

Effort Recertification Under Uniform Guidance

SPA-11-005



About This Policy

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Responsible University Office:

Office of Research Administration

Responsible University Administrator:

Associate Vice President for Research

Policy Contact:

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Related Information

- * [2 CFR Part 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards](#)
- * [Office of Research Administration Effort Certification website](#)
- * [Office of Research Administration Cost Transfer Policy](#)

Scope

Policy Statement

Reason For Policy

Procedure

Definitions

Sanctions

History

[Back to top](#) ↗

Scope

This policy applies to Indiana University faculty, staff and students for whom a recertification of a previously certified and approved Indiana University effort certification document is being requested, or effort was applied to a non-sponsored research account at the time of effort certification document issuance.

[Back to top](#) ↗

Policy Statement

It is the policy of Indiana University that effort recertifications are generally not allowed. To be allowed they must be approved in advance by the Office of Research Administration (ORA) and include significant justification.

[Back to top ↗](#)

Reason For Policy

To establish guidelines and best practices for effort recertifications for Indiana University faculty, staff and students, including approved practice plan employees, paid all or in part on sponsored research accounts.

This policy is to provide additional direction with respect to the documentation of personnel expenses on federal and federal pass through awards at Indiana University that they accurately reflect the work performed on those awards in accordance with the requirements of the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.

[Back to top ↗](#)

Procedure

Effort recertifications are submitted online through the ORA website.

http://researchadmin.iu.edu/GrantContract/gc-gfo/gfo_effort_recreate1.html

Requests must include the following information:

- A statement of how the error in effort certification or failure to apply effort to the sponsored project(s) was identified.
- A statement of what caused the effort certification error.
- A full description of the processes or procedures implemented to avoid future errors.
- A description of how the work performed benefitted the project to which the effort reallocation is being requested.

Effort recertification requests involving additional salary charges of less than \$1,000 will not be considered by the Office of Research Administration.

Approved Practice Plan Effort

Those Indiana University departments authorized to recover approved practice plan employee salary costs through sponsored research accounts are responsible for approved practice plan effort certification and must follow the guidelines established in this policy.

[Back to top ↗](#)

Definitions

Approved Practice Plans: Those practice plans approved by Indiana University to recover salary costs related to research conducted under the auspices of Indiana University.

Effort certification documents: Personnel activity reports that are issued periodically by ORA for each individual paid or cost-shared on a sponsored research account. Effort certification documents are based on the individual's salary and wage distribution by account/project and are routed to the fiscal officer, account delegate, or effort certification delegate of record for each account on the document.

Effort Recertification: Any reallocation of effort on a previously certified Indiana University effort certification document. The term effort recertification also applies to individuals whose effort was applied to a non-sponsored account at the time of effort certification document issuance.

[Back to top ↗](#)

Sanctions

Failure to follow this policy may result in removal of effort from any federally sponsored project included in the effort certification document to a non-sponsored account, or in the case of recovered approved practice plan compensation, the effort would be moved to a non-sponsored account.

Inaccurate or misrepresented effort certifications will result in removal of the effort in question from the project.

[Back to top ^](#)

History

Replaces:

- III-100: “A21 Effort Reports”
- Important Notice 03-3 “A21 Effort Reports”
- SPA-11-005 – “Effort Recertification under OMB-A21”