

Effort Certification Procedures

Revised July 2009

- A. Each department assigns an effort administrator who has the procedural responsibility to oversee the reports for that department.
- B. Reports are required twice a year, for the six-month periods of September 1 through February 28 (or 29) and March 1 through August 31, from the following individuals:
 - a. Every employee whose salary or wages are directly charged to a sponsored program account.
 - b. Every employee whose salary or wages are used as match/cost sharing for a sponsored program account.
- C. Following each six-month 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).
- D. 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.
- E. It is expected that all certifications will be in "completed" status within 60 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.
- F. 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 60 day certification period and again at 80 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.
- G. 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.
- H. Routing is as follows:
 - a. Research Office creates the report (in batch twice annually, or one at a time as needed) (report is now in 'UNSENT' status)
 - b. Effort Administrator reviews and processes/'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 six month time period.

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Routing is also shown in the following flow chart:

