Effort Reporting System Management Group
Meeting Notes
May 12, 2010
Accepted September 8, 2010

This meeting was conducted as a conference call. Participants included: Sue Abeles, Mike Allred, Jim Corkill, Cecilia Hamilton, Kirk Lew, Bobbi McCracken, Bruce Morgan, Jorge Ohy, Marcia Smith, Cecilia (SF), Carrie Gatlin, and Jon Good.

Discussion Topics:

Review of 3/10/2010 Meeting Notes

The March 10, 2010, meeting notes were accepted as written.

Effort Reporting Briefing Materials for Faculty – Review of Draft (emailed 4/14/2010)

Sue Abeles reported that in response to the charge to the Faculty/Researcher Work Group to develop a systemwide effort reporting briefing for faculty, the Office of Ethics, Compliance and Audit Services (ECAS) engaged Huron, and their specialists in research compliance, to help develop the content. The draft content developed by Huron was emailed to the Management Group on April 15th for review on this conference call. Berkeley was unable to participate in this call but has submitted written comments to Sue.

Highlights of the comments and suggestions that were discussed:

- References to effort reporting forms imply paper processes and the graphic presented implies a paper-based process – suggested eliminate any reference to paper processes.

- Length – it was suggested that the time to complete the briefing was too long and should be shortened, but most agreed that there was little, if any, content that should be cut from the briefing. Berkeley had timed the briefing at 20 minutes.

- Terminology – 1) provide a list of definitions of key terms, 2) use terminology more familiar to PIs, and 3) define "total professional activities" in the context of Institutional Base Salary.

- Audience - it was suggested that the audience for the briefing be limited to new PIs with projects funded by federal funds or federal flow-through funds.

- Tolerance - use 5% described in policy instead of the 1-2% indicated in the materials.

- Mandate – if the completion of the briefing is to be mandated, the mandate and consequences for failure to comply with the mandate need to be consistent across UC. It

was agreed that any recommendation to require completion of the briefing needs to come from the Faculty/Researcher Work Group.

- It was suggested that a handful of PIs be asked to review the briefing materials and provide feedback as a step in polishing the briefing.

- A question was posed challenging the assertion that bargaining unit employees are exempt from effort reporting.

Sue requested that suggestions for specific language changes be emailed to her and reference the slide number(s) where change is proposed.

Time Limits for Generating/Certifying Effort Reports

Jorge Ohy reported that the revisions to the Contracts and Grants manual have not yet been published. Luanna Putney had contacted Ellen Auriti about moving forward with publishing the revisions. Sue will ask Luanna to report on the next conference call.

Project status Report

Carrie Gatlin reported that Release 10.4 is currently scheduled for late May release, 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, May 13th. No issues have been raised recently requiring Management Group attention.

Project Finances

Carrie reported that Base ERS expenditures are slightly under target for FY 2009-2010 and should end with a surplus of roughly $8,000. For FY 2010-2011, a 5-7% increase in expenditures is being planned, primarily to cover quality assurance work that was recommended by internal audit. No other significant changes in expenditures are anticipated.

Kirk Lew reported that Santa Cruz has obtained funding approval for ERS, with a target for the first effort reporting cycle being summer 2011.

Other Topics

Mike Allred inquired whether any of the other campuses are re-evaluating the time period for certification cycles. Kirk Lew mentioned that Santa Cruz plans to go with quarterly certification. Marcia Smith mentioned that UCLA has had some preliminary discussions about changing the certification periods, but has shelved discussions for the time being.

Next Meeting

The next meeting is scheduled as a conference call for **Wednesday, June 9, 2010, from 1:00pm-3:00pm**.

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

Effort Reporting System Go-Live Plans
May 12, 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	Summer Qtr 2011	To Be Determined	Yes		Obtained Funding Approval May 2010
DANR					Using Davis ERS