2007-08 Annual Budget Report
Office of Research

Part 1A: Summary and Overview Spreadsheets

Current Balances, PBA Funding History, and Mandates and Service Improvements templates and data are provided as the first four tabs on the accompanying Excel workbook. Part 2 of this narrative section of the Annual Budget Report refers to the data provided in these spreadsheets.
Part 1B: Summary and Overview Narrative

Current Situation
Briefly describe your unit's mission, goals, and objectives, and progress toward achieving them. There should be a direct link between this section and your Performance Indicators.

Response:
The purpose of the Office of Research (OR) is to support the University’s Academic Plan by creating a culture that promotes research activities among our faculty, scientists, staff, and students. In this role we are responsible to administer all sponsored research projects, oversee compliance for these activities, manage protocols and infrastructure surrounding animal and human subjects, secure commercialization rights to the results of our investigator’s research, and invest financial resources to seed strategically promising areas of future research.

Our aim over the next five years is to continue to build a service organization that will enable our faculty, staff, and students to reach the university’s goal of becoming a sustained top-ten research institution. In order to fulfill our purpose and role in this objective, we have identified the following strategic goals:

1. Provide faculty, staff, and students the highest level of service by enabling a collaborative research environment through a more efficient organizational structure, focused administrative processes, and seamless and user-friendly information technology tools.
2. Promote a strong culture of compliance and ethics for all research activities.
3. Increase the economic value of our faculty’s research pursuits by assisting them in obtaining grants, contracts, and licensing revenue.
4. Recruit and retain a diverse and highly skilled service team to support the university research community.

The 2006-2007 academic year continues to bring new exciting achievements for the University’s research community. Surpassing $600M in expenditures in FY 2006, the University now ranks 8th among public higher education institutions in the United States in total R&D expenditures and 12th overall among all public and private institutions.

Given the financial challenges the University continues to face, the development of organizational and technological efficiencies will be the key to supporting the Academic Plan over the next five-years. In this regard, OR finalized the creation of centralized Information Systems (ORIS) and Training and Communications (ORTEC) to promote more streamlined processes and to be more fully integrated in each OR unit.

Another driving force for the FY 2008 budget report continues to be research compliance. In October 2005, the Association for Assessment and Accreditation of Laboratory Animals International (AAALAC) conducted an on-site evaluation of OSU’s animal care and use program. A number of serious deviations from federal guidelines and best practices were identified and AAALAC informed Ohio State that its accreditation could be jeopardized if
specific and systemic problems were not expeditiously remedied. OSU responded immediately and continues to implement processes to improve oversight of the animal research activities of the University and establish a culture of full compliance among our researchers.

Initiatives to address AAALAC’s concerns in the Institutional Animal Care and Use Committee (IACUC) protocol review process and record keeping, inspections and oversight of animal housing, and the institution’s Animal Handler Occupational Health and Safety Program were reviewed again by an AAALAC site visit team in February 2007. AAALAC will provide the university with an accreditation status determination by fiscal year end. OR hopes and expects that the institution will once again receive full accreditation.

Additionally, OR submitted the University’s pre-application to the Association for the Accreditation of Human Research Protection Programs (AAHRPP) in order to get a comprehensive evaluation of the current condition of the institution’s human subject protection program. Based on initial AAHRPP feedback, OR is working with the Institutional Review Board (IRB) and the colleges to improve and enhance our policy and procedures, focusing on opportunities to educate and promote a culture of ethical and compliant research practices at the institution, and repositioning our available resources to continue moving the AAHRPP accreditation process forward.

OR continues to support promising new research by assisting with faculty recruitment packages and cost sharing for research proposals. As a partner with the Office of Academic Affairs (OAA), we are committing approximately one-third of the funding for the Targeted Investments in Excellence (TIE) initiative. OR also provides funding for Seed Grants and Innovation Grants for the College of Arts and Humanities. We continue to build new partnerships to forge and foster innovative and interdisciplinary research through centers, the Institute for Materials Research and the newly proposed Energy and Environment Institute.

As our strategic initiatives and related budget requests will detail, resources are required at all levels to meet the challenges facing our research enterprise.
Challenges for the Upcoming Year

Describe the programmatic and fiscal challenges, issues, and special problems your unit will face during the upcoming year. Include any new services or activities your unit is required to implement, but for which funding has not been provided.

Response:

The immediate issues facing the Office of Research are:

1. Maintaining momentum in growing sponsored research activity in an increasingly challenging funding environment.

2. Resolving funding of 40,000+ additional Animal Square Footage (ASF) for new lab animal facilities in the Biomedical Research Tower (BRT) and Psychology buildings.


4. Continuing to respond and incrementally implement new services and policies and procedures in response to feedback provided by AAALAC and AAHRPP to improve the institution’s human subject protection and animal care and use programs.

5. Providing additional support for new faculty recruitments and interdisciplinary research initiatives outside of the TIE over the next 5 years.

The most immediate challenge facing the Office of Research is to increase the competitiveness of our faculty and researchers in this very challenging sponsored research funding atmosphere. Departments and colleges are faced with an increasingly complex administrative and internal control environment, which often leads to stretched support staff resources and increases the administrative burden on faculty and researchers.

In order to provide the faculty with more specialized research administration support at the local level that allows the university to maintain and expand our research enterprise as a sustained Top Ten program, we will undertake an expansion of the Research Foundation program to locate personnel physically in the department and college units by looking to partner with our stakeholders in a shared cost approach.

FY 2007 has also seen the opening of two important facilities within the Biomedical Research Tower (BRT) and the Psychology building. The two buildings combined bring with them over 40,000 Animal Square Footage (ASF) of new animal research space. These animal facilities are critical in growing our presence in vital areas of health and behavioral science research, as well as assisting in dealing with other ageing facilities.

Currently the memorandum of understanding (MOU) regarding building construction require ownership of the space by OR and University Laboratory Animal Resources (ULAR) and its
appropriate POM. This additional cost, including a BRT POM surcharge, will exceed $500,000 and cause material budgeting issues for the Office of Research. We will continue to work with Business and Finance and the College of Medicine to resolve this situation before the beginning of FY 2008.

Another challenge is the current tenuous state of TLC’s operating budget. For FY 2007, one-half of the TLC $1.6M budget to support personnel and basic operation expenses comes in the form of one-time cash in the annual budget request from central campus. The short term nature of this support leads to difficulty in making long term strategic planning to accelerate revenue growth from our licensing pipeline and provide high levels of service to our faculty. We are committed to internally reallocate $400,000 to TLC permanently, while requesting migration of the remaining $400,000 of central funds to PBA over a multi-year time frame.

FY 2008 will also be a critical turning point in the AAALAC and AAHRPP accreditation processes to continue the institution’s follow through on initiatives to address concerns in the IACUC protocol review process and record keeping, inspections and oversight of animal housing, the Institution’s Occupational Health and Safety Program, implementing an electronic protocol submission tool, and reviewing and enhancing our policy, procedures, and training in these areas.

Finally, with all of these challenges, current university financial limitation, and our long-term TIE commitment, OR has little flexibility in supporting new faculty recruitments and interdisciplinary research initiatives over the next 4 years to help lay the foundation for future development of new research activity.
Innovations and Efficiencies
Describe innovative or alternative service delivery systems your unit has developed. Describe any initiatives for which you have collaborated with another support unit to increase efficiency and provide the best service. What plans are included in this budget report to improve or expand service delivery systems? Describe additional actions that will increase efficiency and reduce costs.

Response:

We have identified the following six strategic initiatives that are vital to the Office of Research’s support of the Academic Plan over the next five years. These strategic initiatives are described in more detail throughout this plan and are the basis for our budgetary requests.

1. Support the needs of the university’s research community by creating a more efficient and coordinated organizational structure for research administration, one which enhances collaboration among OR operating units and between the OR units and the colleges/departments which they support. Key elements will be the placement of additional research support specialists locally within the research-intensive colleges/departments and the continued seamless integration of core OR units such as information systems (IS), education and training.

2. Continue to improve the information technology systems used to support the researchers’ work.

3. Accelerate revenue generation by increasing TLC’s focus, activities, and resources applied to revenue generation activities.

4. Continue to establish an Office of Research Compliance to better coordinate compliance activities across Office of Research and university compliance units and assume primary responsibility for developing and implementing a research compliance program that meets the requirements outlined by the Federal government.

5. Establish OSU’s Human Subjects Protection Program to be among the highest quality programs including the successful attainment of accreditation by the Association for the Accreditation of Human Research Protection Programs, Inc. (AAHRPP).

6. Continue to re-establish OSU’s animal care and use program as one of the highest quality programs by successfully resolving issues identified during the institution’s 2005 site visit by the Association for Assessment and Accreditation of Laboratory Animal Care (AAALAC). Resolution of problems identified will insure continuation of OSU’s accreditation in good standing with AAALAC.

During FY 2007 OR began implementing these initiatives by creating Offices of Information Systems (ORIS), Training and Communication (ORTEC), and Research Compliance (ORC) for better integration among units that allow us to better support our faculty research activities.
We continued our initiatives to address concerns in the IACUC protocol review process and record keeping, inspections and oversight of animal housing, and the Institution’s Occupational Health and Safety Program training in preparation for our February 2007 review visit by AAALAC. The university should receive an update to its accreditation status by fiscal year end.

In ORIS initiatives, a rollout of the Cayuse software Grants.gov application tool has allowed for a smooth transition for our faculty to successfully submit proposals online for federal funding. Also, we are on schedule to complete the bidding process and vendor review of E-Protocol software to allow faculty and review boards an electronic research protocol review tool. In parallel, we will be piloting the initial on-line application tool for faculty by year-end.
Reductions and Internal Reallocations
Describe any reductions or internal reallocations you have taken in the past year. How has this/have these affected your services? What has been your customer response?

Response:

The FY 2007 salary funding required our units to reallocate on average 1% of their budgets to accommodate their salary increases. Personnel, non-personnel budgets and cash reserve were affected and some units (the Research Foundation, ULAR, and TLC) were compelled to leave previously approved positions vacant or cut entirely in order to accommodate their budget allocation. This served to indirectly offset some of the resources that were allocated for other funded initiatives.

As a result of the FY 2007 budget process surrounding compliance and accreditation, OR reallocated $600,000.00 to internal units that had previously been available for strategic research initiatives. This allowed us to make permanent commitments made in FY 2006 in order to maintain AAALAC accreditation and to hire personnel to begin the initiatives necessary to obtain AAHRPP accreditation. This, along with our TIE investment, significantly reduces our ability to partner and seed new research initiatives for at least the next 4 years. So far we have been able to participate, albeit at a markedly reduced amount, in most of the recent faculty recruitment initiatives that have occurred throughout FY 2007, but are concerned that this will not be the case over the next couple of years.
Business Process Changes
One of the principles set forth by the Support Units Committee is that “Support Units should adapt to altered conditions without transferring costs to academic units through price increases or by discontinuing or shifting services, whenever possible. Where price increases or service reductions are necessary, they should have prior approval through the budget process.” In the past year, major business process changes at OSU have included the entry of travel reimbursements and the direct deposit of employee payments. If your unit was involved in one of these or a process change of similar scope, please describe how your unit adhered to the above principle during implementation.

Response:

During FY 2007, the following business process changes were implemented:

1. The Research Foundation and ORIS successfully implemented a roll out to our faculty and researchers of the Cayuse proposal application tool in order to navigate the cumbersome Grants.gov federal funding portal. Though voluntary, all of our proposals have been accepted with minimal errors and faculty are overwhelmingly supportive in recommending it to their colleagues.

2. TLC and ORIS will successfully complete an on-line application process for year end for Confidential Disclosure Agreements (CDA), Material Transfer Agreements (MTA), and Invention Reporting.
Part 2: Funding Report

Current Balances
Referring to Tab 1, Cash, of the accompanying Excel workbook, please provide an explanation of plans for cash balances equal to or greater than 20% of your unit’s PBA.

Response:

Research Administration: Balances resulted from cash accumulations of multi-year commitments including a 1 million dollar basic renovation match, other planned administrative office renovations, and operating reserves per Office of Business and Finance university guidance (5-10% of total PBA).

Special Purpose Research: Balance reflects funds held in reserve to meet multi-year commitments for TIE, multidisciplinary research initiatives, faculty start-up and retention, matching equipment allocations on external grants, shared research facilities, and MicroMD facility operations.

Responsible Research Practices: Funds are being held for a portion of costs associated with implementation of the electronic protocol review system, including consulting services, as well as for initial temporary funding for additional personnel necessary to support the AAHRPP accreditation process.

Center for Cognitive Science: The Center’s cash balance is due to research vacancies, funding for faculty support for interdisciplinary initiatives, and outstanding equipment matching commitments.

Funding History
Referring to Tab 2, PBA, of the accompanying Excel workbook, what portion of the total change from FY2006 to FY2007 is due to the following:

Response:

<table>
<thead>
<tr>
<th></th>
<th>Dollars</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>New Mandates</td>
<td>195,000</td>
<td></td>
</tr>
<tr>
<td>Service Additions</td>
<td>765,000</td>
<td></td>
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<tr>
<td>Guidelines (inflation)</td>
<td>338,808</td>
<td></td>
</tr>
<tr>
<td>Miscellaneous Adjustments</td>
<td>-2,483,431</td>
<td>N/A</td>
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</tbody>
</table>
3) Status Reports on FY 2006 and FY 2007 New Funding

For each item listed in the Summary of Funding Received in FY 2006 or 2007 (see Excel Workbook Tab 3, Mandates_Serv Imp), please complete the following.

**Mandates:**

<table>
<thead>
<tr>
<th>Mandates:</th>
<th>1. Compliance (Phase II of II) FY2006</th>
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<tbody>
<tr>
<td>Explain how the funding was or is being used. Which customers benefit from the service, how do they benefit, and how does that support the academic plan? If available, provide any customer feedback regarding the service.</td>
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</tbody>
</table>

**Response:**

The funding was used to support the following 3 positions:

**Human Subjects Auditor:** This individual performs for-cause and not-for-cause investigations of human subject research compliance post IRB approval and audits to assess the competence of new IRB professional and clerical support staff at the end of their training period. This individual coordinated the major revision of the IRB application in FY 2006.

**IRB / HIPAA Administrator:** This position 1) reviews research applications that propose use of protected health information and HIPAA authorization or waiver; 2) provides administrative support to the University’s Privacy Board including production of meeting minutes, required regulatory documentation, communication to board members and investigators, and record retention; 3) provides guidance and answers investigator questions regarding HIPAA compliance related to research; 4) assists in education efforts, including website maintenance for HIPAA compliance; 5) serves as a liaison between investigators and privacy officers to assure appropriate institutional compliance in releasing PHI; 6) assists with institutional policy development regarding requirements for research use of PHI in conjunction with the Office of Legal Affairs, Privacy Council, and Associate VP for Compliance; 7) develops written procedures describing institutional responsibilities for HIPAA compliance; 8) implements / maintains an auditing program to assure compliance with HIPAA research requirements.

**Animal Research Auditor:** This position is required to: 1) visit all study areas and prepare the documentation required by the accrediting body (AAALAC); 2) perform approximately 140 additional study site visits and prepare reports of each inspection; 3) assist the ILACUC administrator by providing administrative support for routine ILACUC inspections and investigations of non-compliance with animal research regulations; 4) support USDA on-site inspections; 5) conduct for-cause audits that the ILACUC requests following allegations of non-compliance; 6) work with ULAR and the ILACUC to develop educational information for animal investigators; and attend ILACUC meetings.

List other offices on campus that provide similar or related services. How is your department collaborating with these offices to prevent duplication of effort?

**Response:**

None offer similar service.
Mandates: 2. Security/Compliance Officer FY2006

Explain how the funding was or is being used. Which customers benefit from the service, how do they benefit, and how does that support the academic plan? If available, provide any customer feedback regarding the service.

Response:

These funds will be used to hire a Facility Security Officer as mandated in the Department of Defense National Industry Security Program Operating Manual. Currently this position’s duties are split within two position descriptions with the Research Foundation and ORC.

List other offices on campus that provide similar or related services. How is your department collaborating with these offices to prevent duplication of effort?

Response:
Position will coordinate their activities with the Engineering Experiment Station.
Explain how the funding was or is being used. Which customers benefit from the service, how do they benefit, and how does that support the academic plan? If available, provide any customer feedback regarding the service.

Response:

**$97,000 Research Specialist – One Time Funds - Salary & Benefits**

**IRB Policy Analyst** - This individual assisted in preparing the preliminary application for AAHRPP accreditation and continues to review and enhance policy and procedures based on initial feedback. ORRP and the College of Medicine (COM) will work closely with other colleges to make the necessary changes and submit a final comprehensive application when appropriate.

This individual is also supporting the new IRB Policy Committee and is assisting with an increasing number of cases of alleged non-compliance with human subject protection requirements.

**$15,000 Continuing Funds – Annual Fee** – the initial $32,000 fee was paid by ORRP in 2005. The annual fee is an ongoing expense, which the University will incur starting in 2006.

List other offices on campus that provide similar or related services. How is your department collaborating with these offices to prevent duplication of effort?

Response:

The College of Medicine Compliance Officer is collaborating with ORRP and the Associate Vice President for Research Compliance on this initiative.
Explain how the funding was or is being used. Which customers benefit from the service, how do they benefit, and how does that support the academic plan? If available, provide any customer feedback regarding the service.

Response:

**$1,000,000 Continuing Funds** - The central portion of the $1.6M compliance initiative to retain AAALAC accreditation, continue progress toward AAHRPP accreditation, and establish an Office of Research Compliance.

Of the continuing funds provided, OR is coordinating distribution of $315,000 with Employee, Student, and Environmental Health for their approved request. With the remaining dollars and $600,000 of OR internal funds, the following items were initiated:

1. **AAALAC Accreditation:** In response to the recent AAALAC review, the following positions were supported:

   - **Board Eligible Veterinarian:** A board eligible veterinarian will offset increasing animal numbers and provide insight on growth trends within the department.
   - **ULAR – Medicine Supervisor:** AAALAC suggested the position to help correct deficiencies in internal controls identified during the last AAALAC inspection.
   - **Lab Animal Health Technicians (2):** AAALAC suggested the positions to help correct deficiencies identified during the last AAALAC inspection.
   - **ULAR Training Supervisor:** ULAR is committed to providing high quality animal care and support. To ensure success of the program, the staff must be fully trained to safely handle departmental SOP’s, chemicals, and biohazards per AAALAC review.
   - **IACUC Administrator:** This position was added using Office of Research cash immediately following an unfavorable (AAALAC is the accrediting body) site visit conducted in October 2005. The accrediting group strongly directed the institution to immediately add administrative support for these IACUC activities. (Salary: $45,000)
   - **IACUC Quality Improvement Specialist:** This position was added using Office of Research cash immediately following an unfavorable accreditation (AAALAC is the accrediting body) site visit conducted in October 2005. The accrediting group strongly directed the institution to immediately add audit capacity for proper execution of oversight responsibilities (for ensuring proper conduct of animal research in over 200 PI labs not presently monitored). (Salary: $45,000)

2. **AAHRPP Accreditation:** Funds have been used to support the preparation for achieving and maintaining AAHRPP accreditation through support of the following:
IRB Policy Analyst: The position is supporting the preliminary application process, the new IRB Policy Committee, and cases of alleged non-compliance with human subject protection requirements.

IRB Protocol Analyst: The position assists faculty through the IRB process by interpreting policy and regulations pertaining to human research protection and developing compliant approaches to address research questions.

IRB Quality Improvement Specialist: This position will work full time on this project and provide support upon implementation.

3. Office of Research Compliance: Funds used for the initial establishment of a new Office of Regulatory Compliance activities across the Office of Research units and assumes responsibility for developing and implementing a research compliance program that meets the requirements of the University’s federal sponsors. This includes support for two compliance specialists.

List other offices on campus that provide similar or related services. How is your department collaborating with these offices to prevent duplication of effort?

Response:
Coordinate with applicable central university units and colleges, including compliance officers and/or programs at the College of Medicine, the Health Systems, Human Resources, Athletics, the CIO’s Office, the Research Foundation, and the Office of Business and Finance.
Explain how the funding was or is being used. Which customers benefit from the service, how do they benefit, and how does that support the academic plan? If available, provide any customer feedback regarding the service.

Response:

This reflects an increase to the Office of Research’s portion of the Board of Regents Research Challenge (Incentive) Fund program. Funds are being used to assist in faculty recruitment and matching equipment funding for research grant proposals.

List other offices on campus that provide similar or related services. How is your department collaborating with these offices to prevent duplication of effort?

Response:
The President’s Office receives the remaining portion of these funds. Along with OAA, allocations of these dollars are coordinated for effective strategic use.
**Service Improvement:**

2. Human Subjects (Phase 1) 2006

<table>
<thead>
<tr>
<th>Explain how the funding was or is being used. Which customers benefit from the service, how do they benefit, and how does that support the academic plan? If available, provide any customer feedback regarding the service.</th>
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<tbody>
<tr>
<td><strong>Response:</strong></td>
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<tr>
<td>A portion of these funds were used to complete a comprehensive evaluation of the project cost and timeline. Residual amounts are committed to the proposed implementation plan.</td>
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<tr>
<th>List other offices on campus that provide similar or related services. How is your department collaborating with these offices to prevent duplication of effort?</th>
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<tr>
<td><strong>Response:</strong></td>
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<tr>
<td>No other office provides services on Human Subject protocols.</td>
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Explain how the funding was or is being used. Which customers benefit from the service, how do they benefit, and how does that support the academic plan? If available, provide any customer feedback regarding the service.

**Response:**
Total allocation of $800,000 supports half of the TLC personnel and operation budget necessary to support the management of the technology commercialization process. The result of this investment is maximizing the value of our researcher’s innovative technology through increased revenue to inventors and OSU, while building on our strong research reputation as a top 10 institution.

List other offices on campus that provide similar or related services. How is your department collaborating with these offices to prevent duplication of effort?

**Response:**
No other offices provide similar or related services.
### Service Improvement: 4. OSURF Grants Management 2006

Explain how the funding was or is being used. Which customers benefit from the service, how do they benefit, and how does that support the academic plan? If available, provide any customer feedback regarding the service.

**Response:**

One-time funds of $2,000,000 in FY 2006 were allocated to reimburse the Office of Information Technology (OIT) and the Office of Academic Affairs (OAA) for the total cost of the Integrated Financial Systems Project. These funds were transferred to OIT during FY 2006.

List other offices on campus that provide similar or related services. How is your department collaborating with these offices to prevent duplication of effort?

**Response:**

No other office on campus provides these services.
Explain how the funding was or is being used. Which customers benefit from the service, how do they benefit, and how does that support the academic plan? If available, provide any customer feedback regarding the service.

Response:
These funds were used to support four new positions in the Research Foundation’s Financial Services and Procurement Unit:

1) **Buyer**: to handle increased purchasing volume associated with the growth in research expenditures as well as the increase in animal purchases.

2) **Senior Buyer**: to process more complex purchases related to OBOR and Third Frontier funding.

3) **Accounts Payable Accountant**: to handle the increase in activity as a result of the change in the travel policy.

4) **Post Award Compliance Monitor (Sr. Accountant)**: to develop procedures for the sampling and screening of sponsored project transactions to allow ability of sponsored programs expenditures.

List other offices on campus that provide similar or related services. How is your department collaborating with these offices to prevent duplication of effort?

Response:
The Compliance Monitor does have shared responsibilities with that of the Department of Internal Audit (IA). This position is interacting and coordinating with IA on a constant basis to collaboratively minimize the audit risk to the university associated with the transactions on sponsored projects.
Explain how the funding was or is being used. Which customers benefit from the service, how do they benefit, and how does that support the academic plan? If available, provide any customer feedback regarding the service.

Response:
Continuing funds have been critical to assist in our ability to make longer-term commitments to strategic research initiatives. In FY 2006, the funds were used to assist in the making a multi-year investment in the new Institute for Materials Research, whose purpose is to provide the leadership required to make Ohio State the nation’s top program in materials research and education.

List other offices on campus that provide similar or related services. How is your department collaborating with these offices to prevent duplication of effort?

Response:
Investment of funds are coordinated and leveraged with resources from OAA and colleges.
Explain how the funding was or is being used. Which customers benefit from the service, how do they benefit, and how does that support the academic plan? If available, provide any customer feedback regarding the service.

Response:
Total allocation of $800,000 supports half of the TLC personnel and operation budget necessary to support the management of the technology commercialization process. The result of this investment is maximizing the value of our researcher’s innovative technology through increased revenue to inventors and OSU, while building on our strong research reputation as a top 10 institution.

List other offices on campus that provide similar or related services. How is your department collaborating with these offices to prevent duplication of effort?

Response:
No other office on campus provides these services.
Explain how the funding was or is being used. Which customers benefit from the service, how do they benefit, and how does that support the academic plan? If available, provide any customer feedback regarding the service.

Response:
Funds have been set aside as a portion of the Office of Research support to the Targeted Investments for Excellence Proposals. Once our commitments are fulfilled, the Office of Research will review guidelines for possible additional internal competitions of any remaining funds, with the objective to achieve greater participation across all colleges while simultaneously targeting key research themes for the University.

List other offices on campus that provide similar or related services. How is your department collaborating with these offices to prevent duplication of effort?

Response:
Investment of funds are coordinated and leveraged with resources from OAA and colleges.
Explain how the funding was or is being used. Which customers benefit from the service, how do they benefit, and how does that support the academic plan? If available, provide any customer feedback regarding the service.

Response:
The funding supported the Arts and Humanities Seed Grants and the Arts and Humanities Innovation Grants. The Innovation Grants stimulate interdisciplinary activities, partnerships with other universities and non-academic institutions, enhance student experiences, and provide scholarly opportunities for faculty.

List other offices on campus that provide similar or related services. How is your department collaborating with these offices to prevent duplication of effort?

Response:
The Executive Dean of the College of Arts & Sciences provides a 20% match to the Innovation Grants.
Explain how the funding was or is being used. Which customers benefit from the service, how do they benefit, and how does that support the academic plan? If available, provide any customer feedback regarding the service.

Response:

In regards to the E-Protocol initiative, our first goal for FY 2007 is to complete a competitive bidding process in order to examine the most comprehensive and efficient electronic options that will best serve our faculty. This includes consultation with our peer institutions that are at various stages of this process. We are on schedule to finalize a choice of vendor or internal option in the spring of 2007.

In parallel, we are internally developing and will pilot an initial online application data entry tool in order to provide a more efficient means for faculty to submit protocols and as the initial step to begin building the overarching electronic tool.

Any residual funds will be applied to the final implementation plan.

List other offices on campus that provide similar or related services. How is your department collaborating with these offices to prevent duplication of effort?

Response:
No other office on campus provides these services.
Explain how the funding was or is being used. Which customers benefit from the service, how do they benefit, and how does that support the academic plan? If available, provide any customer feedback regarding the service.

Response:
One-time funds of $2,500,000 in FY 2007, allocated to reimburse the Office of Information Technology (OIT) and the Office of Academic Affairs (OAA) the total cost of the Integrated Financial Systems Project, were directly transferred to OIT from RPIA.

List other offices on campus that provide similar or related services. How is your department collaborating with these offices to prevent duplication of effort?

Response:
Service Improvement: 12. Support of Technology Partners 2007

Explain how the funding was or is being used. Which customers benefit from the service, how do they benefit, and how does that support the academic plan? If available, provide any customer feedback regarding the service.

Response:
Total allocation of $800,000 supports half of the TLC personnel and operation budget necessary to support the management of the technology commercialization process. The result of this investment is maximizing the value of our researcher’s innovative technology through increased revenue to inventors and OSU, while building on our strong research reputation as a top 10 institution.

List other offices on campus that provide similar or related services. How is your department collaborating with these offices to prevent duplication of effort?

Response:
No other office on campus provides these services.
Explain how the funding was or is being used. Which customers benefit from the service, how do they benefit, and how does that support the academic plan? If available, provide any customer feedback regarding the service.

Response:
The funding supported the Arts and Humanities Seed Grants and the Arts and Humanities Innovation Grants. The Innovation Grants stimulate interdisciplinary activities, partnerships with other universities and non-academic institutions, enhance student experiences, and provide scholarly opportunities for faculty.

List other offices on campus that provide similar or related services. How is your department collaborating with these offices to prevent duplication of effort?

Response:
Due to reduced support in FY 2007, OR, the College of Humanities, and the College of Arts and Sciences reallocated $200,000 in one-time funds to maintain the program at FY 2006 levels.
4) Summary of Services Discontinued in FY 2006 and FY 2007

For each item listed in above Summary of Services Discontinued in FY 2006 or 2007 (see Excel Workbook Tab 4, FY08 Request), please complete the following:

Discontinued Service Title: ________________________________

To what were the resources previously committed to these services reallocated? What has been the impact of this discontinuation? How have your customers responded?

Response:
5) Summary of Funding Requested for FY 2008 (list in order of priority)

For each mandate or service improvement for which funding is requested (to be summarized in Excel Workbook Tab 4, *FY08 Request*), please complete one of the tables presented on the following two pages.

**MANDATE DESCRIPTION**  
FOR 2007-2008 BUDGET (March 2007 process)  
Office of:

<table>
<thead>
<tr>
<th>Department:</th>
<th>Proposal Title:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total PBA cost: $</td>
<td>Cash cost: $</td>
</tr>
</tbody>
</table>

Describe the mandate. Is funding needed to provide a new service, or to maintain or expand an existing service? What agency or other body is mandating this service?

*Response:*

What internal resources has your department reallocated to address the issue?

*Response:*

List other offices on campus that provide similar or related services. How will your department collaborate with these offices to prevent duplication of effort?

*Response:*
**Response:**

<table>
<thead>
<tr>
<th>Description</th>
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</tr>
</thead>
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<td>Admin.&amp; Prof.</td>
<td></td>
<td>31.9%</td>
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*Composite rates are conservative estimates for planning purposes only; actual rates will be available at a later date.*
Describe the service improvement. Is funding needed to provide a new service, or to maintain or expand an existing service? Which customers will benefit from the service, how will they benefit, and how does that support the academic plan?

Response:
This request is for funding to support personnel within the Office of Research for the following purposes

<table>
<thead>
<tr>
<th>Service Description</th>
<th>PBA</th>
<th>One-Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>Technology Licensing and Communications (TLC)</td>
<td>200,000.00</td>
<td>400,000.00</td>
</tr>
<tr>
<td>Cost Share on College/Dept Research Admin (OSURF)</td>
<td>200,000.00</td>
<td></td>
</tr>
<tr>
<td>Research Accreditation – AAHRPP (ORRP/ORC)</td>
<td>250,000.00</td>
<td></td>
</tr>
<tr>
<td>Board Certified Veterinarian - (ULAR)</td>
<td>150,000.00</td>
<td></td>
</tr>
</tbody>
</table>

TLC – Requesting a phase out of the current $800,000 annual one-time operating funds approved each of the last 4 years be converted over to $400,000 in central PBA over the next 5 years in order to establish funding stability at the current $1.6M budget. This will allow for more strategic and efficient budget planning in sustaining and accelerating revenue growth from our licensing pipeline and provide high levels of service to our faculty.

OSURF – To continue to expand our commitment to partnering with colleges by developing shared positions imbedded in the academic units to provide more hands on support and increase our faculty’s competitiveness in obtaining sponsored awards in a continued challenged environment.

ORRP/ORC – These resources will be used to fund 3FTEs focused on addressing deficiencies identified on our initial feedback of our pre-application for AAHRPP accreditation. This will include 2 senior research protocol specialists and 1 research compliance officer.

ULAR – Resources will be allocated to add an additional Board Certified Veterinarian to continue to address identified deficiencies in AAALAC accreditation, while increasing our support capacity for faculty programs involving animal research.

What internal resources has your department reallocated to address the issue?
Response:

TLC – Per our five-year anticipated budget requests (See Part 4 and OR Five-Year Strategic Plan), OR has committed an additional $200,000 of internally reallocated PBA in FY 2008 and FY 2010 in order provide a shared approach to solidify TLC’s personnel budget.

OSURF – In FY 2007, OR reallocated $210,000 of PBA in order to retain and recruit more highly skilled employees and $50,000 in one-time funds to improve and expand existing health science support offices (Employee Turnover – FY 2006 22.5%; FY 2005 16.8%; FY 2004 14.4%).

ORRP/ORC – As part of OR’s internally reallocated $600,000 portion of the $1.6M FY 2007 Research Compliance continuing funds allocation, ORRP/ORC received $175,000 to support 2 positions to begin the groundwork of developing necessary policy, procedural, and culture changes needed to achieve AAHRPP accreditation and to continue our increasing presence in human subject research.

ULAR – In FY 2008 we are committing $150,000 in cash to support the ULAR Veterinarian Residents program to support 3 residents to develop future veterinarians in the field of animal research administration.

List other offices on campus that provide similar or related services. How will your department collaborate with these offices to prevent duplication of effort?

Response:

<table>
<thead>
<tr>
<th>Description</th>
<th>Cost</th>
<th>*Benefits at X%</th>
<th>Total PBA</th>
<th>One-Time Cash</th>
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</thead>
<tbody>
<tr>
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<td>910,000</td>
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</table>

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- 37 -
Describe the service improvement. Is funding needed to provide a new service, or to maintain or expand an existing service? Which customers will benefit from the service, how will they benefit, and how does that support the academic plan?

Response:

Requesting funds to cover net increased costs of the new animal lab facilities in the Biomedical Research Tower (BRT) and Psychology Buildings. As a part of the MOU for these buildings, OR agreed to be the owners of the space with the assurance that the additional indirect cost generated would be sufficient to cover the increased space cost.

In parallel, OR will be making a proposal to close up to 5 facilities and transfer ownership of 2 additional labs no longer maintained by ULAR. If granted special exemption from current space allocation policy and given immediate relief from the POM, the proposal could save OR up to $150,000 PBA (15,000 ASF approx).

Final cost to be determined on outcome of negotiations with College of Medicine/Medical Center on POM surcharge for the BRT.

What internal resources has your department reallocated to address the issue?

Response:

OR has contributed $250,000 of cash in FY 2007 to cover the initial space costs for the animal facilities portion of the BRT and Psychology buildings.

List other offices on campus that provide similar or related services. How will your department collaborate with these offices to prevent duplication of effort?
Response:

Total Cost of Service Improvement Proposal

<table>
<thead>
<tr>
<th>Description</th>
<th>Cost</th>
<th>*Benefits at X%</th>
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SERVICE IMPROVEMENT DESCRIPTION
FOR 2007-2008 BUDGET (March 2007 process)
Office of: Research

<table>
<thead>
<tr>
<th>Department: Office of Research</th>
<th>Proposal Title: Strategic Research Investment</th>
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</thead>
<tbody>
<tr>
<td>Total PBA cost: $250,000</td>
<td>Cash cost: $1,300,000</td>
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</table>

Describe the service improvement. Is funding needed to provide a new service, or to maintain or expand an existing service? Which customers will benefit from the service, how will they benefit, and how does that support the academic plan?

Response:
This request is for funding to support strategic investment in interdisciplinary programs through the following initiatives.

<table>
<thead>
<tr>
<th>PBA Contribution</th>
<th>One-Time Contribution</th>
</tr>
</thead>
<tbody>
<tr>
<td>Interdisciplinary Research Program</td>
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</tr>
<tr>
<td>Art &amp; Humanities Seed Grants</td>
<td>300,000.00</td>
</tr>
</tbody>
</table>

Interdisciplinary Research Funds - Requesting funding for OR to partner with colleges on large interdisciplinary center level initiatives. Funds provided here would be utilized largely as seed investments to help position our faculty to be more competitive within center level competitions of various kinds. Portions of these funds would also be used to seed individual faculty research initiatives that have been identified as high priority and exceptionally promising by the colleges. PBA contribution will expand an FY 2006 budget approval to make longer term commitments of seed money for programs like the Institute for Materials Research and the proposed Energy and Environment Institute. OR’s goal is to continue the conversion of this support to PBA over our current 5 year strategic plan.

Arts & Humanities Seed Grants - Funds are requested to support the very popular and successful Arts and Humanities Seed Grant program. This program fills an important need for research support at OSU. Scholarship in the Arts and Humanities requires seed funds to enable new initiatives by both junior and senior faculty. A unique feature of the program is the Innovation Grants. Innovation Grants are awards up to $50,000. This is a novel program, due not only to the size of the awards, but also due to its goals. There are no programs similar to this at OSU or most universities. The program stimulates faculty to think big and develop programs that enhance student experiences, increases interactions with other institutions, and promotes interdisciplinary activity.

What internal resources has your department reallocated to address the issue?
Response:

Interdisciplinary Research Funds - If this request is not fully funded, OR will be forced to materially cut back its contributions to assist the colleges with faculty recruitment, faculty retention and matching on grant applications in order to secure its commitment to the TIE over the next 4 years.

Arts & Humanities Seed Grants – Due to reduced support in FY 2007, OR, the College of Humanities, and the College of Arts and Sciences reallocated $200,000 in one-time funds to maintain the program at FY 2006 levels.

List other offices on campus that provide similar or related services. How will your department collaborate with these offices to prevent duplication of effort?

Response:

Investment of funds are coordinated and leveraged with resources from OAA and colleges.

<table>
<thead>
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<th>Description</th>
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<td>Operating</td>
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<td>1,300,000</td>
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<td>Equipment</td>
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### SERVICE IMPROVEMENT DESCRIPTION
**FOR 2007-2008 BUDGET (March 2007 process)**
Office of: Research

<table>
<thead>
<tr>
<th>Department: Office of Research</th>
<th>Proposal Title: IT System Support – Eprotocol</th>
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</thead>
<tbody>
<tr>
<td>Total PBA cost: $</td>
<td>Cash cost: $500,000</td>
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<tr>
<td></td>
<td>Priority #: 4</td>
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</tbody>
</table>

Describe the service improvement. Is funding needed to provide a new service, or to maintain or expand an existing service? Which customers will benefit from the service, how will they benefit, and how does that support the academic plan?

**Response:**

One-time resources will be utilized for the initial implementation stage of the new E-Protocol system per the FY 2007 approved budget request. The development benchmarks from last year’s process, completion of the review of the competitive bidding process and the piloting of an internally-developed electronic application process for IACUC related submissions, should be completed in spring 2007. A decision to buy or internally develop the electronic tool should be made by fiscal year end.

The total cost of the project based on peer institution data will include $1M in software cost and an additional matching of $1M for hardware and additional personnel costs over a 2-year time period.

What internal resources has your department reallocated to address the issue?

**Response:**

OR has allocated $300,000 in FY 2007 for computer hardware updates and to hire an additional system developer engineer in order to complete the development stage of this project.

List other offices on campus that provide similar or related services. How will your department collaborate with these offices to prevent duplication of effort?
**Response:**

**Total Cost of Service Improvement Proposal**

<table>
<thead>
<tr>
<th>Description</th>
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SERVICE IMPROVEMENT DESCRIPTION
FOR 2007-2008 BUDGET (March 2007 process)
Office of: Research

<table>
<thead>
<tr>
<th>Department: Office of Research</th>
<th>Proposal Title: OSURF Operations - Interest</th>
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</thead>
<tbody>
<tr>
<td>Total PBA cost: $</td>
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</tr>
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<td></td>
<td>Priority #: ---</td>
</tr>
</tbody>
</table>

Describe the service improvement. Is funding needed to provide a new service, or to maintain or expand an existing service? Which customers will benefit from the service, how will they benefit, and how does that support the academic plan?

Response:

Requesting the ability to utilize interest income from the Research Foundation cash balances to fund current year operation activities to more efficiently utilize this resource and to assist in expanding, recruiting, and retaining highly qualified staff to support our faculty, scientists, and students in their sponsored research activities.

What internal resources has your department reallocated to address the issue?

Response:

Currently only $65,000 (FY 2006 net available = $600,000) has been approved by the Research Foundation Board to support current operations. All other uses must be approved separately for specific projects or capital purchases.

List other offices on campus that provide similar or related services. How will your department collaborate with these offices to prevent duplication of effort?

Response:

Total Cost of Service Improvement Proposal

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6) Fees and Charges

FY 2008 Fees and Charges (Include new fees and planned increases to existing fees that affect other departments or large numbers of students, faculty, and staff).

<table>
<thead>
<tr>
<th>Description</th>
<th>FY 2008</th>
<th>Unit of Measure</th>
<th>FY 2007</th>
<th>Unit of Measure</th>
</tr>
</thead>
<tbody>
<tr>
<td>Example: Transcript Fees (students)</td>
<td>$7.00</td>
<td>Per Transcript</td>
<td>$5.00</td>
<td>Per Transcript</td>
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<tr>
<td>ULAR Animal Services – Avg. 4% increase</td>
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</tbody>
</table>

Please explain any increases or planned increases in fees or charges for services. Include any new fees or charges for services in this explanation. Discuss any feedback you may have received from customers regarding the proposed changes in fees or charges.

Response:
Part 3: Performance Indicators

Please update your performance indicators. Your indicators table is provided as Tab 5 of the accompanying Excel Workbook, titled Perf Inds.
Part 4: Long-Term Needs

Please describe in general terms your anticipated need for additional resources over the next five years to meet new legal mandates and service requirements. Please break this out by year with an associated cost in a reasonable range. Please identify your top 5-7 issues of $100,000 or more only. (Note: To assist you in responding to this portion of the report, a sample submission from FY06 is available on the Resource Planning website at: http://www.rpia.ohio-state.edu, click on general funds budgets).

Based on upon our statements in section 1B and our enclosed 5-year strategic plan the following anticipated budget requests are attached.