Instructions for Completing and Routing the electronic Authorization to Seek Off-Campus Funding (ePA-005) Form

The ePA-005 application allows online creation and signature of the PA-005 form. The form serves two purposes:

1. It documents administrative, budgetary and compliance information about the proposal and provides chairs, center directors, deans and Vice Presidents with a summary of that information.

2. Campus signatures are the Office of Sponsored Program's authorization to submit the proposal to an external sponsor.

Therefore, a fully signed form must be available to the Office of Sponsored Programs before a proposal is submitted to an external sponsor.

Creating an ePA-005

Access the application

1. Select the ePA-005 link from the Tools section of the OSP website
2. login using your University internet user name and password

PI/Creator activities

Create a new PA-005

1. Click the **Create** button
2. a blank form appears with a routing number at the top left. This number is used to identify and track forms
3. complete the form (see below for detailed instructions)
4. add any attachments required by departments or colleges
5. click the **Complete** button at the bottom of the form
6. before routing, the application reviews the data entered and prompts the creator for any missing or otherwise incomplete information
7. once verified, the application gives the creator (if other than the PI) the opportunity to make the PI owner of the form. Choosing this option allows the PI to copy and reuse the form
8. the application sends a notification simultaneously to designated e-mail recipients in all orgs. that are required to sign the form.

Update an existing PA-005:

1. Click the **Update** button
2. select a form to update (either because you stopped mid-stream or because you want to re-use a previously created form for another proposal)
3. if finishing a partly completed form follow the line-by-line instructions below
4. if re-using a form for another proposal, first hit the copy button to create a copy. The copy will be given a new routing number and the original form will remain intact. Make all necessary updates on the new version.

Reviewer/signer activities

Review and sign form

1. Click the link in the e-mail note informing you that there is a form to review and sign
2. log on using your University internet user name and password

3. a list of forms awaiting your review appears
4. select a form, review, add any comments (which will be automatically tagged with your user name) and click the 'approve', 'approve for submission' or 'disapprove' button
5. 'conditionally Approve' means that the proposal can be submitted but there are some administrative questions that have to be resolved. These can be listed in the comments section
6. 'disapprove' means that the proposal cannot be submitted. The PI (or form owner if not PI) receives an e-mail that the form has been disapproved and all signatures are removed. The PI can make any required changes and re-route the form by clicking the **Complete** button
7. once one signer for an org (e.g., department fiscal officer) has signed, the form disappears from the Approve list for everyone in that org (e.g., will no longer show up on the Chair's list). The application tracks who has signed for each org. and displays that information
8. all forms are available for review by clicking the **Review** button

Line-by-line Instructions

1.Title

Enter the title of proposal as it will be submitted to the sponsor, avoiding acronyms and abbreviations not in common use. The title is restricted to 254 characters, though some sponsors may have more specific requirements, e.g., NIH allows only 81 characters. If the study is a company sponsored clinical trial, begin the title with the study number or acronym by which the study will be known.

2. Sponsor

Enter the name of the sponsor to whom the proposal is being submitted. If the award will be a subcontract from another organization, indicate that organization's source of funding, too, if known (e.g., Cornell University, USDA funds).

2A. Are you seeking funds that are Federal in origin, either directly or as Federal flow-through?

If you are uncertain if the funds you are seeking are Federal or Federal flow-through, contact your SPO.

3A. Proposal Due Date

Enter, using the format mm/dd/yyyy (or click calendar icon and select), the date by which the proposal must be postmarked, or be received by the sponsor. This information is normally included in the sponsor's guidelines.   If there is no due date, enter the date by which you intend to submit the proposal to the sponsor.

3B. Sponsored Program Officer

Select from the dropdown list the pre-award Sponsored Program Officer (SPO) who will review and approve your proposal for signature. SPOs are assigned to specific academic constituencies. If you are unsure of the SPO who works with your department, check the OGC constituency list at http://osp.osu.edu/inf/c-list.cfm (select your college then your department from the list.)

3C. Discovery Themes

Check the box(es) for any Discovery Themes to which the proposal relates. Given the inter-connectedness of the Discovery Themes, it may be appropriate to check 2 or all 3 of the boxes. If the proposal does not pertain to any of the Themes, check None. For additional information on the scope of the Discovery Themes go to http://discovery.osu.edu/.

Section 4 is very important for several reasons:

• All investigators named in Section 4A of the PA-005 will be associated with the proposal/award in university reports. Only those investigators who made a significant intellectual contribution to the

development of the proposal, or whose expertise is critical to the conduct of the research, if funded, should be listed. The ePA-005 should not be used as a time sheet i.e., investigators should not be listed just because they are charging or contributing time to the project. Effort information is normally included in the proposal budget.

• The information in Section 4B of the form determines the departments/centers/ colleges/VP Units that will receive notification of an ePA-005 awaiting their approval and whose signatures are required before the form is considered complete.

• The award allocation information provided in Section 4B determines how the proposal and subsequent award dollars are shared across orgs in University management reports (e.g., eActivity). The award allocation recognizes the intellectual contribution to the development of the proposal/award.

• The expenditure allocation information Section 4B determines how expenditures and associated F&A dollars are shared across the orgs. Expenditure incurred and F&A recovered are two of the inputs used to determine each College's annual research assessment. The expenditure allocation recognizes the facilities and administrative support provided by each org.

4A. Investigators

The first named investigator in Section 4A is considered to be the Principal Investigator (PI) and the administrative manager for the award. S/he must be a regular tenure-track faculty member with at least a 50% appointment, or otherwise meet one of the criteria defined in <u>Principal Investigator Status Appointments</u>. Persons not meeting these criteria and who wish to serve as PIs must be granted permission by the Senior Associate Vice President for Research.

To begin entering investigators on the form, select the Add New Investigator button.

On the page that opens, either click the drop down list and select the appropriate investigator, or narrow the list by typing part of the investigator's last name into the Name box.

Sometimes there are several investigators with similar names. It is very important that the correct investigator be selected so that the form routes correctly. When the correct name appears in the dropdown list, select it by tabbing to the salary recovery box. If required by your college, enter the % of academic or calendar year salary being recovered from the sponsor, either as a direct appointment or as release time. When the entry is complete, click submit.

Repeat the process just described to add additional investigators. If an investigator is new to the University, or does not appear on the list, click the Request Investigator button to send an e-mail to the OR helpdesk asking that the investigator be added. You can expect a response in no more than 24 hours.

All investigators named on the form will be listed with the proposal and award in official university reports and all investigators will have access to the proposal and award record in the PI Portal.

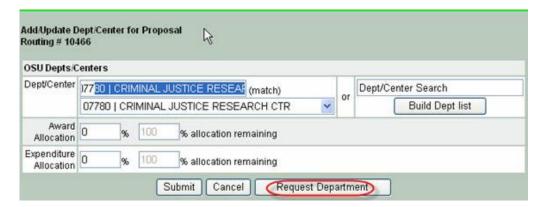**4B. Departments/Centers**

This section identifies the departments/centers (collectively known as orgs) associated with the proposal/award and the conduct of the study. Each org whose faculty contributed to the intellectual development of the proposal, or where a substantial part of the work will be conducted, should be listed. The PI's TIU (Tenure Initiating Unit) must also be listed. The chair/center director and responsible Dean/VP for each org listed are required to sign the form. Chairs/Deans and their administrators in all units listed will have PI Portal access to the proposal/award and any resulting projects.

The first listed org will be considered to be the administrative home of the proposal/award. The Office of Sponsored Programs pre-award SPO responsible for that department will the OSP point of contact for all aspects of proposal preparation and pre-award review.
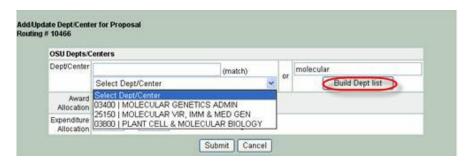
To enter an org., click the Add New Department/Center button

Either enter the org # in the Dept/Center box or click the drop down list and select the appropriate org from the alphabetical list.

If you don't know the org # or correct name, enter part of the name in the right-hand box above Build Dept list button (first deleting the contents). Click the Build Dept list button then click the down arrow by the Select Dept/Center dropdown on the left side of the screen. The list will show all department names containing the text string you entered.

Select the appropriate org then tab to the Award Allocation box.

Enter the % of the proposal/award to be allocated to the selected org. For example, there are two orgs involved and they are considered to be equal participants, so each would be assigned 50% of

the 'credit' for the proposal/award. 50% of the proposal and award dollars would be counted in each org. The sum of award allocations across orgs cannot exceed 100%.

Tab to the Expenditure Allocation and enter the % of the expenditures to be allocated to the selected org. For example, there are two orgs involved, one of which will provide 70% of the space and administrative support while the other will provide 30%. These values would be entered into the expenditure allocation boxes for the two orgs. The sum of expenditure allocations across orgs cannot exceed 100%. If the proposal is funded, project expenditures and associated F&A recovery will be allocated to orgs in accordance with the expenditure allocation percentages.

It is possible for an org to be assigned 0% proposal/award allocation and 100% expenditure allocation, or any combination in between.

Repeat the Add New Department/Center process as often as is necessary to list all the orgs involved. If an org does not appear on the list, click the Request Department button to send an e-mail to the OR helpdesk asking that the department be added. You can expect a response in no more than 24 hours.

5.Budget and Award Information

To facilitate review, attach a copy of the proposal budget to the form, plus another documents required by the units associated with the proposal.

5A. Award period

Enter the entire period for which funding is being requested.   Enter dates in the format mm/dd/yyyy or click the calendar icon and select date.

5B. Total amount requested from sponsor

Enter the amount requested from the sponsor for the entire award period.

5C. Equipment cost sharing

Sometimes departments and colleges will contribute part of the cost of equipment being requested in a proposal (=equipment cost-sharing). If this is the case, select the appropriate radio button to indicate whether the sponsor requires such cost-sharing as a condition of submitting the proposal (Required cost-sharing) or whether the PI/Unit has chosen to share part of the cost (Voluntary cost-sharing). Indicate the amounts from department(s)/center(s), college(s), Office of Research, and Ohio Board of Regents (OBOR) Action Fund (see Ohio Board of Regents' Action Fund Program for additional information), if relevant. If there is insufficient space, the information can be entered into the comments box at the bottom of the form, or in an attachment if complex. Chair/Center Director/Dean/VP signatures on the form indicate their concurrence with the cost-shared amounts listed in section 5C.

5D. Other cost sharing

If other cost-sharing is included in the proposal, check the appropriate box to indicate whether the commitment is required by the sponsor or is voluntary. Indicate the amounts from department(s)/center(s), college(s), Office of Research, and other sources as appropriate, and attach documentation describing the nature of the cost-share. Chair/Center Director/Dean/VP signatures on the form indicate concurrence with the amounts listed in section 5D.

Be aware that any voluntary cost-sharing offered in a proposal becomes part of the award, whether or not it is specifically identified in the award notice. Therefore, proposed cost-share must be provided, which means it has to be documented in the University accounting system. Voluntary cost-sharing is strongly discouraged because a) it is the University's goal to recover as much as possible of the costs of conducting sponsored projects, b) voluntary cost-sharing is difficult to monitor and c) it has an adverse impact on the University's F&A cost rate.

5E. Facilities and administrative (F&A) costs

F&A (Facilities and Administrative) costs – previously called indirect costs – are the funds provided by sponsors for charges that cannot be directly attributable to a project e.g. building maintenance, library costs, college and department administrative costs.

F&A costs are calculated as a percentage of direct costs, and are collected as direct cost expenditures are incurred. Most F&A dollars recovered will be returned to the colleges where they were generated.

The University's Facilities and Administrative (F&A) cost rates are determined in negotiations with the Department of Health and Human Services. The University strives to maximize F&A cost recovery, consistent with sponsor policy (e.g., some federal agencies and not-for-profit organizations have a lower rate that they consistently ask awardees to accept). There may be instances when a department and college feel it is in their best interests to propose a rate lower than that which the sponsor routinely provides. Units can propose and accept lower rates, though this should be a rare occurrence. No matter what rate is accepted, all MTDC expenditures associated with the project will be included in the determining the college research assessment.

5E (1) Enter the F&A rate listed in the program announcement or other sponsor publication. If a sponsor has no published rate, use the DHHS approved rate that is appropriate for the type of work being done (see Facilities & Administrative Cost Rates at OSU for additional information). This line is pre-populated with the on-campus research and development rate.

5E (2) Enter the F&A rate used for this proposal, if different from the pre-populated value, which is the on-campus research and development rate.

5E (3) Select the radio button that describes the F&A base for the award, i.e., the direct costs categories on which F&A will be charged. Typically the F&A base is either MTDC or TDC – see below for definitions. The base is normally determined by the sponsor, unless a unit chooses to use a different base and the sponsor accepts it.

MTDC (Modified Total Direct Costs) – this is the base against which the DHHS approved rates are calculated and charged. Modified Total Direct costs include all direct costs except equipment (see definition at http://osp.osu.edu/pdp/pdp45.cfm), subcontract costs in excess of $25,000, renovations and alterations, patient care costs, tuition, and rental of off-campus facilities. MTDC expenditures are the basis for the allocation of the annual research assessment.

TDC (Total Direct Costs) – all direct costs categories are subject to F&A costs.

Other – anything other than MTDC or TDC. Provide additional information in the comments section or an attached narrative.

5F. GA fees (Graduate Associate)

Select the radio button that represents who will pay fees for any GAA/GRAs (Graduate Administrative Associate/Graduate Research Associates) to be supported on the award.

Sponsor means that fees are included in the proposal budget and will be charged to the sponsor.

College or **Department** means that GA fees will be charged to one of these units, either because sponsor policy prohibits charging fees to the award, or because a department or college is providing a fee waiver.

N/A means that students will not be appointed or charged to the award (e.g., an equipment or facility improvement proposal). In the event that students are appointed to such a project, the fee charges will default to the Department.

Each college has its own requirements and procedures regarding fee waivers. If you are uncertain of your college's policy please check with your department chair or College Fiscal Officer before preparing your proposal budget.

Chair/Center Director/Dean/VP signatures on the form indicate their concurrence with the fee designation.

6. Compliance Information.

Carefully review the list of compliance areas and, if your proposal includes any of them, select the Yes button by question 6. Visit the Office of Responsible Research Practices (ORRP) website for additional information or contact ORRP directly for guidance on animal subjects, biosafety, and human subjects research.
Visit the Office of Research Compliance website for additional information on conflict of interest, export control, and research compliance.

6A. Human Subjects

If the project will involve human subjects, the protocol must be reviewed and approved by the appropriate Institutional Review Board (IRB) or determined to be exempt prior to initiation of the study.

See the Research Involving Human Subjects policy for more information or contact ORRP for additional guidance at ORRPDeterminations@osu.edu.

6B. Vertebrate Animals

If the project will involve the use of any vertebrate animals, the research protocol must be reviewed and approved by the Institutional Animal Care and Use Committee (IACUC) prior to initiation of the study. See IACUC for complete information on when a protocol is required, and a list of people who can help with IACUC related questions.

6C. Recombinant DNA or Synthetic Nucleic Acids

If the award will involve recombinant DNA or Synthetic Nucleic Acids, the study protocol must be reviewed by the Institutional Biosafety Committee. See IBC for additional information.

6D. Xenotransplantation

Xenotransplantation is the transfer of living cells, tissues, and/or organs from one species to another. While the route is usually animal-to-human transplants, interspecies transplants between animals also occur. Xenotransplantation involves a number of ethical, legal and regulatory requirements that require special review. If your proposal involves xenotransplantation, select the yes button. This will result in an e-mail to the Office of Responsible Research Practices, who will advise on whether additional information is required before the proposal can be submitted.

6E. Gene Transfer

Human Gene transfer is the process of transferring genetic material (DNA or RNA) into a person or animal, to determine whether it can affect certain health problems by compensating for defective genes, producing potentially therapeutic substances or triggering the immune system to fight disease. Gene transfer involves a number of ethical, legal and regulatory requirements that require special review. If your proposal involves gene transfer, select the yes button. This will result in a notification to the Office of Responsible Research Practices, who will advise on whether additional information is required before the proposal can be submitted. See Guidance for additional information.

6F. Human Embryonic Stem Cells

There are a number of specific state and federal requirements that govern use of human embryonic stem cells. If your proposal involves human embryonic stem cells, select the yes button. This will result in a notification to the Office of Responsible Research Practices, who will advise on whether additional information is required before the proposal can be submitted.

6G. Infectious and/or Select Agents

The Centers for Disease Control and Prevention is required to regulate the possession of biological agents and toxins that have the potential to pose a severe threat to public health and safety. CDC's Select Agent Program oversees these activities. See http://www.cdc.gov/od/sap/docs/salist.pdf for the current list of select agents. If your proposal involves infectious or select agents, select the yes button. This will result in a notification to the Office of Responsible Research Practices, who will advise on whether additional information is required before the proposal can be submitted.

6H. Radioisotopes

Procurement, storage use and disposition of radioisotopes are overseen by Radiation Safety in the University's Office of Environmental Health and Safety. See http://www.ehs.ohio-state.edu/index.asp?PAGE=radsafe.menu for additional information. If your proposal involves radioisotopes, select the yes button. This will result in a notification to the University's Office of Environmental Health and Safety, whose director will advise on whether additional information is required before the proposal can be submitted.

6I. Security Classification

Mark yes if your proposal will require anyone to have access to classified information or secured facilities. A notification will be sent to the Facility Clearance Officer who will contact you for additional information if necessary.

6J. Export Control

Federal Export Control regulations place restrictions on the release or transfer of certain information and materials to foreign nationals or foreign entities, both here at Ohio State and abroad. If award activities will include any of the following conditions, an export control assessment will need to be done and if needed an export control management plan implemented to ensure compliance with the federal regulations.

Select the Export Control "yes" button if any of the following conditions apply:

1. Research involves the use of information, items or technology subject to the licensing provisions of the International Traffic in Arms (ITAR) regulations 15 CFR §§ 120-130 or the Export Administration Regulations (EAR) 22 CFR §§ 730-774 (e.g., information marked as export restricted received from outside the University).

2. Research involves export restricted science and engineering areas (e.g., defense areas, missiles, weapons, select agents, encryption technology).

3. Research involves the transfer of project information, equipment, materials or financial support out of the U.S. (e.g., sending project deliverables or providing funding via a subcontract).

4. Any part of the research will take place outside the U.S. or will include international travel (e.g., field work outside the U.S., you plan on presenting the work at an international conference, or you will be providing professional services).

5. Research involves foreign national faculty, visiting scientists or collaborator(s), or other foreign entities (e.g., non-US Company, University or other organization).

6. Foreign National graduate students, trainees or other Ohio State employees will be involved in

any of the research types listed in conditions 1-4 above, AND the research has *not* been determined to be fundamental research by the Export Control Administrator.

Selecting "yes" will result in a notification to the Export Control Administrator, who will contact you for additional information as needed. Note that selecting "yes" will not affect the submission of the proposal. See the Office of Research Compliance, Export Control website or contact the Export Control Administrator at exportcontrol@osu.edu for additional information regarding Export Controls.

6K. Scuba Diving

The federal Occupational Safety and Health Administration (OSHA) requires that academic institutions provide oversight of all research-relating diving activities. If your proposal involves scuba diving, select the "yes" button. This will notify the University's Diving Safety Officer, who will contact you for additional information if necessary. See the Office of Research Compliance for additional information.

6L. Chemical Security

The federal Department of Homeland Security (DHS) imposes comprehensive federal security regulations for chemical facilities, including academic institutions, under the agency's Chemical Facility Anti-Terrorism Standards. If your proposal involves the following chemicals, please select the "yes" button.

- Chemicals covered under the Environmental Protection Agency's Risk Management Program;
- Chemicals included in the Chemical Weapons Convention;
- Hazardous materials, such as gases that are poisonous by inhalation; or
- Explosives regulated by the Department of Transportation.

Selecting "yes" will notify the University's Office of Environmental Health & Safety, which will contact you for additional information.

The complete list of DHS "Chemicals of Interest" is available at http://www.dhs.gov/xlibrary/assets/chemsec_appendixa-chemicalofinterestlist.pdf.

7. Potential Financial Conflicts of Interest

Indicate whether the PI or anyone named in section 4 (or an immediate family member) has a significant financial interest in any company or organization listed in section 7. A. This includes the sponsor of the research or other company or organization providing support for the research - e.g., providing study materials, drugs or devices. "Immediate family" means spouse, domestic partner, and/or dependent children.

To comply with federal law, Ohio State University's financial conflict of interest policy has two definitions for what constitutes a 'significant' financial interest – one for U.S. Public Health Service (PHS) funded research and a separate definition for non-PHS funded research. PHS funding agencies include the National Institutes of Health (NIH), Food and Drug Administration (FDA), Centers for Disease Control and Prevention (CDC), Indian Health Service (IHS), Health Resources and Services Administration (HRSA), Substance Abuse and Mental Health Services Administration (SAMHSA), Agency for Healthcare Research and Quality (AHRQ), Centers for Medicare & Medicaid Services (CMS), Administration for Children and Families (ACF), and Administration on Aging (AOA).

For PHS-funded research, a 'significant' financial interest exists if the PI or anyone listed in section 4 (and their immediate family members) have one or more of the following interests:

1. Any equity or ownership interest in a non-publicly traded entity;
2. An equity (stock or stock option) interest in a publicly traded company that is 5% or greater; or
3. $5,000 or more of financial income (e.g. consulting income) or other remuneration (e.g. personal travel payments) from the entity in the past twelve (12) months.

For non-PHS funded research, a 'significant' financial interest exists if the PI or anyone listed in section 4 (and their immediate family members) have one or more of the following interests:

1. Any equity or ownership interest in a non-publicly traded entity;
2. An equity (stock or stock option) interest in a publicly traded company that is 5% or greater; or
3. $10,000 or more of financial income (e.g. consulting income) or other remuneration (e.g. personal travel payments) from the entity in the past twelve (12) months.

If Yes, indicate whether the interest has already been disclosed on the university's electronic conflict of interest disclosure at http://go.osu.edu/coi. If the interest has not been disclosed, the electronic conflict of interest disclosure should be revised and updated with the financial interest.

Please also indicate whether the project involves the use of Ohio State University intellectual property that has been formally licensed by the University's Technology Commercialization Office to the sponsor, or other company or organization that is providing support for the research. Intellectual property includes, for example, a drug, device or patented or copyrighted material, information or software. If so, please provide the name of the company or organization.

For questions or additional information, contact the Office of Research Compliance at conflictinfo@osu.edu.

8. Space available for award

List the room number(s) and building(s) that will be used for the award. If appropriate space is not available, attach plan to provide space for the award, including funding sources for space alterations. If the project is off-campus, indicate the street address and city.

Comments

Add any comments or additional information.   Each user is restricted to 256 characters. Author ID will be added automatically to comments.

Upload a file

Word, Excel, Text or PDF (doc, xls, txt, pdf) files can be attached to the ePA-005 form. Click the **Browse** button to identify the appropriate files then click **Upload**.

Uploaded Files

This section shows the files that are attached to the form, with the date and time they were attached. Clicking on a file name opens that attachment.

Statement of Responsibility

This statement identifies the terms under which the proposal will be submitted to the sponsor and the award accepted. Each unit's signature indicates acceptance of these terms.

Completing the form

When all the required information has been entered, click the **Submit for Signature** button, which will save the data and validate the submission.

If validated, creator will receive confirmation and have an opportunity to print your form.

If data are incomplete the creator will be prompted for missing information.

The form can be saved at any time during the creation process by using one of the save buttons.