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## Useful Info

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Contacting ORPA  
University of Rochester  
Office of Research and  
Project Administration  
Hylan Bldg., Fifth Floor  
Rochester, NY 14627-0140  
Tel (585) 275-4031  
Fax (585) 275-9492

IRS Employer Identification  
Number  
16-0743209

U.S. Congressional  
District  
28th

Dun and Bradstreet Number  
(DUNS)  
041294109-8221

Human Subjects Multiple  
Project Assurance Number  
M-1357

Animal Welfare  
Assurance Number  
A329201

Facilities & Administrative  
(F&A) Cost Rates

[http://www.rochester.edu/  
ORPA/PropInfo/pooled.  
html](http://www.rochester.edu/ORPA/PropInfo/pooled.html)

Checks (other than for  
industry-supported clinical  
trials) made payable and  
sent to:

University of Rochester  
Office of Research  
Accounting and Costing  
Standards  
Brooks Landing Office Park  
Rochester, NY 14620

# ORPAGuide

## Guidance for the Submission of Sponsored Project Proposals

### Locating Information Internal University Review

The ORPA website contains hyperlinks to the information, policies, and forms that are referenced in this ORPAGuide.

<http://www.rochester.edu/orpa>

### Proposal Policies

The Office of Research and Project Administration coordinates submission of proposals and acceptance of sponsored program awards for the University of Rochester. In summary, a sponsored program is defined as an award to the University that contains certain conditions or commitments, such as stated deliverables or reports. A complete definition of a sponsored program is stated in the ORPA Manual.

### PI Status

Qualified members of the University's faculty are authorized to serve as a principal investigator (PI) or project director and may submit proposals to outside agencies to seek funds for research or other sponsored projects. In accordance with the *University's Principal Investigator Eligibility Policy*, only full-time faculty may serve as a PI; others may serve as exceptions to the policy with the approval of the appropriate chair and dean.

As documentation of its administrative review, a University Proposal Sign-Off Form must accompany all proposals submitted by the University. The Proposal Sign-Off Form is the University's internal review form that authorizes proposal submission and ensures that the appropriate faculty, chair(s) and dean(s) have approved the proposal and allocated necessary resources.

There are two Proposal Sign-Off Forms, one for most proposals to external sponsors and the other specifically for industry-sponsored clinical trials. The Sign-Off Forms can be obtained from ORPA, but since the forms are updated on a regular basis, it is better to print down the latest version on an as needed basis directly from the ORPA website.

In addition to departmental review, some proposals require review by the appropriate Dean's Office. Sign-off requirements may vary with each school/college and the responsible Dean's Office should be consulted.

## Review by SMD Dean's Office

The School of Medicine and Dentistry Dean's Office reviews new and competing proposals that meet certain criteria (e.g., any project where direct costs exceed \$250,000 per year). The review policy and procedure is found at:

<http://www.rochester.edu/ORPA/policies/signoff.pdf>

Sign-off responsibility rests with:

### Financial Analyst

(for most proposals)

### Director, Finance and Administration

(when the proposal involves a waiver of indirect cost or other unusual commitment by the SMD)

### Director, Medical Center Space

**Planning** (when the proposal involves commitment for new facilities or space)

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Applications to be reviewed by the SMD Dean's Office should be deposited in the *Grants for Drop-off for Dean's Office* box designated for that purpose in the Dean's Office (MED 1-5401).

**The SMD Dean's Office requires 24 hours to review any proposal received.**

## Review by The College Dean's Office

The College Dean's Office reviews new and competing proposals that meet certain criteria. The review policy and procedure is found at:

<http://www.rochester.edu/ORPA/policies/signoff.pdf>

Sign-Off responsibility rests with:

### Senior Operations Officer

(for most proposals)

### Dean, Research & Graduate Studies

(when the proposal involves a waiver of indirect cost or other unusual commitment by The College)

**Dean of the Faculty** (when the proposal involves commitment for new facilities or space)

Proposals to be reviewed by The College should be brought to Lattimore 317.

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**The College Dean's Office requires 24 hours to review any proposal received.**

## Courier Service

### Between Medicine & Dentistry Dean's Office and ORPA

Applications approved by the Dean's Office will be forwarded to ORPA via a University courier unless the Department provides other instructions. The courier picks up material from ORPA at 9:00 a.m. each morning and takes it to the Dean's Office; any material left in the *Grants for Pick-up by ORPA* box in the Dean's Office will be delivered to ORPA at approximately 9:20 a.m. The courier makes another run at approximately 3:00 p.m. Applications returned from ORPA will be deposited in the *Grants for Pick-up*

by Departments/ORPA Drop-off box in the Dean's Office.

## Inter-College Proposals

### Projects involving faculty from more than one school/college

Normally these proposals require a longer review period. If a proposed project is cross disciplinary and involves personnel salary recovery or facility use from departments other than the department of the PI, the chair and dean of those involved personnel must review and approve the project. It is recommended that departments do simultaneous routing in cases where

many departments are involved. In addition, by mutual consent of the respective deans, chairs and investigators, sharing of indirect cost recovery may be designated on awards supporting collaborative inter-college projects. Sharing of indirect costs is normally identified when there is sharing of personnel, space and/or resources. This allocation is determined at the time of proposal review utilizing the *Sharing of Indirect Cost Recovery Form*. It is recommended that faculty discuss inter-college proposals with the appropriate dean's office several weeks before the proposal deadline.

## Review by ORPA

ORPA Research Administrators have the responsibility of reviewing proposals on behalf of the institution. A listing of the ORPA Research Administrators and their departmental assignments is found at the ORPA web site. A single review copy of the proposal should be submitted to ORPA in Hylan 517 accompanied by the Sign-Off Form and any other forms that are required (see below). For heavy deadline dates (e.g., NIH deadlines), it is advisable that the proposal reaches ORPA at least three (3) days prior to the deadline. A phone call or email to your Research Administrator advising of late proposals is recommended. ORPA will make every effort to review a proposal on the date that it is received; however, heavy deadlines may preclude same day review. The principal investigator may make revisions to the technical portion of the proposal after ORPA's review and signature.

## Special Forms

*The following forms may be required:*

### **Proposed Cost Sharing Commitment Form**

This form is required for all proposed mandatory cost sharing and significant voluntary cost sharing. Refer to the *University's Policy and Procedures on Cost Sharing* for information and the form. Cost sharing commitments by an external third party require validation by an authorized official which can be accomplished utilizing the *Third Party Cost Sharing Form*.

### **Use of Human Subjects or Animals**

Most proposals using human subjects do not require institutional approval from the Research Subjects Review Board (RSRB) at the time of proposal submission. It is usually required "just-

in-time", or prior to the award. Keep in mind there are sponsors that require that human subjects use approval at the time of submission; ORPA or RSRB can provide additional information on those sponsors. In addition, the National Institutes of Health (NIH), the University's largest sponsor, now requires just-in-time certification for all key personnel using human subjects that they have completed education in the use of human subjects in research. This certification is provided by ORPA. Similar to research proposals using human subjects, most proposals using animals do not require institutional approval from the University Committee on Animal Resources (UCAR) at the time of proposal submission. This approval is also required "just-in-time, with the same caveat that some sponsors require animal approval at the time of submission. UCAR and Vivarium sign-off is still required of all proposals using animals, but the Animal Use Protocol does not have to accompany the proposal (unless the sponsor requires approval at the time of the submission). The UCAR review policy and procedure can be viewed at:

<http://www.urmc.rochester.edu/ucar/policies>

### **Ad hoc Conflict of Interest Disclosure for NIH/NSF Proposals**

An ad hoc disclosure is required when significant financial interest related to the NIH or NSF proposal exists (see UR Policies, *Federal Requirements Regarding Financial Disclosures and Agency Notification*). Should the disclosed conflict require reporting to a federal sponsor, ORPA will report in accordance with federal regulations. Key personnel are also required to make an annual disclosure to their supervisors of all outside remunerative activities. Please see UR Policies, *Faculty Policy on Conflict of Interest* and *Conflict Disclosure Form*.

## **Sharing of Indirect Cost Recovery Form**

Use of this form is explained on page 2 of this guide in the section entitled *Inter- College Proposals*.

## Other Resources

The ORPA website contains rates, information, and guidance that will assist in proposal preparation, routing and submission. Of particular importance are the following resources:

### **Proposal Information**

- *General Costing Information*
- *Proposal Budgeting Information*
- *F&A Cost Negotiation Agreement*
- *Human Subjects Approval Requirements by Sponsor*
- *Staff Benefit Rates*
- *NIH Requirement for Education in the Protection of Human Research Participants*

### **UR Policies**

- *Principal Investigator Eligibility*
- *Industry Funding of Research*
- *What are Indirect Costs?*

### **ORPA Manual**

- *Proposal Development and Costing*
- Many sponsors provide standard application forms and prescribe rigid rules for proposal format. For sponsors that do not require a prescribed format, this section provides a general proposal format and guidance to developing a budget for a proposal.