

SECTION: Human Resources
SUBJECT: Effort Certification Reporting
APPLIES TO: All Regular Faculty, Staff Members and Graduate Students

Effort Certification Reporting

The objective of the Effort Certification Reporting process is to ensure that appointments reasonably reflect effort expended on the activities for the certification period reported, timeliness of certification and corrections, and to provide evidence of compliance with federal regulations.

Only faculty, staff, and graduate students that meet one of the following criteria are required to certify their effort:

1. Expend effort on a sponsored award (directly or through cost sharing), *or*
2. Expend effort on more than one functional activity (e.g. Departmental Administration and Plant Operations and Maintenance), *or*
3. Expend effort on one or more ShortCodes mapped to Class Codes 31101-31108

Effort Certification Reporting Process:

Activity	Responsibility	Reference/Comments
Determine appropriate ShortCode(s) and percentages of effort for the employee’s salary distribution for the Department Budget Earnings (DBE). Be aware that the ShortCode(s) contain a Class Code that describes the activity the individual performs. Contact Fleming Shared Services (FBS) for assistance with ShortCode(s) and Class Code(s).	Department Hiring Manager (See Appendix A)	SPG 501.10 Policy on Effort Certification: http://spg.umich.edu/policy/501.10 . MyLINC Course: CFE101 Introduction to ChartFields - The Basics It is recommended to process changes proactively rather than retroactively.
On an on-going basis, departments can obtain from FBS an As Needed Effort Certification Report for individual employees so they can monitor employees effort distribution to ensure it is accurate and changes are processed in a timely manner.	Department Hiring Manager (See Appendix A) or Employee	Effort Certification PREVIEW Report is available in Wolverine Access under Employee Self-Service.

<p>If a change is required, note change on As Needed Effort Report and submit to FBS to revise DBE.</p>	<p>Department Hiring Manager (See Appendix A)</p>	<p>For instructions and information on how to use the Submittal Form, login to MY LINC, and navigate to Home > Learn - Catalog > Human Resources Management System > Human Resources > Administer Workforce > Change Employee Data.</p> <p>Submittal Form approval should be done by someone with higher level authority.</p>
<p>An email from the Payroll Office in Financial Operations is sent to all individuals required to certify (regular faculty, staff members, and graduate students) and their HRMS administrators when the certification period begins.</p>	<p>Payroll Office</p>	<p>Faculty and Staff - Annual: Email sent on or around July 1.</p> <p>Graduate Students - Term: Emails sent approximately six weeks before certification is due.</p>
<p>Employee reads the education material and completes a mandatory quiz.</p> <p>Review Effort Certification Report for accuracy. If report reasonably reflects effort percentages in relation to work performed for the time period stated, electronically sign. If report does not reasonably reflect effort, click NO to generate an email to HR administrator. Explain corrections and send. HR administrator must process changes and notify employee once they have been made.</p>	<p>Employee</p>	<p>Certification Timeline:</p> <p>Faculty & Staff – Annual:</p> <ul style="list-style-type: none"> • April 1 - August 15 (for July 1- June 30 effort). <p>Graduate Students – Term:</p> <ul style="list-style-type: none"> • March 15 - April 30 (for winter term effort). • July 15 - August 31 (for spring/summer term effort) • November 15 - December 31 (for fall term effort). <p>Employee should be aware certain effort should not be charged to sponsored agreements such as new proposal writing and general instructional activities. They should also be aware of their committed effort on projects.</p>

<p>Throughout the certification period, run the Effort Certification Status reports and follow up with employees who have not certified or need to re-certify until all reports are certified. Ensure employee is aware of their responsibilities.</p>	<p>Department Hiring Manager (See Appendix A)</p>	<p>To monitor compliance, run Effort Certification Status Reports in Wolverine Access.</p> <ol style="list-style-type: none"> 1. Enter year OR TERM (i.e. “2013” “1701”) in the FISCAL YEAR/TERM box. 2. Enter Org Group, Admin Dept, or Appointing Department. If you choose Appointing Department, remember that Payroll follows up on based on Administrative Department. 3. Choose any combination of radio buttons: Certified, Not Certified, or Needs Recertifying. 4. Click RUN and wait for the next screen. 5. At upper left, verify that SERVER NAME is PSUNX. At lower right, make sure that TYPE is Web and FORMAT is CSV. 6. Click OK at lower left. 7. The output will be pushed to your email inbox. <p>Open the email and click DOWNLOAD. The output will appear in Excel format.</p>
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<p>As Needed Effort Certification Reports should be created on an ad-hoc basis for special circumstances, including:</p> <ul style="list-style-type: none"> • Employee terminates employment during the current effort certification period. • A change was made to an employee’s effort and the employee has left the university. • Employee begins a Reduction in Force (RIF). • Employee begins a Leave of Absence (LOA). <p>Verify that the employee certified prior periods online as appropriate. If prior periods need certification and the employee’s termination date is in the past, create As Needed Effort Certification Reports for those periods also. If the employee is still active, ask the employee to certify prior periods online as soon as possible.</p>	<p>Department Hiring Manager (See Appendix A)</p>	<p>Run As Needed Effort Certification Reports.</p> <p>Effort Certification Reporting procedures: http://finance.umich.edu/finops/reporting/effort/adhoc_certification.</p> <p>Use the Termination Checklist available on HR’s web site under Managers Toolkit: https://hr.umich.edu/working-u-m/my-employment/uhr-procedures/20140-termination-employment.</p>
<p>Review As-Needed Effort Certification report for accuracy. If it reasonably reflects effort percentages in relation to work performed for the time period stated, sign. If report does not reasonably reflect effort, discuss and document changes with manager.</p>	<p>Employee</p>	
<p>Process online DBE change using As Needed Effort Report authorized by Department.</p>	<p>FBS</p>	
<p>For terminating an employee, run As Needed Effort Certification Report and provide to department.</p>	<p>FBS</p>	<p>Effort Certification Reporting procedures: https://www.finops.umich.edu/programs/effortrptg?auth=true.</p>
<p>Have employee sign the report acknowledging effort (if required) prior to terminating from the University (not if transferring to a different position). Return signed form to FBS</p>	<p>Department Hiring Manager (See Appendix A)</p>	
<p>Send signed report to:</p> <p>Payroll Office G395 Wolverine Tower 3003 S State St 1287</p>	<p>FBS</p>	

Other related information:

- Effort Reporting. Detailed information on Cost Reimbursement’s web site at http://finance.umich.edu/finops/reporting/effort/adhoc_certification. You must log in with your username and password to access this site.

Key Contacts:

- Additional employment resources for departments can be found on the Recruiting and Employment Services website at <http://hr.umich.edu/empserv/>.
- Contact FBS for Wolverine Access or Business Objects access questions.
- Contact Cost Reimbursement, Cost.Reimbursement.Effort.Reporting@umich.edu, for questions about Effort Certification Reporting.

Related Standard Practice Guides or other Regulations:

- Federal regulations including information on effort reporting, Title 2 in the Code of Federal Regulations, Part 200 -- Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards <https://www.ecfr.gov/cgi-bin/text-idx?SID=e73c0dc8f3a1495ded9ed85928797aee&mc=true&node=pt2.1.200&rgn=div5>
- SPG 501.10 – Policy on Effort Certification: <http://spg.umich.edu/policy/501.10>
- SPG 501.09 – Policy on Retroactive Salary Distribution Changes <http://spg.umich.edu/policy/501.09>

Record of Revisions:

Date of Issue	Description of Change	Page(s) Affected	Approved By
6/27/2007	Original template created	All	
11/20/2008	Updated with SPG revisions and corrected links	All	
3/18/2010	Minor updates (including new FinOps website links)	All	
1/19/2011	Minor updates for FY2011 Certification	1-2	
8/23/2011	Updated to reflect some of the FBS process	All	
11/22/2011	Updated to reflect all FBS process	All	
1/5/2012	Minor updated for FY2012 Certification	2	
1/10/2013	A number of revisions made for FY2013 Certification including clarification of 1) employee responsibilities, 2) which reports should be created/run for which activity, 3) submittal form instructions, 4) certification period and timelines 5) how to run Effort Certification Status Report, etc.	All	
1/29/2014	A number of clarifications made including 1) employee responsibilities, 2) which reports should be created/run for which activity, 3) submittal form instructions, 4) certification period and timelines 5) how to run Effort Certification Status Report, etc.	All	

1/15/15	Par Launchpad, new management report	2,4	
1/18/16	Updated link; Navigation to MPathways effort certification reports	3,4	
11/2016	Updated Link and Changed Cost Reimbursement to Payroll Office	2/3	
09/2017	Added updated language pertaining to: timing of Payroll Office email reminders, running Effort Certification Status Reports, As Needed Effort Certification Reports, and updated related SPGs and Policies.	2-5	
08/2018	Updated Effort Certification Report process, and URLs for Effort Report Certification, Cost Reimbursement changed to Payroll, and Federal regulation URL in related guides list.	3, 4, 5	

Document Owner: Fleming Business Services (FBS) supported departments and FBS

Administrative Owner: FBS