

Roles & Responsibilities

University of Rochester Department/Unit Head

A Department/Unit Head is an academic leader with programmatic, managerial and fiscal responsibilities for a designated area, such as a department, division, unit or center. As such, the Department/Unit Head provides local oversight (i.e., broad managerial oversight) of research policies and processes. This oversight is normally delegated to Departmental Administrative Staff. In instances where there is insufficient Departmental Staff, oversight may be delegated to a School/College Business Center or other administrative office.

The Department/Unit Head reports to a Dean or to a Chair (in the case of a Division or Unit Chief at the Medical Center).

PROPOSAL PREPARATION AND SUBMISSION

General

The Department/Unit Head may delegate proposal review to an Associate Chair or other senior ranking academic official within the department. After preliminary review by Department Administrative Staff, the Department/Unit Head reviews the proposal for the following elements and either provides approval (by signing the University of Rochester Proposal Sign-Off Form) or returns it for issue resolution:

- the applicant is eligible to be a Principal Investigator according to the University's Policy on Principal Investigator Eligibility, or has approved an exception to the Policy and has committed department resources in order to support him/her in this responsibility;
- the Principal Investigator is eligible to conduct the project;
- the Principal Investigator can manage the project effectively;
- all relevant certification and training requirements have been completed;
- the scientific relevance of the project and its long-range impact on the Department.
- procedures used are consistent with sound research design and do not unnecessarily expose subjects to risk/harm
- design is appropriate to the proposed question
- reasonably expected to result in important knowledge

When the Principal Investigator is a Department/Unit Head or other individual reporting directly to the Dean, the Dean reviews the proposal and either

provides approval or returns it for issue resolution.

Technical Proposal

The Department/Unit Head:

- reviews the technical proposal for space-related issues and either provides approval (by signing the Proposal Sign-Off Form) or returns it for issue resolution.
- informs and seeks approval from the Dean (or other appropriate University official) if successful conduct of the project requires additional space, or modification/renovation of existing or other space.

Proposal Budget

The Department/Unit Head:

- reviews the proposal for the following elements and either provides approval (by signing the Proposal Sign-Off Form) or returns it for issue resolution:
 - the categorical budget appears reasonable for the project scope and its justification is appropriate;
 - cost sharing through contributed effort or other means is required and/or appropriate;
 - matching hard dollars are available and documented.
- reviews and approves shared facilities and administration cost recovery (by signing the Sharing of Indirect Cost Recovery Form) if faculty from other schools/colleges are significantly involved.
- reviews and/or approves requests to the Dean's Office for indirect cost/F&A rate reduction.

Regulatory Requirements

The Department/Unit Head:

- provides local oversight over the proper notification and preparation of forms (either at proposal submission time or "Just In Time" in accordance with sponsor requirement) for research with human subjects, live animals, recombinant DNA, infectious agents, biological toxins, radioactive materials, hazardous materials or Protected Health Information (PHI).
- reviews the Conflict Disclosure Form if a potentially significant conflict of interest situation exists and, as necessary, advises the Dean on the management of the conflict. (Note that the Principal Investigator is responsible for notifying both the Chair and the Dean of any potential

conflict.)

Proposal Routing Form

The Department/Unit Head reviews (or ensures that review has been completed by Departmental Administrative Staff) the Proposal Sign-Off Form for completeness and accuracy and either approves the document or returns it for issue resolution.

CONDUCT AND MANAGEMENT OF THE PROJECT

General

The Department/Unit Head:

- has University approval to delegate authority for sponsored project management tasks to individuals appropriately trained and/or certified to be competent to undertake these tasks.
- encourages, supports, and attests to appropriate education in proper conduct of research by departmental personnel.
- provides oversight on implementation of University, state and federal policies and regulations at the departmental level.

Conduct of the Research

The Department/Unit Head:

- establishes an expectation of, and infrastructure for, sufficient internal controls over sponsored program administration and ensures adequate resources are provided in this regard.
- provides local oversight over conduct of individuals supported by sponsored programs.
- takes the appropriate actions (when notified by ORPA or a funding sponsor of a delinquent report) with the Principal Investigator to ensure that programmatic reports are completed and submitted.

Budget Management

The Department/Unit Head:

- maintains local oversight for the project budget and the allowability and

reasonableness of all expenditures.

- reviews proposed resolution of GR FAO overdrafts (e.g., deficits) and either approves them or returns them for issue resolution.
- reviews rebudgeting requests (if required) that impact the Department budget and either approves them or returns them for issue resolution. The Department/Unit Head notifies the Dean of rebudgeting in cases in which rebudgeting has an impact on resources in the unit or Dean's office. (Note that if rebudgeting requires sponsor approval, ORPA must approve and co-sign that request to the sponsor.)
- Evaluates and approves, when necessary, late cost transfer requests.

Program Income

The Department/Unit Head has oversight over monitoring program income

Effort Certification

The Department/Unit Head provides local oversight over effort certification and oversees/certifies effort distribution through the semi-annual plan confirmation system review.

Inventions

The Department/Unit Head ensures that all research personnel, including graduate students, have signed the University's Intellectual Property Agreement.

Project Closure

If notified by Office of Research and Costing Standards (ORACS), will assist in the resolution of financial reporting if the information required to submit the report is not being provided by the department.

Regulatory Compliance

If the project involves the following elements, the Department/Unit Head provides local oversight:

- human subjects;
- live animals as subjects;
- human blood or body fluids;
- radioactive materials and/or ionizing or nonionizing radiation producing equipment;

- recombinant DNA, infectious agents, narcotics or biological toxins.
- Protected Health Information (PHI).

The Department/Unit Head:

- provides local oversight in completion of the periodic space survey and equipment inventory.
- ensures that all Department investigators have completed the annual Conflict Disclosure Form as delegated by the Dean, and that any potential conflicts have been reported to the Dean.
- reviews the Conflict Disclosure Form if a potentially significant conflict of interest arises during the course of the year and, as necessary, advises the Dean on the management of the conflict. (Note that the Principal Investigator is responsible for notifying both the Chair and the Dean of any potential conflict.)
- ensures that any audit matters resulting from audits of activities within the department/unit are resolved timely and appropriately.

Project Closure

The Department/Unit Head:

- resolves issues related to late payment and problems with collection of awarded funds in conjunction with ORPA and ORACS.
- provides local oversight over record retention.

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