Effort Reporting Update
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June 10, 2010
Effort Reporting at UCLA

◆ Effort Reporting Challenges
  ▪ Low completion rates, multiple re-certifications and re-opening of reports leads to audit and compliance risk
  ▪ Inconsistent training and education available to faculty and staff at the department level
  ▪ Issues with the ERS system led to frustration on campus
  ▪ Poor understanding of effort reporting concepts

◆ UCOP Focus on Effort Reporting System-Wide
  ▪ Working on faculty training for effort reporting
  ▪ Requesting metrics on completion and compliance from each campus
  ▪ Consequences statement recently drafted of escalation procedures in instances of non-compliance with effort reporting completion
Effort Reporting Update

◆ Effort Reporting Workgroup Progress

- Workgroup formed in January comprised of EFM, ORIS and Campus representation
- Team has worked to remove barriers to completion in ERS such as errors in calculations and system bugs
- Created and presented an ERS Training Forum in early May to review the basics of effort reporting, how to use the ERS system, best practices, and how to get around challenging issues
- Continue to discuss and refine other initiatives to provide outreach to campus, discuss policy and procedures around effort reporting, challenges to certification, future ERS Training Forum topics
**Effort Reporting Update**

- EFM is meeting with individual departments to help work through the open effort reports
  - Plan to visit 5-6 departments per quarter that have the largest number of open reports and/or the lowest certification rates
  - Sharing best practices and frequently asked questions between departments
  - EFM has visited several departments to date including Surgery, Neurology and Department of Medicine and plans to continue these meetings with Life Sciences, Chemistry and others

- After documenting the common issues and fixes for certifying reports, EFM has an ERS FAQ that they continue to update: [http://www.efm.ucla.edu/ERS%20FAQs.htm](http://www.efm.ucla.edu/ERS%20FAQs.htm)

- If you are interested in setting up a meeting with EFM, please email [ershelp@research.ucla.edu](mailto:ershelp@research.ucla.edu)
Effort Reporting Update

- Effort Reporting Website
  - https://ers.ais.ucla.edu/

- ERS Training Modules

- For effort reporting assistance or questions
  - ershelp@research.ucla.edu

- RAPID Closeout Tool for ERS Detail Report
  - http://portal.research.ucla.edu/index.aspx?Section=PostAward
Effort Reporting Update

Effort Reporting Issue Dates and Deadlines for Certification

<table>
<thead>
<tr>
<th>Quarter</th>
<th>Release Date</th>
<th>Due Date</th>
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<td>Summer 2009</td>
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<td>June 4, 2010</td>
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<tr>
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<td>Mid August 2010</td>
<td>Early October 2010</td>
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<td>Spring 2010</td>
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<td>Early October 2010</td>
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Campus Goals for Effort Reporting

- Summer and Fall 09 Reports: 100% complete by June 4 deadline
- Past Due Reports: 50% complete by September, 95%+ complete by December
Risks of not meeting these goals:

**Impact to the Institution:**
- Susceptible to False Claims Act allegations
- Departments may owe direct cost refunds to the sponsor
- Sponsor may reduce or eliminate future funding
- Adverse publicity

**Impact on the Individual:**
- Susceptible to False Claims Act allegations
- Possible criminal charges
- May lose access to current funding

Negative audit findings
Effort Reporting Completion Statistics as of 4/23/10

Number of Certified Reports
Current Open Reports

Spr 06  Sum 06  Fall 06  Wint 07  Spr 07  Sum 07  Fall 07  Wint 08  Spr 08  Sum 08  Fall 08  Wint 09  Spr 09  Sum 09  Fall 09
6400  6615  5777  5639  5755  5968  5265  5248  5344  5414  4769  4332  3940  6859  5932

89%  93%  93%  91%  91%  89%  88%  87%  87%  82%  78%  73%  64%  7%  7%

4/23/10
**Effort Reporting Completion Statistics as of 6/9/10**

- **Number of Certified Reports**
- **Current Open Reports**

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*Reporting Statistics as of 6/9/10*
Effort Reporting Update

◆ Effort Reporting Status at UCLA
  ▪ All quarters have shown increased completion from April until today
  ▪ Summer 2009 and Fall 2009 are still below 50% completion as of the June 4th deadline for 100% completion of both quarters

◆ Release of Upcoming Quarters
  ▪ Winter 2010 and Spring 2010 will be released in mid-August 2010
  ▪ Please use this time to complete all outstanding effort reports in ERS prior to the release of two additional quarters