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:

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

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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<table>
<thead>
<tr>
<th>Effort Periods for general employees</th>
<th>Period 1</th>
<th>Period 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>Performance Period</td>
<td>Sept– Feb.</td>
<td>March - August</td>
</tr>
<tr>
<td>Payments made</td>
<td>Sept– Feb.</td>
<td>March - August</td>
</tr>
<tr>
<td>Accounts Included</td>
<td>All applicable salary accounts, excluding 121800 &amp; 121900</td>
<td>All applicable salary accounts</td>
</tr>
<tr>
<td>Release date</td>
<td>March 10</td>
<td>Sept 10</td>
</tr>
<tr>
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</tbody>
</table>

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. The effort administrator is responsible for completing these reports.

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.

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

**Effort Manager**
- GENERATES Report
  - September, October, March

**Effort Administrator (EA)**
- RECEIVES the Form & EVALUATES for accuracy & makes changes if needed
- EVALUATES for accuracy. Are Changes Needed??
- Employee* EVALUATES for accuracy. Are Changes Needed??
- Effort Administrator (EA) FORWARDS to employee* (default email code in the email input field)

**Employee**
- EVALUATES for accuracy. Are Changes Needed??
- EA FORWARDS to employee* (appropriate cognizant employee) or faculty member for evaluation.
- EA FORWARDS to Effort Manager With request for exception
- EA EVALUATES for accuracy, makes requested changes if needed and FORWARDS to employee*
  - (default email code in the email input field)
- EA FORWARDS to Effort Manager REVIEW AND CERTIFIES

**Employee Supervisor**
- REVIEWS AND CERTIFIES for Terminated employees

**Proxy**
- REVIEWS AND CERTIFIES for otherwise incapable employees

**Effort Certification**
- is in COMPLETE status and may no longer be edited.

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

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