

1. PURPOSE

The purpose of this Policy is to supplement LAU’s Code of Ethics to provide additional detail for compliance with sponsored awards, as defined below. The guidelines in this Policy are not new—they are included within LAU’s current ethical practices. This Policy simply provides additional detail to reinforce the importance of these guidelines to LAU in connection with its dealings with the awarding agencies, the Awardees, Prime Contractors, and the Subrecipients and Subcontractors who serve such entities (“Public Sector”). LAU and all LAU employees are committed to ethical behavior in all Public Sector dealings.

The performance of Awards and Contracts invokes a complex set of laws, regulations, and clauses which—in some instances—vary from those governing relationships with commercial entities. This policy touches on a few core differences.

2. TERMS AND DEFINITIONS

The following terms shall have the meanings indicated below for purposes of this Policy, regardless of whether

- Award – sponsored awards, including illustratively U.S. grants, cooperative agreements, and any other financial assistance from an Awarding Agency. U.S. Federal agreements are subject to [2 CFR Part 200](#).
- Awardee – The recipient of an Award directly from an Awarding Agency.
- Awarding Agency - The department or agency that solicits and enters into an Award or a Contract.
- Contract, including FAR ones, – Any contract awarded to LAU by an Awarding Agency for the acquisition of goods or services and that is subject to the general acquisition regulations of the awarding agency, such as the FAR in the case of U.S. Federal contracts.
- Cost – As further defined in Section 4 below, the term includes all costs incurred in connection with an Award or Contract, charged directly or indirectly to an Award or Contract, and/or which LAU claims as part of a Cost Share for an Award.
- Federal Acquisition Regulation or “FAR” – The regulations in Title 48 of the Code of Federal Regulations implementing uniform policies and procedures for acquisitions by Government executive agencies.
- LAU –refers to Lebanese American University.
- Subcontract – A subcontract issued under a Contract for the purchase of property or services needed to carry out the performance of a Contract.

3. RESPONSIBILITIES

3.1 It is the responsibility of all departments, faculty, staff and other employees to fully comply with this Policy. It is imperative that each person reviews, understands, and complies with this Policy and all laws, regulations, and provisions governing our dealings with the Public Sector. Violations may result in severe consequences to LAU and all individual violators. Each person should seek help when questions arise relating to responsibilities relating to the Public Sector.

3.2 The Office of Grants and Contracts, in close coordination with the Human Resources department, will be responsible for:

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- 3.2.1 Coordinating with Finance Department to properly educate all LAU faculty, staff, and other employees on the Policy and its purpose;
 - 3.2.2 Updating the Policy as necessary to address changes in applicable Awards, Contracts, and/or regulations;
 - 3.2.3 Oversee the implementation of the Policy through coordination with Human Resources and Accounting.
- 3.3 Any questions concerning this Policy should be directed to the following, in this order:
- 3.3.1 Direct Supervisor,
 - 3.3.2 Director-Office of Grants and Contracts.

4. SCOPE / APPLICABILITY

This Policy applies to the performance of all sponsored Awards and Contracts. This policy should be viewed as a supplement to LAU's other policies, which can be found at <http://www.lau.edu.lb/about/governance-policies/policies/>. Implementation of this Policy is intended to ensure that the LAU's performance of its Awards and Contracts will comply with all applicable terms and laws.

5. STATEMENT OF POLICY

Our dealings with the Public Sector are guided by LAU's Code of Conduct and other policies, as clarified by the following guidelines and basic principles:

- 5.1 ***Books, Records and Communications.*** We will communicate truthfully and accurately with the Public Sector (and their agents) in all emails, letters, proposals, representations and certifications, and contract reports. We will never knowingly make a false statement or submit a false claim to a Public Sector entity, directly or indirectly. This includes the submission of inaccurate or misleading information in support of costs or prices, the submission of improper invoices, or inaccurate or misleading representations or certifications. We will maintain all relevant documentation in accordance with all applicable regulations and sponsored Award and Contract provisions.
- 5.2 ***Gifts/Bribes/Gratuities/Entertainment/Kickbacks.*** The rules for gifts, gratuities and entertainment relating to Public Sector entities are different from those relating to commercial customers. In particular, LAU and its employees recognize that it is illegal and unethical to: (1) compete for Public Sector funds or award Public Sector work on anything other than the merits, and (2) provide anything of value or accept anything of value to reward or obtain favorable treatment. We will not offer, provide, solicit or accept anything of value in return for obtaining or rewarding favorable treatment concerning Public Sector funds; offer or provide anything of value in return for or to influence an act by an awarding agency employee; or provide anything of value—even nominal value—to an awarding agency employee unless explicitly authorized by LAU management after appropriate Legal review. Things of value include but are not limited to, cash, meals, cocktails, lodging, transportation, greens fees, free goods, tickets to events and gift certificates.
- 5.3 ***Cooperation with Awarding Agency Reviews.*** Under the guidance and direction of necessary and appropriate legal representation, we will cooperate fully with all reviews (including audits) of our Awards and Contracts and will make full disclosure, as

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appropriate, of legal violations of those agreements when required by regulation, contract or LAU policies and procedures. As part of our cooperation, we shall not alter or delete documents relating to these agreements except in accordance with established record retention requirements.

5.4 **Cost Records.** We will make and retain accurate records relating to time billed and work performed. We will comply with all laws, regulations, Award and Contract provisions and LAU policies regarding Cost reporting, including time charging.

5.5 **Hiring Awarding Agency Employees.** There are unique restrictions on employing current and former awarding agency employees. We will fully comply with all laws and regulations relating to employment discussions and employment decisions involving awarding agency officials and employees.