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**Sponsored Project Tuition and Fee Waiver Request Form**

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| The purpose of this form is to expedite consideration of tuition and fee waiver requests by providing a similar format to request the waiver(s) and to secure internal approvals from department/unit heads, deans, Vice Provost and/or the Graduate Dean when applicable.  Completion and submission of this form is required when a sponsor allows tuition and/or associated fees to be charged to the sponsored project (if awarded), but the Principal Investigator (PI) is seeking a waiver to have the institution cover tuition costs and associated fees related to the awarded sponsored project. The guidelines for waiver consideration are incorporated as Attachment A.  INSTRUCTIONS: The Principal Investigator will complete and obtain all required institutional signatures as referenced on page 2 of this form. The Office of Sponsored Projects (OSP) Pre-Award Research Administrator (PRA) assigned to your unit will assist in determining tuition and fee allowability per the sponsor’s polices and guidelines. The following documents must be included with this request: proposal abstract, detailed budget, budget justification. The PRA assigned to your unit can assist with preparing the budget and budget justification.  Please contact your PRA or OSP at 928-523-4880, [NAU-OSP@nau.edu](mailto:NAU-OSP@nau.edu) for assistance in completing this form. |

Date:

Proposal Deadline:

Principal Investigator:

Project Title:

Sponsor:

Program:

F&A rate      % and base       (MTDC, TDC, other) allowed by the Sponsor.

1. Is this a  NEW waiver request or a request for  CONTINUATION/RENEWAL of waivers for an existing sponsored project? If this is a continuation request, list the NAU Account Number:
2. Are tuition and fees allowable charged to this grant proposal? If allowable, explain and justify why a waiver of one or both is being requested. What university, school, or departmental interest(s) are served by waiving the direct costs of tuition and/or fees that are allocable for this project?

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| --- | --- | --- | --- | --- | --- | --- |
| Tuition Allowed by Sponsor | = | $ |  | Fees Allowed by Sponsor | = | $ |
| Tuition Requested from Sponsor | = | $ |  | Fees Requested from Sponsor | = | $ |
| Difference (Amount to be waived) | = | $ |  | Difference (Amount to be waived) | = | $ |

1. Provide the following information for each course:

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| --- | --- | --- | --- | --- | --- |
| Course # | Semester | # of credit hrs | Tuition $/hr. | # of Students | Total Cost per Course |
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|  |  |  |  |  |  |
| Total value ($) of Tuition Waivers | | | | | $ |

1. What academic fees, if any, are included in the request?

|  |  |  |  |
| --- | --- | --- | --- |
| Fee | Cost | # of Students | Total Cost per Fee |
|  |  |  |  |
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|  |  |  |  |
|  |  |  |  |
| Total value ($) of Academic Fee Waivers | | | $ |

**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

**REVIEW BY OSP:** OSP has reviewed the allowability of tuition and associated fees per the sponsor’s policies and guidelines.

Initials: \_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Department/Unit/College Endorsement**: Waiver of the requested tuition and/or fees is in the best interests of the department/unit/college for the reasons described above, and we endorse this request. \*\*\*In the case where the course and the PI are from different colleges (e.g., course is from CHHS and PI is from Biology), the Dean’s office for the course would be the one to evaluate and sign/approve.

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Department Chair/Director Date Dean/Director Date

**\*REVIEW BY VICE PROVOST FOR ACADEMIC AFFAIRS OR DESIGNEE:**

**\***Applicable when the tuition waiver request is for undergraduate level courses. Vice Provost for Academic Affairs (or designee) has consulted with the Vice President for Finance Office on the financial impact of this waiver.

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Vice Provost for Academic Affairs Date

**\*REVIEW BY DEAN OF GRADUATE COLLEGE OR DESIGNEE:**

**\***Applicable when the tuition waiver request is for graduate level courses. The signature of the Dean of Graduate College (or designee) denotes the Graduate College will cover the requested tuition and associated fees.

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Dean of Graduate College Date

**Attachment A:**

**Guidelines for Sponsored Project Tuition and Fee Waiver Requests**

Projects that provide research, scholarship, or creative experiences for students, such as the NSF Research Experiences for Undergraduates program, support NAU’s strategic goals. For example, under Goal 2, Research and Discovery, NAU has a stated objective to “Expand research-based training and learning opportunities for undergraduate students.” These projects often also support Goal 1 (student Success and Access), Goal 4 (Engagement), and in some cases Goal 3 (Commitment to Native Americans). Research and similar enrichment programs may also help NAU recruit new, motivated undergraduate and graduate students.

Given the potential benefits of these programs, in some cases an institutional investment in the project may be feasible and appropriate. In all cases, a potential institutional investment must be evaluated for permissibility, necessity, feasibility, and expected benefit, prior to any commitment. The following guidelines pertain specifically to the evaluation of requests for tuition/tuition and fee waivers associated with sponsored projects.

* 1. If the sponsor allows payment of tuition as a direct cost, then this expense should be incorporated into the grant budget, even if doing so means economizing in other areas of the proposed budget.
  2. If the sponsor does not allow tuition to be covered by the grant, then the project proposer/PI should seek an alternative solution within the funded activities, or another source of direct funding.
     1. Alternative solutions may include redesigning participant activities to include fewer or non-credit bearing learning activities as opposed to an NAU credit-bearing class.
     2. Other sources of funding may include charging the participating student, funding from a Foundation source, or funding from the proposer’s unit or college.
  3. If an NAU credit-bearing class is necessary and neither the grant nor another source can pay the tuition, then the proposer/PI may complete a request for a tuition waiver. The request will be reviewed by the Office of Sponsored Projects to confirm the allowability of tuition and associated fees per the sponsor’s policies and guidelines.
  4. Waiver requests involving undergraduate level courses must be endorsed by the proposer’s college Dean’s office prior to review by the Provost Office.
  5. The Provost Office and the Dean of the Graduate College (when the requests involve graduate level courses) will consider the waiver request according to cost and expected benefit. The Provost and the Dean of the Graduate College may consider factors such as the total number of students and student credit hours that are proposed for tuition waiver, and possible return on investment in the form of recruiting new undergraduate or graduate students, workforce development, or other benefit aligned with NAU’s strategic goals. The Provost and the Dean of the Graduate College may also set a limit on the total commitment of foregone or covered tuition revenue per year.  Consultation by the Provost Office with the Vice President for Finance office is required when waiver requests involve undergraduate courses.