



FACILITIES AND ADMINISTRATIVE (F&A) RATE REDUCTION/WAIVER REQUEST

The Exception Request form must be used to request a review of the application of a rate to a sponsored research agreement.

CRITERIA FOR EXCEPTIONS

Requests for exceptions to a rate set by the University (i.e., waiver or reduction) are considered only if they meet one of these criteria:

- The anticipated award supports a vital program in the best interest of the campus, and the University so specifies.
- A non-profit sponsor is limited by statute, published agency regulation, or corporate policy in payment of costs.
- It can be documented that a component of the rate is not applicable to the sponsored project.

PROCEDURE FOR REQUESTING EXCEPTIONS

If the project qualifies under one of the above criteria, a request for exception must be made. Responsibilities for the procedure are as follows: **THE PRINCIPAL INVESTIGATOR submits** the following materials to the Office of Sponsored Programs:

- Rate Exception Request form.
- A copy of the work plan and budget plus documentation of the kind of University facilities and equipment that are going to be used in the project.
- A full explanation of why a rate different from that typically applied to similar projects is being requested.

It is the Principal Investigator's responsibility to forward the request to the appropriate office(s). Once a final decision has been reached by the Associate Dean for Research and/or the Dean, the Office of Sponsored Programs will notify principal investigator. The time frame for approval/disapproval can be expected to take 1-2 weeks. This process must be conducted **prior** to the submission of a proposal.

DURATION OF EXCEPTION

An exception will apply only to the period of the award specified on the Rate Exception Request form.

RESCISSION OF EXCEPTION

During the award period, if there is substantive change in the project affecting the basis on which the exception was approved, the exception will be rescinded.



FACILITIES AND ADMINISTRATIVE (F&A) RATE REDUCTION/WAIVER REQUEST FORM

(MUST Attach Supporting Documentations including Funding Announcement)

UNIVERSITY INFORMATION

Principal Investigator: _____ Department: _____
E-mail Address: _____ Phone Number: _____

PROJECT INFORMATION

Sponsor Type: Federal State Local Foundation
Sponsor Name: _____
Project Name: _____
Project Type: _____ Begin Date: _____ End Date: _____

REQUEST INFORMATION

Type of Request: _____

What is the allowed F&A Rate of the Sponsor? ____ %

(Must ATTACH Sponsor guidelines and policy limiting indirect costs)

ANALYSIS

CDU Applicable Rate	%	of	MTDC	of	=
Sponsor Rate	%	of		of	=
Estimated Loss	%				

REASON/JUSTIFICATION FOR THE REQUEST (Facilities and administrative costs reimbursed by a sponsor pay for utilities, maintenance of buildings and grounds, security, administrative costs of the department, etc. Please indicate below the reasons the University should consider approval of this request and explain how the project will benefit from the reduction.):

It is CDU's policy to require the inclusion of full F&A/Indirect Cost recovery on all proposals for external funding, except gifts. By signing below, I indicate my support to limit F&A/Indirect Cost recovery on this project for the reasons listed above. Original signatures are required and all signatures must be obtained before submission of the proposal.

1 _____
Principal Investigator Date

4 _____
Office of Finance Date

2 _____
VP for Research & Health Affairs Date
(If Applicable)

5 _____
Executive VP of Academic Affairs and Provost Date

3 _____
Dean (COM/COSH/SON) Date

6 _____
Office of Sponsored Programs Date