NOTE: Any changes to process due to pandemic or remote work should be documented in procedures.

FINANCE
UNIVERSITY OF MICHIGAN

SECTION: Human Resources

SUBJECT: Effort Certification Reporting

APPLIES TO: All Regular Faculty, Staff Members and Graduate Students

NOTE: This document has been revised as part of the Annual Internal Controls Update

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, the timeliness of certification and corrections, and to provide evidence of compliance with federal regulations.

Employees must certify effort if they:

1. Perform sponsored activities
2. Are compensated by cost sharing related to sponsored activities, or
3. Are a Medical School faculty member who holds an MD

Effort Certification Reporting Process:

Activity	Responsibility	Reference/Comments
At the beginning of the certification period, determine appropriate Shortcode(s) and percentages of effort on activities for the employee's salary distribution for the Department Budget Earnings (DBE). Be aware that each Shortcode(s) is mapped to a Class Code that describes an activity.	Department Administrator (see Appendix A)	SPG 501.10 Policy on Effort Certification My LINC Course: CFE101 Introduction to Chartfields - The Basics (Login to My LINC and search for CFE101to access course) It is recommended to process changes proactively rather than retroactively.
On an on-going basis, monitor effort distribution for reasonableness and to ensure any changes are processed timely. Initiate a Department Budget Earnings correction when significant changes (i.e. 5% or more) need to be made.	Department Administrator (see Appendix A) or Employee	Administrators and Supervisors can run As Needed Effort Certification Reports. Employees can review the Effort Certification Preview Report in Wolverine Access under Employee Self Service, Employment Information.

If a change is required to DBE, use the PAR Launchpad.	Department Administrator (see Appendix A)	For instructions and information see: Personnel Action Request (PAR) User Resources in My LINC PAR approval should be done by someone with higher level authority.
A targeted 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 respective HRMS administrators.	Payroll Office	Faculty and Staff - Annual: Email sent on or around July 1st. Graduate Students - Term: Emails sent approximately six weeks before certification is due.
Employee reads the education material and completes a mandatory quiz. 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 Human Resources (HR) administrator. Explain concerns and/or corrections and send. HR administrator must process changes and notify employee once they have been made.	Employee	Certification Timeline: Faculty & Staff – Annual: ● April 1 through August 15 (for July 1 – June 30 effort) Graduate Students – Term: ● 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) 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.

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. Remind employee who has not certified or who needs to recertify to do so as soon as possible. Ensure employee is aware of their responsibilities.	Department Administrator (see Appendix A)	To monitor compliance, run Effort Certification Status Reports in Wolverine Access > M-Pathways Human Resource Management System > Navigator > Workforce Administration > Workforce Reports. 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 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. Open the email and click DOWNLOAD. The output will appear in Excel® format.
As-Needed-Effort-Certification Reports should be created on an ad-hoc basis for special circumstances, including: • Employee terminates employment during the current effort certification period and doesn't certify their effort via employee self-service prior to their termination date. • A change was made to an employee's effort and the employee has left the university. • Employee begins a Reduction in Force (RIF).	Department Administrator (see Appendix A)	Run As Needed Effort Certification Reports under Effort Reporting procedures. Use the Termination/Transfer Checklist available on the HR website.

• Employee begins a Leave of Absence (LOA). 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.		
Review As-Needed Effort Certification report for accuracy. If report 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.	Employee	
Signed, scanned copies or electronically signed reports can be sent directly to effort.reporting.payroll@umich.edu or Send signed report and a note with your name, phone, and reason for As Needed Report to: Payroll Office 1000 Victors Way Ann Arbor, MI 48108	Department Administrator (see Appendix A)	
Review sponsored effort for accurate effort and distribution per the Project Investigator.	Department Administrator (see Appendix A)	Total Picture Effort by Project Director Report can be found under the Mgmt Reports tab of M-Reports (go to Wolverine Access > M-Reports). Applicable M-Pathways reports can be found under Wolverine Access > M-Pathways Human Resource Management System > Navigator > Workforce Administration > Workforce Reports > Effort Certification Status

Other related information:

- Effort Reporting Procedures – As Needed Effort Certification Process

Key Contacts:

- Effort Reporting email: effort.reporting.payroll@umich.edu
- Finance Effort Reporting website
- Employment resources for departments can be found on the Talent Acquisition website
- For IT related questions, contact UM ITS Get Help at 4help@umich.edu or 734-764-HELP.
- Contact Executive Business Services (EBS) with questions related to Wolverine Access or Business Objects access.
- Contact HR Officer for any concerns.
- Contact Dean's Office HR Manager for any concerns.
- Contact unit Financial Manager for any concerns.

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
- §200.430 Compensation—personal services. (Under Subpart E – Cost Principles)
- SPG 501.10, Policy on Effort Certification
- SPG 501.09, Policy on Retroactive Salary Distribution Changes

Record of Revisions:

Date of Issue	Description of Change	Page(s) Affected	Approved By
6/27/2007	Original template created	All	Eric Sortor
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	
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	All	

	form instructions, 4) certification period and timelines 5) how to run Effort Certification Status Report, etc.		
1/15/15	Par Launchpad, new management report	2,4	
1/18/16	Updated link; Navigation to M-Pathways effort certification reports	3,4	
11/2016	Updated Link and Changed Cost Reimbursement to Payroll Office	2/3	
11/2017	Added clarifying language, Updated links, Updated address to send in As Needed reports	3-5	
10/2018	New description of who is required to certify – per updated SPG 501.10 Updated links	1, 3, 4, & 5	
11/2019	Updated comments; Updated links, Added Key Contacts	2-4; 5	
12/2020	Removed M-Reports link, added Wolverine Access with path to M-Reports	4	
12/2021	No changes		
11/2022	Updated language and links	3, 5	
12/2023	Minor address updates	4	
11/2024	No changes		
11/2025	Updated links per Accessibility Quick Tips, added clarifying language, updated Payroll address	1, 3-5	

Document Owner: Executive Business Services (EBS) and its supported departments
Administrative Owner: EBS