
POLICY FOR PARTICIPATION IN EXTERNALLY FUNDED RESEARCH AND SPONSORED PROGRAMS (DEBARMENT OR SUSPENSION)

POLICY STATEMENT

This policy provides a consistent and compliant process for the approval of participation of any person or entity in externally funded research and sponsored programs of Lipscomb University (“Lipscomb”).

PURPOSE

The purpose of this policy is to outline the procedure for ensuring that all participants, entities, and subawards are eligible for participation in externally funded research and sponsored programs. The procedures set forth in this policy help ensure that externally funded research and sponsored programs adhere to and comply with the highest standards, are in continual compliance with Federal rules and regulations, and are conducted consistently across all contracts and awards held or submitted by Lipscomb.

APPLICABILITY

This policy is applicable to any Lipscomb employee or student participating in an externally funded research or sponsored program, including, without limitation, participation in any grant, contract, subaward, or other externally funded contractual obligation.

DEFINITIONS

Capitalized terms that are used but not otherwise defined in this policy have the following meanings:

CFR means the Code of Federal Regulations.

Federal Agency or Agency, as defined in 5 U.S.C. § 551(1), generally means each authority of the Government of the United States, whether or not it is within or subject to review by another agency.

FR means the Federal Register.

AUTHORITY

This policy is aligned with applicable Federal rules and regulations, including, without limitation, the following:

- (a) Executive Order 12549, which establishes federal regulations “... in order to curb fraud, waste, and abuse in Federal programs, increase agency accountability, and ensure consistency

among agency regulations concerning debarment and suspension of participants in Federal programs.”

(b) Executive Order 12689, which indicates that “[n]o agency shall allow a party to participate in any procurement or nonprocurement activity if any agency has debarred, suspended, or otherwise excluded (to the extent specified in the exclusion agreement) that party from participation in a procurement or nonprocurement activity.”

(c) 2 CFR § 200.214, which states that “[n]on-federal entities and contractors are subject to the non-procurement debarment and suspension regulations implementing Executive Orders 12549 and 12689 [These regulations] restrict awards, subawards, and contracts with certain parties that are debarred, suspended, or otherwise excluded from or ineligible for participation in Federal assistance programs or activities.”

(d) Section (H) of 2 CFR Appendix II to Part 200, which states that “[a] contract award (see 2 CFR 180.220) must not be made to parties listed on the governmentwide exclusions in the System for Award Management (SAM), in accordance with the OMB guidelines at 2 CFR 180 that implement Executive Orders 12549 (3 CFR part 1986 Comp., p. 189) and 12689 (3 CFR part 1989 Comp., p. 235), ‘Debarment and Suspension.’ SAM Exclusions contains the names of parties debarred, suspended, or otherwise excluded by agencies, as well as parties declared ineligible under statutory or regulatory authority other than Executive Order 12549.”

PROCEDURES

DEBARMENT AND SUSPENSION SEARCH

Any externally funded contract award, including any subaward received from a partnering entity, issued to Lipscomb may not include or involve any person or entity engaged in the management or operation of the research or sponsored program who is federally debarred or suspended from such participation. To ensure compliance with applicable federal rules and regulations, Lipscomb will conduct a search of all such persons and entities prior to the acceptance of any such award using the publicly accessible System for Award Management (SAM) website, located at www.sam.gov.

To ensure that a consistent process is established to govern the flow of all contract mechanisms, Lipscomb’s Office of Research and Grants may also conduct debarment and suspension searches of any person or entity participating in activities funded by non-federal grants.

CONFIDENTIALITY

Lipscomb’s Office of Research and Grants shall maintain the confidentiality of any results produced from a debarment and suspension search conducted through www.sam.gov. Notwithstanding the foregoing, the Office of Research and Grants may notify any entity of any federal debarment or suspensions identified in the public record and, at its discretion, may decline the related award or substitute the participation of other persons or entities that are not debarred or suspended from participating in such research or sponsored program.

INELIGIBILITY RECEIVED DURING PARTICIPATION

Any person or entity administering or participating in a contract award issued to Lipscomb that receives notification from a federal agency that such person or entity is considered ineligible (through

debarment or suspension) while participating in such a contract award shall immediately notify Lipscomb's Office of Research and Grants regarding their eligibility status. Such notifications shall be in writing and contain appropriate documentation from the federal agency of such status.

CONTACT

For additional information or questions regarding this policy, contact the Office of Research and Grants by email at researchandgrants@lipscomb.edu or by phone at 615-966-5907.

EFFECTIVE DATE

This policy was approved by the Office of the Provost on November 3, 2022.