

Roles & Responsibilities

UR Office of Research and Project Administration

The Office of Research and Projects Administration (ORPA) is the administrative office legally responsible for submitting proposals to external sponsoring entities for research support in the form of a contract, grant, or agreement, and legally authorized to commit University resources in the event an award is made. ORPA is responsible for award set up to ensure financial details and other terms and conditions are available in the University's systems of record. ORPA also records contractual obligations in the Integrated Online Research Administration (IORA) system. The head of ORPA is designated as the Institutional Official and has the authority (or may delegate it to other ORPA staff) to approve funding proposals, to accept awards, subawards and other types of agreements, and to conduct any other official business with outside parties, whether federal or private. ORPA recommends, drafts and administers research administration policies in concert with other University offices.

The Associate V.P. for Research and Project Administration, the head of ORPA, reports directly to the Vice President for Research.

In addition, ORPA maintains and fosters mutually beneficial relationships with collaborating University of Rochester offices, colleague institutions, sponsors, vendors, and professional organizations to facilitate research and research administration.

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 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 confirm 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, the University's Integrated Online Research

Administration (IORA) system, 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 proposal information and provides resources for obtaining funding opportunity details;
- assists University IT in establishing and maintaining reporting tools on sponsored programs data and provides assistance with using the reporting tools in order to generate reports on proposal and award data;
- maintains the IORA system and implements updates as required.

Proposal Budget

ORPA staff:

- communicate and inform the University community (via the ORPA web site, monthly research administrator meetings and its various list serves) of the approved F&A rates and fringe benefit rates, and applicable salary caps 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 fringe benefit rates are utilized. If a reduced rate is requested, ORPA staff verify that an IORA ancillary review from the Dean's Office has been performed;
- verify that proposal costs are appropriate and allowable (e.g., in accordance with OMB Uniform Guidance 2 CFR 200);
- provide guidance that all itemized costs in the proposal budget are justified sufficiently;
- verify that if matching or cost sharing is proposed and approved by the Department/Unit Head and Dean's Office via an IORA ancillary review and that an unrestricted account is provided to capture the cost sharing;
- verify that if sharing of indirect (F&A) costs are proposed among Schools/Colleges it is approved by the Department/Unit Head and Dean's Office via an IORA ancillary review and the [Sharing of Indirect Cost Recovery Form](#) is uploaded into IORA;
- If subrecipient agreements are proposed, that all required information, including entry of separate subrecipient budgets, are received from the subrecipients and uploaded into IORA (i.e. Letter of Intent).

Proposal Routing

ORPA staff:

- review the IORA funding proposal for completeness and verify that all necessary approvals have been obtained. If corrections/modifications need to be made to the proposal prior to submission, ORPA requests them through IORA. If there are significant corrections necessary and/or approvals have not been obtained, ORPA staff will not finalize the proposal for submission until issues are resolved;
- confirm the proposal adheres to University and sponsor policy and submits the proposal electronically if required. For those proposals exceeding \$500,000 per year in direct costs, ORPA staff forward the proposal to senior level staff for approval, as necessary.

Pre-award

ORPA staff:

- review, recommend use of and expedite advance sponsored programs account requests in IORA;
- approve revised budgets or statements of work for submission to the funding sponsor if required. If revised budgets result in cost sharing, ORPA staff confirm that the Cost Sharing calculations are accurate and they have been approved by the Department/Unit Head and Dean's Office via the signed Cost Sharing Commitment Form. ORPA confirms the final document is uploaded into IORA as a funding proposal attachment;
- review and submit/send "just in time" documentation to the sponsor when requested, such as current and pending support statements or proof of completion of educational requirements;
- negotiate and execute unfunded agreements (i.e. CDA, MTA, DUA, etc.) for information, data, and materials exchanged with potential sponsors and research collaborators.

Negotiations with Sponsor and Other Outside Parties

ORPA staff :

- negotiate contractual terms and conditions with funding sponsors and other outside parties (unfunded agreements like MTAs, CDAs, DUAs) in accordance with the scope of work or purpose and University policies and requirements;

- ORPA may consult with necessary offices (including Office of Counsel, UR Ventures, Finance, Privacy Office, Biosafety, and RSRB) and the Principal Investigator (PI) to seek to find an acceptable resolution in cases where the University and the sponsor or other outside party cannot agree on terms ;
- will keep the PI and Department Administrative Staff apprised of negotiation strategy and progress via e-mail and/or IORA Agreements module;
- seek an Institutional Risk Assessment from the Senior Associate Dean for Clinical Research in cases where the University and the sponsor or other outside party cannot agree on specific terms involving clinical research.

ACCEPTANCE OF AWARD

ORPA staff:

- Review, accept, and sign, if necessary, the award/agreement on behalf of the University;
- Captures all pertinent award data in IORA and once approved, IORA notifications are sent to the PI, Department Administrative Staff, and Office of Research Accounting and Costing Standards (ORACS).

If subrecipients are indicated in the award, ORPA will:

- review the subagreement smart forms and supporting documents prepared by the department in IORA, requesting clarification if necessary;
- conduct a subrecipient risk assessment if necessary;
- confirm F&A and fringe benefits rates with review of subrecipient negotiated rate agreement;
- issue a subrecipient agreement and negotiate its terms (involving the PI and other offices as appropriate);
- forward all finalized documentation to the PI, Department Administrative Staff and ORACS.

Regulatory Requirements

If sponsor requires certification of regulatory approvals prior to expenditure of funds, ORPA staff verify that all approvals have been secured.

CONDUCT AND MANAGEMENT OF THE PROJECT

General

ORPA advises and assists PIs 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, approval requirements of sponsors and intellectual property management, referring to appropriate University offices, as necessary. As such, ORPA staff are knowledgeable and current in all federal and sponsor requirements. ORPA routinely offers workshops, monthly update meetings, listserv postings, and training sessions on many of these topics.

Conduct of the Research

ORPA serves as the primary research liaison with sponsors and other outside parties on behalf of University and PIs responding to all sponsor and outside party inquiries.

ORPA staff serving as authorized business officials for the University perform the following tasks:

- review and approve first time no cost extension requests up to 12 months for select sponsors, with appropriate documentation;
- review and provide institutional endorsement to sponsors for prior approval requests for administrative or programmatic changes as requested by PI;
- prepare documentation to continue programmatic work with a subrecipient if approved by the PI;
- will review and submit non-competing progress report forms for selected sponsors, if required;
- assist PIs in developing conflict of interest management plans when potential conflict of interest issues are identified.
- assist and advise University Audit on issues and cases.
- advise on Freedom of Information Act (FOIA) requests, provide notification to appropriate University officials, and coordinate with PI responses to the agency.
- draft, negotiate, and execute any post award agreements (DUAs, MTAs)
- assist and approve prior approval requests for absence of/change in PI/Key Personnel when necessary

Budget Management

ORPA staff:

- endorse and co-sign rebudgeting requests to the sponsor and provide institutional oversight when necessary;
- review and approve documented cost sharing and/or in-kind matching as well as sharing of indirect costs in IORA;
- submit carry forward requests to the sponsor, if necessary;
- document such actions in IORA;

- facilitate award set up per revised internal budgets as necessary.

Program Income

ORPA staff:

- identify existence of program income and confirm documentation is provided in IORA and to the sponsor

Inventions

ORPA staff:

- provide a report of the final invention statement to the sponsor for federal awards in conjunction with the PI and UR Ventures;
- provide required Intellectual Property reports for other sponsors as needed

Project Closure

ORPA staff:

- review and provide guidance for completion of non-financial closeout reports;
- 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;
- provide guidance on record retention pursuant to sponsor and University policy.