

Guidelines for Completing the Authorization to Seek Off-Campus Funding Form ePA-005

INTRODUCTION AND PURPOSE

OSU's Office of Sponsored Programs (OSP) requires that all principal investigators (PIs) complete an *Authorization to Seek Off-Campus Funding* form known as the ePA-005 (Figure 1). This is a fairly straightforward process for PIs who have a single source of funds to support their position and who conduct projects at a single location. PIs proposing projects that will be implemented as part the College of Food, Agricultural, and Environmental Sciences (CFAES) often must consider multiple project locations and split appointments. CFAES supports programs on two campuses (Columbus and Wooster), nine distributed Agricultural Research Stations, and the Research and Extension Center located at Piketon, Ohio. Ohio State University Extension (OSUE), as part of CFAES, maintains facilities, programming, faculty, and staff in all of Ohio's 88 counties.

Many CFAES faculty and staff appointments/salaries are supported by different combinations of three funding lines: Ohio Agricultural Research and Development Center (OARDC), General Fund (GF), and OSU Extension (OSUE). Accurately representing effort and costs for CFAES extramurally funded grants and contracts can be challenging.

This document will help PIs to accurately assess and represent the effort and costs associated with extramurally funded research, teaching, and Extension projects using the ePA-005; it specifically addresses the Award and Expenditure Allocations section of the ePA-005 (Section 4B). For general ePA-005 information see:

<https://rf.osu.edu/secure/ePA-005/instructions.html>

AWARD AND EXPENDITURE ALLOCATIONS

Subsection 4B of the ePA-005 lists the departments, centers, or units participating in a given project along with the distributions of the percent *Award Allocation* and the percent *Expenditure Allocation*

Award Allocation

The Award Allocation shows how the award dollars will be shared among the collaborating units and recognizes the relative intellectual contribution made by each PI to the project according to their organizational unit (Org)

The Award Allocation should be distributed among the PIs and their respective Orgs according to the nature of the work (i.e., research, teaching, extension) and the relative distribution of direct costs for each of the PIs (i.e., a direct calculation of percentages from the budget).

Expenditure Allocation

*The **Expenditure Allocation** determines how expenditures and associated Facilities and Administration (F&A) costs will be distributed among the participating Orgs (i.e., indirect costs incurred by each Org as a result of the project). Project overruns are also recovered according to the distribution of the Expenditure Allocation.*

Unless other arrangements are made, the Expenditure Allocations should be distributed among the PIs according to each PI's contribution to the project and the location of the work. It should appear with the Org that is responsible for each PI office and lab space as well as support services. PIs located in Wooster should use their OARDC Org (56XXX), PIs located in county Extension offices should use their local county OSUE Org (57XXX), PIs working on the Columbus campus should use their GF Org (11XXX).

Special Considerations:

Split Appointments - When PIs have split appointments (some combination of OARDC, GF, and/or OSUE) *all Orgs associated with those investigators should be listed even if the percentage is zero.* All listed Orgs receive notification of proposal submission and can track PI activity.

PI's TIU - Each PI's Tenure Initiating Unit Org needs to be listed on the PA005 along with the Orgs representing other sources of funding and assignment.

EXAMPLES

The following two examples show how PIs with different types of appointments and different assignments might appear on a PA005 and how their release time (or cost share) might be set up.

EXAMPLE A: PI-1 (the lead PI) has a split appointment and a single focus on the project. PI-2 (co-PI) has a single appointment and a single focus on the project. Even though PI-2 does not have a formal research appointment, the applied nature of the research will allow the use of his Extension appointment for the project. PI-1 is located at Wooster; PI-2 is located in a county Extension office.

EXAMPLE B: This is the same project. Another PI had been added and the project has been expanded to include the development of outreach materials. PI-3 has a 3-way split appointment and will conduct both research and outreach. Notice the distribution of his share of the Proposal/Award Allocation is divided between OARDC and OSUE.

EXAMPLE A - RESEARCH

PI Appointment Information

Name	Department/Unit	Location	Appointment %s			Project Budget
			OARDC	Ext	GF	
PI-1	Horticulture & Crop Science	Wooster	70		30	90%
PI-2	OSU Extension	Delaware Co.		100		10%

PI Project Involvement

PI-1: Research
 PI-2: Extension

Project Notes

PI-1 is located in Wooster so his F&A allocation is on his OARDC org 56270 line. He will conduct research so his Proposal/Award Allocation is also on his OARDC org 56270 line. PI-1's Tenure Initiating Unit (TIU) is Hort & Crop Science so his GF org 11270 in included with 0 percentage in both columns.

PI-2 is located in a county office. He will work with identified local farmers to set up field trials, coordinate the collection of data, and set up farmers' tour of trials. His share of both the F&A allocation and Proposal/Award Allocation are on his County org 57083 line. PI-2's TIU is Extension and is represented by his county Org 57083.

1. Title (254 Characters)

EXAMPLE A – RESEARCH PROJECT

4B. Departments/Centers

Department/Center	Org #	% Proposal/Award Alloc	% Expenditure Alloc	Mark to Delete
OARDC HORT & CROP SCIENCE	56270	90	90	
HORT & CROP SCIENCE	11270	0	0	
OSUE- HORT & CROP SCIENCE	55270	0	0	
DELAWARE COUNTY	57083	10	10	

Add New Investigator

Delete Investigators

EXAMPLE B – RESEARCH AND EXTENSION PROJECT
Co-PI added with split appointment and split project responsibilities

PI Appointment Information.

Name	Department/Unit	Location	Appointment %'s			% of Total Project Budget
			OARDC	OSUE	GF	
PI-1	Horticulture & Crop Science	Wooster	70		30	60%
PI-2	OSU Extension	Delaware Co.		100		10%
PI-3	Plant Pathology	Columbus	30	30	40	30%

PI Project Involvement

PI-1: Research
 PI-2: Extension
 PI-3: Research and Extension

Project Notes

PI-3 is located in Columbus; his Expenditure (F&A) allocation is on the line for his GF org 11780.
 PI-3's work will be a combination of Research and Extension; his Proposal/Award Allocation is divided between his OARDC org 56780 and OSUE org 55780.

1. Title

EXAMPLE B – RESEARCH AND EXTENSION PROJECT

4B. Departments/Centers

Department/Center	Org #	% Proposal/Award Alloc	% Expenditure Alloc	Mark to Delete
OARDC HORT & CROP SCI	56270	60	60	
HORT & CROP SCIENCE	11270	0	0	
DELAWARE COUNTY	57083	10	10	
OARDC PLANT PATHOLOGY	56780	15	0	
OSUE-PLANT PATHOLOGY	55780	15	0	
PLANT PATHOLOGY	11780	0	30	

Add New Investigator

Delete Investigators

1. Title (254 Characters)

2. Sponsor

3A. Proposal Due Date (mm/dd/yyyy)

3B. Sponsored Program Officer

4A. Investigators

Name	% Salary Recovery	Mark to Delete
No selected Investigators		

4B. Departments/Centers

Department/Center	Org #	% Proposal/Award Alloc	% Expenditure Alloc	Mark to Delete
No selected Orgs				

5. Budget and Award Information

A. Award period (mm/dd/yyyy) from to

B. Total amount requested from sponsor \$

C. Equipment cost sharing Required Voluntary N/A

Dept \$ <input type="text"/>	College \$ <input type="text"/>
Ofc Res \$ <input type="text"/>	OBOR \$ <input type="text"/>

D. Other cost sharing Required Voluntary N/A

Dept \$ <input type="text"/>	College \$ <input type="text"/>
Ofc Res \$ <input type="text"/>	Other \$ <input type="text"/>

E. Facilities and Administrative (F&A) costs:

(1) Sponsor F&A rate 52.50 %

(2) Rate used for this proposal 52.50 %

(3) Base MTDC TDC Other

F. GA fees paid by Sponsor College Dept N/A

6. Does this project involve any of the following compliance areas? No Yes
If No, proceed to section 7

A. Human Subjects? No Yes Exempt

Pending Review? No Yes

Approved (mm/dd/yyyy) Protocol #

B. Vertebrate Animals? No Yes

Pending Review? No Yes

Approved (mm/dd/yyyy) Protocol #

C. Recombinant DNA or Synthetic Nucleic Acids? No Yes Exempt

Pending Review? No Yes

Approved (mm/dd/yyyy) Protocol #

D. Xenotransplantation? No Yes

E. Gene Transfer? No Yes

F. Human Embryonic Stem Cells? No Yes

G. Infectious and/or Select Agents? No Yes

H. Radioisotopes? No Yes

I. Security Classification? No Yes

J. Export Control? No Yes

K. Scuba Diving? No Yes

L. Chemical Security? No Yes

7. A. Does this project involve any company or organization besides the sponsor that is providing financial or in-kind assistance for the project (e.g., provision of study drug or device or providing staffing, equipment, or other material support for the project)? No Yes
If you marked 7.A. Yes: Please list the name of the company or organization(s):

7. B. Does anyone listed in section 4 have a significant interest in any company or organization supporting this research? (COI)
(Greater than 5% stock ownership or \$10,000 per year in personal income)

No Yes →

C. If you marked B Yes: Has interest already been disclosed?
 Yes No →

D. If you marked C No: Has a revised conflict of interest disclosure form been submitted? No Yes

8. Is sufficient and suitable space presently available to house this project?

Yes, it is located in

No, a tentative solution, including funding, must be identified and documented prior to proposal submission.

Comments (254 Characters)