
**POLICY FOR THE PREPARATION, APPROVAL, AND SUBMISSION OF
EXTERNALLY FUNDED RESEARCH AND SPONSORED PROGRAMS**

POLICY STATEMENT

Lipscomb University (“Lipscomb”) personnel must submit all documentation for externally funded research and sponsored programs for internal approval, which is only authorized for submission upon approval by the Office of Research and Grants.

PURPOSE

The purpose of this policy is to establish guidelines for the preparation and approval of externally funded programs to be ultimately submitted by the Office of Research and Grants (which provides an authorized signatory agent for proposals).

APPLICABILITY

This policy is applicable to any Lipscomb full-time, exempt employee participating in an externally funded research or sponsored program administered by the Office of Research and Grants, unless an exception has been granted by the executive administration.

DEFINITIONS

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

- A. *Principal Investigator (PI)* and *Project Director (PD)*. Lipscomb considers a PI and PD to be the individual who bears the responsibility for the overall operation and performance of the award, including management, reporting, subrecipient monitoring, record retention, compliance, effort certification, and other activities supporting program delivery and management. The term PI may be commonly seen in research grants, whereby PD is commonly used for awards which are more programmatic in nature without a dedicated research component. The term principal investigator is intended to include, by reference throughout this policy, the role of co-principal investigator.

PROCEDURES

Routing Form. All proposals for external funding must be approved by the PI/PD’s supervisor(s) on the institution’s Routing Form prior to any review or subsequent approval by the Office of Research and Grants. No proposal may be submitted without completing the Routing Form without pre-approval by the Office of Research and Grants.

Authorization to Submit. Proposals on behalf of Lipscomb are only authorized to be submitted by the Office of Research and Grants, unless otherwise delegated.

Timeline for Submission. PI/PDs are encouraged to submit all proposal documents and the Routing Form in ample time to enable all approvers and the Office of Research and Grants to review all documentation for compliance. As a general practice, PI/PDs are encouraged to submit to the Office of Research and Grants any and all materials two (2) weeks prior to the proposal due date.

Limited Submissions. Certain solicitations limit the number of proposals that Lipscomb may submit. Such proposals shall be coordinated through the Office of Research and Grants, whose determination shall be final.

FORMS

- Proposal Routing Form (to be located electronically on the website of the Office of Research and Grants).

CONTACT

For additional information or questions regarding this policy, contact the Office of Research and Grants, which can be reached at 615-966-5907.

EFFECTIVE DATE

This policy was approved by the Office of the Provost on November 3, 2022. This policy should be reviewed, and any appropriate changes made and duly approved, on an annual basis to ensure compliance with applicable law.