



**KILIMANJARO CHRISTIAN MEDICAL
UNIVERSITY COLLEGE**

(A constituent College of Tumaini University, Makumira)

**Effort Reporting and Time
Compensation Policy for
Sponsored Projects**

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Abbreviations

CAC:	College Academic Committee
CGB:	College Governing Board
DPA:	Deputy Provost for Administration
DPAA:	Deputy Provost for Academic Affairs
DRC:	Directorate of Research and Consultancy
GMO:	Grant management office
HoD:	Head of Department
IBS:	Institutional Base Salary
NOGA:	Notice of grant award
PI:	Principal Investigator

1.0 Background

Research activities at Kilimanjaro Christian Medical University College (KCMUCo) have been growing immensely over the past few years, reflecting its core commitment to the main functions of the College. The current Institutional capacity in developing highly qualified researchers and in writing and managing grants and external collaborations has been promising. The Policy of KCMUCo is to maintain systems and procedures that document the distribution of compensation for personnel services to sponsored projects in compliance with the requirements of grant contracts and sub-contracts.

The College is obligated to assure its sponsors that the effort paid for by the sponsor accurately reflects the effort expended in support of the project and that the compensated time was spent on implementing project activities. Time and effort reporting is vital to certify employees' effort and ensure that time is balanced across three pillars of KCMUCo key functions of teaching, research and service. Therefore, the need for a policy and procedures that harmonizes payments for staff engaged in sponsored projects is imperative.

1.1 Purpose of the Policy

The purpose of the Policy is to guide KCMUCo on standards and procedures for determining and supporting the costs of personnel services (i.e., effort) committed and charged to sponsored projects. All Principal Investigators (PIs) are required under this Policy to certify their effort and the effort of project staff working on their awards while taking into account their other critical responsibilities of teaching and service provision. To this regard, staff must certify the time and effort they commit to implementing project activities that will eventually justify whether the salaries/wages paid are reasonable to the effort /activity devoted to the award. Time and effort certification processes outlined in this Policy verify salaries, wages, and time and effort charged to the projects. Compensation for personnel services is one of the significant expenses charged on sponsored research and project budgets. As implementing staff also perform other salaried work for the College, it is imperative for audit and accountability to verify that direct charges for salaries to sponsored projects are reasonable and reflect actual work performed.

While there is minimal internal support for research activities at the College, most of the research funding is from external sources. There is a steady growth in the number of research projects at KCMUCo, most involving bilateral collaborations. The multitude of collaborating institutions and sponsor

organizations adds to the complexity of research governance at the College in the absence of a harmonized definition of effort and institutional base levels for calculating compensation. As stated in the purpose and context, it is necessary to have an effort reporting and time compensation policy.

To ensure compliance with this Policy and the sponsoring agency, the research team should, during proposal development include the proposed salaries of project staff based on the College Institutional Base Salary in their budget. Principal Investigators and other project staff should consider time distribution between time to be devoted to the project and devoted to other essential College functions of teaching and service provision and other projects they are committed to.

1.2 Scope of this Policy

This Policy applies to all units, departments, faculties, Institutes, directorates and personnel of the College involved in administering sponsored projects.

2.0 Definitions

2.1 Sponsored projects: Are externally funded research, instruction, service, capacity building or other scholarly activities in which there is a formal written agreement between KCMUCo and the Sponsor.

2.2 Individual Effort: Individual effort is expressed as a percentage of the total amount of time spent on crucial college functions (teaching, research, service administration, etc.) for which the College compensates an individual. The effort is not calculated based on a 40-hour workweek; it is based on the total hours worked in a given week. For example, if a person works 60 hours a week, and spends 12 hours a week on her grant, then her sponsored effort is 20% ($12/60=0.2$)

2.3 Committed Effort: The amount of effort proposed in a grant or other project application and accepted by a sponsor, regardless of whether salary support is requested for the effort.

2.4 Awarded Effort: Effort commitment included in Notice of Grant Award (NOGA) from a sponsor

2.5 Contributed Effort: The per cent (%) of committed effort contributed (to be paid and cost-shared) by KCMUCo.

2.6 Cost Sharing: A portion of a total project or program costs related to a sponsored agreement that KCMUCo contributes. The effort for committed cost sharing, whether mandatory or voluntary, is a part of the total effort rendered on funded projects. Below are the various types of cost-sharing:

Mandatory Cost Sharing: This is cost-sharing required by the sponsoring agency as a condition of its support of a particular project, also called 'co-funding'. Mandatory cost-sharing is usually specified in a program announcement or application package. Mandatory cost-sharing is a binding obligation of the College.

Voluntary Cost Sharing: This is the cost the College contributes to a project at its initiative without any requirement for any cost-sharing imposed by the sponsoring agency.

Voluntary Committed Cost Sharing: Voluntary cost-sharing offered by the College at the time of proposal submission. The proposed cost-sharing amount is included in the budget. Once an award is made, voluntarily committed cost-sharing is a binding obligation of the College.

Voluntary Uncommitted Cost Sharing: Voluntary cost-sharing not offered by the College during the time of submitting the proposal. Voluntary uncommitted cost-sharing is usually not included in the budget however, it can be contributed after the award is granted, and more resources are needed to complete the project. Voluntary uncommitted cost-sharing is not a binding obligation of the College.

2.7 Institutional Base Salary (IBS): Annual compensation paid and guaranteed by KCMUCo for staff appointment, regardless of whether that staff time is spent on research, teaching, or other activities as defined in the employee's appointment letter, contract, or as established in the appointment process. The IBS rate determination is also intended to facilitate staff research/development programs growth at KCMUCo, including continuing professional development in areas related to the KCMUCo and National research agenda. IBS excludes any income an employee earns for activities or duties outside KCMUCo. Staff appointments are annualized to determine an IBS monthly rate for quantifying the Committed Effort in proposals. The definition above constitutes the basic minimum for estimation of IBS. In addition to the above definition, IBS may also be estimated as an equivalent of the IBS earned by the equivalent faculty or personnel in the collaborating Institution or any other Institution of similar nature. IBS may also be a figure that may be negotiated with the funding agency by KCMUCo faculty developing the respective proposal. Of the three definitions, the highest estimate shall apply in determining the salary in sponsored project budgets.

2.8 Effort Report(s): Effort Reports are the mechanism used to provide a sponsoring agency with reasonable assurance that monthly salaries paid from a grant are appropriate and reflect a reasonable estimation of the project's time spent working on the project. They include the

project's reporting period work-plan and project staff certified monthly timesheets both verified by the PI. Certification of effort report must reasonably reflect the activity for which the employee is being compensated for by the institution/sponsor. Mechanism of certification may be through payroll forms, bank transfer forms, or any other official institutional document made available by the Finance Department or DRC. Verification may take place monthly, quarterly, every six months or annually.

3.0 Policy statements and Procedures

3.1 Committed Effort and Institutional Base Salary

The institutional base salary (IBS) shall be used to determine the compensation of effort. It will be based on regular salary from the College plus other statutory and other staff allowances.

3.1.1 Procedures:

To ensure sufficient compensation to stimulate and sustain the growth of staff's research culture and good science from research that will benefit the College and the communities it serves, the computation of the salary rate for total effort or the Institutional Base Salary (IBS) shall take into account one's regular salary, statutory allowances and supplements. Therefore:

- (ii) The College Bursar shall establish and maintain an Institutional Base Salary corresponding to each staff level which shall be reviewed every three years.
- (iii) The PI must have prior knowledge on effort reporting and compensation policy and guidelines and implement appropriately from proposal development.
- (iv) If the project staff has yet to be hired, the approved KCMUCo Scheme of Service for academic and administrative staff shall be used to determine the current salary for the proposed staff position.
- (v) The determined, committed effort for each proposed project staff should be reasonable, reflecting project-related roles and responsibilities assigned to the staff member. The minimum level of commitment for PIs and key personnel is 10% for clinical trials and 5% of other research/development projects. In comparison, the maximum level of committed effort for College permanent and contracted staff is 50% with an extra 25% (total 75%) with sufficient justification and approval from the Deputy Provost for Academic Affairs (DPAA). The level of effort for project and non-related project activities for any staff member should not exceed 100%. Staff hired only for project-related activities can have a 100% effort commitment when the

level is supported by their proposed project roles and responsibilities.

- (vi) Before submission of a grant proposal, the PI shall submit the proposed committed effort to GMO at least three weeks before the deadline for submission of grant documents/proposal to the sponsor for pre-award approval, and this should also include documentation of other research/project support and potential commitment overlaps to allow for adequate assessment by GMO of the reasonableness of committed effort.
- (vii) If a grant award is made, the awarded effort shall be reviewed, and adjustments made to the budget as appropriate. At any time after a grant is awarded, before PIs or key personnel change their committed effort, they should review the terms and conditions of the award to determine whether or not prior approval is required from the sponsor. If sponsor prior approval is required, a request should be submitted by the PI and copied to the GMO.
- (viii) The GMO shall keep these records in the respective project file.

- (ix) Where applicable, staff committed effort may be used as one of the ways of project cost sharing or co-funding.

3.2 Reporting Time and Effort on projects

All project staff shall be required to fill in monthly timesheets and certify in a timely manner their contributed effort against the timesheets verified by PIs or supervisor(s).

3.2.1 Procedures

As a matter of accountability, the College needs to ensure that compensation of effort for all staff working on a sponsored project is justified and verifiable. The evidence for verifying compensated/reimbursed effort shall come from the relevant project period work-plans, filled timesheets, and the project payroll. The GMO under the Director of Research and Consultancy (DRC) are responsible for the College's compliance with the Time and Effort Reporting Policy.

Therefore:

- (i) All principal investigators (PIs) shall fill and certify monthly project timesheets (see appendix I)
- (ii) All other staff contributing effort on a project shall fill a timesheet certifying accurately the time they have worked in that month on project-related activities. The staff shall submit the form for endorsement to the supervisor or Project PI.

- (iii) The PI shall submit all endorsed forms including his/hers at the end of each month to the project accountant and copy to the GMO.
- (iv) The PI shall reconcile the contributed effort against the committed effort of each staff and approve or disapprove for monthly compensation.
- (v) KCMUCo acknowledges that there may be monthly fluctuations of project but the overall average contributed effort of a particular staff should remain the same. PIs shall make effort to identify any major deviations from the approved committed effort and make recommendations accordingly.
- (vi) When co-funding is provided in the form of committed effort, project financial reports shall reflect the percentage effort contributed and the corresponding amount of money.

3.3 Biannual effort certification and ensuring compliance

To ensure the institution is accountable towards the implementation of the Policy, the College through the DRC office will receive, verify and certify twice annually reports from projects certifying the efforts spent and time compensation incurred by the respective projects.

3.3.1 Procedures

The College through the GMO shall ensure that all obligated stakeholders comply with the effort reporting and

compensation policy and guidelines and in addition will put in place a biannual reporting system for every project, the GMO being the custodian of such documentation. This is necessary to ensure that all projects comply with the Policy and as evidence to other stakeholders that time on projects was implemented as agreed:

- (i) The GMO will enter electronically on an approved form the % effort, the amount paid to each project staff across projects and produce twice annually reports that each staff shall certify as accurate within a week of receiving the report and return a copy to the GMO. These reports will be due July 1st and January 1st of each year. They shall be submitted to the Director of Research and Consultancy and shall be used to verify documented evidence, for audit purposes and monitoring policy implementation.
- (ii) The GMO shall ensure every project has the required forms electronic or otherwise that are necessary to report time and certify effort, including those for biannual reports.
- (iii) GMO shall promptly contact faculty who do not return the filled-in forms promptly and ensure completeness of the filled-in forms.
- (iv) GMO will review to ensure effort certifications are approved processed in compliance with policy sponsor agency requirements and promptly.
- (v) To ensure accountability and transparency, project PIs will communicate significant changes to sponsors.

- (vi) GMO shall update effort commitments to reflect new effort commitment when changes in the effort are approved by the sponsor.

4.0 Implementation of the Policy

Implementation of this policy will be monitored by the DRC through OSP. Workshops and seminars will be conducted to sensitize stakeholders of this policy and guidelines. Annual reviews will be conducted to monitor compliance.

5.0 Policy status

This is a new policy.

6.0 Key stakeholders

The following are the key stakeholders of this Policy: The Provost, The Deputy Provosts, Deans and Directors and their deputies, Principal Investigators of projects, Project administrators, Heads of Departments, Project Accountants and Internal Auditor.

7.0 Approval details

This Policy is approved by KCMUCo Governing Board.

8.0 Effective date for the Policy

This Policy shall be effective from the date the University Senate approves it.

9.0 Next review date

The Policy will be reviewed in three years from the date of approval.

10.0 Policy Owner

College Management, Finance, Planning and Investment Committee.

11.0 Policy custodian

The Directorate of Research and Consultancy

Appendix I: Project timesheet template



	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	Total	
PROJECTS																																	
Project 1:																																	0
Project 2:																																	0
Project 3:																																	0
Primary employment duties (Academic/admin work)																																	0
Total productive hours	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Weekends																																	0
Annual Leave																																	0
Public Holidays																																	0
Illness																																	0
Other absence																																	0
Total	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Total Productive Hours	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Total Hours	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

Employee Signed _____ Approved (PI/immediate supervisor) _____
 Date _____ Date _____



Total Annual Productive Hours

Year	
Employee	
Type of contract	

	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sept	Oct	Nov	Dec	Total
Project 1:													0
Project 2:													0
Project 3:													0
Primary employment duties (Academic/admin work)													0
Total productive hours	0	0	0	0	0	0	0	0	0	0	0	0	0

Weekends													0
Annual Leave													0
Public Holidays													0
Illness													0
Other absence													0
Total	0	0	0	0	0	0	0	0	0	0	0	0	0

Total Productive Hours	0	0	0	0	0	0	0	0	0	0	0	0	0
Total Hours	0	0	0	0	0	0	0	0	0	0	0	0	0

Productive Hours Calculation

Days in Year	
Weekends (Days)	
Annual Leave	
Statutory/leave	
Illness	
Total Productive days	0
Total Productive Hours (PH)	0
Average month PH	0