Policy 7.10
Policy of F&A Costs in Collaborative Research

Responsible Official: VP for Finance
Administering Division/Department: Finance, Grants, and Contracts
Effective Date: February 16, 2006
Last Revision Date: July 20, 2018

Policy Sections:
I. Overview
II. Applicability
III. Policy Details
IV. Definitions
V. Related Links
VI. Contact Information
VII. Revision History

Overview

In an effort to acknowledge and encourage collaborative projects, the University, in cooperation with the schools, units, and divisions, recognizes that the financial contributions of the participants, based on the sponsored research award, must also be documented and allocated.

This policy is established to properly allocate the facilities and administrative (F&A) cost revenues among the participants. The primary principles are:

- Proposals initiated in EPEX will be identified and documented at the time of submission as collaborative in the Emory Proposal Express (EPEX) record.
- The appropriate F&A rate will be determined at the time of proposal submission. When the collaborative research involves the Yerkes National Research Primate Center and the Main Campus, the rate is determined by where the preponderance of the direct costs occur.
- 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 except as noted in (3) below.
- F&A revenue will be shared among the collaborators at the direct cost threshold of $10,000 per year.
Applicability

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

Policy Details

1. If a sponsored project involves more than one school/center/unit or division, the EPEX proposal record will indicate that the project is collaborative and identify the partner(s) in the collaboration. A school/center/unit or division is any unit that can submit a grant/contract on behalf of Emory University.

2. The appropriate F&A rate will be determined at the time of proposal submission. When there is collaboration between Yerkes National Research Primate Center and the Main Campus, the rate is determined by where the preponderance of the direct costs occur. If 50% or more of the direct costs take place at Yerkes, the entire proposal will be submitted using the Yerkes rate. In general, proposals will not be submitted with both Yerkes and University rates, with the exception of a proposal for a program with a natural, distinct components (such as an NIH P01, P50, or U19 proposal), an individual component may be submitted at a different rate. For example, if the proposal is based in the School of Medicine, but an entire Core or Project resides at Yerkes National Primate Center. The project or core residing entirely at Yerkes may be submitted using the Yerkes rate.

3. 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 any academic appointments, Yerkes will be the administrative home in the following situations:
   a. For all Yerkes-based faculty where their primary workspace is within Yerkes controlled space, except when the faculty member submits a proposal where none of the work will occur at Yerkes. In these cases, the administrative home of the proposal shall be the department of that faculty member’s academic appointment.
   b. For all Yerkes-based projects where the primary workspace (defined as a preponderance of the direct cost expenses) for the project occurs at Yerkes. Consequently, some awards will be administered by Yerkes and have a Principal Investigator who is not considered a Yerkes-based faculty or who is not physically a resident at Yerkes.
      i. Exception: program project and center type grant (NIH P01, P50, or U19 for example) shall not be considered Yerkes-based projects under this policy unless they are submitted by Yerkes-based faculty as described above.
   c. In order to allow the appropriate tracking of effort and monitoring of faculty activities the department and school of the primary academic appointment of the PI shall be added to the EPEX workflow via the Ad Hoc mechanism in cases where the department and school are not otherwise included in the workflow. (For non-competing continuations with no budgetary or effort changes, this step may be omitted at the discretion of the submitting unit).

4. This policy shall be applied to all units within Emory University, as follows:
   a. For collaborations involving less than $10,000 of direct costs per year, the collaboration will be identified and recognized in both the EPEX record and through the inclusion of participating faculty on the eNOA. However, there will be no financial ramifications of this type of collaboration.
   b. For collaborations involving $10,000 or more of direct costs per year, separate projects and speedtypes will be established in COMPASS.
5. 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 no later than 30 days prior to the inception of the continuation.

6. This agreement excludes all training grants, "K" series awards, and R25 education grants.

7. The Office of the Vice President for Research Administration will report on the revenue shared through this policy in its standard monthly and annual awards reports.

Definitions

n/a

Related Links

- Current Version of This Policy: 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</td>
<td>Holly Sommers</td>
<td>404-727-2507</td>
<td><a href="mailto:Hsomme2@emory.edu">Hsomme2@emory.edu</a></td>
</tr>
<tr>
<td>Policy</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Revision History

- Version Published on: Jul 20, 2018
- Version Published on: Jul 06, 2018
- Version Published on: Jul 25, 2013 *(Clarify direct cost threshold as "per year.")*
- Version Published on: Jul 11, 2013 *(Edited Policy Details to reflect current practices.)*
- Version Published on: May 01, 2007 *(Original Publication)*