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Policy Profile

Policy Title:	Sponsored Research Policies
APS Number:	1012
Effective:	July 1, 2010
Approved by:	President Bruce D. Benson
Responsible University Officer:	Vice President for Academic Affairs
Responsible Office:	Academic Affairs
Policy Contact:	Vice President for Academic Affairs
Supersedes:	May 14, 2001
Last Reviewed/Updated:	November 1, 2013
Applies to:	All campuses

Policy Snapshot

Brief Description: To ensure successful management of grants and contracts.

I. Introduction

The University of Colorado is set apart from many other institutions of higher education in Colorado and the nation because of its role and mission as a research university. The majority of the University of Colorado's sponsored research takes place within the individual departments and academic units, including the institution's centers and institutes, and through partnerships CU has developed with federal laboratories and agencies.

CU's researchers depend on financial and infrastructure support from federal, state, and

private sector sponsors. These kinds of partnerships are critical to the fulfillment of CU's research agendas and the successful completion of interdisciplinary investigations. In order to protect the integrity of these partnerships, CU must have in place specific policies and procedures that will ensure compliance with the requirements of its sponsors and provide a common, current understanding of applicable processes and systems within the University of Colorado System. The purpose of this administrative policy statement is to ensure successful management of grants and contracts.

II. Policy Statement

A. General

1. Roles and Responsibilities. Each chancellor shall ensure the campus shall have a comprehensive matrix or document that identifies the individuals who have specific roles and responsibilities in the conduct and administration of sponsored research, from preparation of the proposal through the project's completion and closeout.

Campus policies shall be designed to: 1) define and communicate the roles and responsibilities of principal investigators, departmental/unit administrators, and campus sponsored programs offices; and 2) define the functional roles and responsibilities of these individuals so that their relationship to institutional roles and responsibilities is clear.

2. Compliance. Each campus shall have policies and procedures in place that comply with applicable federal and state standards for research administration. Campus policies shall provide uniform guidance on policy interpretation and sound grants and contracts management practices.
3. Code of Conduct. Each campus and the CU System service centers shall have a code of conduct that addresses compliance, fiscal oversight, accountability, authorship, conflict of interest, and the University's commitment to the highest ethical standards of honesty and integrity for all employees. The campuses and the CU System service centers may and will impose sanctions for violations. Each campus and the CU System service centers will review and revise their codes of conduct as necessary.

B. Training

1. Each campus shall take steps to communicate University standards and procedures through ongoing training and education programs for all principal investigators. Training for principal investigators should be focused only on essential elements principal investigators must know and shall be differentiated from the additional training that shall be made available to those individuals involved in administering the funds and executing technical aspects of the project. Training and educational programs will also be made available to other individuals who have specific roles and responsibilities in the conduct and administration of sponsored research.

2. Training and education programs shall include a core curriculum and a program for continuing education for all current faculty and staff and for newly appointed faculty and staff within their initial academic year of employment, or at such time as they receive sponsored research grants.
3. Each campus shall take specific steps to publicize and promote training and educational requirements and opportunities.
4. Each campus will decide what kinds of training tools to implement, e.g., internet, interactive tutorials, publications, etc.

C. System Adequacy

1. Each campus's compliance program shall address risk management and process management.
2. An effective business management system shall be in place on each campus and the CU System service centers to ensure that the expenditure of federal, state, and other funds is in accordance with applicable regulations. Each campus shall have clearly stated and effective cash management standards to identify and report program income and to minimize the risks that program income will not be properly reported or utilized in accordance with all applicable regulations, emphasizing timely reporting and utilization of funds.
3. Policies and procedures regarding standards for costs and costing, property, and record retention shall be readily available and accessible to faculty and staff.

III. Related Policies, Procedures, Forms, Guidelines and Other Resources

A. Related Administrative Policy Statements (APS)

- [APS 5012 Conflicts of Interest and Commitment](#)
- [APS 1023 Restricted, Proprietary and Classified Research](#)
- [APS 1007 Misconduct in Research, Scholarship and Creative Activities](#)
- [APS 1012 Sponsored Project Revenues](#)
- [APS 4014 Fiscal Roles and Responsibilities](#)
- [APS 4012 Fiscal Misconduct Reporting](#)

IV. History

- Initial Policy Effective: May 14, 2001
- Reviewed November 1, 2013 Non-substantive changes only

V. Key words

federal; external; funding

Groups audience:

Office of Policy and Efficiency (OPE)

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