

Roles & Responsibilities

University of Rochester Dean's Office

Deans are academic leaders who have programmatic, managerial and fiscal responsibilities for a College or School, and who report either to the Provost or Senior Vice President and Vice Provost for Health Affairs.

The Dean's office, the administrative center for a School or College, may include one or more Senior Associate Deans, who report to the Dean, as well as administrative staff. A Senior Associate Dean (usually referred to as the Senior Associate Dean for Research) has the responsibility to oversee research activities in the unit and thus may delegated the authority to act on the Dean's behalf in matters relating to research.

In the list that follows, reference to the Dean implies the Senior Associate Dean for Research or other administrator within the college or school who may have been delegated the responsibility for research activities within that unit.

PROPOSAL PREPARATION AND SUBMISSION

General – Proposal Review

When the Principal Investigator is a Department/Unit Head or other individual reporting directly to the Dean, the Dean reviews/approves the proposal in the Integrated Online Research Administration (IORA) system. In addition to the criteria for review listed later in this document, the Dean may also review the following to ensure that:

- the applicant is eligible to be a Principal Investigator according to University policy;
- the Principal Investigator is eligible to conduct the project;
- the Principal Investigator can manage the project effectively;
- the scientific relevance of the project and its long-range impact to the School/College.

When the Principal Investigator does not report directly to the Dean, the Dean, in conjunction with the Department/Unit Head, must approve any exception to the [University's Policy on Principal Investigator Eligibility](#).

In any other case when it is deemed necessary by School or College policy,

- the Dean reviews the proposal and either approves it through the ancillary review process in IORA, or returns it via IORA clarification requested for issue resolution. Note that individual

Schools and Colleges may have specific requirements when the Dean's Office must approve a funding proposal; these requirements can be found on the ORPA web site (<http://www.rochester.edu/orpa>).

- Prepare and sign mandatory letters required by sponsors indicating approval/support of proposal submission and/or awareness of university obligations for successful award management.

Criteria for Review

Technical Proposal

When there is a new request for off-campus space, additional/new or modification of on-campus space, the Dean reviews the proposal and either approves it via the ancillary review process in IORA, consults with other senior University administrators or other appropriate officials as necessary, or returns it via an IORA clarification request for issue resolution.

When the proposal includes a requirement of affirmation/description of UR's practices with respect to diversity, equity and Inclusion and/or an environment free from harassment, the Dean's Office identifies an office or individual who can assist with these requirements.

Proposal Budget

When any of the following budgetary issues are present, the Dean reviews the proposal and either approves it through the ancillary review process in IORA or returns it via an IORA clarification request for issue resolution:

- there is a request to reduce or waive F&A/indirect cost rates;
- there is a request to the Dean's Office or other School/College resource to provide matching funds or cost sharing;
- there is a request to share F&A cost recovery if faculty and/or resources from other schools/colleges are significantly involved;
- there is a request to the Dean's Office to provide additional resources or space to support the research;
- the proposal budget exceeds \$500,000 direct costs in any budget year;
- the proposal is a Program Project or Center grant application;
- the proposal is either an SBIR/STTR or Center grant application.

Continuation proposals from the School of Arts, Sciences, & Engineering which have significant changes affecting any of the above criteria should be submitted for ancillary review in IORA

In addition, the Dean:

- provides School/College oversight over cost sharing, matching and budget development;
- provides School/College oversight that appropriate salary costs have been requested in those cases where the proposal undergoes Dean's Office review;

Regulatory Requirements

The Dean approves conflict-of-interest resolutions or requests a proposed Conflict Management Plan from the Principal Investigator. As necessary, the Dean refers the matter to the University's Conflict of Interest Committee, and provides School/College oversight of the management of potential conflicts. When the Dean becomes apprised of other regulatory issues involving sponsored research, the Dean takes an appropriate oversight and management role in these issues.

ACCEPTANCE OF AWARD

In cases where acceptance of the award would constitute exception to University or School/College policy (e.g., lesser degree of indemnification from the sponsor, diluting of ownership of University intellectual property, anticipated deficit from a clinical study, or faculty interest in sponsor), the appropriate Dean determines the acceptable risk of accepting the award. The Dean is aided in this decision by University counsel and other offices as appropriate (e.g., ORPA, UR Ventures, Finance, RSRB or Research Compliance).

CONDUCT AND MANAGEMENT OF THE PROJECT

General

The Dean:

- supports and encourages appropriate education in the proper conduct of research by Departmental Administrative Staff;
- ensures that departments/units have appropriate resources to maintain research program compliance, and engages when compliance is less than satisfactory;
- provides School/College oversight on implementation of University, state and federal policies and regulations in concert with appropriate University offices such as Counsel, ORPA, etc.

Conduct of the Research

The Dean provides School/College oversight for the University of Rochester Policy on Misconduct in Scholarship and Research, and refers allegations of misconduct to the Provost or Senior Vice President and Vice Provost for Health Affairs. The Dean is responsible, as directed by the Provost or Senior Vice President and Vice Provost for Health Affairs, for completing inquiries and investigations on such allegations in accordance with the Policy.

Budget Management

The Dean of School/College provides:

- guidance on sponsored programs management at the departmental level (e.g., restructuring in order to accommodate administration of sponsored programs);
- cost sharing support through in kind contributed effort or other means;
- matching dollars when approved; and
- oversight and monitoring of project GR FAOs in deficit.

Project Closure

The Dean:

- provides School/College oversight for record retention and ownership of scientific data;
- assists in obtaining delinquent technical reports from Principal Investigators or information required for financial reporting in conjunction with Department Chairs, (This action is reserved for extreme cases if notified by ORPA or ORACS).

Regulatory Compliance

The Dean may delegate authority to the Associate Dean(s) and/or Department/Unit head to assure adherence to:

- research subjects protocols and policies; and
- chemical, biological, physical and radiation safety requirements.

The Dean is responsible for implementing the annual conflict disclosure process and review, and may delegate to Department/Unit Heads the responsibility to obtain the disclosures. If a potential conflict of interest situation exists, the Dean reviews and approves (or rejects) the Conflict Management Plan, or, as necessary, seeks advise from the University's Conflict of Interest Committee.