

New York University

UNIVERSITY POLICIES

Title:	Facilities and Administrative Costs Waiver Policy
Effective Date:	December 1, 2017
Supersedes:	September 1, 2013
Issuing Authority:	Sponsored Programs Administration
Responsible Officer:	Assistant Vice President for Post-Award Administration

Policy

It is the policy of New York University (NYU, “the University”) that when submitting applications or proposals to acquire sponsor awards, Principal Investigators (PIs) apply the University's approved indirect cost rate to all externally-sponsored research projects. However, requests for waivers or partial waivers of indirect costs occasionally are granted by the Provost or designee. With the exception of nonprofit charitable foundations that limit Facilities and Administrative (F&A) costs, indirect cost waivers are generally not granted by the University unless there is an exceptional reason to allow the waiver.

Purpose of this Policy

The purpose of this policy is to provide the requirements for a waiver of the University's full F&A cost rate for specific proposals and the related criteria necessary for potential waivers.

Scope of this Policy

This policy is applicable to all schools, departments, units and personnel of the University involved in administering sponsored awards.

Procedures for Implementation

Requests for indirect cost waivers are initiated by the PI and must be reviewed by the Chair and Dean and forwarded for review to the Senior Vice Provost for Research or designee. As a means of determining the costs and benefits of waiver requests, the following factors will be taken into consideration:

- The total costs to the University;
- The likelihood that an award would be seriously jeopardized without a waiver and the potential effect of the loss on the faculty member's overall research program;

- The benefit of the waiver to new or junior faculty members or in support of research efforts in new directions which otherwise might not be sufficiently developed to attract typical peer-reviewed awards;
- The effect of a waiver to increase direct costs available for student support.

Indirect cost waivers will not be granted in cases where the research is sponsored by profit-making or foreign organizations, where the research involves any reservation of rights on the part of the sponsor with respect to intellectual property or where granting the waiver might appear to establish a precedent for future projects.

Policy Definitions

N/A

Related Policies

- Application of Facilities and Administrative Cost Rates Policy
<http://www.nyu.edu/about/policies-guidelines-compliance/policies-and-guidelines/application-of-facilities-and-administrative-cost-rates-policy.html>
- Charging Administrative Expenses to Federal Awards Policy
<http://www.nyu.edu/about/policies-guidelines-compliance/policies-and-guidelines/charging-administrative-expenses-to-federal-awards-policy.html>
- Costing Policy
<http://www.nyu.edu/about/policies-guidelines-compliance/policies-and-guidelines/costing-policy.html>