

## **Roles & Responsibilities**

### **University of Rochester Dean's Office**

Deans are academic leaders who have programmatic, managerial and fiscal responsibilities for a College or School, and who report either to the Provost or Senior Vice President and Vice Provost for Health Affairs.

The Dean's office, the administrative center for a School or College, may include one or more Senior Associate Deans, who report to the Dean, as well as administrative staff. A Senior Associate Dean (usually referred to as the Senior Associate Dean for Research) has the responsibility to oversee research activities in the unit and thus may delegated the authority to act on the Dean's behalf in matters relating to research.

In the list that follows, reference to the Dean implies the Senior Associate Dean for Research or other administrator within the college or school who may have been delegated the responsibility for research activities within that unit.

### **PROPOSAL PREPARATION AND SUBMISSION**

#### **General**

When the Principal Investigator is a Department/Unit Head or other individual reporting directly to the Dean, the Dean reviews the proposal with regard to the following criteria and either approves the application (by signing the University of Rochester Proposal Sign Off Form) or returns it for issue resolution. The Dean may opt to use a threshold requested amount to mandate review for his/her direct reports:

- the applicant is eligible to be a Principal Investigator according to University policy;
- the Principal Investigator is eligible to conduct the project;
- the Principal Investigator can manage the project effectively;
- the scientific relevance of the project and its long-range impact to the School/College.

When the Principal Investigator does not report directly to the Dean, the Dean, in conjunction with the Department/Unit Head, must approve any exception to the University's Policy on Principal Investigator Eligibility.

In any other case when it is deemed necessary by School or College policy,

the Dean reviews the proposal and either approves it (by signing the University of Rochester Proposal Sign Off Form) or returns it for issue resolution. Note that individual Schools and Colleges may have specific requirements when the Dean's Office must approve a funding proposal; these requirements can be found on the ORPA web site (<http://www.rochester.edu/orpa>).

### **Technical Proposal**

When there is a new request for off-campus space or modification of on-campus space, the Dean reviews the proposal and either approves it (by signing the Proposal Sign-Off Form), consults with other senior University administrators or other appropriate officials as necessary, or returns it for issue resolution.

### **Proposal Budget**

When any of the following issues are present, the Dean reviews the proposal and either approves it (by signing the Proposal Sign-Off Form or other accompanying forms) or returns it for issue resolution:

- there is a request to reduce or waive F&A/indirect cost rates;
- there is a request to the Dean's Office or other School/College resource to provide the matching funds or cost sharing;
- there is a request to share facilities and administrative cost recovery if faculty and/or significant resources from other schools/colleges are significantly involved;
- there is a request to the Dean's Office to provide additional resources to support the research;
- the proposal budget exceeds \$250,000 direct costs in any budget year;
- the proposal is a Program Project or Center grant application;
- the proposal is either an SBIR/STTR or Center grant application.

In addition, the Dean:

- provides School/College oversight over cost sharing, matching and budget development.
- provides School/College oversight that appropriate salary costs have been requested in those cases where the proposal undergoes Dean's Office review.

### **Regulatory Requirements**

The Dean approves conflict-of-interest resolutions or requests a proposed Conflict Management Plan from the Principal Investigator. As necessary, the

Dean refers the matter to the University's Conflict of Interest Committee, and provides School/College oversight of the management of potential conflicts. When the Dean becomes apprised of other regulatory issues involving sponsored research, the Dean takes an appropriate oversight and management role in these issues.

### **Proposal Routing Form**

As necessary, the Dean reviews the University Sign Off Form for specific issues and either approves the document or returns it for issue resolution.

### **ACCEPTANCE OF AWARD**

In cases where acceptance of the award would constitute exception to University or School/College policy (e.g., lesser degree of indemnification from the sponsor or diluting of ownership of University intellectual property), the Dean determines the acceptable risk of accepting the award. The Dean is aided in this decision by University counsel and other offices as appropriate (e.g., ORPA, Finance).

### **CONDUCT AND MANAGEMENT OF THE PROJECT**

#### **General**

The Dean:

- encourages, supports, and attests to appropriate education in proper conduct of research by departmental personnel.
- ensures that departments and units have appropriate staff resources in order to maintain sponsored programs compliance, and troubleshoots when compliance is threatened.
- provides School/College oversight on implementation of University, state and federal policies and regulations.

#### **Conduct of the Research**

The Dean provides School/College oversight for the University of Rochester Policy on Misconduct in Scholarship and Research, and refers allegations of misconduct to the Provost or Senior Vice President and Vice Provost for Health Affairs. The Dean is responsible, as directed by the Provost or Senior Vice President and Vice Provost for Health Affairs, for completing inquiries and investigations on such allegations in accordance with the Policy.

## **Budget Management**

The Dean provides School/College oversight for:

- guidance on sponsored programs management at the departmental level (e.g., restructuring in order to accommodate administration of sponsored programs);
- cost sharing through contributed effort or other means;
- expenditure of matching hard dollars; and
- oversight and monitoring of project GR FAOs in deficit.

## **Project Closure**

The Dean:

- provides School/College oversight for record retention and ownership of scientific data.
- assists in the resolution of obtaining delinquent technical reports from Principal Investigators or information required for financial reporting (This action is reserved for extreme cases if notified by ORPA or ORACS).

## **Regulatory Compliance**

The Dean may delegate authority to the Associate dean(s) and/or Department/Unit head to assure adherence to:

- research subjects protocols and policies; and
- chemical biological, physical and radiation safety requirements.

The Dean is responsible for implementing the annual conflict disclosure process and review, and may delegate to Department/Unit Heads the responsibility to obtain the disclosures. If a potential conflict of interest situation exists, the Dean reviews and approves (or rejects) the Conflict Management Plan, or, as necessary, seeks advise from the University's Conflict of Interest Committee.