

Roles & Responsibilities

UR Office of Research and Project Administration

The Office of Research and Projects Administration (ORPA) is the administrative office legally able to submit proposals to external sponsoring entities for financial support in the form of a contract, grant, or agreement, and legally able to commit the University in the event an award is made. The head of ORPA is designated as the Institutional Official and has the authority (or may delegate it to other ORPA staff) to sign funding proposals, to receive awards and to conduct any other official business with funding agencies, whether federal or private. ORPA recommends, drafts and administers research administration policies in concert with other University offices.

The Director of ORPA reports directly to the Senior Vice President for Administration and Finance.

PROPOSAL PREPARATION AND SUBMISSION

General

It is the responsibility of ORPA to ensure that all proposals submitted to funding sponsors adhere to both University and sponsor policy. This is accomplished by assisting and advising faculty and Departmental Administrative Staff during the proposal development process, facilitating communication and agreements that need to occur prior to proposal submission, and reviewing carefully all proposed project commitments for unit, Dean's Office or other management approval. In addition, it is the responsibility of ORPA to ensure that proposals have undergone regulatory compliance committee review (i.e., RSRB, UCAR, etc.) if required at submission time. As such, ORPA staff are required to be knowledgeable and current in all federal and sponsor requirements, including agency specific electronic proposal submission systems, and offer workshops and training sessions on these topics.

In addition ORPA:

- maintains a comprehensive web site that includes links and information to major sponsoring agency application forms.
- provides to the University community a resource for obtaining information on funding opportunities and disseminates major program announcements to interested parties.

- coordinates limited proposal submissions with the Dean's Offices and the Provost.
- maintains the COEUS database and reporting tool in conjunction with Enterprise Applications, and provides assistance with using the reporting tool in order to generate reports on proposal and award data.

Proposal Budget

ORPA staff:

- communicate and inform the University community (via the ORPA web site or its list serv) of the appropriate F&A rates and fringe benefit rates, along with information on commonly requested costs on proposals. In addition, ORPA provides guidance on appropriate direct (vs. indirect) charging of costs in proposals.
- verify that the correct F&A and benefit rates are utilized. If a reduced rate is requested, ORPA staff verify that a waiver from the Dean's Office has been obtained.
- verify that proposal costs are appropriate and allowable (e.g., in accordance with OMB Uniform Guidance 2 CFR 200).
- provide guidance on justifying itemized costs in the proposal budget.
- verify that if matching or cost sharing is listed in the budget, it is noted on the Proposal Routing Form and approved by the Department/Unit Head and Dean's Office via the Cost Sharing Form.
- Verify that if sharing of indirect (F&A) costs are proposed among Schools/Colleges it is noted on the Proposal Routing Form and approved by the Department/Unit Head and Dean's Office via the Sharing of Indirect Cost Form.
- If subrecipient agreements are proposed, that the required information is received from the subrecipients, such as written agreement to enter into collaborative agreements if the proposal is funded.

Regulatory Requirements

ORPA staff verify that all necessary approvals have been applied for or obtained, as necessary. ORPA staff provide guidance on which sponsors require approvals at proposal submission time vs. "just in time" prior to award.

Proposal Routing

ORPA staff:

- review the University of Rochester Proposal Sign-off Form for completeness and verify that all necessary approvals have been applied for or obtained. If corrections/modifications need to be made to the proposal prior to submission, these are noted for the PI /Department Administrative Staff. If there are significant corrections that need to be made, or if necessary University commitments have not been obtained, ORPA staff will not endorse the proposal until issues are resolved.
- sign the proposal and sign-off form if the proposal adheres to University and sponsor policy, submit the proposal electronically if required. For those proposals exceeding \$500,000 per year in direct costs, ORPA staff forward the proposal to the ORPA Director for endorsement.

ACCEPTANCE OF AWARD

Pre-award

ORPA staff:

- review, recommend use of and expedite contingent GR FAO requests.
- if required, endorse revised budgets or statements of work to the funding sponsor. If revised budgets result in cost sharing requirements, ORPA staff ensure that it has been approved by the Department/Unit Head and Dean's Office via the Cost Sharing Form.
- if required, obtain from the Principal Investigator and send "just in time" documentation to the sponsor, such as current and pending support statements or proof of completion of educational requirements.
- negotiate and sign non-disclosure agreements for information received from potential sponsors.

Negotiations with Sponsor

ORPA staff :

negotiate contractual terms and conditions with funding sponsors in accordance with the scope of work and University policies and requirements.

- in cases where the University and the sponsor cannot agree on terms, ORPA may consult with necessary offices (including Office of Counsel, UR Ventures, Finance and RSRB) and the Principal Investigator to seek to find an acceptable resolution.
- will keep the Principal Investigator and Department Administrative Staff apprised of negotiation strategy and progress.
- in the case of investigator-initiated clinical trials where full indemnification is not offered from a study sponsor, ORPA will seek a risk assessment from the Senior Associate Dean for Clinical Research.

Acceptance of Award

ORPA staff:

- accept the award and notifies the Principal Investigator, Department Administrative Staff, and ORACS of the project terms and conditions via the internal Notice of Award;
- if necessary, accept and sign the agreement on behalf of the University;
- in a timely manner, request the project GR FAO in the financial system and notify the Principal Investigator and Departmental Administrative Staff that transactions can be posted against the GR FAO via the internal Notice of Award or earlier by other means.
- capture all pertinent award data in COEUS and provide periodic reporting on proposals, awards and expenditures to University management.

If subrecipients are indicated in the award, ORPA will obtain a Request to Issue a Subcontract from the Principal Investigator (for the initial year of the project period only), will issue a subrecipient agreement and negotiate its terms (involving the Principal Investigator and other offices as appropriate), will request F&A and fringe benefit verification, and will forward all finalized documentation to the Principal Investigator, Department Administrative Staff and ORACS.

CONDUCT AND MANAGEMENT OF THE PROJECT

General

ORPA is responsible to advise and assist Principal Investigators and Department Administrative Staff in non-financial and (limited) financial post award management. ORPA staff advise on the allocability and allowability of charges posted against sponsored programs GR FAOs, approval requirements of sponsors and intellectual property management. As such, ORPA staff are required to be knowledgeable and current in all

federal and sponsor requirements and offer workshops and training sessions on these topics.

Conduct of the Research

ORPA staff:

- review and provide institutional endorsement to the sponsor for requests for administrative or programmatic changes initiated by the principal investigator.
- for selected sponsors, will notify and send non-competing progress report forms and reminders to Principal Investigators.
- when potential conflict of interest issues are identified, assist Principal Investigators in developing conflict of interest management plans, if requested.
- if requested, assist and advise University Audit on issues and cases.
- will advise on FOIA requests and coordinate responses to the agency.

Budget Management

ORPA staff:

- when necessary, endorse and co-sign rebudgeting requests to the sponsor and provide institutional oversight.
- provide institutional oversight over documenting cost sharing and/or in-kind matching.
- approve carry forward requests to the sponsor, if necessary.

Program Income

ORPA staff:

- identify use and reportability of program income.
- establish the program income GR FAO and sends copies of the Notice of Program Income (via an internal Notice of Award) to the Principal Investigator, Departmental Administrative Staff and ORACS.

Inventions

ORPA staff provide a report of the invention (either interim or final) to the

sponsor for federal awards, and will copy UR Ventures on such correspondence.

Project Closure

ORPA staff:

- assist in resolving payment problems with late or non-payment by funding agencies when it is deemed to be a contractual issue, in conjunction with ORACS.
- review and provide guidance for completion of non-financial closeout reports.
- provide information on property reporting on a periodic basis for Plant Accounting.
- remind faculty of their final reporting obligations, and when reports are delinquent, ORPA will seek the assistance of the Departmental Head or Dean's Office.
- prior to the payment of a final invoice from a subrecipient, ORPA will request and obtain all final close-out documentation from the sub, as well as certification of technical completion from the Principal Investigator. Once all information is obtained, ORPA will notify ORACS that the final invoice may be paid.
- provide guidance on record retention.

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