



**Office of The Vice Chancellor for Research  
Sponsor Request for Facilities & Administration  
(Indirect Cost) Exemption**

In addition to incurring the direct costs (e.g., personnel, travel, supplies, etc.) of conducting an externally funded project, East Carolina University also incurs associated overhead costs. The University periodically negotiates an overhead rate with the federal government that is based on actual costs of operations. This rate is called a “Facilities & Administration (F&A)” or “Indirect Cost” rate. By University policy, the federally negotiated F&A rate is applied consistently to federally-funded and non-federally funded projects alike unless the funding entity has a published policy that limits or precludes inclusion of F&A costs in the project budget or cost quote. If a non-federal funding entity does not have a published overhead/F&A policy and extraordinary circumstances prevent the inclusion of full F&A costs, special approval for an ECU policy exception is required. This form should be completed and signed by the funding entity’s authorized representative and returned to ECU’s Office of Research Administration (ORA) for consideration.

<b>Organization Name:</b>		
<b>Organization DUNS Number:</b>		
<b>Type of Organization:</b>	<input type="checkbox"/> State Government Agency	<input type="checkbox"/> Municipal Government Agency
	<input type="checkbox"/> U.S. Non-Profit Org (501[c][3])	<input type="checkbox"/> Non-U.S. Non-Govt Org (NGO)
	<input type="checkbox"/> Non-U.S. Government Agency	<input type="checkbox"/> Other – Specify:
<b>Does your organization have a published policy re: payment of overhead expenses for research, education, and/or service projects that it financially supports?</b>		<input type="checkbox"/> Yes <input type="checkbox"/> No
<i>If Yes, provide the URL or attach a copy of the policy:</i>		
<i>What is the published overhead, or F&amp;A, rate?</i>		%
<b>Has your organization received funds for the project from a prime sponsor (i.e., an external entity, such as a federal or state government agency, a foundation, or a corporation)?</b>		<input type="checkbox"/> Yes <input type="checkbox"/> No
<i>If Yes, name of prime sponsor:</i>		
<i>Does the prime sponsor have a published policy re: payment of overhead expenses for the research, education, and/or service projects that it financially supports?</i>		<input type="checkbox"/> Yes <input type="checkbox"/> No
<i>If Yes, provide a URL or attach a copy of the published policy:</i>		
<i>If “Yes,” what is the overhead, or F&amp;A, rate allowed by the prime sponsor?</i>		%
<b>What overhead, or F&amp;A, rate is your organization offering ECU?</b>		%

*If there is a prime sponsor, ECU will accept the prime sponsor’s published overhead/F&A rate. If there is no prime sponsor, ECU will accept your organization’s published overhead/F&A rate. If there is (1) no prime sponsor or no prime sponsor published overhead/F&A rate and (2) the organization does not have a published policy that limits payment of overhead/F&A costs, the following attestation is required for ECU to consider a policy exception:*

The above-named organization represents and warrants that the information above is accurate and that the organization consistently applies no greater than the overhead/F&A rate offered to ECU to other institutions of higher education for conducting research, education, or service activities financially sponsored by the organization. The individual signing below warrants that he/she has the authority to sign contractual documents on behalf of the organization. The organization is not a commercial for profit entity.

**Signature:** \_\_\_\_\_  
*(Secure digital signature or scanned signature acceptable)*

**Date:**

**Title:**

**email:**