

University of Delaware Effort Certification Procedures

- A. Each department assigns an effort administrator who has the procedural responsibility to oversee the reports for that department.
- B. Reports are required from every employee whose salary is either directly charged to a sponsored project or used as match/cost sharing for a sponsored project during a particular effort reporting period.
- C. For faculty on academic contracts, there are three effort reporting periods. Period 1 includes effort provided during the fall semester of the academic year. Period 2 includes effort provided during the spring semester, and Period 3 includes summer research activity performed during the months of June through August. The following chart describes the three periods for academic faculty:

Effort Periods for AY Faculty	Period 1	Period 2	Period 3
Semester	Fall semester	Spring semester	Summer (research only)
Performance Period	Sept– Jan. 15	Jan 16– May 31	June – August 31
Payments made	Sept-Feb	March-Aug	June- Sept. (later pay requires repush)
Accounts Included	121000, 121100, 121200, 121600	121000, 121100, 121200, 121600 (Excludes 121800 & 121900)	121800, 121900
Release date	March 10	Sept 10	Oct 10
Due date	May 28 or 29	Nov 29	Nov 29

Note that payment dates do not match performance dates because payments for a contract period of 9 months are distributed by payroll over 12 months.

For all other employees, there are two effort reporting periods, covering the months of September – February and March – August, respectively.

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Effort Periods for general employees	Period 1	Period 2
Performance Period	Sept– Feb.	March - August
Payments made	Sept– Feb.	March - August
Accounts Included	All applicable salary accounts, excluding 121800 & 121900	All applicable salary accounts
Release date	March 10	Sept 10
Due Date	May 28 or 29	Nov 29

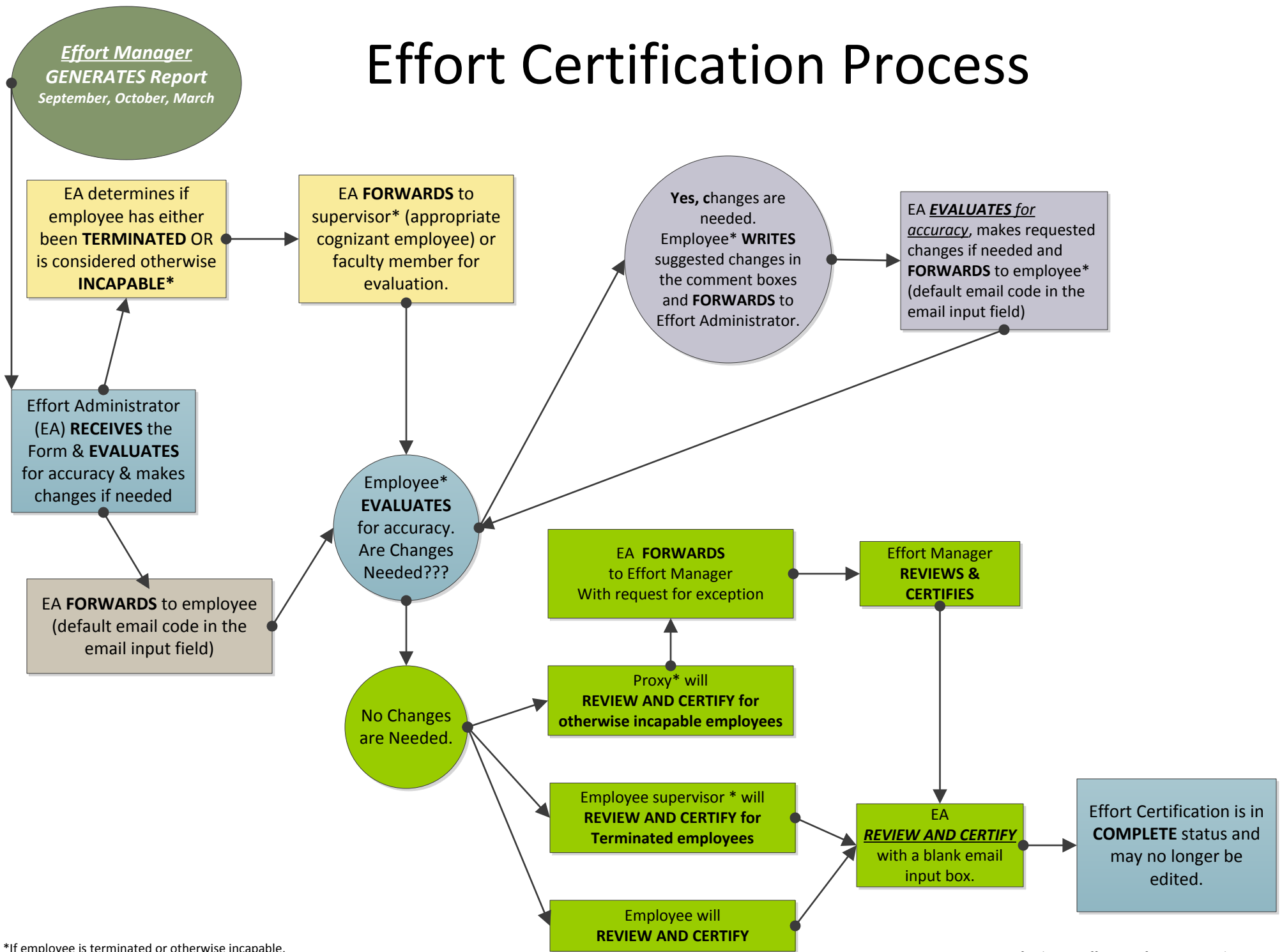
- D. Following each reporting period, a web based electronic application will produce web views for review. This application will allow interaction (via web journal) to modify transactions through cost transfer submissions. Every certification must be reviewed by a designated Effort Administrator (each unit has one assigned staff member for this role) and the employee personally (unless that employee has terminated or retired from employment with the University in which case an employee with suitable means of verification evaluates effort in lieu of the particular employee). If an employee has an active HR status but is not capable of certifying their own report, the report may be completed by providing certifications (with suitable means of verification) from both the Effort Administrator and the Effort Manager or another Research Office designee.
- E. To facilitate accuracy in initial payroll allocations, the Labor Allocation Module (LAM) allows for timely changes made to an employee's payroll distribution plan. A LAM calculator exists to assist in the accuracy of percentages to distribute.
- F. It is expected that all certifications will be in "completed" status within 90 days of the end of the reporting period. Electronic copies are retained in the Research Office for the retention period required by the sponsored agreement, usually three years after the closeout or final payment of the project.
- G. Email notification will be sent to effort administrators listing reports 40 days old in an effort to remind administrators of this responsibility. Notification of delinquent reports still outstanding beyond the 90 day certification period and again at 120 days past the last day of the effort certification period will escalate to the Department Chair, Assistant Dean and Dean. If any reports remain incomplete 150 days past the end of a reporting period, notification will be sent to the Associate Deputy Provost for Research Administration for review and action as necessary. If any reports remain incomplete 180 days past the end of a reporting period, notification will be sent to the Deputy Provost for Research & Scholarship for review and action as necessary. The effort administrator is responsible for completing these reports. Cost disallowances on sponsored projects resulting from the failure to complete an effort report will be removed from the sponsored project to a non-sponsored project.
- H. In the event that an error was made during the routing process, the research office has the authority to create revised effort reports which must be completed within 30 days of release. These will be stamped with '[REVISION]' so as to identify the report as such. In order to request a revision the effort administrator must have an adequate justification. Any changes must comply with all other UD policies and federal regulations.

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- I. Routing is as follows:
 - a. Research Office creates the report (in batch three times annually, or one at a time as needed) (report is now in 'UNSENT' status)
 - b. Effort Administrator reviews and 'forwards' to employee (report is now in 'IN PROGRESS' status)
 - c. Employee reviews and either clicks yes, I agree ('review and certify'), or no I do not agree ('forward'), and the system will require a comment stating what is wrong with the report. Either way it is routed back to the effort administrator.
 - d. Effort administrator selects 'review and certify' (if approved by employee in c.) or takes necessary action to correct the errors identified by the employee (if not approved in c.).
 - e. If approved in c and 'review and certify' in d., the system will set the certification report to 'COMPLETE' status.
 - f. Once action is taken in step 'd', effort administrator will 'forward' back to the employee until the employee is satisfied that this report reflects the effort expended during that effort reporting period.

Routing is also shown in the following chart:

Effort Certification Process



*If employee is terminated or otherwise incapable, someone with suitable means of verification may act as a substitute.