



Office of Research Services

Effort Report Form Instructions – For Use with the Blank Effort Report Form

The blank effort report form is available for use in those instances when an effort report form was not generated in ERS for a reporting period. This may result for the following reasons:

- a) A late payment to an individual is processed in the payroll system to charge salary to a sponsored project for an effort reporting period after ERS was initiated for that specific reporting period.
- b) An effort report was generated for an individual, but an additional pay was processed for that individual after the effort reports were generated. In this instance, the effort report form in ERS needs to be certified, with an explanation in the Notes box on the effort report form. If space in the notes box permits, the note should show the total compensation and the correct effort percentages for the entire period. If there is insufficient space to record all the appropriate data, a blank form also needs to be completed to include all payments to the individual for the entire effort report period.
- c) A cost transfer was processed after ERS was initiated for an effort report period for an individual for whom an effort report had not been generated.
- d) When salary cost sharing is required for an individual on sabbatical leave and compensated from the employee benefits pool.
- e) When salary is paid to a UPHS/CPUP employee utilizing the 5140 object code on a sponsored project.

To complete the blank effort report form, please select the appropriate reporting period and year from the drop down menu. Indicate the individual's name, department, PennID, and the School or Center. In the spaces provided for both Sponsored Accounts and Non-Sponsored Accounts, include all funds for which a salary expense was charged, and the payroll percentage of each fund charged to the individual's institutional base salary. Institutional Based Salary (IBS) for sponsored project and effort reporting purposes is an individual's annual compensation paid by the University for the assigned responsibilities of their position as identified in their appointment letter and subsequent annual salary letters.

IBS does not include compensation from any external sources, i.e., consulting, salary received directly from the VA or payment for incidental work performed as an employee (that in excess of normal for the individual), i.e., teaching an evening course. For those individual's compensated by the Clinical Practices of the University of Pennsylvania (CPUP), IBS also includes any Guaranteed Variable Pay (GVP)* and CPUP administrative stipend. All other compensation from CPUP is excluded from IBS.

*NOTE: In order for GVP to be part of the IBS it must be fixed and guaranteed for a minimum of 12 months.

UPHS Clinical Faculty must complete the additional information regarding their percent of the applicable clinical/other activity(s) as well as supply the number of average weekly hours worked for all activities.

All faculty must certify their own form. Staff may certify their own form or an individual having a suitable means of verification that the work was performed may certify the form. Such verification must include the responsible individual's name (e.g., PI), date, and an affirmative statement that work was performed as indicated by the salary charged to the fund.

Retain a copy of the effort report form and any necessary supporting documentation (including a copy of the payroll transaction detail). These records must be available for audit purposes. A copy of the certified effort report form must be sent to Susie Won for review in ORS, P221 Franklin Building.

All questions regarding the completion or purpose of the form can be directed to ers_help@isc.upenn.edu.

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