

Roles & Responsibilities

University of Rochester Department Administrative Staff

Departmental Administrative Staff provide administrative support for one or more sponsored projects and unfunded research activities. Included in the Administrative Staff category is a wide variety of position titles. With regard to administrative roles defined in the Integrated Online Research Administration system (IORA) Administrative Staff are considered “Study Staff”. Departmental Administrative Staff are required to maintain their Continuous Learning for the Administrators of Sponsored Programs (CLASP) certification.

Departmental Administrative Staff functional roles may include the preparation of Funding Proposals and Agreement requests in IORA inclusive of budgets, completion and processing of financial, procurement, human resource and other electronic and paper transaction documents. With respect to management of sponsored projects and their associated financial accounts, Departmental Administrative Staff may have approval/signature authority delegated to them in writing by the Principal Investigator (PI). Some regulatory related activities cannot be delegated by the Principal Investigator (PI) such as PI Certification of Funding Proposals in IORA. Normally, a department will delegate only a few Department Administrative Staff with approval/signature authority, but numerous individuals may have a functional role with respect to sponsored programs.

Due to the University required separation of duties, a Departmental Administrative Staff member with approval/signature authority (an “approver”) cannot be the same person as the individual preparing the document for approval (the “originator”). If there is a shortage of Departmental Administrative Staff in a department, “approver” status should be elevated to that of PI or Department/Unit Head.

If the PI’s department, center or unit lacks Departmental Administrative Staff for sponsored programs administration requirements, he/she assumes these responsibilities or seeks support from the respective Department/Unit Head or Dean.

PROPOSAL PREPARATION AND SUBMISSION

GENERAL

Keeping all internal deadlines in mind, Departmental Administrative Staff:

- may maintain, for each PI in the Department, databases or files of documents needed for funding proposals pursuant to federal guidelines

(Other/Current and Pending Support information, resources and environment statements, and biosketches);

- review each Funding Opportunity Announcement to understand and interpret sponsor requirements involving the Office of Research and Project Administration (ORPA) as necessary;
- complete all Funding Proposal and Agreement smartforms in IORA with direction provided by the PI if needed;
- ensure the PI provides responses to all compliance related smartform fields in IORA;
- assist the PI in obtaining and reviewing information from subrecipients and upload subagreement related documents in IORA as necessary;
- assist the PI in involving the necessary University entities to collaborate in the development of a compliant data management and sharing plan, if necessary;
- upload additional mandatory forms in IORA (ie. Sharing of indirect costs recovery form, subrecipients' letters of intent, etc.).
- upload all sponsor required documents into the sponsor's submission system if applicable;
- complete a final review of the proposal prior to submission for internal review in both IORA and the sponsor's submission system;
- ensure review by the PI of the final proposal as prepared in both IORA and the sponsor's submission system reminding the PI that proposals submitted error free cannot be rejected and resubmitted for editing;
- move the funding proposal in the sponsor's submission system to the ready for submission status to notify ORPA that the proposal is ready for submission;
- ensure the PI reviews the final submitted funding proposal in the appropriate sponsor submission system to ensure flawless transmission;
- maintain a system of departmental proposals and current funding status for confirmation of other support documents;
- notify ORPA when determined that a funding proposal will not be funded.

Budget

Departmental Administrative Staff:

- offer guidance in funding proposal budget discussions and provide input for the budget justification;
- prepare budgets in IORA as required (including cost sharing budgets) uploading an internal budget breakdown spreadsheet if necessary (when more than one sponsored project account will be needed);
- ensure that the budget prepared in IORA matches the budget prepared in the sponsor's submission system if applicable;

Regulatory Requirements

Departmental Administrative Staff:

- if necessary, assist with and ensure correct and timely submissions to the Research Subjects Review Board (RSRB) or the Western Institutional Review Board (WIRB), the University Committee on Animal Resources (UCAR), the Institutional Biosafety Committee, the Radiation Safety Office and/or the Office of Environmental Health and Safety (EH&S), prior to funding proposal submission;
- assist in obtaining additional collegiate or departmental approvals, for example, Clinical Research Center (CRC) ancillary review;
- ensure that PIs complete an [Intellectual Property Agreement](#) (IPA), and respond to ORPA requests to update departmental IPA listings;
- assist the PI, in collaboration with [University Procurement](#), in the development of Small Business Subcontracting Plan, if necessary;

Proposal Approval/Submission

Department Administrative Staff:

- process IORA Funding Proposals for review and approval (Departmental and Ancillary);
- ensure completion by the PI of the PI certification in IORA (this responsibility cannot be delegated by the PI);
- ensure [NIH Multiple PI \(MPI\) certification](#) is uploaded into IORA if required;
- if ORPA submission is not mandated, assist the PI with submission of the proposal along with the appropriate attachments to the sponsor per sponsor's instructions;
- for proposals submitted by the Department/PI, provide a copy of the final submitted proposal to the PI, department, Co-Investigators, and ORPA within five business days of submission;
- assist the PI with the preparation of post submission materials if applicable.

ACCEPTANCE OF AWARD

Pre-award

Departmental Administrative Staff:

- assist the PI in preparing or obtaining documents required by the sponsor post peer review ("Just in Time") to allow preparation of an

- award;
- assist ORPA as necessary to ensure all key personnel have completed mandatory COI and 2 CFR 200 training;
- determine how many sponsored project accounts will be needed for the award and indicate those requirements in IORA;
- determine the need for and obtain Departmental approval for Advance Accounts (to minimize cost transfers/reallocations) via a Request for Advance Account Form (RAAF). Upload the approved RAAF into IORA to allow for ORPA review/approval.

Negotiations with Sponsor

Departmental Administrative Staff may assist the PI/ORPA, as needed, in negotiations with sponsors on project scope and budget.

Acceptance of Award

Departmental Administrative Staff:

- in conjunction with the PI, are responsible for the review of the Award in IORA and notification to ORPA if there are questions or corrections needed;
- are responsible for timely response to clarifications and for final budget requested by ORPA during award set up;
- provide evidence of RSRB/UCAR approval to ORPA as needed.

CONDUCT AND MANAGEMENT OF THE PROJECT

General

Departmental Administration Staff must maintain CLASP certification by satisfying continuous learning requirements. Departmental Administrative Staff should routinely reference the ORPA web site, attend monthly research administration meetings, or contact the appropriate university offices to obtain information regarding the requirements governing sponsored project funding. Departmental Administrative Staff are responsible for staying current on and informing faculty of such requirements (e.g., subscribe to ORPA-L).

Conduct of the Research

Departmental Administrative Staff:

- acquire and maintain a working knowledge of UR Financials and end-user reporting tools;
- possess a working knowledge of expense allowability and prevent inappropriate and untimely charges;
- provide information for appointment of individuals to the project (and exercise signature authority if delegated);
- expedite the documentation of cost sharing and/or matching/in-kind, and maintain such documentation;
- provide information and prepare documents for rebudgeting actions to ORPA and/or the Office of Research Accounting and Costing Standards (ORACS), and maintain justification for rebudgeting (if necessary);
- provide information to ORACS to resolve deficits;
- provide information to ORACS for interim financial reports (if necessary);
- prepare the documents for cost transfers, and maintain adequate documentation and justification for cost transfers;
- prepare documents and provide information for internal and external purchasing and obtain PI approval for purchase requests as appropriate (or as deemed by department policy or best practices).
- conduct financial monitoring, assist with the identification and resolution of errors in the GR FAO in a timely manner and provide regular analysis of expense activity to the Principal Investigator;
- ensure Principal Investigators have reviewed monthly ledgers, and document as appropriate;
- for project billings that are based on performance milestones and/or patient case report forms, prepare and submit to the project sponsor documentation in support of milestone payment;
- upon receipt of clinical trial payments, reconcile with the Principal Investigators and/or study coordinator that payment is accurate, and submit checks to ORACS in a timely manner if necessary;
 - maintain documentation for purchases, as appropriate;
- complete the subagreement smartforms in IORA Agreements and upload all required documents to initiate the request for the issuance of a subagreement and/or an amendment to an existing subagreement, responding to clarifications requested by ORPA when necessary;
- monitor the progress of the agreements in IORA as they move through the issuance/negotiation process, providing updates to the PI as necessary;
- prepare financial documents and monitor spending to provide spend rate information to the PI on a routine basis;
- working with the PI, gather information on the conduct of subrecipients and notify ORPA and/or ORACS of any problems that may have arisen with research progress;
- compare subrecipient invoices against the budget, and verify overall accuracy

- of the invoice and submit to PI for review and approval;
- when notified by ORACS of late or delinquent invoices, notify and instruct the subrecipient to invoice, if appropriate (e.g., if work has been completed);
- assist the PI in completion of all agreement/amendment smartforms (CTA, SPR, MST, OUA, CLR,MTA, DUA, CDA) in the IORA Agreements module uploading all necessary attachments;
- respond to IORA Agreement clarifications requested by ORPA in a timely manner;
- assist the PI in the preparation of annual and interim reports as mandated by the sponsor;
- working with PI, request no cost extensions in a timely manner.

Develop and Implement a Small Business Plan

Departmental Administrative Staff:

- assist the PI and University Procurement with the implementation of the Small Business Subcontracting Plan (if required);
- review periodic reports of progress made in meeting the small business subcontracting plan goals.

Program Income

Departmental Administrative Staff:

- prepare and process documents and provide information to ORPA and ORACS for recording program income;
- verify receipt of program income.

Effort Reporting

Departmental Administrative Staff assist with the preparation and verification of documents and provide information on effort certification.

Project Closure

Departmental Administrative Staff:

- assist the PI in the timely preparation of interim/final reports (technical, property, invention) obtaining documentation from subrecipients as necessary;
- provide information for the final financial report as required by ORACS;
- review final financial statements or reports provided by ORACS;
- assist with the reconciliation of ledgers after project closure and with appropriate transfer of any deficits.

Regulatory Compliance

Department Administrative Staff:

- assist with the annual and ad hoc conflict of interest process and ensure via the Departmental/Unit Head that all investigators have submitted an annual report of external financial interests;
- are responsible for completion of an annual equipment survey for Property Accounting;
- apply property accounting inventory tags on assets on an ongoing basis and report required information regarding new assets in UR Space;
- ensure UR Space reflects appropriate use of space; assist and/or complete the periodic space survey collaborating with the appropriate Dean's office as necessary;
- assist in the completion of the annual cost sharing certification (if applicable);
- are responsible for adherence to the [University's Record Retention Policy](#) for all sponsored projects documentation;
- are responsible for cooperating in the audit process, whether internal or external audit staff is involved.