The Salary Cap Self-Report Form Instructions

Effective Effort Certification Cycle 3 for Fiscal Year 2012, a Salary Cap Self-Report Form is recommended to be attached in ECRT (Effort Certification Reporting Technology), the University’s effort reporting system, for all individuals who meet the following criteria:

- ECRT displays a “Salary Cap Warning Flag” on the effort statement (Attachment A)
- ECRT does NOT display a “Salary Cap Warning Flag” on the effort statement but the individual’s allowable salary cap base for the effort cycle is less than the amount of salary charged during that effort cycle.

Once an individual has been identified as being over the salary cap, a self-report form or departmental backup document must be attached in ECRT. Complete the self-report* form by following these instructions:

1. Locate the form in the main menu in ECRT (upon successful login) at: ecrt.eresearch.umn.edu or via the SPA Effort Unit’s Homepage: www.ospa.umn.edu/effort
2. Enter the effort time period (e.g. 1/16/12 – 6/17/12) in E1.
3. Enter the effort fiscal year and cycle (e.g. FY12 cycle 3) in H1.
4. Enter salary cap description (e.g. FY 12 Executive level I) in L1. Salary cap information can be found at: www.ospa.umn.edu/forms/rates/NIHSalaryCapGuidance.html
5. Enter the individual’s first and last name in B2.
6. Enter the individual’s % appointment in B3.
7. Enter the individual’s total salary for the effort period in B4.
8. Enter the individual’s EmpPlld in C2.
9. Enter the number of pay periods for the effort cycle in E2.
10. Enter number of pay periods per fiscal year in M2 and M7.
11. Enter the following calculation in M1: “= (salary cap base)* B3”
12. Cell M3 will auto-populate.
13. Enter the total amount of certifiable salary charge during the effort cycle into B4.
15. Enter salary cap description (e.g. FY 12 Executive level II) in L6.
16. Enter the following calculation in M6: “= (salary cap base)* B3”
17. Complete the following table instructions for each row as needed:
   a. Enter the project number in Column A- “Project ID”
   b. Enter the type of award in Column B “Award Type”; types include:
      i. Competing (NIH, PHS, and DHHS awards)
      ii. Non-competing plus budget year (NIH, PHS, and DHHS awards)
      iii. Carryforward plus year
      iv. Agency (for awards that are not NIH or DHHS)

- The self-report form calculations will not work for the following situations: An individual with 2 different rates of pay or a 9/12 appointment.
c. Enter the award issue date (only for NIH, PHS, and DHHS awards) in Column C “Award Issue Date”; Note: this is not needed for carryforward awards.

d. Enter the budget year’s start date (to be used only for NIH and DHHS awards) in Column D “Budget Start Date”

e. Enter the budget year’s end date (to be used only for NIH, PHS, and DHHS awards) in Column E “Budget End Date”

Determine how many pay periods in which the award was active (e.g. if the effort cycle is: 1/16/12 – 6/17/12 and the budget year ended on 1/31/12, there were 12 working days (1/16/12 – 1/31/12) in the effort cycle or 1.20 pay periods (12/10). Enter pay periods in Column F “#PP”

f. Enter the total amount of effort to be certified (payroll effort plus cost share effort) in Column G.

h. Column I* will auto-populate

d. Column J* will auto-populate

18. Once the self-report form is completed, it must be converted and saved into a PDF. When saving the PDF, use the following, specific naming convention: “FYXXCycleX_LAST NAME_FIRST NAME” of the individual (e.g. FY12Cycle3_Smith_Joseph).

*Columns H, I, and J only need to be completed when the award is from NIH, PHS, or DHHS and the individual’s salary charged during the effort cycle (B4) is greater than the allowable salary cap base for that cycle (M4 or M9).