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| <b>TSRI to populate:</b>                   |
| “KAR” Project Number for Residual Balance: |
|  |

## Request for Residual Funds Approval Form

Pursuant to [Policy FIN - 047.0](#), *Residual Funds on Sponsored Awards*, all sponsored projects must be charged all allowable, allocable direct costs, and these costs cannot be charged against other sponsored projects, Hospital or other cost centers – without exception.

### Project Information

|   |  |  |           |
|---|--|--|-----------|
| PI:   | Project #:   | Dept. Name:  | Dept. ID: |
| Project’s Indirect Cost Rate <sup>1</sup> : |  | Residual Balance <sup>1</sup> ( <i>Payments Received-Project Expenses</i> ): |           |
| Payments Received:                          | Residual Balance Percentage ( <i>Residual Balance/Payments Received</i> ): |  |           |

Justification (use the last page of this form for additional space)<sup>2</sup>:

Does the PI have any existing sponsored or intramural projects in deficit?: YES  NO

*If yes, any deficits on sponsored or intramural projects must be covered by the residual funds balance first.*

Are all associated allocable personnel costs (staff and faculty) expensed on this project: YES  NO

Were any Clinical Research Coordinator (CRC) expenses associated with the August 2021 market adjustment earnings increase charged to Research Operations cost center 9247000? YES  NO

Divisional allocation of residual balances (if any): \_\_\_\_\_

*Investigator's department or division may institute additional guidelines on the allocation of the residual balance*

## Approvals

*By signing below, PI certifies the requested residual funds comply with CHLA policy.*

\_\_\_\_\_  
Print Name Principal Investigator Signature \_\_\_\_\_ Date \_\_\_\_\_

\_\_\_\_\_  
Print Name Department Head Signature \_\_\_\_\_ Date \_\_\_\_\_

\_\_\_\_\_  
Print Name Division Chief Signature \_\_\_\_\_ Date \_\_\_\_\_

\_\_\_\_\_  
Print Name Division Administrator Signature \_\_\_\_\_ Date \_\_\_\_\_

\_\_\_\_\_  
Print Name Associate Director, TSRI Signature \_\_\_\_\_ Date \_\_\_\_\_

\_\_\_\_\_  
Print Name AVP, Research Operations Signature \_\_\_\_\_ Date \_\_\_\_\_

\_\_\_\_\_  
Print Name VP, Research Operations Signature \_\_\_\_\_ Date \_\_\_\_\_

<sup>1</sup>Residual balances cannot be designated as residual funds until all institutional administrative costs, including the total amount of allocable Facilities and Administrative (indirect) costs have been applied. Per Policy ADM-185.0, all residual balances will be subject to the appropriate and full F&A rate, regardless of whether the award was approved for a reduced or waived F&A rate.

<sup>2</sup>In cases where the residual balance is **10% or less** of the total amount received from the sponsor, the PI's request to transfer the balance to unrestricted funds must include the following: written assurance that all work under the award has been completed, all reports submitted to the sponsor, all costs of conducting the work appropriately have been charged to the project, all invoices have been submitted and all anticipated payments have been received; and written endorsements from the Division Administrator, Division Chief and Department Chair. Significant underruns in fixed price projects can call into question the integrity of the accounting for costs related to the project. Therefore, any residual balance (direct and indirect) of **more than 10%** of the payments received for the projects will require **additional** written justification by the PI to explain the variance. Approval is required by the Division Administrator, Division Chief, the Department Head and the Vice President, Research Operations, prior to balance transfer.