
Useful Info

Contacting ORPA
University of Rochester
Office of Research and
Project Administration
Hylan Bldg., Fifth Floor
Rochester, NY 14627
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

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>

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 Business Ctr.
910 Genesee St., Suite 200
Rochester, NY 14611-3847**

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ORPA Guide

Guidance for the Submission of Sponsored Project Proposals

Locating Information

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

<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 Chapter Two of 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.

Internal University Review

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 (revised 3/99) and the other specifically for industry supported clinical trials (revised 1/98). The Sign-Off Forms can be obtained from ORPA, the Miner Library Main Reading Room or the ORPA website.

In addition to departmental review, most 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 all new and competing proposals, with the exception of industry supported clinical trials unless certain conditions exist.

Sign-off responsibility rests with:

Administrator

(for most proposals)

Associate Dean

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

Senior Vice President & Vice Provost for

Health Affairs (when the proposal involves commitment for new facilities or space)

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 all new and competing proposals; it also reviews all revised budget submissions that significantly change The College's commitment to a project.

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.

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.



Important Note

Proposals exceeding \$500,000 in direct costs in any one budget year are also reviewed and approved by Ronald J. Paprocki, Senior Vice President for Financial Affairs and Planning. Please contact your ORPA Research Administrator who will coordinate obtaining the required signature.

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

All proposals using humans or animals must append the approval forms from the respective review committees. Proposals involving human subjects must have documented approval from the *Research Subjects Review Board (RSRB)* or a letter from the RSRB indicating that approval is pending. Proposals involving use of Vivarium resources must have the appropriate signature from the Vivarium on the back of the Sign-Off Form.

Supplemental Conflict of Interest Form for NIH/NSF Proposals

The *Supplemental Conflict of Interest Form* is required when significant financial interest related to the NIH or NSF proposal exists. Key personnel are also required to make an annual disclosure to their supervisors of all outside remunerative activities as outlined by the *University's Policy on External Activities Relating to Research and Scholarship*.

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

F&A Cost Negotiation Agreement

FY 1999 Staff Benefit Rates

UR Policies

Principal Investigator Eligibility

Industry Funding of Research

What are Indirect Costs?

ORPA Manual

Proposal Development and Costing (Chapter 2)

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.

Proposal Review, Approval, and Processing (Chapter 3)

Review and approval may vary depending upon the nature of the proposal and the extent upon which the proposed research needs additional review by University regulatory committees (e.g. human subjects, animals, or biohazards).

Proposal ID Numbers, Codes, and Approval Dates (Appendix B)

This table contains the most frequently requested numbers, codes and dates required by our sponsors.

Proposal Budgeting Information Table (Appendix C)

This table provides budgeting and current rate information