**Form 1306 FR.01 – Instructions**

**Cost Sharing Approval Request**

**Effective Date:** 5/3/2010  
**Revised Date:** 02/26/2016

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**Form Instructions**

<table>
<thead>
<tr>
<th>Field</th>
<th>Instruction</th>
</tr>
</thead>
<tbody>
<tr>
<td>Principal Investigator/Program Director's Name</td>
<td>Enter PI/PD’s full name – &quot;John Smith&quot;</td>
</tr>
<tr>
<td>Dept./Program</td>
<td>Enter name of organization that will be submitting the proposal (usually the PI's home org).</td>
</tr>
<tr>
<td>Title of Project</td>
<td>Enter full name of project/proposal</td>
</tr>
<tr>
<td>Project Sponsor</td>
<td>Enter name of sponsor</td>
</tr>
<tr>
<td>F&amp;A Reduction/Waiver</td>
<td>Enter the amount of F&amp;A allowed by sponsor as a percent (i.e. 20%)</td>
</tr>
<tr>
<td>Rate Being Requested</td>
<td>Enter, as a percentage, the F&amp;A rate that you are requesting permission to use (i.e., 0% for a full waiver of F&amp;A costs)</td>
</tr>
<tr>
<td>Table</td>
<td>By category, enter the total amount of requested cost sharing. The amount should reflect cost sharing for all proposed project years. &quot;Total Direct Costs&quot; and &quot;Total Project CS Requested (all years)&quot; will automatically calculate.</td>
</tr>
</tbody>
</table>
| Voluntary Committed CS PTAO Column         | For each category for which you are requesting voluntary committed cost sharing*, enter a Yale PTAO number. If more than one account will be used, please include them in the "Explanation/Justification" field.  
*For definitions of cost sharing, review Yale Policy 1306, "Cost Sharing on Sponsored Projects"  
[http://policy.yale.edu/policy/1306-cost-sharing-sponsored-projects](http://policy.yale.edu/policy/1306-cost-sharing-sponsored-projects) |
| Mandatory CS PTAO Column                   | For each category for which you are requesting mandatory cost sharing*, enter a Yale PTAO number. If more than one account will be used, please include them in the "Explanation/Justification" field.  
*For definitions of cost sharing, review Yale Policy 1306, "Cost Sharing on Sponsored Projects"  
[http://policy.yale.edu/policy/1306-cost-sharing-sponsored-projects](http://policy.yale.edu/policy/1306-cost-sharing-sponsored-projects) |
| In-Kind/Matching PTAO Award                | For each category for which you are requesting in-kind/matching cost sharing*, enter a Yale PTAO number. If more than one account will be used, please include them in the "Explanation/Justification" field.  
*For definitions of cost sharing, review Yale Policy 1306, "Cost Sharing on Sponsored Projects"  
[http://policy.yale.edu/policy/1306-cost-sharing-sponsored-projects](http://policy.yale.edu/policy/1306-cost-sharing-sponsored-projects) |
| Explanation/Justification for cost sharing | Provide a justification for why cost sharing is necessary for this project. If additional space is needed, attach additional pages to this request form. |
| Routing/Approvals                          | The following approvals must be obtained to complete the cost sharing approval process: |
| PI/PD Signature & Date                     | Signature and date of signature of the Principal Investigator/Program Director |
| Administrator/Business Manager's Signature & Date | Signature of the appropriate administrator who has authority to commit the funding supporting the cost sharing. |
General Guidance:
The Cost Sharing Request form is required for all proposals that include cost sharing either in the form of mandatory, voluntary committed, and/or in-kind/matching.

Note that:
- Cost sharing in the form of salary over a sponsor imposed salary rate cap is an exception to this request requirement. No additional approvals are necessary.
- Voluntary committed cost sharing in the form of personnel effort must be approved by the dean of self-support schools or the provost for other units prior to the preparation of the budget and budget justification. The signature of the chair indicates his/her approval of the voluntary commitment to cost share effort.
- Requests for a waiver or reduction of F&A costs below that which is allowed by the sponsor, is considered voluntary cost sharing and must receive prior approval. Applications to sponsors with a published policy limiting the F&A cost recovery or prohibition of F&A costs are excluded from this request requirement.
- Cost sharing commitments must receive the prior approval of the appropriate University official (self-support school dean or cognizant provost) who has authority over the source of funds that will be used.
- Evidence of approval must accompany the proposal when submitted to the Office of Sponsored Projects (OSP).

To expedite the processing of the Cost Sharing Request form, ensure that:
- All supporting documentation accompanies the form (a copy of the RFA/RFP/FOA, the sponsor’s formal F&A rate policy, a copy of the budget in case of a sponsored agreement, etc.);
- The completed form and supporting documentation are forwarded to the appropriate approvers; and
- All approvers have signed and dated the form.

Questions regarding cost sharing or completion of this form should be directed to the appropriate OSP Team. Additional information on University cost-sharing policies and procedures can be found at:

Policy 1306: Cost Sharing on Sponsored Projects
http://policy.yale.edu/policy/1306-cost-sharing-sponsored-projects

Procedure 1306 PR.01: Cost Sharing
http://policy.yale.edu/procedure/1306-pr01-cost-sharing

ORA Important Update: Voluntary Committed Cost Sharing in Proposals
http://www.yale.edu/researchadministration/documents/ImportantUpdate052307.pdf

The official version of this information will only be maintained in an on-line web format. Any and all printed copies of this material are dated as of the print date. Please make certain to review the material on-line prior to placing reliance on a dated printed version.