

Notes from the 8-12 ERS Requirements Group Meeting

Requirements Group Notes

The meeting notes from the July 14 Requirements Group meeting were approved.

Management Group Notes

Notes from the July 15 Management Group meeting were also reviewed and several items in the notes generated discussions.

- Cost Sharing

The Requirements Group members felt that we should have a separate discussion on cost sharing. Cost Sharing will be added to the agenda for our next meeting on September 9.

- Frequency of Effort Reporting

The Requirements Group raised the question of whether or not all campuses would want to continue using the academic term as the reporting period and felt that further discussions at individual campuses could result in decisions to use other than academic period. This decision could be the result of a campus implementation planning process. The system will provide for various reporting periods so that if a campus chooses other than the academic period or wish to change the reporting period in the future they will be able to do so. The Requirements documents states:

Common reporting periods are month, academic period such as quarter or semester, or annual. In determining the best reporting period, a campus would consider the balance between certifying effort on a basis which is frequent enough to tie the effort to the reporting schedule, and avoiding the unnecessary burden of reporting effort too frequently. Since campuses have different structures, issues, and demands, the system must provide for monthly, academic period or annual reporting, possibly with different reporting periods for different types of employees. For example, a campus might choose an annual reporting period for professorial and professional employees and a quarterly reporting period for non-professional employees. The system must also provide the ability to include different periods of time based on appointment type, e.g., for staff and 11-month appointees a quarterly effort report would include three months while effort reports for 9-month employees would include 4 months per quarter or 6 months per semester. The system also needs to be able to issue a separate off-quarter research effort report for 9-month faculty performing research during their off-quarter. While the vast majority of off-quarter research is currently performed in the summer, changes in academic periods or addition of full summer quarters could result in off-quarter research being performed throughout the year. The system must provide a mechanism for separating these off-quarter payments from regular academic salary.

- Who should Certify Effort Reports?

Following up on the decision of the Management Group to require that certain employees certify their own effort reports, the Requirements Group concluded that included in that group should be Principal Investigators and Professorial and Professional Research titles. Also included would be Management titles paid from federal funds, such as Deans. Specifically excluded from the group would be Post Graduate Research, Specialists, Academic Coordinators and Administrators, and all staff titles. Pixie will review the title code table to determine the best method of defining these categories to the system.

The Requirements Group also felt that an additional category should be added to the list of "Who Should Certify Effort Reports?". In addition to "Employees Who Must Certify Their Own Reports" it was suggested that we add a category of "Employees Who Can't Certify Their Own Reports". Everyone agreed that it would be difficult and burdensome from a system design perspective to expect the system to determine the employees in this category based on certain criteria. Instead, employees in this category would need to be designated by department administrators on an employee by employee basis. That translates to a system requirement that a mechanism be added to allow departments to designate employees who may not certify their own effort reports, and when so designated would prevent the employee from certifying their effort report. The system should maintain this designation and once set up in the record, the limitation should apply to all future effort reports, until the indicator is deleted by a department administrator. The indicator would apply to the employee and would apply to all portions of the report even if the employee was paid from multiple departments. While it was not clear that all campuses would use this feature to the same degree, Requirements Group Members felt that it was an important tool to help administrators manage the certification process and ensure compliance.

- Who is the Office of Record?

In the Management Group meeting notes the Office of Record was described as *"system owner, the department responsible for ensuring the proper functioning of the system and the availability and security of the data. This is not the department who may know whether a particular individual certified their effort correctly, nor is it the IT department responsible for the actual system maintenance. Rather, it is the central functional department, such as the Campus Controller or Research Administration. It is the department that controls the timing and running of effort reports, reviews and monitors campus compliance, and to whom auditors would turn for records for multiple departments and questions about report content, etc."* There was some discussion about this language and whether or not it was assigning responsibility for functions to particular organizations. The purpose of the language was to clarify the fact that there would still be an "Office of Record" even though paper reports no longer existed. Assignment of responsibility for the "Office of Record" function is not a system issue or a central issue and should be made by individual campuses.

Routing of Notifications

The group continued discussions concerning routing of notifications. This is a difficult concept and it was decided that we would continue the discussion at our next meeting when screen mockups will be provided.

Communication with Management Group

Some members expressed concern that there was not always sufficient communication between Management Group and Requirements Group members before decisions were made. Everyone recognized that it can be difficult to ensure that everyone is included in all relevant discussions, since discussions sometimes evolve into areas that were not anticipated. Everyone agreed that if the Requirements Group members receive copies of communications with the Management group (especially agendas and pre-meeting materials) then individuals can be responsible for providing input to their respective Management group representative in advance of the Management Group meetings.

Additional Requirements Specifications

A suggestion was made that the Effort Reports include not only the name of the reporting period, but the pay periods and service periods included in each report. For example, a report for Fall Quarter 04 would show:

Fall Quarter 04

Service Period September 27 through December 17

Includes salary payments for July through October 04

The Requirements Group will meet again on September 9 from 10:00 to 2:00.