Policy 7.10
Policy of F&A Costs in Collaborative Research

This policy version was not current at the time of printing. Please see http://policies.emory.edu/7.10 for the current version.

Responsible Official: VP for Research Administration
Administering Division/Department: Sponsored Programs
Effective Date: February 16, 2006
Last Revision: May 01, 2007

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Overview

The Policy of Facilities and Administrative Costs in Collaborative Research is established to properly allocate the F&A cost revenues among the participants in collaborative research projects.

Applicability

This document applies to all faculty, staff and students at Emory University.

Policy Details

I. If a sponsored project involves more than one school/center or division, the Sponsored Project Application Form (SPAF) will indicate that the project is collaborative and identify the partner(s) in the collaboration. A school/center or division is any unit that can submit a grant/contract on behalf of the university.

II. The appropriate Facilities and Administrative rate will be determined at the time of proposal submission. When there is collaboration between Yerkes and the Main Campus, the rate is determined by the preponderance of direct costs. If 50% or more of the direct costs take place at Yerkes, the entire proposal will be submitted using the Yerkes rate.

III. The Administrative Home of the proposal and resultant award will be determined at the time of proposal submission based upon the primary Academic Appointment of the Principal Investigator. Since the Yerkes National Research Primate Center does not grant Primary Academic Appointments, Yerkes will be the Administrative Home for all Yerkes based faculty. Yerkes based faculty is defined as faculty with primary work space in Yerkes controlled space or faculty whose primary (defined as preponderance) work space for this project is Yerkes. Consequently, some awards will be administered by Yerkes and have a Principal Investigator who is not physically resident at Yerkes. The research deans of the affected schools may also determine the Administrative Home based upon any other criteria upon which they mutually agree.

IV. At award, the Office of Sponsored Programs (OSP) will be responsible for notifying the collaborating participants by email of award information. In addition, the OSP prepared Notice of Award (NOA) will be sent to all affected units regardless of the dollar amount of the collaboration.

V. All units of the Schools of Medicine, Public Health, Nursing, Yerkes, and Emory College agree to the following:
   - For collaborations involving less than $5,000 of direct costs, the collaboration will be identified and recognized on
both the SPAF and the NOA. However, there will be no financial ramifications of this collaboration.

- For collaborations involving $5,000 to $34,999 of direct costs, the collaborators will agree to a percent split at the time of the award. The percent will be rounded to the nearest half percentage. An associate account number will not be established. Indirect costs will be divided based on the proposed direct costs of each participating unit. Office of Grants and Contracts (OGCA) will be responsible for implementing the electronic routine to automatically distribute indirect costs each month.

- For collaborations involving $35,000 or more of direct costs, the collaborators will provide separate budgets to OSP. Associate account numbers will be established based upon the budgets provided.

- It is understood that most faculty have research and teaching obligations. These faculty members may have space in two different schools/units. These two obligations do not impact indirect cost split determinations. For example, indirect cost revenues are not split if a faculty member reviews data at his/her teaching location or he/she prepares a lesson plan at his/her research location.

VI. The account set-process described in “V” above will follow the timetable outlined below:

- The collaborating units will have fifteen working days from the date of email notification to determine the division of the direct costs between them. An account number(s) cannot be assigned or NOAs processed until this step has been completed.

- The collaborators may request the Office of Sponsored Programs (OSP) to extend the determination period for up to 20 working day. Only the Vice President for Research Administration can grant an additional extension.

- If a decision has not been made within the original 15 working days and an extension has not been requested, the Vice President for Research Administration will determine the direct cost division.

VII. Collaborating units will review the award and the dollars assigned to each participant at the time of the continuation proposal. Collaborating units must agree on the distribution of direct dollars at the time of the continuation submission or not later than 30 days prior to the inception of the continuation. If an award is made once for an entire projection period, then renegotiation can occur if the aims or the principal participants are changed.

VIII. This agreement excludes all training grants (e.g. F31 and F32, T31 and T32 awards) and “K” series awards.

IX. This policy is operational on September 1, 2001 as revised on February 16, 2006 and will be applied to all proposals and awards submitted or funded after that date.

X. At the end of each fiscal year, the Office of the Vice President for Research Administration will report on the revenue shared through this policy.

Related Links

- Current Version of This Policy: [http://policies.emory.edu/7.10](http://policies.emory.edu/7.10)

Contact Information

<table>
<thead>
<tr>
<th>Subject</th>
<th>Contact</th>
<th>Phone</th>
<th>Email</th>
</tr>
</thead>
<tbody>
<tr>
<td>Clarification of this policy</td>
<td>Kerry Peluso</td>
<td>404-727-0551</td>
<td><a href="mailto:kpeluso@emory.edu">kpeluso@emory.edu</a></td>
</tr>
</tbody>
</table>

Revision History

*Emory University policies are subject to change at any time. If you are reading this policy in paper or PDF format, you are strongly encouraged to visit policies.emory.edu to ensure that you are relying on the current version.*