

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 compliance with research policies and processes. Select components of this oversight can sometimes be delegated to Departmental Administrative Staff. In instances where there is insufficient Departmental Staff, oversight may be delegated to another School/College Administrator 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 IORA authorized Department/Unit Head must review and approve all IORA Funding Proposals prior to submission. IORA Funding Proposal review/approval may be delegated to an Associate Chair or other senior ranking academic official within the department if they have been previously authorized to conduct this activity in IORA. After preliminary review by Department Administrative Staff, the Department Reviewer reviews the IORA Funding Proposal for the following elements and either provides approval or requests clarification in IORA for issue resolution:

- the applicant is eligible to be a Principal Investigator (PI) according to the University's Policy on Principal Investigator Eligibility, or has received approval to serve as a PI via an exception to the Policy;
- adequate department resources are available and committed to the project to support the PI in their responsibility;
- the PI is qualified to conduct the project;
- the PI can manage the project effectively;
- all relevant certification and training requirements have been completed.

When the PI is a Department/Unit Head or other individual reporting directly to a Dean, an approved representative from the appropriate Dean's Office conducts an ancillary review in IORA and provides approval or requests clarifications in IORA for issue resolution.

Technical Proposal

The Department/Unit Head reviews:

- the technical proposal for space-related issues and provides IORA Departmental approval, (seeking Dean's Office approval as necessary), or requests clarifications in IORA for issue resolution;
- the scientific relevance of the project and its long-range impact on the Department;
- planned procedures to ensure consistency with sound research design and unnecessary exposure of subjects to risk/harm;
- project design to ensure appropriateness for the proposed question;
- to ensure that the project is reasonably expected to result in important knowledge.

Proposal Budget

The Department/Unit Head reviews the IORA Funding Proposal budget(s) for the following elements and provides IORA Departmental approval or returns the Funding Proposal to the PI/Administrative Staff by requesting clarifications:

- the IORA budget(s) appear reasonable for the project scope and the budget justification is appropriate;
- cost sharing through contributed effort or other means is required and/or appropriate and a cost sharing budget has been prepared in IORA;
- matching University dollars are available and documented;
- appropriate indirect cost/F&A rate is requested and if reductions are necessary, ancillary reviews by the appropriate Dean's Office have been requested/approved;
- a Sharing of Indirect Cost Recovery form has been completed and approved by the appropriate Dean's Offices' representative.

Regulatory Requirements

The Department/Unit Head:

- provides local oversight for the proper notification and preparation of IORA and associated forms (either at proposal submission time or "Just In Time" in accordance with sponsor requirements) for research with human subjects, live animals, recombinant DNA, infectious agents, biological toxins, radioactive materials, hazardous materials or Protected Health Information (PHI).
- revisits the PI's Conflict Disclosure Form if a potentially significant conflict of interest situation exists and, as necessary, advises the appropriate

Dean's Office on the management of the conflict. (Note that the PI is responsible for notifying both the Chair and the Dean of any potential conflict.)

POST SUBMISSION/PRE-AWARD

The Department/Unit Head

- provides oversight for the proper completion and retention of post submission materials in accordance with sponsor requirements (ie: current and pending support, data management plans and reporting);
- ensures required training is completed by the PI prior to the release of the award.

CONDUCT AND MANAGEMENT OF THE PROJECT

General

The Department/Unit Head:

- is authorized to delegate authority for sponsored project management tasks to CLASP certified individuals;
- encourages and supports CLASP certification for departmental administrative 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 with the PI to ensure that programmatic reports are completed and submitted (when notified by ORPA or a funding sponsor of a delinquent report) .

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 sponsored programs account overdrafts (e.g., deficits) and approves them or returns them for issue resolution;
- reviews rebudgeting requests (if required) that impact the Department/Unit budget and approves them or returns them for issue resolution. The Department/Unit Head notifies the Dean of rebudgeting when rebudgeting has an impact on resources in the Department/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.
- assists with administrative requirements pursuant to PI transfer (grant reassignment, equipment, personnel, research materials, intellectual property, research data)

Program Income

The Department/Unit Head has oversight in monitoring expenditures of 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 and have submitted it to ORPA.

Project Closure

If notified by Office of Research and Costing Standards (ORACS), the Department/Unit Head will assist in the resolution of financial reporting if the information required to submit the report is not being provided by the Department Administrative staff and/or PI.

Regulatory Compliance

If the project involves the following elements, the Department/Unit Head provides local oversight and continuous approval of the use of:

- human subjects;
- live animals as subjects;
- radioactive materials and/or ionizing or nonionizing radiation producing equipment;
- recombinant DNA, infectious agents, narcotics or biological toxins.

The Department/Unit Head also provides oversight of adequate and continued security of Protected Health Information (PHI) and the storage and handling of human blood or body fluids.

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:

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