Effort Reporting System Management Group
Meeting Notes
March 10, 2010
Accepted May 12, 2010

This meeting was conducted as a conference call. Participants included: Sue Abeles, Mike Allred, Rich Andrews, Jim Corkill, John Ellis, Don Larson, Kirk Lew, Bobbi McCracken, Jorge Ohy, Marcia Smith, Debra Henn, Luanna Putney, Carrie Gatlin, and Jon Good.

Discussion Topics:

Review of 1/13/2010 Meeting Notes

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

ERS Compliance Initiative Status Report

Luanna Putney provided an update on the ERS Compliance initiative, highlighting three areas in the status update letter that had been sent to Provost Pitts and shared with the Management Group:

Effort Reporting Metrics – work on metrics is far along towards completion
Faculty/Researcher Training Workgroup – Sue Abeles/Sam Traina co-chairs– Sheryl Vacca has agreed to pay for engaging Huron Consulting to assist with the development of content consistent with the outline that has been already reviewed by the Management Group. The product of this engagement will be sent to the Training Workgroup and the Management Group concurrently for review in late April/early May. Luanna will coordinate finalization.

Rich Andrews – FDP project – con call with PWC national expert – HHS had general questions re: A-133 (last time Rich/Luanna had talked). Pilot timeline will be long.

Luanna noted that the Provost has responded by requesting:
- More involvement of faculty in training effort and the ERS Management Group
- Ethics, Compliance and Audit Services to provide an update on the Compliance initiative to the Faculty Senate Welfare committee – Mike Allred offered to be the Management Group representative in the presentation to the Faculty Senate Welfare Committee
- Establishment of a cost sharing committee to look at unmet needs

ERS Metrics

Carrie Gatlin reported that three new metrics reports had been implemented with Release 10.3 on February 12th:

1. Percent of effort reports certified by due date(s) – added to existing Status Summary reports
2. Percent of effort reports certified in a given reporting period—existing Status Summary reports now allow roll up to campus level
3. Individuals knowledgeable of work performed (individuals certifying different numbers of effort reports) – new report

Debra Henn, who has been involved in refining the requirements for the remaining three metrics reports, reviewed those requirements with the Management Group draft requirements to make sure that the requirements are in synch with the spirit of the Management Group's intentions:

1. % of recertified effort reports, at version 2.0, for a given cycle divided by the number of effort reports requiring certification, for the effort reporting certification cycle

   Management Group questioned the value of this report since it's not clear what follow-up action would be taken for a various percentage result other than when a high percentage is reported. The original intent was to gauge whether people were adjusting reports or just certifying. However, it is not clear what problem this report addresses, unlike the version 3.1 variant (below). Cecilia Hamilton had requested this report and it was agreed that Cecilia needed to be consulted to determine the need for/use of this report. Further, if UCSF is the only campus requiring this particular report, development of the report will be assigned a lower priority.

2. % of recertified effort reports, over version 3.1, for a given cycle divided by the number of effort reports requiring certification, for the effort reporting certification cycle

   The Management Group agreed that this report shows re-certification rates. The Requirements need to be refined to track on re-certifications where the percentages of effort have actually changed on a report and exclude those reports where the net effort has not changed from version 1 of the effort report. The Management Group also requested seeing a distribution of multiple re-certifications across the number of re-certifications.

3. % of PI/faculty member effort reports self certified divided by the number of effort reports eligible for self certification, for the effort reporting certification cycle

   The Management Group agreed that this report would be very useful and that the list of Class Title Outlines (CTOs) identifying Academic Title Codes for selection of the population for this report was good.

   Mike Allred asked whether there are other CTOS that should be included. Carrie will put together a list of all CTOs associated with Academic Titles for Management Group for review. [Note: this list was distributed via email from Carrie Gatlin on 3/15/2010 6:31am]

Carrie noted that development and release of the metric reports will get underway once the requirements are completed.

Time Limits for Generating/Certifying Effort Reports

Jorge Ohy reported that proposed language on consequences for not certifying effort has been turned over to Ellen Auriti in the Office of Research and Graduate Studies and that she is deliberating whether there is a need to take the language to the Vice Chancellors for Administration for endorsement. Luanna will follow up with Ellen to see what next steps are to get the consequences language in place.

It was noted that consequences for failure to certify effort are already being discussed by some Vice Chancellors for Research.

Impact of Salary Reductions/Furlough Earnings on Effort Reporting

Sue remarked that UCOP is actively engaged in the discussion on this topic, and there is general agreement that there will be no retro-active changes applied to ERS.

Carrie reported that UCOP is working on modifications to PPS for making furlough-related adjustments prospectively. The PPS modifications are planned for release in time for installation and use with the first Payroll Compute against April earnings.

Project status Report

Carrie reported that release 10.3 was made available to campuses on February 12th and included the following enhancements and bug fixes:

- 2073: Certification Tolerances to address rounding issues due to payroll expense transfers.
- 2272: Percent of Effort Reports Certified by Established Due Dates
- 2273: Percent of Effort reports Certified for a Given Reporting Period
- 2274: Certifications by user to track Individual Knowledgeable of Work Performed/Suitable Means of Verification

- 1118: Statistical detail report max/min/average counts incorrect
- 1157: Report generation not marking reports with negative lines as exception status
- 1319r: Can't use Reissued/Partially Certified list filter introduced by enhancement 1319
- 1539: Status Report Summary has incorrect percentages
- 2155: Report can be flagged as overdue on a report list one day early
- 2183: Compliance reports: Statistics summary reports not showing recertified counts
- 2185: Compliance reports: Statistics report detail has incorrect recertified totals
- 2187: Compliance reports: allow filtering on all account/fund orgs

- [2302](#): Saving a multiline report without any above-the-line items fails
- [2328](#): Late pay drops "certified by" value when versioning up a reconciled certified/adjustment required report
- [2356](#): Reports with no effort above the line after rounding not adjusted

Release 10.4 is currently scheduled for May, and will include the following enhancement requests plus additional bug fixes which have been prioritized:

- [2189](#): Add "My Projects" type filter to compliance reports
- [2390](#): Compliance metric: reports certified more than once
- [2391](#): Compliance metric: reports not self-certified as required by PIs and employees in designated Title Codes

Requirements Committee Update

The Requirements Committee will next meet via conference call on Thursday, March 11th.

Project Finances

Jon Good reported that UCOP IR&C would like to move away from the Interlocation Transfer of Funds process for obtaining Base ERS Maintenance funds from the campuses and use financial transactions (recharge) to collect the support monies. The Management Group agreed to move in this direction. For 2009-2010, Riverside and San Diego funds have already been obtained through the ITF process. All other campuses can provide 2009-2010 monies through the new process. Jon will email the Management Group with instructions for effecting the financial transactions in the next week.

Next Meeting

It was agreed was agreed to schedule the next conference call for May 12th for review of the training materials produced by Huron.

The next meeting is scheduled as a conference call for **Wednesday, May 12, 2010, from 1:00pm-3:00pm**.

Remaining conference calls for 2010 (2nd Wednesday, 1-3pm):
- June 9
- September 8
- December 8

Effort Reporting System Go-Live Plans
March 10, 2010

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 on whether there will be an FDP pilot is still pending.
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