

Who to Call Related to Research Administration Compliance

Purpose of the document:

During campus interviews about research administration which were conducted summer 2017, it was mentioned by many that the various components of research compliance are difficult to track and to understand which offices have which responsibilities. Additionally, all this information is not located in one place.

This grid is meant to be a quick reference, with links to other office web sites and resources.

Update process: The document will be updated once a year. Update information appears in the footer of the document. Information is pulled from existing office web pages and verified by the responsible office.

Summary statement: Award Compliance, Fiscal Compliance:

PI's, departmental research administration support staff, OCG, and SPA work as partners to assure fiscal stewardship and compliance in research administration.

- a. PI's and Departments have the responsibility for understanding the terms and conditions of the awards, and for initiating expenditures that meet allowability standards for the award (reasonableness, allocability, allowable), following award conditions, and federal, state and CU compliance guidelines.*
- b. OCG handles questions related to award compliance - general regulatory requirements, the award conditions, sponsor restrictions, and scope of work/changes.*
- c. SPA has oversight for fiscal compliance - the final authority to determine whether expenditures are allowable or not. They can*
 - 1. Approve*
 - 2. Disapprove*
 - 3. Suggest to departments that additional documentation is required to allow the expenditure within the scope of work.*

Other Research Compliance – Human Subjects, Animal Research, Export Control, Conflict of Interest, Controlled Substances, etc.

Office and description of compliance activity	web site
<p>The Office of Contracts and Grants (OCC) works in partnership with CU Boulder's faculty and staff to prepare and submit proposals, including budgets, for external sponsored projects and service agreements. OCC has the authorization to negotiate and accept sponsored research and service agreements on behalf of the Regents, monitor and provide guidance throughout the life of an award, and ensure final project closeout.</p> <p>Submission of complete proposal packages. This includes assisting with preparation of the budget and other components.</p> <p>Award review, negotiation and acceptance and issue outgoing subawards/subcontracts.</p> <p>OCC's Compliance Team manages government property, international travel, and award closeout.</p> <p><i>Property and equipment</i></p> <p><i>International travel</i></p> <p>Administrative close-out of all sponsored projects, including subaward closeout, final property reports, verification of protocol compliance, invention/new technology reports, award Release and Assignment</p>	<p>http://www.colorado.edu/ocg/</p> <p>http://www.colorado.edu/ocg/about-us/ocg-organizational-structure</p> <p>OCC staff are assigned by department. http://www.colorado.edu/ocg/directory</p> <p>Proposal development team http://www.colorado.edu/ocg/prepare-submit-proposals</p> <p>Grants team Contracts team</p> <p>Subcontracts team http://www.colorado.edu/ocg/manage-awards</p> <p>Compliance team</p> <p>http://www.colorado.edu/ocg/manage-awards/property-and-equipment</p> <p>http://www.colorado.edu/ocg/manage-awards/travel</p> <p>http://www.colorado.edu/ocg/award-closeout</p> <p>http://www.colorado.edu/ocg/sites/default/files/attached-files/ocg-403 award closeout tool.pdf</p>

Office of the Campus Controller, SPA.

Sponsored Projects Accounting duties include management of Funds 30 and 31, plus:

- Review and approve journal entries
- Ensure that cost and budget transfers are in compliance with federal statutes, regulations, CU policies and procedures, and terms and conditions of the award
- Review and approve payroll expense transfers
- Maintain and ensure compliance with electronic Personnel Effort Reports (ePERS)
- Review and approve non-equipment purchase order (PO) requisitions in CU Marketplace for sponsored projects
- Monitor accounts for Participant Support expenditures
- Monitor accounts for all Cost Sharing/matching dollars
- Provide Cost Share reports to Billing and Sponsoring government and private entities; and
- Manage and ensure that invoicing requirements are met.

Grant Accountants in SPA are responsible for the following:

- Cash Management - monitor LOC accounts to determine

<http://www.colorado.edu/controller/about-us/sponsored-projects-accounting/spa-compliance>

<http://www.colorado.edu/controller/about-us/sponsored-projects-accounting/spa-policies-procedures-and-guidelines-related-sponsored>

<https://www.colorado.edu/controller/sponsored-projects-accounting/spa-compliance/cost-transfers-jes-and-pets>

ePERS@colorado.edu
Campus Controller's Office, SPA

<https://www.colorado.edu/controller/sponsored-projects-accounting/spa-compliance/cost-share>

<https://www.colorado.edu/controller/sponsored-projects-accounting/invoicing-and-cash-management>

See grant accountants list on the web page.

<http://www.colorado.edu/controller/about/sponsored-projects-accounting/grant-accountants>

Grant accountants are currently organized by funding agency. We anticipate that this will change in the future, to a departmental staffing liaison model.

drawing funds for federal agencies

- Financial Oversight/Assistance - monitor and manage remaining balances or deficits
- Financial Report preparation and submission
- Financial Closeouts (in conjunction with the Closeout Team)

Closeout Accountants: After a research project account ends we complete the Financial Closeout Process during which we perform a comprehensive closeout analysis, reviewing all of the account activity over the lifetime of the award. This includes ensuring that CU-Boulder accurately reports the use of sponsored funds, recorded in the university's financial records and, have maintained compliance with the sponsor's terms and conditions throughout the project. The closeout process includes:

- Review account activity and make sure all expenses are allowable under each agreement's terms and conditions
- Closeout of financial accounts for grants and contracts
- This may include closeout of any subawards speedtypes

Closeout Accountants also serve as audit liaison for federal, state and private auditors.

SPA closeout procedures, 8/16/17, includes a sponsored project closeout checklist on page 3 of that document.

<p>Research Grant personnel reporting: ePERS Office of the Campus Controller, SPA accounting. Effort reporting is a requirement for recipients of federal awards as a means of attesting to the appropriateness of salaries and wages charged to the contract or grant. Sponsoring agencies require reasonable assurance that labor costs charged to a sponsored project reflect the actual effort expended on the project.</p>	<p>http://www.colorado.edu/controller/about-us/sponsored-projects-accounting/compliance/epers</p> <p>ePERS@colorado.edu Campus Controller’s Office, SPA</p>
<p>Office of the Campus Controller (CCO), Fiscal compliance, all funds, for the Boulder Campus. The office mission is to develop, implement, and maintain an annual internal review plan that will identify areas of financial and operational risk. CCO’s primary concern is with campus-wide internal controls that support reasonable levels of compliance. Includes alcohol purchases and other sensitive expenditures, and after the fact requisitions</p>	<p>http://www.colorado.edu/controller/campus-controllers-compliance</p>
<p>Human Subjects (IRB).</p> <p>The Institutional Review Board (IRB) at CU Boulder is responsible for the review of all human subject research when conducted by the university's faculty, staff, students or other affiliates and agents. The primary goal is to ensure human subjects are:</p> <ol style="list-style-type: none"> 1. Treated with dignity 2. Adequately protected from risk of harm 3. Provided informed consent so they may voluntarily and knowledgeably participate in research 	<p>http://www.colorado.edu/researchinnovation/irb/about-us</p>

<p>Animal Subjects (IACUC)</p> <p>The Animal Care & Use Program at the University of Colorado Boulder is comprised of the Office of Animal Resources (OAR), the Institutional Animal Care and Use Committee (IACUC), Occupational Health & Safety and all active researchers in labs or in the field.</p> <p>All research, teaching and testing projects conducted by faculty, staff or students involving vertebrate animal subjects at CU Boulder must be reviewed and approved by the IACUC prior to engaging in the research or other endeavors.</p>	<p>http://www.colorado.edu/researchinnovation/iacuc</p>
<p>Export Controls</p> <p>Working with foreign national collaborators, institutions, or students may fall under the purview of various federal export control laws. In general, these regulations involve military technology (including nearly all space-based research), “dual-use” technologies (including a wide range of equipment from distillers to lasers), as well as nearly any kind of financial transactions with certain embargoed countries or individuals.</p> <p>“Exports” are not limited to the physical export of equipment or software; “deemed exports” include dissemination of technical information to foreign persons, whether it occurs within or outside the US. This may occur in presentations, emails, personal conversations, site tours, or in training of foreign national researchers.</p>	<p>http://www.colorado.edu/researchinnovation/export-controls</p>

Basic and applied research may qualify for one or more of the exemptions or exclusions provided in the regulations. In some cases, it may be necessary to apply for an export license , which can take considerable time to develop. PIs should contact the Office of Contracts and Grants as early as possible if you think these may be required.

Conflict of Interest

The University of Colorado Boulder encourages scholarship, research and creative pursuits that lead to commercial and consulting activities. Such activities, however, have the potential to lead to conflicts of interest. Conflicts of interest reporting is required annually of:

- All faculty job types (including all levels of researchers)
- Museum Associates and Librarians
- Fellows
- Graduate students
- Any student involved with a CU-employee-affiliated company/entity.

Additional reporting and approval processes are necessary for employees who:

- Have external consulting types of arrangements
- Are involved in purchasing between the University and an employee-affiliated or family related entity
- Use self-authored instructional materials that are required in classes offered by CU.

<http://www.colorado.edu/researchinnovation/coi>

Controlled substances

It may be necessary to use controlled substances, as well as industrial hemp, in research and teaching activities on the CU Boulder campus. Controlled substances are identified in the schedules contained within the “Controlled Substances Inventory List,” published by the [U.S. Drug Enforcement Administration \(DEA\)](#).

University employees who are conducting research or teaching activities that involve controlled substances or industrial hemp must:

- comply with applicable federal and state laws and regulations regarding their use;
- possess any necessary US DEA and State of CO registrations;
- adhere to controlled substance *storage, inventory maintenance, and disposal* requirements;
- comply with reporting and record keeping requirements.

<http://www.colorado.edu/researchinnovation/controlled-substances>

Responsible Conduct of Research (RCR)

Education is required for all post-docs, and students involved in NSF- or NIH-sponsored research

- Any student or postdoctoral fellow who is paid from a **National Science Foundation (NSF)** grant award. [See NSF requirements](#)
- Trainees supported by specific awards (institutional

<https://www.colorado.edu/suep/urop/student-grants/university-compliance/rcr-responsible-conduct-research>

<p>training grants, educational grants, and research career development awards) from the National Institutes of Health (NIH). See NIH requirements</p>	
<p>Sponsored Research with Publication Restrictions</p> <p>On the CU-Boulder campus, petitions to accept research sponsorship that imposes restrictions on publication must be reviewed by the Standing Committee for Restricted, Proprietary, and Classified Research, which will then make recommendations to the Chancellor, or the Chancellor’s designee.</p> <p>Work closely with the Office of Contracts and Grants (OCG) on your proposal and awards. OCG personnel will try to negotiate with the sponsor to remove publication restrictions. If that negotiation is not successful, and you still wish to seek funding from the sponsor, you must formally request a waiver of the policy on Restricted, Proprietary, and Classified Research .</p>	<p>https://www.colorado.edu/researchinnovation/restricted-proprietary-and-classified-research</p>
<p>Research involving rDNA, bloodborne pathogens, or toxins</p> <p>The Institutional Biosafety Committee (IBC) is responsible for reviewing all University research and teaching activities involving the use of biohazards, recombinant DNA molecules, select agents, or bloodborne pathogens whether the activities are carried out on campus or off campus (usually under other Institutional Biosafety Committees).</p> <p>Most biological research requires IBC authorization prior to initiation.</p>	<p>https://ehs.colorado.edu/lab-support/biosafety/institutional-biosafety-committee-ibc/</p>

<p>This authorization must be renewed every 3 years.</p>	
<p>Research involving Hazardous Waste Use of chemicals and hazardous materials in research at CU Boulder is overseen by the <u>Hazardous Materials and Waste Management Unit</u> and the <u>Environmental Compliance and Industrial Hygiene Unit</u>.</p> <p>Training is required annually.</p>	<p>https://ehs.colorado.edu/lab-support/chemicals-and-hazardous-materials/</p> <p>https://ehs.colorado.edu/training/hazardous-waste-generators-refresher/</p>
<p>Research involving Radioactive Sources</p> <p>The <u>Radiation Safety Unit</u> supports all safety in research involving radioactive materials and radiation-generating machines on the CU Boulder and Colorado Springs campuses. We provide resources, training, and various required safety programs to help you conduct your research and minimize any danger or health hazards in the process.</p> <p>The University of Colorado has been granted a license for the use of radioactive materials and radiation-generating machines in research. This license has been granted by the <u>Colorado Department of Public Health & Environment (CDPHE)</u> under an agreement with the Nuclear Regulatory Commission, and it calls for compliance with applicable federal and state laws. We work to maintain the health and safety of all radiation-workers at CU Boulder.</p> <p>Training is required ; refresher training is required every 3 years.</p>	<p>https://ehs.colorado.edu/lab-support/radioactive-materials/</p> <p>https://ehs.colorado.edu/training/unsealed-radioisotope-users-instruction/</p>
<p>Sponsored Projects with Confidential Unclassified Information (CUI) Effective December 31, 2017, grants and contracts which are deemed by the</p>	<p>Questions can be sent to ict-compliance@colorado.edu</p>

federal government to involve *confidential unclassified information (CUI)* will require compliance with additional security standards (NIST 800-171). The following are examples of CUI that CU might receive from or produce for a Federal Agency:

- export controlled research data,
- critical infrastructure information,
- controlled technical information,
- personally identifiable information (PII) such as government issued identification, genetic or health data,
- information pertaining to law enforcement operations, investigations, prosecutions, or enforcement actions,
- student financial records.

Contracts and Grants which are deemed to involve CUI will have language (as part of the Federal Acquisition Regulation (FAR) or Defense Federal Acquisition Regulation Supplement (DFARs) clause) requiring that we comply with FAR 52.204-21 or NIST SP 800-171

NIST 800-171 involves 110 specific IT system and security controls within 14 broad categories.

<http://www.colorado.edu/ocg/manage-awards>

<https://oit.colorado.edu/services/identity-access-management/rfp-guidance> (TBD)

** Processes are being developed by OIT with support from OCG on how departments and Pls comply with the CUI and NIST 800-171 requirements.

OIT is developing a System Security Plan that will most likely be required by Sponsors as a part of the proposal and award requirements.

OCG has been working OIT to comply with NIST requirements for CUI related awards. OIT has engaged Pls and departments on a case by case basis to close any system and security control gaps. Sponsors will need confirmation of compliance prior to award.