

**REQUEST FOR A REDUCTION OR WAIVER OF FACILITIES AND ADMINISTRATIVE (F&A) COSTS FOR A SPONSORED PROJECT**

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| The purpose of this form is to expedite consideration of F&A reduction or waiver requests by providing a similar format to request the waiver/reduction and to secure internal approvals from department/unit heads and deans. **This form is to be utilized in cases where either the sponsor restricts the F&A rate or the PI requests that F&A be reduced or entirely waived, when the sponsor does not have a published policy restricting F&A.**  INSTRUCTIONS: Submit the completed form to the Office of Sponsored Projects (OSP) Grant and Contract Administrator (GCA) assigned to your unit; OSP will review and forward the request to the Vice President for Research (VPR) for review and decision. The following documents must be included with this request: copy of the Sponsor’s F&A policy, proposal abstract, detailed budget, and budget justification.  NOTE: **Only F&A recovered at the fully allowable rate** (i.e., the rate established by the sponsor as the fully allowable rate) **are available for distribution.** F&A recovered at less than the fully allowable rate are retained by the Vice President for Research.  OSP is located on the 4th floor of Science Annex building #20, 525 S. Beaver Street, Flagstaff, AZ 86011. Please contact your GCA or contact OSP at 928-523-4880, or email [NAU-OSP@nau.edu](mailto:NAU-OSP@nau.edu), for assistance in completing this form. |

Date:

Principal Investigator:

Project Title:

Sponsor:

Program:

Proposal Deadline:

1. F&A rate      % and base       (MTDC, TDC, other) per NAU’s federally negotiated rate

Proposed rate      % and base       as allowed by the sponsor

Amount of unrecovered F&A: $

1. Provide a written justification for the proposed rate, explaining the department, unit, school, and/or university interest(s) that are served by accepting the project at the waived or reduced rate.

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**Principal Investigator/Project Director (PI/PD) Certification:** I certify that the information provided above and in the attached documents is accurate to the best of my knowledge.

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PI/PD Date

**Department/Unit/College Endorsement**: The proposed waiver or reduction of F&A is in the best interests of the department/unit/college for the reasons given above, and we endorse this request. **The undersigned acknowledge that only F&A recovered at the Sponsor’s fully allowable rate is available for distribution.** F&A recovered at less than the fully allowable rate is retained by the Vice President for Research.

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Department Chair/Director Date Dean/Director Date

**REVIEW BY OSP:** The GCA is responsible for reviewing the request in relation to the associated proposal. If the sponsor has a formal policy which restricts the costing of F&A, NAU will automatically accept the sponsor’s written policy and this request form does not require further review and processing. However, in situations where a sponsor does not have a written formal policy or the RFP does not explicitly restrict F&A, further approvals are required. The GCA shall review the situation with the Director.

**GCA Recommends**: Approval Disapproval Initials

Reasons for the recommendation:

**OSP Director Recommends**: Approval Disapproval Initials

Reasons for the recommendation:

**REVIEW BY ASSISTANT VICE PRESIDENT FOR SPONSORED PROJECTS:**

OSP AVPR Recommends: Approval Disapproval Initials

Reasons for the recommendation:

**REVIEW BY VICE PRESIDENT FOR RESEARCH:**

VPR Recommends: Approval Disapproval Initials

Reasons for the recommendation: