

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 it has been identified that an individual must attach the required the self-report form, fully complete the 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 EmplId in *C2*.
8. Enter the number of pay periods for the effort cycle in *E2*.
9. Enter number of pay periods per fiscal year in *M2 and M7*.
10. Enter the following calculation in *M1*: “= (salary cap base)* *B3*”
11. Cell *M3* will auto-populate.
12. Enter the total amount of certifiable salary charge during the effort cycle into *B4*.
13. Cell *M4* will auto-populate.
14. Enter salary cap description (e.g. FY 12 Executive level II) in *L6*
15. Enter the following calculation in *M6*: “= (salary cap base)* *B3*”
16. Complete the following table instructions for each row as needed):
 - a. Enter the project number in *Column A* - “Project”
 - b. Enter the type of award in *Column B* “Award Type”; types include:
 - i. Competing (NIH and DHHS awards)
 - ii. Non-competing plus budget year (NIH and DHHS awards)
 - iii. Carryforward plus year
 - iv. Agency (for awards that are not NIH or DHHS)

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- c. Enter the award issue date (only for NIH 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 E “Budget Start Date”*
 - e. Enter the budget year’s end date (to be used only for NIH and DHHS awards) in *Column F “Budget End Date”*
 - f. 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 16 active days (1/16/12 – 1/31/12) in the effort cycle or 1.14 pay periods (16/14).
 - g. Enter the total amount of effort to be certified (payroll effort plus cost share effort) in *Column G*.
 - h. Enter the allowable salary calculation in *Column H**: number of pay periods (*Column F*) * Total % effort on project (*Column G*) * current salary cap per pay period (either M3 or M8). Use the NIH Salary Cap Guidance to determine:
www.ospa.umn.edu/forms/rates/documents/NIHSalaryCapTableforUMN2Feb12.pdf
 - i. *Column I** will auto-populate
 - j. *Column J** will auto-populate
17. 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 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).*