



Office of the Vice President for Research  
Standard Operating Procedure

Process for Obtaining Facilities and Administrative Costs Waiver

#1009

Effective Date: 11/30/2018

**I. Purpose**

The purpose of this Standard Operating Procedure (SOP) is to describe how Pre Award Specialists (PAS) assist in obtaining a Facilities and Administrative (F&A) waiver for a grant application. [Uniform guidance](#) will provide clarity to the process and ensure Principal Investigators (PI) receive an answer to the F&A waiver request as quickly as possible.

**II. Introduction**

In instances where a grant opportunity does not differentiate between direct costs and indirect costs, but rather provides a cap on total costs, sometimes a PI will need to request an indirect/F&A cost waiver from the university to create a comprehensive project that adequately addresses the sponsor's call for proposals. The burden for obtaining the F&A waiver resides with the PI, as a compelling case needs to be explicitly outlined for why granting the waiver will allow for a more competitive application.

**III. Procedure**

When a PI believes that a project cannot be completed given the total funding limitations and the role that SLU's F&A costs plays in the total budget makeup, the PI can request an F&A waiver. The PI will contact the PAS to ensure they both agree this is a viable course of action based on the sponsor guidelines and the needs of the project. The PAS and PI will then complete the "F&A Exception Waiver Form." The PI will complete the justification section and the PAS will complete the remaining sections. The form is then sent by the PI to the department chair for approval and signature. If granted, the form moves on to the Associate Dean for Research (ADR) or equivalent of the appropriate college/school for approval and signature. If the appropriate parties have approved and the total indirects waived is less than \$5K, then the form is uploaded into Workday. The PAS will then remove or reduce the F&A in the proposed budget and add in the direct costs the PI needs for the project. If the total indirects waived is greater than \$5K, then the form goes to the Office of the Vice President for Research (OVPR) for review and approval, which has final say over the exemption request. If

approved by the Associate Vice President for Research, the form is uploaded into Workday. The PAS will then remove or reduce the F&A in the proposed budget and add in the direct costs the PI needs for the project.

#### IV. Version History

| Version Date | Approval Date | Summary Changes   |
|--------------|---------------|---|
| [11/20/2018] | [11/30/2018]  | Initial Version   |
| [06/15/2021] | [06/17/2021]  | Updated SOP number accurately and updated the related to indirects < \$5K |
|              |               |   |