

To: Contract & Grants Officers

Subject: Revised Indirect Cost Rate Exception Form and Procedures

Research Policy Analysis & Coordination (RPAC), successor to the Research Administration Office, is the office within the Office of the President (OP) charged with the management of indirect cost exception requests and the implementation of the *UC Systemwide Contract and Grant Manual*. [Chapter 8, Indirect Costs](#) of the *Contract and Grant Manual* describes the University's policies regarding indirect cost rate exceptions.

This Memo provides revised guidance concerning requests for indirect cost rate exceptions as well as a revised exception request form. The request form has been updated to ensure more accurate and simplified data collection, as well as to reflect OP's revised organizational structure. **No policy changes are reflected in the revised form.**

The revised exception form is attached to this Memo as an MS Word Document. The form may also be downloaded at the password-protected [UCOP indirect cost waivers website](#).

In order to assure consistent data collection from all campus locations, **please do not modify the indirect cost exception request form.** Altered forms may be sent back to the requester for resubmission. Suggestions for future changes to this form may be submitted to RPAC via the contact email below.

Exception Request Submittal Requirements

Since "Principal Investigators are not authorized to negotiate reduced indirect cost rates with a sponsor or to submit proposals that do not include the applicable indirect cost rate as part of the budget" (per *Contract and Grant Manual* 8-631), **indirect cost exception requests should generally be submitted prior to proposal submission.**

All exception requests must be accompanied by appropriate documentation for the basis of the request. Please review the indirect cost rate exception form for descriptions and links to policy citations that describe these attachments.

The signature section of the request form should be completed per your location's policy and procedure for requesting indirect cost rate exceptions. Vital Interest exception requests always require a Chancellor or Chancellor's Designee approval in the signature box.

Notification of Approval

Once an indirect cost rate exception request is approved, the appropriate delegated signature from OP will be added to the top of form in the box reserved for OP use. A PDF of the signed form will be emailed to the requester identified on the form, and it will serve as notification of approval of the indirect cost waiver exception.

Data from all approved exceptions are entered into the [OP Research Administration password-protected indirect cost exception database](#). If you do not have access to the database, contact the RPAC administrative staff at the email address below to obtain a password.

Any exception request that raises significant policy questions will be discussed with the campus and may or may not be approved.

Submitting Indirect Cost Rate Exceptions/Contact Email

Indirect cost rate exceptions should be sent as a single PDF document to RPAC via email to icrwaivers@ucop.edu.

Contact: Michael Kusiak
Michael.Kusiak@ucop.edu
(510) 987-0659

Cancel: C&G Memo 99-04



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Attachment: Indirect Cost Exception Request Form