



## THE AGA KHAN UNIVERSITY

<b>Policy Name</b>	Policy for Submitting Extramural Grant Applications
<b>Policy Number</b>	AKU-K/ORGS/007-2022
<b>Approved by</b>	University Research Council
<b>Date of Revision</b>	October 28, 2022
<b>Contact</b>	Grants Support Office

### 1.0 RATIONALE

- 1.1. Research and other externally sponsored activities including but not limited to capacity building, trainings, and consultancies at the Aga Khan University- Kenya (AKU-K) have expanded significantly over the years and continue to grow. Consequently, the number and scope of applications for extramural grants is also escalating. For purposes of integrity and consistency, it is important to ensure that grant applications intended for submission to external agencies, conform to university policies and comply with all the legal and regulatory requirements. Ultimately the Grants Support Office (GSO) with assistance from other departments of the University is required to safeguard the University's interests and ensure that grant proposals have undergone institutional review, including where required, the reputation of the funding agency, before its final submission to the sponsor. On behalf of the University, the GSO will not endorse any agreements that have not gone through the University's internal approval process. This document is a policy statement on the Extramural Grant Application.
- 1.2. It is intended that this policy will assist applicants in:
  - 1.2.1 preparing better proposals for extramural sponsored grants.
  - 1.2.2 seeking required internal approvals before a research proposal is to be submitted to a funding agency.
  - 1.2.3 Will help AKU-K in establishing requirements for sponsors of research to ensure their commitment to conduct ethical research in accordance with the applicable laws and regulations
- 1.3. The applicant or the lead person for the project for which funding is sought (Principal Investigator (PI) in case of research grants, or Project Lead or Director in case of other activities) is required to obtain consent from all CO-Investigators participating in an application. The consent provided shall facilitate GSO to obtain the necessary personal information as required to facilitate an application. A sample consent form is provided as annexure V.
  - 1.3.1 The applicant or the lead person for the project for which funding is sought (Principal Investigator (PI) in case of research grants, or Project Lead or Director in case of other activities) can have preliminary discussions about a proposed project including exchange of emails with the funding agency, however no written proposal (paper or electronic), which binds the University to a legal or moral responsibility cannot be submitted until an internal approval is obtained in writing.

## **2.0 ROLE OF THE GSO`GRANTS SUPPORT OFFICE (GSO)**

- 2.1 The GSO was set up as AKU-K office to facilitate researchers across all faculties in Kenya in promoting, applying and availing funding from external sources. The primary objective of the GSO is to assess the level of compliance of the proposal to university policies and funder requirements and not to primarily review the science of the proposal. Potential applicants should keep the GSO informed in matters pertaining to extramural funding submissions beforehand, for example, in matters related to completeness of applications, taking into consideration the requirements/conditions of the funding agency, and conformity with university policies and law prior to submission to the funding agency.
- 2.2 With respect to extramural funding opportunities, the GSO:
  - 2.2.1 Periodically disseminate information on grant funding opportunities across the University;
  - 2.2.2 Maintain a list of funding agencies relevant to the University and its regions of operation, and make available the same to researchers upon request and through the periodic bulletin *viz.* Research and Grants Funding Opportunities (RGFO). The GSO may subscribe to lists of funding options available and assist faculty in accessing the same as and when possible.
  - 2.2.3 Make any and all internal guidelines and policies available to researchers, both general and specific, as well as forms and FAQs related to research and grants, as available and get policies endorsed by the AKU-K governance bodies as appropriate.
  - 2.2.4 Gives advice, where sought, on completing the pre-award checklist and other documents, including but not limited to advice on all aspects of a proposal in consultation with the other approving departments, and the submission of applications to funding agencies;
  - 2.2.5 Assist applicants or their representatives in preparation of budgets and completing administrative requirements related to the grant, including centralised electronic submissions if required, and any documentation for submission with the grant proposals to extramural funding agencies;
  - 2.2.6 Log applications for the record and enter information of approved and funded applications into the Funded Projects Database maintained by GSO;
  - 2.2.7 Advise, review and confirm availability of bench space and equipment and other physical resources under the supervision of the Research Office.

## **3.0 ELIGIBILITY**

- 3.1. All full-time, faculty members and research staff<sup>1</sup> are eligible to apply for research grants but it is important for PIs to have the necessary expertise/ qualification, experience and commitment to take the project to a successful completion. This is subject to approval from the Department/Entity Head certifying that there is no other reason for ineligibility, including, but not limited to other committed responsibilities, long leave, approaching end of contract, resignation, and disciplinary action. In exceptional circumstances, contract faculty, part time faculty or a non-faculty can be the lead person of a project, but will require prior approval of the Provost or the Provosts' designate. The same criteria of eligibility strictly apply to Co-Principal Investigators (Co-PIs) as they will be held equally responsible for everything that the PI does.
- 3.2. All faculty, and in exceptional cases staff, are eligible to be Co-Investigators (Co-I). This is subject to approval from the Department/Entity Heads certifying that there is no other reason for ineligibility, including, but not limited to other responsibilities, leave, resignation, disciplinary

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<sup>1</sup> Research Fellows or equivalent in AKU-K Research Institutes and entities.

action, etc. To qualify as Co-Is, they must provide significant demonstrable intellectual input to the research project.

- 3.3. In addition to the clause 3.2 above, researchers external to AKU-K, such as members of other institutions can be Co-Is, subject to written approval by competent authority of their parent institution.
- 3.4. Graduate students, postdoctoral fellows and research staff hired on a specific project cannot apply for extramural funding as PI. However, students can become a Co-I with their supervisor's approval in the project(s).
- 3.5. In all the cases except 3.3, the head of the department/ Chair certifies that they will provide the PIs and Co-Is sufficient time to participate in the project. The supervisor takes responsibility for Graduate students conduct while working in a project led by them.

#### **4.0 CONFLICT OF INTEREST**

- 4.1 Conflicts of interest, (COI) or perceptions of conflicts may occur when there is a convergence of an investigator's personal interests with his or her research interests, such that an independent observer might reasonably question whether the investigator's professional actions or decisions are inappropriately influenced by considerations of personal financial gain. Such conflicts are common in universities and do not question the character or actions of any individual. Such conflicts of interest can also arise in non-research grants including consultancies.
- 4.2 It is required that any member of the research team, including the investigator (that is, any AKU-K employee responsible for the design, conduct, or reporting of a sponsored project at AKU-K) may be required to disclose significant personal financial interest related to his/her institutional responsibilities pursuant to circumstances specified by AKU's COI policy. All faculty members applying to or in receipt of funding from National Institutes of Health (NIH), USA directly or indirectly (where AKU-K is a sub-awardee or sub-contractor) have to abide by the Financial Conflict of Interest (FCOI) policy ([Guidelines concerning NIH FCOI Policy](#)).
- 4.2.1 This disclosure must be done through a section entitled 'Conflict of Interest' in the "Checklist".
- 4.2.2 When AKU- K reasonably determines that the significant financial or other interest could directly and significantly affect the design, conduct, or reporting of the research, AKU-K will take steps either to manage or to eliminate any COI from the project inter alia, in line with the Guidelines concerning NIH FCOI Policy. The PI agrees to fully cooperate with the university in this regard.

#### **5.0 SUBMISSION OF CHECKLIST**

- 5.1 The Principal Investigator will develop a proposal as per the requirements of the Funding Agency. GSO will initiate an online Checklist approval process and after due approvals from all relevant departments the PI will be notified to submit the proposal.

There are two types of **concept note** and **letter of intent**. **Type 1** - This usually consists of a project outline, more of a concept note and does not include any financial, personnel or other details. This can be submitted directly to the funding agency. A copy must be sent to GSO for record. **Type 2** - This concept note and/or LOI is much more in detail and is close to a full

proposal and includes detailed budget such as personnel, equipment costs, etc. This cannot be submitted directly to funding agency. It would follow the same process as a full grant proposal.

To protect the PI and the University's reputation as well as any legal liability that may ensue, identical or similar proposals must not be made to different sponsors nor should duplicate funding be solicited from any institution. To avail funding opportunity, a PI can **apply** an identical or similar proposal to different **sponsors**; provided that sponsors are made aware in writing of submissions to the other agency.

## 5.2 Responsibilities of the applicant regarding the grant proposal and checklist:

5.2.1 It is the responsibility of the lead person/ PI to provide final narrative proposal to GSO to facilitate initiation of a checklist approval process. The minimum time required to run a checklist is 14 working days, to allow the respective departments adequate time to make changes, they deem necessary. GSO expects the lead person/PI to provide documentation at least 3 weeks prior to submission timeline.

5.2.2 In circumstances when the submission deadlines are genuinely short, GSO in cooperation with other reviewing departments will do a quick review and give a conditional approval for submission. A conditional approval must be backed up with an approval from the dean's and/or institutional directors heading their relevant institutes. In cases where the Deans and directors are the applicants, the provost will provide the approval. In such a situation the PI undertakes to have review within 30 working days of **submission**. If there is any significant issue found **within** the proposal, the PI **agrees** to withdraw the **proposal from the sponsor**.

5.2.3 Further to the above it is the responsibility of the PI to keep in mind unanticipated social, political, and technical, challenges that may delay the submission of the grant application, as well as the chance of resubmission due to errors arising from the funding agency review related to the technical/compliance aspects of the grant application itself. While the GSO and other support offices will do their best to facilitate under these circumstances, adequate time will alleviate pressures on all involved.

5.4 **Recovery of costs:** To the best extent possible, the budget submitted to the funding agency should include recovery of all costs, both direct and indirect. Budgets should be developed in consideration of reasonability, allowability and allocability of project costs. In addition to direct expenses and core recoveries, the budget should aim to recover indirect costs of the University, as approved from time to time (the updated calculations may be requested from Finance) to the extent allowable by the funding agency. This recovery may be done either through a straight charge to the grant (up to the extent allowed by the funding agency's policy), and by charging allowable core University costs as direct expenses to the grant. The above options should be chosen and executed in a transparent manner and based on guidelines/policies of the respective Funding Agency. Examples of direct core costs recovery are mentioned in Annexure IV of this policy. Refer to the AKU-K Financial Policy and procedure for extramural grants at <https://www.AKU.edu/research/policies/Pages/home.aspx> under clauses 6.3.1c, 12.0 and 13.0 on budgeting of indirect costs and core costs.

## 5.5 REVIEW AND ENDORSEMENTS

The following departments/individuals review and approve the proposals. The extent of their responsibility and their endorsements are in Annexure 2.

5.5.1 The head of department/ Chair must approve the relevant sections of the Checklist,

5.5.2 Estate/Housing Department (only if there is an off-campus component in the proposal);

5.5.3 Human Resources (if personnel are to be hired or there are core personnel being utilised);

- 5.5.4 Finance (to ensure that Institutional financial policies are adhered to and project budgets are reasonably accurate and adequate. PI is responsible for the scientific basis of the budget);
- 5.5.5 Legal Department (to minimise the exposure of AKU-K to anything mentioned in the proposal);
- 5.5.6 GSO (Compliance to donor rules and regulations, Adherence to call requirements)
- 5.5.6 Registrar (only in case of student sponsorships, and/or funding of academic programmes); to ensure that fees are accurately depicted.
- 5.5.7 Safety and security of off-campus research sites (only if project activities are to be performed anywhere outside the AKU-K campus).

In addition to the above approvals, the Checklist must be accompanied by the following documents:

- 5.5.9 A profile of external collaborator(s), if any;
  - 5.5.10 **Letter of Support:** Individual support letters from any Collaborators and/or external Co-Investigators indicating their willingness to participate and that they are authorised to do so in the project, along with the extent of their involvement in the proposed study, as well as their budget (if any).
  - 5.5.11 Copy of the proposal that is to be submitted to the funding agency. If any changes are required to the proposal after submission, it would require explicit approval of the GSO.
  - 5.5.12 Copy of the financial budget with justification.
  - 5.5.13 The following information for records and data analysis.
    - Brief objectives of the project
    - Anticipated impact
    - Research Design
    - Laboratory space needs.
  - 5.5.14 To ensure biosafety of all projects involving activity in the research lab or handling biological or hazardous materials, proposal has to be reviewed by the AKU-K's Institutional Scientific and Ethics Review Committee (ISERC).
  - 5.5.15 In case human subjects are related to AKU-K/ AKUH an undertaking is required from the PI that all JCIA requirements will be followed.
  - 5.5.16 Any other document required for this purpose, including, but not limited to informing the GSO of any change requested by the funding agency or the PI, as the case, may be.
- 5.6 Further to the clauses above, in case after submission, the funding agency recommends changes to the application it is the responsibility of the lead person to ensure that entity/departments whose endorsement is affected by the said change must re-endorse the changes in the application (for example, in case of personnel changes, HR must re-endorse changes). GSO can advise if the lead investigator has any queries in this regard.

## **6.0 SUB-RECIPIENT SELECTION**

- 6.1 The need for a sub-award is normally made at the proposal stage. The lead person writes the scope of work for the potential sub-recipient. The scope of work describes exactly the work the sub-recipient must do to meet the terms of the sub-award. The scope of work is also used to justify sub-recipient selection in cases where a sole-source justification is required.
- 6.2 The PI is required to complete section on collaborators in order to ensure that the relationship between AKU-K and the sub-recipient is clear and the selection of the sub-recipient can be

justified. For all subcontracts/collaborative sub-awards (national/international) greater than US\$5,000 in a grant, AKU-K will ensure that due diligence of the sub-recipient is undertaken. This would require the sub-recipient filling in a due diligence questionnaire and providing supporting documents. The GSO, Finance and Legal will review the documents relevant to the scope of their risk review (e.g. Legal will review the constitution documents of the potential sub-recipient to confirm the legal status while Finance may opine on the financials). Entity head will finally decide (based on review) if there are any reasons the organization should not be taken up as a sub-recipient (*refer Annexure III*). Finance may at its discretion, further review the financial system of the sub-recipient. A detailed sub-awards manual is available for reference via <https://www.AKU.edu/research/policies/Pages/home.aspx>.

- 6.3 If the sub-award is granted from NIH-USA, the selection of the sub-contractor will also base on its warranties and representations to comply with the FCOI policy (link: [Guidelines concerning NIH FCOI Policy](#))

## 7.0 CHANGE IN PRINCIPAL INVESTIGATOR

- 7.1 The PI is expected to complete the project to its logical conclusion. Periodically situations may arise when a project lead, including a PI or project director, is unable to continue the project due to any reason. In this case, please refer to the policy on “Mechanism for Change of Principal Investigator”.

This policy can be downloaded from <https://www.AKU.edu/research/policies/Pages/home.aspx>.

- 7.2 Certain granting agencies now require in their agreements that the PI must complete the project (which cannot be terminated midway), or a Co-I must complete it. In such cases having a Co-I willing to take over the project is mandatory, and the PI and Co-I(s) must undertake jointly or severally to complete the project.

## 8.0 INTELLECTUAL PROPERTY, PUBLICATIONS AND CONFIDENTIALITY

- 8.1 As a general rule, the University will follow the university policy of Intellectual Property Rights (IPR) which allow intellectual property to be owned or shared by the University subject to agreements with appropriate funding sources, which do not impose restrictions on publication, and which do not impose other unusual restrictions on the basis of confidentiality on faculty, staff and students. The University is cognisant, however, that in certain circumstances, confidentiality clauses may be necessary, such as in the case of patent development, etc. This will be decided and dealt with on a case-by-case basis.

- 8.2 **Data retention:** Data will be retained by AKU for further research, with due permission from relevant parties, including, and when necessary, not limited to the survey population, the funding agency, and any other party that may be directly affected. This is subject to the initial agreement with the funding agency. University personnel (existing or former) can have access to data based on Annexure B of the IPR policy.

The IPR policy can be downloaded from

<https://www.aku.edu/research/policies/Pages/home.aspx>

- 8.3 For the purpose of record keeping and protecting the intellectual property of the University, all PIs would be required to keep all data of their project in a secure place, in the custody of their respective department administration, and a centralised repository. Electronic or softcopy is preferable.

- 8.4 Materials, especially coming from human subjects have to be kept secure and can only be shared with other collaborators after a material transfer agreement (MTA) is signed. This transfer must have the approval of the AKU-K’s Institutional Scientific and Ethics Review Committee (ISERC). All MTAs should be submitted to the ISERC for approval during the initial research ethics application period. In instances where the need for the MTA results from

a protocol amendment, the Principal Investigator will also be required to reapply for a research permit from NACOSTI. The process of getting an MTA signed is at [https://www.AKU.edu/research/downloads/Documents/MTA Approval Process.pdf](https://www.AKU.edu/research/downloads/Documents/MTA%20Approval%20Process.pdf)

- 8.5 Data (whether having an IP value or not) especially containing information extracted from human subjects has to be kept confidential and secure (whether physical or electronic form) and can only be shared with other collaborators after a data transfer agreement (DTA) is signed. This transfer must have the approval of the AKU-K's Institutional Scientific and Ethics Review Committee (ISERC). The process of getting a DTA signed is at [https://www.AKU.edu/research/downloads/Documents/DTA Approval Process.pdf](https://www.AKU.edu/research/downloads/Documents/DTA%20Approval%20Process.pdf)

## **9.0 FINAL AGREEMENT, RELEASE OF FUNDS AND ETHICAL APPROVAL**

- 9.1 The funding agency usually prepares the final agreement. Once the final agreement, or its draft, is received from the funding agency, it is reviewed by Finance, the Legal Office, and the GSO (and other department, if and as relevant) to ensure that the terms and conditions mentioned in the agreement are acceptable to AKU-K. Furthermore, the budget and other requirements are checked to see if they concur to what was approved during the initial proposal submission stage. Difference if any are reviewed and if adequate approved. The authorised signatories from the Research office and Finance subsequently sign the agreement/MoU/Sub-contracts/MTA/DTA and any other arrangements on behalf of the University.
- 9.2 After the agreement is signed by both the funding agency and the University, the grant is considered as an approved project. However, in case of projects involving research, interaction/study on human subjects or human tissues, the PI must obtain an approval from the Aga Khan University's (ISERC). See section 9.4
- 9.3 It should be especially noted that the internal approval process is mandatory in all cases, prior to final submission of proposal even where funding agencies require only the PI and/or the concerned head of department to sign the proposal form. Agreements are between institutions and not individuals hence all agreements/contracts will be signed for AKU-K by the relevant authorized signatories. Should you receive any agreement in your own name, you must immediately contact the GSO for further guidance.
- 9.4 In addition to the requirements of AKU-K and the funding agency, ethics reviews must be carried out by the AKU-K-ISERC. This may be complemented by ethics review by any other approved ISERC in Kenya :
- 9.4.1 Prior to activation of a grant, PIs are required to state whether all clearances (approval or exemption) for matters, such as human subject protection have been obtained from the relevant AKU-K- Institutional Scientific and Ethics Review Committee (AKU-K-ISERC) . All relevant national and provincial regulations must also be complied at all times during the conduct of the research.
- 9.4.2 If AKU-K-IERC is pending at the signing of the agreement, the PI and Departmental Chair will have to provide a written undertaking that no human subject work/interaction will be undertaken prior to the respective AKU-K-IERC approval.
- 9.4.3 In case ethical approval is pending, the budget code can be activated on a case to case basis, and preliminary expenses, if any, will be allowed for recruitments, setting up the project, prepare for submission of ethics application etc. PI (with the help of Finance) will develop a preliminary expense sheet for such fees/costs/expenses. However, PI must ensure and will be responsible that no human subject/ animal related work can be initiated without the necessary and applicable regulatory approval(s).
- 9.4.4 The provision for who will be paying for the expenses if the ethical approvals are denied can be built in the grant applications, and the Department would be responsible for paying any

expenses that are not reimbursed by the funders if the project is prematurely terminated due to non-approval by regulatory bodies.

9.5 Providing proof of AKU-K-ISERC national and County regulatory body/authority approvals as well as complying with ethics guidelines of the funding agency is the responsibility of the PI.

## **10.0 REQUIREMENT FOR SPONSORS AND CONTRACT RESEARCH ORGANIZATIONS (CRO)**

10.1 In compliance with the university and hospital's policies and processes for monitoring and evaluating the quality, safety, and ethics of research, the investigator will work with the sponsors, in case the sponsors are a commercial organization or a CRO involved in the clinical research, to ensure:

- Research teams used by the sponsor are trained and qualified to conduct the research.
- Privacy and confidentiality of subject data is maintained
- Research data are reliable and valid and the results and reporting are statistically accurate, ethical, and unbiased.
- Patient or researcher incentives do not compromise the integrity of the research.

10.2 In case the sponsor is transferring its duties, functions and responsibilities to the CRO, the investigator will ensure that the following requirements are met:

- A written contract clearly delineating this transfer of responsibilities.
- The contract should specify that the CRO or sponsor is also responsible for compliance with University and Hospital's policies and process for monitoring and evaluating the quality, safety, and ethics of the research per item 10.1.

**11.0** This policy will be reviewed after every 3 years (or more frequently, if required)

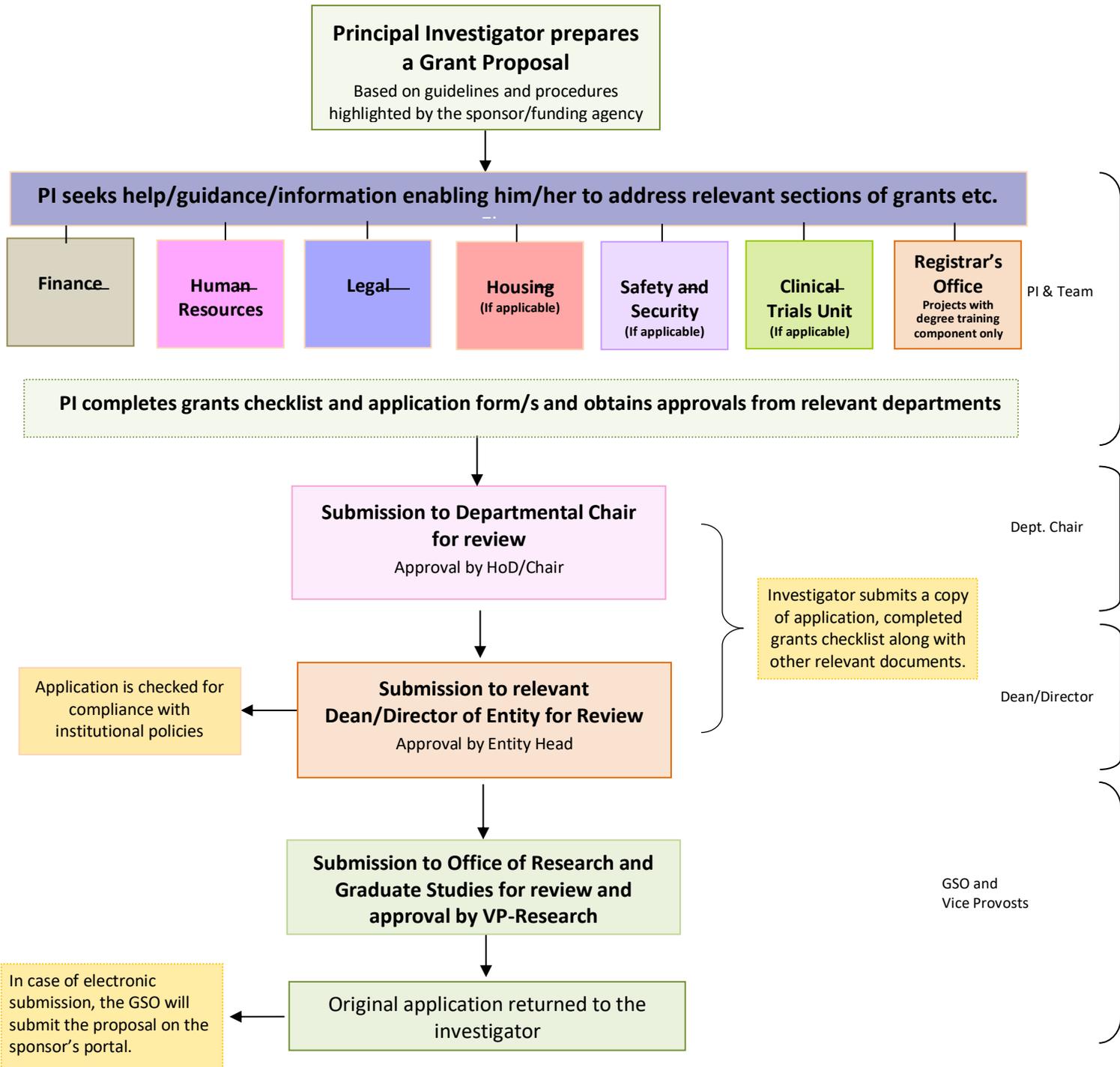
**12.0** The following annexures are to support the policy

- a) Flow chart (Procedure for applying to extramural funding).
- b) Endorsement (Responsibilities of endorsing departments).

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End of policy  
Next page appendices (I and II)

## Annexure I

### PROCEDURE FOR APPLYING FOR EXTRAMURAL FUNDING



///End of Annexure I

## Annexure II

### ENDORSEMENTS

Endorsements by the applicant and associates,

1. Undertake that the information provided by them is to the best of their knowledge correct and free from any errors.
2. They are capable of undertaking this activity in the time allocated by AKU-K to them, and confirm the percent time contribution attributed to the individuals listed in this proposal closely reflect their contribution to this project
3. Certify that the resources requested by them from the granting agency are adequate and will only be utilized for this project in line with the policies of AKU-K and the granting agency.
4. They will jointly and severally maintain the highest standards of integrity and ethical standards and will not do anything that compromises the good standing and resources of AKU-K or violate ERC approval.
5. Undertake to report any major change in this proposal to the GSO and the relevant unit whose review parameters are changed by it.
6. Have not submitted this or a similar grant to any other funder.
7. The proposal is an original effort and all references are cited with due acknowledgements.
8. Use their best efforts to ensure that the deliverables, reports and data requested by the funding agency will be submitted on time and will bring the project to its logical conclusion as mentioned in the proposal, or subsequent amendments.

The **Chairs of Departments** must approve on the relevant sections of the Checklist, thereby certifying availability of facilities necessary for execution of the grant, releasing the Researchers for the time necessary for the duration of the project. The Department Chair also use their influence to ensure their faculty comply with the terms and conditions of the grant including, but not limited to, timely submission of reports, maintaining records, and achieving the required milestones.

The following administrative departments endorse the following:

**Estate/Housing Department** (if there is an off-campus component in the proposal);

They will confirm that they have examined the off-campus premises/facilities to undertake this project activity (e.g. rent, utilities, refurbishment etc.) including the budget and certify that these are adequately covered.

Certify that to the best of their knowledge the lease and other documents executed for this purpose are as per AKU-K policy requirements and the contracted party is acceptable.

They will ensure that the lease documents are executed appropriately and are involved in short listing parties for this purpose.

**Human Resources** (if personnel are to be hired or there are core personnel being utilised);

Confirm that the designations of personnel comply with AKU-K's staffing and grading policy and the amounts budgeted for personnel for this project are adequately covered.

Confirm that the PI and Co-I's have not tendered their resignation, are not retiring or their contract ending before the expected end date of the grant.

**Finance Division** to ensure all the Institutional policies are adhered to and project budgets are adequate); Finance certifies that;

- The budget is mathematically correct.
- The budget numerically reflects all requirements of the project, as specified by the PI or their representatives.
- To the best of their knowledge, the budget has been prepared based on the relevant policies of AKU-K and those of the granting agency.
- Financial feedback, if any, provided by HR, Housing or other departments has been incorporated.
- The amount of core recoveries of existing personnel (based on percentages provide by the PI) are correct.
- Have informed about the deficit AKU-K would incur if the proposal is successful.

**Legal Department** (to minimise the exposure of AKU-K to anything mentioned in the proposal, and on receipt of agreement, review the legal ramifications in case of non-compliance or other disagreements based on contracts/agreements with the Funding Agency);

**Registrar** to ensure that fees are accurately depicted (in case of student sponsorships, and/or funding of academic programmes);

**Clinical Trial Unit** in case of clinical trials to ensure that proper procedure is followed;

**Safety and security** will approve and advice if visiting areas outside the main AKU-K campus as specified in the proposal are safe to operate in.

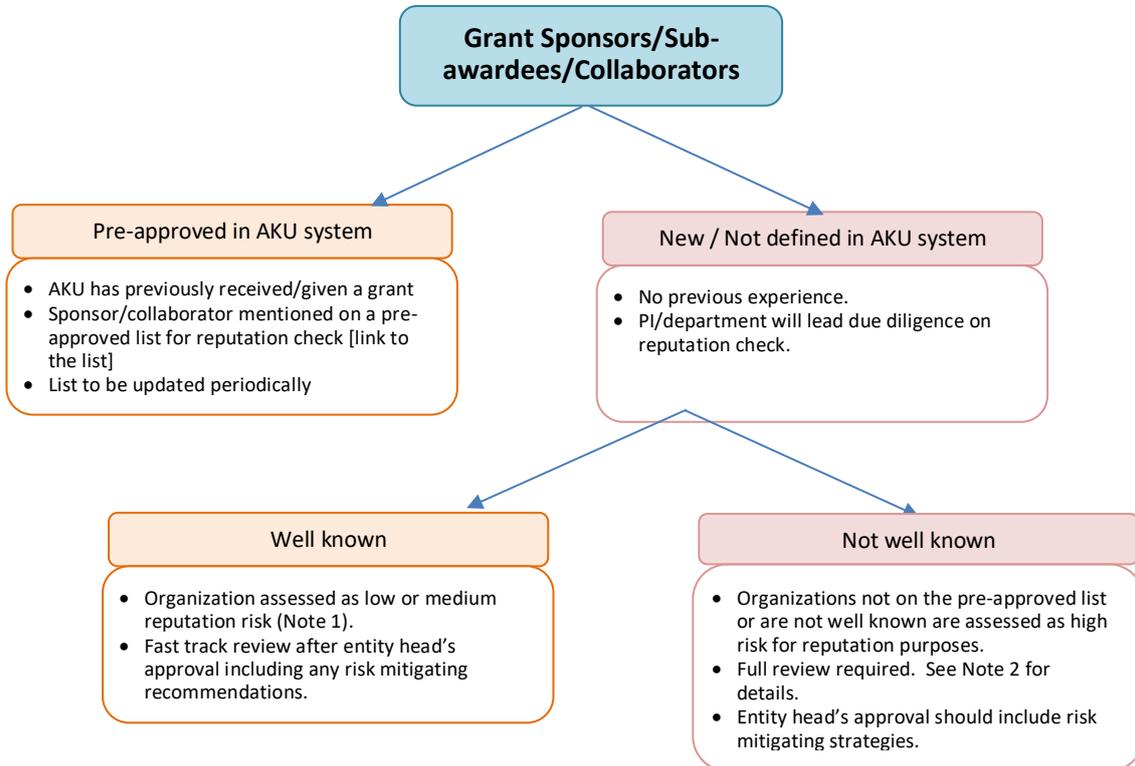
**Grants Support Office will ensure;**

- Proposal and other accompanying documents are complete, and all relevant departments have also reviewed and approved the proposal and that it complies with the requirements of the grantor.
- Compliance to donor rules and regulations
- Adherence to call requirements
- Budget is aligned to the activities included in the proposal narrative
- All inputs and documentation from collaborators are provided
- Where an application has a short submission timeline, GSO will ensure the proposal has been given a conditional approval after an expedited review by Finance, Human Resources and Legal.
- The Principal Investigator will ensure the checklist review process will be completed in a month and in case of a major observation the proposal will be withdrawn.

///End of Annexure II

### Annexure III

## PROCESS FOR RESEARCH REPUTATIONAL RISK ASSESSMENT OF SPONSORS/SUB-AWARDEES



#### Notes:

- 1) These may include, but not limited to government organizations, local and international universities, registered NGOs, well established corporate organizations, etc. based on entity head's recommendation.
- 2) Review process can be conducted by: a) PI and/or department perform specific reputation due diligence using "news, articles, research, other partnerships, ranking, feedback from peers and discussion with sponsor"; b) contracting an external party to do the due diligence at a cost of US\$ 5,000; c) Research Grants Office and may take between 60 to 90 working days.
- 3) After reputation check is complete, legal and financial due diligence will be performed.
- 4) In all cases the Research Grants Office approval is final.

///End of Annexure III

## Annexure IV

### OPTIMIZING CORE COST RECOVERY IN EXTRAMURAL GRANTS

1. Time cost of all PIs and co-Is involved in a project should be recovered for their time spent on the project, whenever the granting agency allows its recovery. Billable rates can be claimed after the actual time cost of PI and all co-PIs and co-Is are fully recovered from the grant budget based on the actual time they spend on the project. If there is a situation of budgetary constraints, then billable rates or other non-personnel costs should be adjusted to allow for such an actual recovery.
2. Indirect recovery rate should be the maximum rate allowed by the sponsor. Precedent of having charged a lower rate in the past should not be used in the future. It is advised that, indirect cost rate should not be reduced in an attempt to increase other direct costs.
3. Indirect cost recovery from commercial organizations (especially for contracts, consultancies and clinical trials) should be 30% of the direct costs. In exceptional circumstances, requests for a lower indirect rate should be submitted with justification to the entity head for approval (finance can provide a working or a formula on the cost implications of this move to the entity head) as the entity head would have to absorb the cost in their respective entity.
4. AKU-K encourages junior faculty to apply for small grants which may not have optimal core or indirect recovery. This provides junior faculty valuable experience, although this can also be a potential burden on the entity's resources. Such cases will be presented to the entity head or their authorized representative for guidance whether they should be approved for submission. Finance will provide a working to aid the entity head in making this decision.
5. Cost of office infrastructure should be budgeted for all FTEs who require such space, regardless of whether they are on campus or off campus, whenever the sponsor allows it. The recovery for off campus personnel occupying space should continue on actual expenditure of rent, utilities and ancillary costs. For on campus space or field sites owned by the university, the cost recovery will be periodically calculated by Finance based on a square foot or square meter basis and recovery should be based on actual space utilized by the individual on project time. Infrastructure costs are generally classified as direct cost for purposes of indirect cost rate calculation, thus it is important to budget for such costs in direct costs, wherever possible and allowed. These will be shown as a credit, reducing deficit of that particular entity.

No.	Type of space	Cost per sq. foot (to be filled after calculation by Finance)
1	Office space in regular buildings in University Centre campus	
2	Temporary sitting spaces at Peponi Office campus	
3	Office space in AKUHN.	
7	Office space on field sites e.g., Kilifi , Kawangware.	

- 6) Cost of bench space under academics in all areas of the Stadium Road campus. Such sites include the Juma building labs (both floors), Multidisciplinary lab, Microscopy lab, Nutrition lab, Infectious Disease Research lab and for research use the Sopariwala building clinical lab.

No.	Type of laboratory space	Cost per bench
1	AKUHN labs	

- 7) Utilization cost of central lab equipment should be developed and recovered wherever allowed. A utilization cost for use of all core equipment (other than grant funded) is being developed). Cost of equipment procured from a grant, for use in that particular grant, will not be charged. However once the grant ends costs based on its consumables and cost of personnel and utilities should be built into subsequent activities.
- 8) HR should internally within AKU-K list the minimum rates of consultancy for various levels of faculty. Consultancy budgets should be thus built using these rates as a guide. This should not stop experienced faculty in their respective field charging higher rates for their time.
- 9) Cost to maintain and support significant costs related to grant funded equipment should be built in wherever allowed, e.g. cost of electricity to run -80°C freezers.
- 10) Cost of archiving records and biological samples, if required, should be built into grants. Records can require either physical space for storage or server space for digital records. If biological samples are to be archived, the cost of equipment, especially freezers need to be built in.

///End of Annexure IV

**Annexure V**

**EXPRESS CONSENT TO PARTICIPATE IN RESEARCH GRANT APPLICATION AND  
RELEASE OF PERSONAL DATA**

I, the undersigned understand and acknowledge that The Aga Khan University – Kenya is the controller of my personal data.

I hereby consent to participate in the research grant application titled: \_\_\_\_\_

\_\_\_\_\_

and understand that for the purposes of budgeting and forecasting of the said research grant application (“Purpose”), where I may serve as an investigator or staff, my personal data including but not limited to my name, designation, salary and/or benefits may need to be used or released or disclosed with the relevant staff at AKU and third party granting agencies, who collect, store and may process my personal data for the purpose.

I further understand that my personal data may be transferred out of Kenya to where the granting agencies may be located.

I expressly consent to the Aga Khan University- Kenya to participate in this research application and I give my consent for AKU to provide my personal data for the Purposes described herein above and understand that I can withdraw my consent at any time.

Name of Individual providing Consent:

\_\_\_\_\_

Employee Number: \_\_\_\_\_

Address of Individual providing Consent: \_\_\_\_\_

\_\_\_\_\_

Signature: \_\_\_\_\_

Date of Signature: \_\_\_\_\_

///End of Annexure V