

**The School of Arts and Sciences (SAS) and
Hajim School of Engineering & Applied Sciences (Hajim)
Sponsored Projects Sign-off Policy and Procedure, July 2024**

Most sponsored project proposals in compliance with University, SAS, and Hajim policy require no comment or action by the Dean's Office. However, proposals that meet the following criteria must be approved by the Dean's office prior to ORPA's final review. An ancillary review must be added to the IORA proposal. Guidance on how to complete this is included below.

1. Projects requiring additional/new space to be assigned or the renovation/modification of current space or facilities. Pre-approval is required for renovations or modification of space. Appropriate dean approval must be attached to the ancillary review.
2. Projects involving University cost sharing or any subsidization of project costs, mandatory or voluntary, including faculty effort.
 - Proposed cost sharing must be indicated in a cost-sharing budget in the IORA funding proposal. The completion of cost sharing as part of budget reconciliation will be required at the time of award and annually as necessary. If there is a change in the cost sharing commitment, a new ancillary review for the Dean's Office will be required. A [cost sharing form 150](#) may be required.
3. Projects requesting less than the maximum allowable current UR Facilities and Administrative (F&A) cost rate unless the sponsor's written policy indicates a lower F&A rate must be used.
 - Current rates for research and clinical trials may be found on the [ORPA website](#).
4. Projects requesting the off-campus F&A cost rate (review the [UR off-campus F&A rate policy](#).)
5. For all [NSF proposals](#) and NASA projects in the Planetary Sciences Division, an off-campus 'safe and inclusive space' workplan is required when research will take place off campus.
 - This plan needs to be approved by the Associate Vice Provost for Academic Equity, Beth Olivares. PIs should reach out to her early in the proposal development. See [OVPR website](#) for more details. A copy of her [approval](#) and the [plan](#) should be attached to the ancillary review.
6. Projects involving F&A cost sharing with other UR schools, colleges or divisions.
 - A '[Sharing of Indirect Cost Recovery](#)' form is required for this ancillary review. Also include a detailed calculation of the indirect costs broken out across schools on a separate sheet. The [cost share form](#) and [breakout](#) should be attached to the ancillary review.
7. Small Business Innovative Research Grants (R 43), Small Business Technology Transfer Grants(R41).
8. Program Projects (P01), Center grants (P50 or P60) or other similar proposals to non-NIH sponsors.
9. Any projects where the total direct costs exceed \$500,000 per year.
10. Any project where a Department Chair/Center Director is PI which would pose a conflict of interest for a department review (e.g., Director of Humanities Center submitting as PI for the Humanities Center).
11. Any project which deviates from [UR stated policy](#) as to who may serve as Principal Investigator.
12. *All "Renewals" which fall into any of the above criteria.*
13. *All "Continuations" which have significant changes which affect any of criteria.*
14. *Pre-proposals that fall under criteria 1, 2 or 3 above.*

Procedure

Proposals requiring Dean's Office review and approval should be made available in IORA with all necessary attachments (SOW, detailed budget, budget justification, approvals as needed) with any other information made available.

Under 'Add Ancillary Review'

#1 under 'Organization'

→ Select 'Dean's Office Col-Admin'; **do not** select an individual person.

#2 under 'Review Type'

→ Add 'Dean's Office'

#3 add whether the response is required

→ Select 'Yes' or 'No' (e.g., F&A cost share is required, using a lower indirect cost rate when lower rate is specified in the FOA is not)

#4 under 'Comments'

→ Add a description for the reason for the ancillary review. *This is a very important step – add the reason for the ancillary from the above list and any supporting information for the review.

#5 under 'Supporting Documents'

→ Attach the budget, budget narrative, dean's approval, supplemental information (if needed, e.g. renovation, off-campus safe and inclusive plan) and scope of work. These documents are required to complete the ancillary review. If there is indirect cost share between schools, a table showing the breakdown of costs between schools is also required. The PI or PI's designee will be contacted with any concerns.

The Dean's Office requires that any proposals involving the above criteria be brought to the Dean's Office's attention ***well in advance of the proposal due date***. At least five business days are required by ORPA to review all proposals.

Questions?

Contact your respective SAS or Hajim Research Team:

- School of Arts and Sciences- SASresearch@rochester.edu
- Hajim School of Engineering and Applied Sciences- cindy.gary@rochester.edu