

Form 1306 FR.01 – Instructions Cost Sharing Approval Request

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

Form Instructions

Field	Instruction
Principal Investigator/Program Director's Name	Enter PI/PD's full name – "John Smith"
Dept./Program	Enter name of organization that will be submitting the proposal (usually the PI's home org).
Title of Project	Enter full name of project/proposal
Project Sponsor	Enter name of sponsor
F&A Reduction/Waiver	
Sponsor Allowed Rate	Enter the amount of F&A allowed by sponsor as a percent (i.e. 20%)
Rate Being Requested	Enter, as a percentage, the F&A rate that you are requesting permission to use (i.e., 0% for a full waiver of F&A costs)
Table	
Cost Sharing Amount Column	By category, enter the total amount of requested cost sharing. The amount should reflect cost sharing for all proposed project years. "Total Direct Costs" and "Total Project CS Requested (all years)" will automatically calculate.
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
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
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
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.

Administrator/Business Manager's Name, Phone # & Email address	Contact information for the departmental administrator.
Department Chair's Signature & Date	Signature and date of the department chair of the organization supporting the cost sharing funding.
Note: If more than one department/organization is committing funds, approvals from each department are required.	
University Approval	According to University policy, 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.
Approved/Denied	Indicate whether University Approval is given or denied.
Signature & Date	Signed and dated by the appropriate University official.
Comments	Comment field for University official to indicate any conditions of the approval, reason for denial, etc.

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.
