



Standard Operating Procedures for AMPATH Research Facility Fee	Version No: 1
	Approved Date:
	Effective Date: 1 July 2022 (anticipated)

PROPOSALS FAILING TO COMPLY WITH THESE GUIDELINES WILL NOT BE ALLOWED TO SUBMIT TO SPONSORS AND/OR IMPLEMENT PROJECT ACTIVITIES AND BUDGET AS WRITTEN UNTIL ALL POLICY REQUIREMENTS ARE MET.

Purpose

The purpose of this SOP is to describe the procedures for a new AMPATH Research Facility Fee (ARF Fee) based at Moi University, which will replace the current ARF Fee based at Indiana University on behalf of the AMPATH Consortium. The AMPATH Research Facility Fee (ARF Fee) provides critical support to maintain and strengthen the research infrastructure at AMPATH, including the research program office, research cores, and working groups. This infrastructure is essential to administer and coordinate complex research activities within a multi-institution and multi-country research enterprise. The ARF Fee also helps to offset increases in the cost of research administration (staff, audit requirements, etc.) and systemic underfunding of indirects for administration and overhead borne by Kenyan institutions.

AMPATH Research Facility Fee

Administration and Calculation of the ARF Fee

The ARF Fee will be administered by the AMPATH Research Program Office and Research and Sponsored Projects Office (RSPO) at Moi University and MTRH on behalf of the AMPATH Consortium. This fee will be considered a specialized service fee and established in compliance with OMB's Part 200 - Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (specifically, see § 200.468 Specialized service facilities), which superseded OMB Circular A-21 Cost Principles for Universities on December 26, 2013. The revised ARF Fee will support specialized research service facilities outside of what is supported by indirect costs for general operations and grants management (i.e., services provided by RSPO).

The ARF Fee will be applied to any grant or contract conducted at AMPATH that utilizes AMPATH research infrastructure – including projects led by Consortium and non-Consortium member institutions.



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The ARF Fee rate will be established for individual research projects in consultation with the research program office and RSPO during the proposal grant review process. The ARF Fee will be calculated annually by multiplying the total direct costs of the Moi/MTRH portion of the award with a percentage determined by the size of the project budget in each of the project years as defined in Table 1. There will be a higher rate charged for projects led by institutions that are not part of the AMPATH Consortium*.

Table 1. ARF Fee Rates

Total Direct Costs on Moi/MTRH Budget	ARF Fee Rate **
<i>Moi/MTRH may be the prime awardee or operate as a sub-awardee. If Moi/MTRH is a sub-awardee, then the rate is determined by whether the prime institution of the award is an AMPATH Consortium member or not.</i>	<i>Calculated by multiplying the rate and the total direct costs on the Moi/MTRH budget.</i>
AMPATH Consortium Member Fees	
\$50,000 and above	5%
\$20,000 to \$49,999	3%
Unfunded to \$19,999	Fee waiver
AMPATH Non-Consortium Member Fees	
\$50,000 and above	7%
\$20,000 to \$49,999	5%
Unfunded to \$19,999	Fee waiver

*The AMPATH Consortium is an international network of universities and academic health centers led by Indiana University. Under this SOP, an institution is considered an AMPATH Consortium member if they have an active AMPATH Consortium MOU with Indiana University and are a dues-paying member at the time of the award. If an institution’s Consortium status changes during the course of an award, the institution’s status at the time of the award will be used to calculate the ARF Fee Rate for the duration of the award. For the purposes of this SOP, Moi University and Moi Teaching and Referral Hospital fall under rates established for AMPATH Consortium Member Fees.

**The AMPATH Research Program Office and Research Sponsored Projects Office in Kenya reserve the right to determine fee reductions and waivers on a per-project basis based on factors including but not limited to size and scope of project and prior institutional and/or investigator engagement at AMPATH.

Services Supported by ARF Fee

The ARF Fee will support research infrastructure and activities in Kenya in line the previous ARF Fee based at Indiana University. Specifically, the ARF Fee will support the activities listed in Table 2.

Table 2. Activities Supported by the Revised ARF Fee

<p><i>Research Program Office</i></p> <ul style="list-style-type: none"> • 100% FTE for Research Program Manager and Deputy Research Program Manager in Kenya* • 10% FTE for Kenya-based co-field director of research • Computers, software, internet and communications • Training support for administrative staff and research coordinators and assistants
<p><i>Research Cores</i></p> <ul style="list-style-type: none"> • Salary support for personnel at AMPATH Data Analysis Team (ADAT) and AMPATH Qualitative Research Core (AQRC) • Computers, software, internet and communications for ADAT and AQRC • Specialized IT support (e.g., secure data storage and servers for the AMPATH Research Master Dataset)
<p><i>Research Working Groups</i></p> <ul style="list-style-type: none"> • Training and innovation pool to support working group activities

**Note, currently salary support (5% FTE) for the Research Program Manager in Kenya is requested as a direct line item on Moi/MTRH grant budgets. Under the revised ARF Fee, salary support for the Research Program Manager will be shifted to the ARF Fee. Once the revised ARF Fee is implemented, we will no longer require that projects include direct line item support for the Research Program Manager. Investigators should remember this “cost save” as they calculate the impact of this policy change on the cost to their projects.*

Implementation of the ARF Fee

The ARF Fee will be implemented in a phased process starting July 1, 2022. We anticipate that it will require 3 to 5 years for full transition from the ARF Fee based at Indiana University to the new ARF Fee based at Moi University. The implementation of the new ARF Fee will depend on the project size and whether they are currently including an ARF Fee in project budgets. The research program office will work with individual projects starting in early 2022 as necessary to implement the new ARF Fee and determine costs to projects during the phased implementation. Implementation of the new ARF Fee for individual projects will broadly be determined by which of the three categories projects fall under:

Category 1: New projects beginning on or after July 1, 2022



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For projects beginning on or after July 1, 2022, investigators will be required to abide by the ARF Fee as detailed in this SOP. This includes new projects and competitive renewals. The ARF Fee will be determined through the new proposal grant review process (as done with the previous ARF Fee based at Indiana University). As noted previously, projects will be required to include the ARF Fee (or receive a waiver) as a line item on their Moi or MTRH budget. For these projects, we will no longer require projects to include 5% FTE support for the Research Program Manager in Kenya. All of the other standard budget elements as detailed in the [SOP for Research Project and Grant Proposal Development](#) will remain the same.

Category 2: Ongoing projects as of July 1, 2022 that currently pay ARF Fee

For projects that are ongoing on July 1, 2022 and include an ARF Fee in their project budget, investigators will be asked to move the cost budgeted for the ARF Fee to the Moi or MTRH budget (if the ARF Fee is currently on a different institution budget). We will ask investigators to do this at their next budget renewal on or after July 1, 2022 through the completion of the project. Projects will still be required to include 5% FTE support for the Research Program Manager in Kenya as a direct line item on the Moi or MTRH budget (as they currently do). This approach to transition to the ARF Fee based at Moi University will limit impact on project budgets that were created using the old ARF Fee while moving the administration of the fee to Kenya in line with the new ARF Fee. Under this transition plan, the effective ARF Fee rate may not be exactly in line with project budget amount (e.g., 5% or 3% of direct costs). Ongoing projects that have received a waiver from the research program office for the ARF Fee (and/or FTE support for the Research Program Manager in Kenya) will be granted a waiver under the ARF Fee based on Moi University and described in this SOP.

Category 3: Ongoing projects as of July 1, 2022 that do not pay ARF Fee (and do not have a waiver)

For projects that are ongoing on July 1, 2022 and do not include the ARF Fee (and have not received a waiver by the research program office), investigators will be asked to include a reduced ARF Fee (1% of total direct costs of the Moi/MTRH budget) on their next budget renewal on or after July 1, 2022 through the completion of the project or to receive a waiver by the research program office. This will help bring eligible projects into adherence with the new ARF Fee policy while the reduced rate (1%) will limit the impact on project budgets that were created without inclusion of the ARF Fee. Projects should still include 5% FTE support for the Research Program Manager in Kenya as a direct line item on the Moi or MTRH budget (as they currently do) unless they previously received a waiver from the research program office.



Sample Budget Justification Language for Grant Applications

We recommend projects use the language below about the ARF Fee in the budget justification section of grant applications. This section should be amended as appropriate for individual projects.

AMPATH Research Facility Fee – *The AMPATH Research Facility (ARF) provides support services and infrastructure essential for the successful conduct of research at clinical and community sites in Kenya. The ARF maintains a research program office (including a research program manager and deputy program manager) to coordinate collaborative research activities and communications of investigators, projects and the AMPATH Consortium, a network including a dozen universities in the US, Canada, and Europe working in partnership with Moi University and Moi Teaching and Referral Hospital in Eldoret, Kenya. The ARF has quantitative and qualitative research cores, including personnel, computers, software and specialized IT support, that among other things maintains a research-quality health data enterprise with the ability to utilize data from dozens of clinical and support programs at AMPATH clinic sites. The ARF charges a Specialized Service Fee (“ARF Fee”) to research projects conducting activities at AMPATH. The ARF Fee is managed by Moi University and Moi Teaching and Referral Hospital on behalf of the AMPATH Consortium and established in compliance with US federal sponsors and OMB’s Part 200 - Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (specifically, see § 200.468 Specialized service facilities), which superseded OMB Circular A-21 Cost Principles for Universities on December 26, 2013.*

The ARF Fee requested for this project are specifically to support the investigators and staff and are based on the direct costs of project activities in Kenya (as determined by total direct costs of the Moi University and/or Moi Teaching and Referral Hospital budget exclusive, if applicable, of total direct costs on any Consortium or sub-award budgets). The specialized services and resources available to project staff covered by the ARF Fee include but are not limited to: access to research program managers who facilitate communication and liaise with research offices, including the Research and Sponsored Projects Office (RSPO) and IRBs, as well as Consortium partners and clinical and community research sites; a research local area network with secure servers, external data storage devices, software, office equipment and supplies; and training support for research administrative and research staff.

Fees for this project are calculated at [To be inserted by project based on SOP] for each year of the project. In Year 1, the ARF Fee is calculated at [To be inserted by project based on budget year 1]; in Year 2, the ARF Fee is calculated at [To be inserted by project based on budget year 2]; etc. We are requesting [To be inserted by project] over the project period to support the ARF.



SOP Version Log

<i>Version</i>	<i>Date</i>	<i>Authors</i>	<i>Summary of Changes</i>
1	Ongoing	Jepchirchir Kiplagat, Robert Rono, Michael Kidney, David Plater, Michael Scanlon	<ul style="list-style-type: none">• First draft in progress