EHE Residual Fund Accounts

**Overview:** Residual fund accounts will be created from balances remaining at the end of fixed price grants (i.e., lump sum payment grants) for PI use. The college expects residual fund balances to be expended one year from the date of transfer from OSP to a PI-based fund. Compelling cases for carrying the funds beyond one year can be made to the EHE Associate Dean for Research. These requests should be made at least 30 days prior to the fund expiration date (i.e., one year beyond transfer) and should include the new proposed fund expiration date. Otherwise, unspent funds remaining beyond the fund expiration date will be returned to the college for reinvestment by the Office of Research in a seed grant program.

**Proposal:** The request to carry the funds forward beyond one year should be in the form of a short proposal (2 to 5 pages). The proposal needs to include the following elements:
1. amount of residual funds remaining and from which grants;
2. specific plans to utilize those funds, including expected expenditures and anticipated timeframe; and
3. how this funding will further the PI’s research program in terms of student support, publication and future proposals.

**Department-based PIs:** The Associate Dean for Research will evaluate proposals for department-based PIs based on the following criteria:
1. The extent to which these funds will contribute to the PI’s research program. Proposals to utilize funds for non-research purposes will not be approved, nor will summer salary or travel not related to research. Thus proposals must involve research effort. Reasonable requests to use the funds include, for example, (a) a research project leading to the submission of a new external proposal, (b) research to bridge between two funded projects, (c) a pilot study leading into an external funding request, (d) a replication or follow-up study, and/or (e) equipment or lab supplies.
2. The likelihood of these funds leading to additional external funds and/or publications.
3. A reasonable timeframe for expending these funds, within 1-2 years.

**Center-based PIs:** The Associate Dean for Research will evaluate proposals for Center-based PIs based on the following criteria:
1. The extent to which these funds will contribute to the Center’s research, outreach and engagement, and service mission. Proposals to utilize funds for purposes not related to these will not be approved, nor will travel not related to these purposes. Reasonable requests to use the funds include, for example, (a) a research project leading to the submission of a new external proposal, (b) bridge funds between two funded projects (e.g., to cover operating expenses or salaries on an emergency, limited basis), (c) a pilot study leading into an external funding request, (d) a replication or
follow-up study, (e) equipment or lab supplies, (f) infrastructure needs not otherwise covered (e.g., facilities, technology, supplies, marketing & promotion, administrative support), (g) professional development that will enhance research efforts, and/or (h) unfunded R&D that directly leads to proposal development or the enhancement of currently funded projects.

(2) The likelihood of these funds leading to additional external funds and/or publications.

(3) A reasonable timeframe for expending these funds is typically within 1-2 years, or longer given extenuating circumstances. Cash reserves earmarked for emergency bridge funding are not subject to the same timeframes for expenditure, but this must be specified in the request.

**Decision**: Decisions by the Associate Dean for Research will be communicated back to the PI and copied to the appropriate department chair. Favorable decisions will specify how the PI will be held accountable for the utilization of these funds, including report completion and deadlines.

**Contact Information**
Contact Richard Lomax, Associate Dean, EHE Office of Research (lomax.24@osu.edu; 614-247-4659) with any questions about this policy.