

 <p>Research & Sponsored Programs UNIVERSITY OF DENVER</p>	<p>Office of Research and Sponsored Programs Policy Manual</p> <p>Award Acceptance</p>
	<p>Policy Number: ORSP-13</p>
<p>Recommended By: Director of Sponsored Program Administration; Sponsored Programs Research Advisory Council</p> <p>Approved By: Senior Vice Provost for Research and Graduate Education</p>	<p>Effective Date: 03/05/2024</p>

1. PURPOSE

To provide a clear framework for the University’s acceptance of Sponsored Program awards, that is a transparent mechanism to provide clear guidelines to University personnel for Awards solicitation and acceptance. The University is committed to ethical use, solicitation and administration of all Awards.

2. DEFINITIONS

- 2.1. Awards are agreements between the University and an external entity under which there is a transfer of anything of value from the external entity to the University to aid the University in reaching a particular institutional goal or public purpose.
- 2.2. Principal Investigator is the University employee that leads a funded program or project and is responsible for the proper conduct of research, financial management, and other activities described in the proposal, grant, contract or other instrument of agreement.
- 2.3. Sponsored Programs are programs or projects that are funded by an external entity through a written agreement (grant, agreement or other instrument) with the University. Sponsored Programs include specific research, training, or service programs and projects.

3. POLICY

- 3.1. The Office of Research and Sponsored Programs (ORSP) manages and administers all Sponsored Program Awards. This includes any and all incoming funds whereby distribution of the funds to the University is conditioned on certain terms and conditions or when funding is in furtherance of a particular deliverable or thing.
- 3.2. The University will make reasonable efforts to screen all Sponsored Program proposals prior the submission of the proposal to an external entity. Principal Investigators that propose Sponsored Programs must submit to ORSP their Sponsored Program proposals pursuant to the Proposal Submission Review and Approval Policy (ORSP-16) so appropriate screening may occur.
- 3.3. The University will not accept Awards that in its judgement:
 - 3.3.1. Violate this, or any other University policy.
 - 3.3.2. Violate a federal, state, or other law or other regulations.
 - 3.3.3. Are too difficult or expensive to administer.

- 3.3.4. Were acquired by other than legal means.
 - 3.3.5. Are from international entities not already known to or affiliated with the University, as determined by the University in the sole discretion of ORSP through a due diligence process defined as the research and assessment of publicly available information that confirms the entity is not otherwise in conflict with any University policy.
 - 3.3.6. Are too restrictive in purpose, or compromise the academic freedom of the University community of faculty and students pursuant to [University Policy PROV 2.30.081 – Statement of Policy and Principles on Freedom of Expression](#).
 - 3.3.7. Could create unacceptable liability or cause the University to incur future unanticipated or anticipated expenses.
 - 3.3.8. Are for purposes that do not further the University's mission.
 - 3.3.9. Could damage the reputation of the University or are contrary to the University's values.
 - 3.3.10. Would jeopardize the University's tax-exempt status.
- 3.4. Any Award that falls into the categories of Section 3.3 above will not be accepted by the University and a Principal Investigator will not knowingly submit a Sponsored Program proposal that they know will violate this policy. The Vice Provost for Research (VPR) may grant exception to this policy.
- 3.5. The acceptance of a Award does not imply nor mean that the University endorses or approves of the Sponsors views, opinions, businesses, or other activities.
- 3.6. When determining whether or not to accept an Award, the University will comply with applicable federal and state laws and regulations, as well as applicable laws of other countries, including but not limited to:
- 3.6.1. Federal laws and regulations regarding anti-terrorism and illegal financial activities, including money laundering.
 - 3.6.2. Department of Treasury Regulations.
 - 3.6.3. The Colorado Uniform Prudent Management of Institutional Funds Act (UPMIFA), as may be amended.
 - 3.6.4. The United States' Civil Rights Act of 1964 that prohibits discrimination on the basis of race, gender, national origin, and other individual characteristics.
- 3.7. The VPR serves as the executive officer responsible for planning and coordinating all Sponsored Programs and activities where the University is engaged in research, scholarship, or other creative work. The VPR is responsible for the establishment, oversight, and adherence of these policies. The VPR is responsible for approving all Awards.
- 3.8. Awards will be considered from the academic point of view as well as appropriateness to administrative programs and policy. Grants must be reviewed and approved by the head of the appropriate academic or administrative unit pursuant to the Proposal Submission Review and Approval Policy (ORSP-16).

4. PROCESS

- 4.1. Any Award that is being issued by an entity that is not the Government of the United States or any of its states, territories or municipalities will undergo a risk assessment conducted by ORSP. The following factors will be considered at a minimum during a risk assessment:
 - 4.1.1. Restricted party screening, including the key employees.
 - 4.1.2. Previous history with the University.

- 4.1.3. Corporate Organization.
- 4.1.4. Location.
- 4.1.5. Reputational risk to the University.
- 4.1.6. Number of employees.
- 4.1.7. Valuation.
- 4.1.8. Debt.
- 4.1.9. Credit risks.
- 4.1.10. Bankruptcy.
- 4.1.11. Tax liens.
- 4.1.12. Audit finding.

4.2. Based on the risk assessment conducted by ORSP, acceptance of the Award may be conditioned on specific factors or require specific monitoring conducted by ORSP or another University department. Continued good faith monitoring and satisfaction of the terms thereof is required for continued disbursement of Sponsored Program funds.

4.3. All Awards records will be maintained by ORSP using its electronic research administration system (InfoEd). Award records will be maintained pursuant to the Record Retention Policy (ORSP-22).

5. RESOURCES

- 5.1. [Statement of Policy and Principles on Freedom of Expression – PROV 2.30.081](#)