Effort Reporting System (ERS)
Quick Reference Guide
for the DC, Pre/Post Reviewer
ers_help@isc.upenn.edu

Logging On

Enter your **PennKey** and **PennKey Password**.

☞ *You cannot change your PennKey Password within ERS. For information regarding PennKey and Password go to* ***http://www.upenn.edu/computing/pennkey/***

ERS Home Page

The ERS Home Page has the following options available depending on the individual's role. The options are: Profile, Assignments, Notification, Pre Review, Certify, Post Review, Reporting, Help Topics, About ERS, and Log Off. The information below, briefly explains each option.

Profile

Lists information about the employee in a read-only format.

Assignment

Allows the DC to change the Sub Department Coordinator and Sub DC Rights, Pre Reviewer, or Post Reviewer for an entire sub department. Additionally, the DC can change the Pre Reviewer, Certifier, or Post Reviewer for an individual(s) or assign the individual(s) to another sub department. The steps to accomplish any of the possible Assignment changes are detailed below.

Change Assignments for Department or Sub Departments

1. Select **Assignment** on the left menu bar.
2. Select **Change Assignments for Department or Sub Departments**.
3. Select a Department or Sub Department for which you will change assignments. Click **Proceed**.
4. The options indicated below will appear, select one of the options and click **Proceed**.
   - Change SubDC / Update SubDC Rights
   - Change Sub Department Pre Reviewer
   - Change Sub Department Post Reviewer

Change Sub DC or Updating Sub DC rights:

1. Select **Change Sub DC/Update Sub DC Rights**. Click **Proceed**.
2. ERS provides a list of individuals from which you can select only those individuals in your domain, or you can select to **Assign somebody not in your domain** by clicking this link at the top of the page.
3. Select a person to be the new Sub DC and click **Proceed**.
4. Change the Sub DC Rights as applicable.
5. Click **Apply**. Review information and if correct, click **Apply** again. On the Current Settings for Sub Department section of the screen you will see the new Sub DC and Sub DC rights.
6. Click **Exit, Return,** or **Proceed** as appropriate.

Change Sub Department Pre Reviewer:

1. Select **Change Sub Department Pre Reviewer**. Click **Proceed**.

2. ERS provides a list of individuals from which you can select only those individuals in your domain, or you can select to **Assign No Pre Reviewer** or **Assign somebody not in your domain** by clicking on the appropriate link at the top of the page.
3. Select a person to be the new Pre Reviewer and click **Proceed**.
4. Click **Apply**. Review information and if correct, click **Apply** again. On the Current Settings for Sub Department section of the screen you will see the new Sub DC and Sub DC rights.
5. On the summary screen, note the name of the new Pre Reviewer is displayed.

Change Sub Department Post Reviewer:

1. Select the **Change Sub Department Post Reviewer**. or in the case of individual assignments, "Change Post Reviewer". Hit the "Proceed" button.
2. ERS provides a list of individuals from which you can select only those individuals in your domain, or you can select to **Assign somebody not in your domain** by clicking this link at the top of the page.
3. All remaining steps are the same as above.

Change Assignments for Individuals

1. Select **Assignment** on the left menu bar.
2. Select **Change Assignments for Individuals**.
3. Select an Employee Name for whom you will change assignments. Click **Proceed**.
4. The options indicated below will appear, select one of the options and click **Proceed**.
   - Change Pre Reviewer
   - Change Certifier
   - Change Post Reviewer
   - Assign to a different Sub Department

Follow the steps indicated which are similar to the steps above.

Notification

Click the **Notification** option on the left side menu bar. There you will find a series of predefined email sets. You may choose one of the options or draft your own email using the General Email links. Complete the email and click **Send Email**. When the email is sent, you will receive a confirmation.

☞ **Note**: The subject and bodies of all predefined emails can be edited.

Pre Review

The Pre Review option links to the effort forms of only those employees for whom you are assigned as a Pre Reviewer. The options available are: Pre Review All (which displays all employees in your domain), Pre Review (which displays employees assigned to you), or View Read Only Effort Forms Employees (which displays employees charged to your department account(s) but exist outside of your domain. In order for the Certifier to access the effort form, it must first be pre reviewed.

Getting Started:

1. Select **Pre Review** option on the left menu bar.
2. Select the appropriate **Pre Review** option by clicking the link.
3. Select the **Reporting Period** by clicking the link for that period.

   ☞ **Note**: You can access prior periods as well as the current period.
4. Select the **Sub Department** or **Departments** that you want to Pre Review by checking the appropriate box(es). (You have the option to use a filter to retrieve forms that have been Pre Reviewed or Not Pre Reviewer, as well as forms that have been Certified or Not Certified.) Click **Continue** to execute the selection criteria.
5. Select the effort form that you will Pre Review by clicking on the employee's name.

Getting Familiar with the Form:

1. Clicking on a link in the **Payroll** column will display the detail for each payroll period for the sponsored account.
2. Clicking on the sponsored account number link will display the chart of accounts information for that award.
3. Clicking the **Cap** icon next to an account name will display the agency, salary cap amount for the reporting period, and the annualized salary.
4. To view prior effort statements, click the link **View Previously Certified Effort Statements** on the upper left side of the form. Click **Input as %** button to change to percentage mode, click **Input as $** to return to dollar mode.
   - ☞ **Note**: You must be in dollar mode in order to use the **Proceed** button.

Making changes to the form:

1. If an account is missing from the form, add an account by:
   a. Clicking **Add Account**.
   b. Search for an account by entering all the search criteria. Click **Continue**.
   c. Select an account from the Account drop down box, and then click **Add Account**.
2. Make any necessary cost transfers and/or cost sharing in the respective input boxes.
3. You may want to add a note to the Notes box for the Certifier describing any changes to the form. (For NIH Career Awards "K", please enter information regarding the sponsored activities on which the employee worked.
4. Click **Proceed**.
5. If a cost transfer was entered, enter the applicable pay period dates for the transfer. The dates must be within the dates of the effort period you selected. Click **Submit**.
   a. Click the **Select** button next to the pay period for which you will define a Cost Transfer transaction.
   b. In the first input box, enter the dollar amount of the transfer pertaining to the selected pay period. You have the option to hit the calculator button next to the second input box in order to automatically reallocate the balance of the pay period back to the original account.
   c. Select a reason from the drop down box in order to indicate the purpose for the cost transfer.
   d. Click **Submit** in order to execute the transaction.
   e. Continue to enter transactions until the entire Cost Transfer has been defined, and the balance total is zero. If you need to change any cost transfers you have created, click **Change** next to the transaction.
   f. Once the balance of the cost transfers is zero, click **Proceed** to finalize the Cost Transfer transactions.
6. If the effort report form is for a UPHS Physician, and there are Non Sponsored accounts reflected on the Effort Form, you are presented with the University Funded Accounts Summary screen. It is not mandatory that the Pre Reviewer complete this Summary. If you choose to complete this screen discuss with the Certifier their % of effort for the categories presented. Enter the percentages in the input boxes totaling to the % of non-sponsored effort. Click **Proceed**.
7. The Pre Review Summary screen will appear. You have the option to print this page for your records clicking **Print Form**.

Certify

The Certify option links to the efforts of employees who are assigned as a Certifier. Once Pre Review is completed, an automatic email notification is sent to the Certifier informing them that their effort form is ready for certification. Within that email is the URL which will bring the Certifier to the Log On page requiring their PennKey and PennKey Password. After entering this information, the Certifier is brought to their version of the ERS Homepage.

Post Review

The Post Review option links to the effort forms of only those employees for whom you are assigned as Post Reviewer. You are required to Post Review the forms that were altered by the Certifier. You will only be able to view the effort form of an employee assigned to another Post Reviewer in the Post Review All mode.

Getting Started:

1. Select the **Post Review** option on the left menu bar.
2. Select the **Post Review All** or **Post Review** option by clicking the link.
3. Select the **Reporting Period** by clicking the link for that period.
   - ☞ **Note**: You can access prior periods as well as the current period.
4. Select the **Sub Department** or **Departments** that you want to Pre Review by checking the appropriate box(es). (You have the option to use a filter to retrieve forms that have been Certified or Not Certified as well as those which have been Post Reviewed or Not Post Reviewed. Click **Continue** to execute the selection criteria.
5. Select the effort form that you will Post Review by clicking on the employee's name. Names indicated in Post Review Required section are effort forms that have been certified and require an action to be taken by the Post Reviewer.

Getting Familiar with the Form:

1. Review the differences between the percentages recorded in Pre Review and those that were certified.
   - ☞ **Note:** If you have a question regarding the recommended changes, contact the Certifier prior to proceeding.
2. Click **Proceed**.

Identifying Differences as Cost Sharing or Cost Transfers:

1. Define the differences between the Pre Review effort and the Certified Effort as Cost Transfers or Cost Sharing in the input boxes. You may use either $ mode or % mode.
   - ☞ **Note**: You must be in **Input as $** mode in order to **Proceed**.
2. Make entry and click **Proceed**.
3. If a cost transfer was entered, you will first be presented with any cost transfers made in Pre Review (If no Cost Transfers were made in Pre Review, go to step a. below. To make changes to the Pre Review transactions, you may uncheck the box next to a transaction. Click **Proceed**.
   a. Enter the applicable pay period dates for the transfer. The dates must be within the dates of the effort period you selected. Click **Submit**.
   b. Click **Select** next to the pay period for which you will define a Cost Transfer transaction.
   c. In the first input box, enter the dollar amount of the transfer pertaining to the selected pay period. You have the option to hit the calculator button next to the second input box in order to automatically reallocate the balance of the pay period back to the original account.
   d. Select a reason from the drop down box in order to indicate the purpose for the cost transfer.
   e. Click **Submit** in order to execute the transaction.
   f. Continue to enter transactions until the entire Cost Transfer has been defined, and the balance total is zero. If you need to change any cost transfers you have created, click **Change** next to the transaction.
   g. Once the balance of the cost transfers is zero, click **Proceed** to finalize the Cost Transfer transactions.
4. The Post Review Summary screen will appear. You have the option to print this page for your records clicking **Print Form**.

Reporting

The Reporting feature is a significant tool in the monitoring and management of effort reporting. The categories of reports are:

- Completion Reports

- Effort Results
- Administrative Reports
- Custom Reports

1. Click the **Reporting** option on the left side menu.
2. Select a report using the link provided for the report.
3. Select the **Reporting Period** to which the report should pertain.
4. Select the sub department(s) you want to see in the report. Click **Continue**.
5. You may print the report using your browser's print button.

Help Topics

When you click on the **Help Topics** option on the left side menu, you will be automatically directed to the Effort Reporting page on the Office of Research Services homepage. This site will provide you with a number of helpful features which include:

- Policies and Procedures
- ERS Flow Chart
- Sponsored Projects Effort Reporting Presentation
- ERS Reminders
- Documents defining the roles of the DC/Pre/Post Reviewer
- FAQ's

Logging Off

Log **Off** option on the left-side menu bar of the **Certify Effort Forms** screen.