as a summary of the fact-finding work.

Rachelle discussed some of the preliminary themes to emerge from the interviews of PIs, departmental administration and extramural funds staff that have been conducted to date. In the

broadest terms, the themes are familiar: knowledge of effort reporting requirements, completeness and timeliness of data, usability, knowledge of how to use ERS, administrative burden, etc. These themes will be articulated in more detail following completion of interviews and surveys.

Don Larson asked if interviewees were from across the range of numbers of certifications needing completion. Rachelle responded in the affirmative and that the majority of individuals interviewed are on the higher side of the numbers of certifications.

Mike Allred requested that the Management Group have an opportunity to preview the draft fact-finding materials prior to the June 23<sup>rd</sup> deadline for distribution to the President's Compliance Committee. Rachelle will check with Sheryl Vacca on this request.

Rachelle requested that the Management Group contact her offline with comments or thoughts on the fact-finding process to date.

Bobbi McCracken requested an email update from Sue and Mike to the Management Group following the President's Compliance Committee meeting.

#### Requirements Committee Update

Carrie Gatlin reported that the last Requirements Committee conference call took place on May 14<sup>th</sup>. No issues requiring Management Group attention arose during that call.

Enhanced compliance reporting had been a topic and the Requirements Committee agreed to add one new compliance report that had been recommended by San Francisco: identification of employees with 95% or more time recorded for sponsored projects. San Francisco representatives are pulling together requirements for this compliance report, which will be discussed further on the next call.

Jorge Ohy asked whether campuses will have the flexibility to set the threshold level (e.g., 95%, 90%, 80%, etc.) on this report? Sue suggested that the threshold level really should be parameter-driven to allow campuses the ability to set up the exception reports to reflect campus-specific requirements. Carrie remarked that she would bring this up in the Requirements Committee discussion.

Sue inquired whether other compliance reporting requirements, such as breaking out reports to the department level, had been discussed. Carrie and Steve Hunter responded in the negative. Carrie offered to prompt the Requirements Committee representatives from Los Angeles on the next call.

The Requirements Committee will next meet via conference call on Thursday, June 11<sup>th</sup>.

Carrie reported that the next release is still on schedule for the end of June.

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

Jon Good reported that the letter to Mary Croughan in follow-up to her experiences with ERS at UCSF had been sent on June 4th. At this time there has been no reaction to the request in the letter for feedback on extending the time period for certification. Jon will follow-up and inform the Management Group of any response to this prompt.

Sue noted that the letter did emphasize that extending the time period for certification reduced the risk to the University.

Sue suggested that, if nothing more about this request is heard from the Academic Council in the next week or two, that Jorge should move forward with making the certification time period change to existing policy. The Management Group agreed.

Next Meeting

The next meeting is scheduled as a conference call for **Wednesday, August 12, 2009, from 1:00pm-3:00pm.**

Remaining scheduled conference calls for 2009:

Wednesday November 4, 2009 1-3pm

**Effort Reporting System Go-Live Plans  
May 13, 2009**

<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 semester 2007	February 2008	Yes		In Production February 2008.
<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		In Production March 2008.
<b>San Francisco</b>	Fall 2006	April 2007	Yes		In Production 4/16/2007
<b>Merced</b>					Using UCLA ERS
<b>UCOP</b>					Using UCLA ERS
<b>Irvine</b>	Unknown	Unknown	Unknown		ERS Overview presented 12/5/2005; Implementation will depend on outcome of FDP activities – decision should occur in 2 <sup>nd</sup> quarter 2009.
<b>Riverside</b>	To Be Determined	To Be Determined	Yes		Preparing for Rollout
<b>Santa Barbara</b>	To Be Determined	To Be Determined	Yes		Pilot of Summer 2008 planned for fall early 2009
<b>Santa Cruz</b>	To Be Determined	To Be Determined	Yes		Working on obtaining funding
<b>DANR</b>					Using Davis ERS