





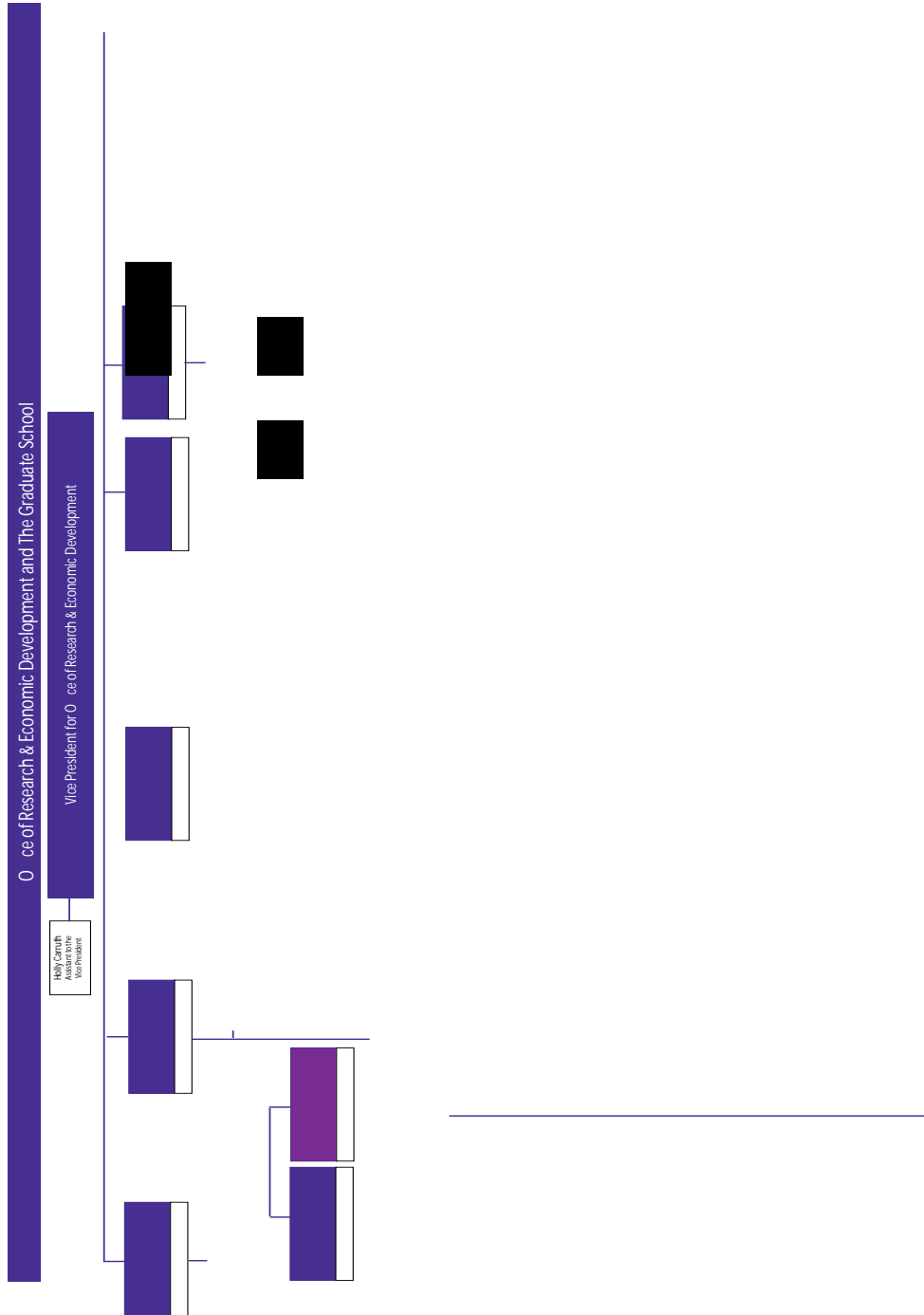
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The Office of Research & Economic Development has a large number of units reporting directly to the Vice President, most of which are centers and institutes of various types. In addition, other main administrative and support units that report to ORED are the Office of Sponsored Programs, the Office of Intellectual Property, Commercialization, and Development, and the Graduate School. These units and their functions are discussed at more length later in this document.

In addition to these reporting units, ORED also has an advisory body, the Council on Research. The Council is concerned with increasing sponsored program funding, facilitating research and creative efforts and ensuring that LSU's organized research and public service units are models of excellence. ~~Reporting to the Deputy Vice President for Public Service are the Business Manager Scott Moreau, Assistant~~



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All research at LSU is governed by numerous federal and state regulations. The most commonly confronted issues are those having to do with research on human subjects, the use of animals in research, biological materials such as recombinant DNA, or radioactive materials. The four main units responsible for vetting and approving research projects using human subjects, animal subjects, biological materials or recombinant DNA, or radioactive materials are the Institutional Review Board (IRB), the Institutional Animal Care and Use Committee (IACUC), the Inter-Institutional Biological and Recombinant DNA Safety Committee (IBRDSC), and the Radiation Safety Office. All researchers are responsible, before the onset of their research projects, for assuring that their research protocols are compliant by way of having the appropriate approvals prior to beginning the relevant work. In the case of research using animals, there are 'Just in Time' procedures in place so that researchers do not have to fully complete their IACUC paperwork until they are notified that funding for their proposed work is forthcoming.

Researchers new to LSU should thoroughly familiarize themselves with the relevant compliance protocols BEFORE beginning their research project.

In addition to being compliant with the research regulations enforced by the various review boards, there are a variety of protocols that generally fall under the rubric of Responsible Conduct of Research that all LSU researchers should familiarize themselves with. Responsible conduct of research encompasses a very wide variety of issues, including responsible data management and sharing, human subject protection, and negotiating authorship on scholarly works. The National Science Foundation and the Public Health Service have required Responsible Conduct of Research training information available, and the Department of Health and Human Services is a good source of information as well. All LSU researchers are encouraged to obtain Responsible Conduct of Research training with Collaborative Institutional Training Institute (CITI) program.

LSU's Financial Conflicts of Interest in Research (PS-98) governs the disclosure of individual Significant Financial Interests and the management and reporting of an individual Financial Conflict of Interest in research performed at LSU by implementing the federal regulations promulgated by the Public Health Service (PHS) of the US Department of Health and Human Services (DHHS), as well as those adopted by the National Science Foundation (NSF). This Policy promotes objectivity in PHS, NSF and other applicable agencies funded research by establishing standards to identify and address potential, actual, and apparent Financial Conflicts of Interests. Objectivity of researchers is essential in scientific research for the maintenance of public trust, and the health and safety of those relying on the integrity of the research.

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ships, and others. The Office of Sponsored Programs Guide discusses the differences between most types of financial awards beginning on page 31. Similarly, the Office of Accounting Services Post Award Administration Manual provides a useful list of general terms starting on page 3, and a set of useful guidelines distinguishing Gifts and Sponsored Agree-



For many scholars new to sponsored program activity, the development of research support budgets is the most vexing task. In very general terms, there are two types of costs found in budgets, those classified as Direct Costs, and those classified as Facilities & Administrative (F&A) costs, formerly referred to as indirect costs. Both the Office of Sponsored Programs guide and the Office of Accounting Services Post Award Administration manual referenced above are excellent resources for getting a handle on the budget development process, including understanding the differences between direct costs and F&A costs.

All research proposals that request funding and will be awarded to and administered by LSU are REQUIRED to be routed electronically through the Sponsored Programs System (SPS). This electronic routing system can be accessed via researchers' PAWS accounts under the Research Resources tab. All of the information necessary to get started with SPS, including training sessions, can be found on the SPS webpage.

It is imperative that all researchers realize that even if a funding agency does not require electronic submission of proposal

Many sponsored projects involve hiring personnel, including undergraduate student workers, graduate students, post-doctoral researchers, research faculty, and administrative support personnel. The LSU Office of Human Resource Management has extensive resources to assist in this process and to make sure advertising and hiring processes follow appropriate protocols.

Millions of dollars of research expenditures at LSU involve purchasing equipment and supplies. In general, researchers have unit level support staff who should be responsible for purchasing necessary items. There are a variety of rules and procedures governing the purchasing enterprise, and the Purchasing Office maintains a website where most of the relevant information can be found.

Moreover, it is always prudent to provide as much justification and explanation for purchasing transactions as possible. This is especially true for items that, when taken at face value, do not have an obvious connection to the research enterprise. In this case, more information is always better than less information. Purchasing Office contacts can be found on their webpage.

As a general rule, when any larger or complex purchase is planned, the researcher and the cognizant unit-level administrative support staff should consult with an LSU Purchasing Office Coordinator well ahead of time so that the purchasing process goes smoothly and so that the intended purchase does not initially get disallowed. In general, planning is an important part of the grant expenditure process, and appropriate stewardship of grant monies is always the highest priority.

Travel is a common feature of the research enterprise. Travel information, forms, and regulations are all handled via the Accounts Payable and Travel Office. A few special issues related to travel include the following:

When a major trip lasting more than 30 days is planned, researchers should contact Accounts Payable and Travel Office staff several months in advance of the trip if possible to establish procedures for supporting researchers while they are in the field, and to determine the exact nature and extent of documentation that is required in order to receive proper reimbursement.

In addition, when undertaking international travel, researchers should always check the US Department of State website for Travel Warnings. Travel Warnings are issued when conditions in a country are such that it is considered dangerous or unstable, or when the State Department staff will be unable to assist American Travelers due to embassy closures or other conditions.

The mission of the Office of Intellectual Property, Commercialization & Development is to identify, protect, and commercialize intellectual property developed from University research for the benefit of the inventors, the University, and the public.

Many researchers make inventions or discoveries during the course of their research that may have commercial potential or economic development implications. The Office of Intellectual Property, Commercialization & Development (OIPCD) is the unit responsible for overseeing and facilitating the technology transfer process at LSU, including the evaluation, protection, marketing, and licensing of new inventions and discoveries. All LSU employees are required through their employment contracts to disclose any new discovery or invention resulting from their research to the OIPCD. The OIPCD has a Technology Disclosure Form for this purpose. A technology disclosure is a legal document formally providing the University with a description of the invention or creation as well as the technology Disclosure evaluation and patent application process can take time. In order to allow OIPCD sufficient time to evaluate the disclosure, make a decision about filing a patent application, and arrange for outside patent counsel without inhibiting publication, researchers are strongly encouraged to submit their Technology Disclosures well in advance of submission of any publication for a potentially patentable technology.

details about sponsorship of the research, inventors and possible commercial use. Following submission of a technology disclosure to OIPCD, the innovation will be evaluated for its commercial potential and possibly patented. LSU bears the cost of protecting and commercializing the innovation. If commercialized, 40% of royalties collected from licensing are distributed among the inventors as personal income.

The OIPCD is also responsible for agreements such as Confidentiality/Nondisclosure Agreements and Material Transfer Agreements that facilitate the research at LSU and work to protect rights in new inventions and discoveries.

#### Confidentiality/Nondisclosure Agreements

A confidentiality or nondisclosure agreement (CDA/NDA) is a contract that governs the disclosure of proprietary information from one party to another. The agreement defines the terms of the disclosure and obligations of the parties. At LSU, NDAs are used when receiving and providing confidential information. While the agreement is between LSU and the organization, the responsibility of maintaining confidentiality ultimately lies with the researcher. These agreements legally bind the University to specific obligations and must be signed by an authorized LSU official - the Associate Vice President for Intellectual Property, Commercialization & Development.

#### Material Transfer Agreements

A Material Transfer Agreement (MTA) is a contract that governs the transfer of proprietary material from one entity to another. The agreement defines the terms of the transfer and obligations of the receiving party. At LSU, MTAs are used for

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Trademarks protect words, colors, sounds, icons, images, phrases, and other identifiable marks that are connected with goods and services offered by an entity. They exist to protect the relationship between a product or service and its owner, and they are used to separate one entity's products/services from its competitors. Trademarks are identified with the symbol TM or SM.

The Office of Intellectual Property, Commercialization & Development occasionally licenses trademarks that are associated with a specific technology being commercialized by LSU. Licensing of LSU Trademarks is administered through the LSU Trademark Licensing office.



### B R B

- Article VII Section 8D Significant Board Matters Requiring Approval by the Board
- Chapter VII - "Intellectual Property"

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- PM-11 Outside Employment of University Employees (PM-11 Form)
- PM-15 Copyright Guidelines Regarding Electronic Learning
- PM-16 Technology Transfer
- PM-64 LSU Intellectual Property Distribution of Royalties and Other Matters
- PM-67 Contracts between the University and its Faculty Members

### B B B

- PS-68 University Intellectual Property Rights in Sponsored Research Projects
- PS-77 Distribution of Campus Share of "Distributable Royalties"
- PS-93 Use of University Name and Indicia

For further information on licensing, LSU Technologies, faculty participation in start-up companies and policies related to LSU Intellectual Property check the OIPCD website, [www.lsu.edu/intellectual\\_property](http://www.lsu.edu/intellectual_property).



LSU and the LSU System have a variety of Policy Statements and Permanent Memoranda that pertain to the process of research at LSU. Researchers should familiarize themselves with the ones most pertinent to their particular research environment or situation. Links to a number of the most obvious ones are provided below.

### B B B B

- PS-06-20 Security of Data
- PS-19 Environmental Health and Safety
- PS-32 Proposal Review and Approval Procedures
- PS-47 Employee Benefit/Indirect Cost Rates
- PS-50 Responsibilities and Concerns of University Personnel
- PS-51 Confidentiality in Sponsored Projects
- PS-65 Management of Human Body Fluids/Waste
- PS-68 University Intellectual Property Rights in Sponsored Research Projects
- PS-69 Research Misconduct

- PS -94 International Agreements
- PS-98 Disclosure of Financial Interests
- PS-99 Radiation Safety Violations
- PS-101 Appropriate Use of University Equipment and Property
- PS-103 Service Centers and Recharge Operations

Professional and Academic

- PM-10 Indirect Cost Allowances on Grants and Contracts
- PM-11 Outside Employment of University Employees
- PM-13 University Travel Regulations
- PM-16 Technology Transfer
- PM-27 Placement of Sponsored Agreements
- PM-30 Radiation Protection Program
- PM-67 Contracts Between the University and its Faculty Members

Administrative and Support

- Credit Distribution
- NSF Data Management Plan
- NSF Cyberinfrastructure Data Management Plan
- Responsible Conduct of Research Training
  - NSF Responsible Conduct of Research Training Form
- Cost Sharing or Indirect Cost Reductions and Waivers - Request for Approval Form
- Ad Hoc Request for Resources Support Form

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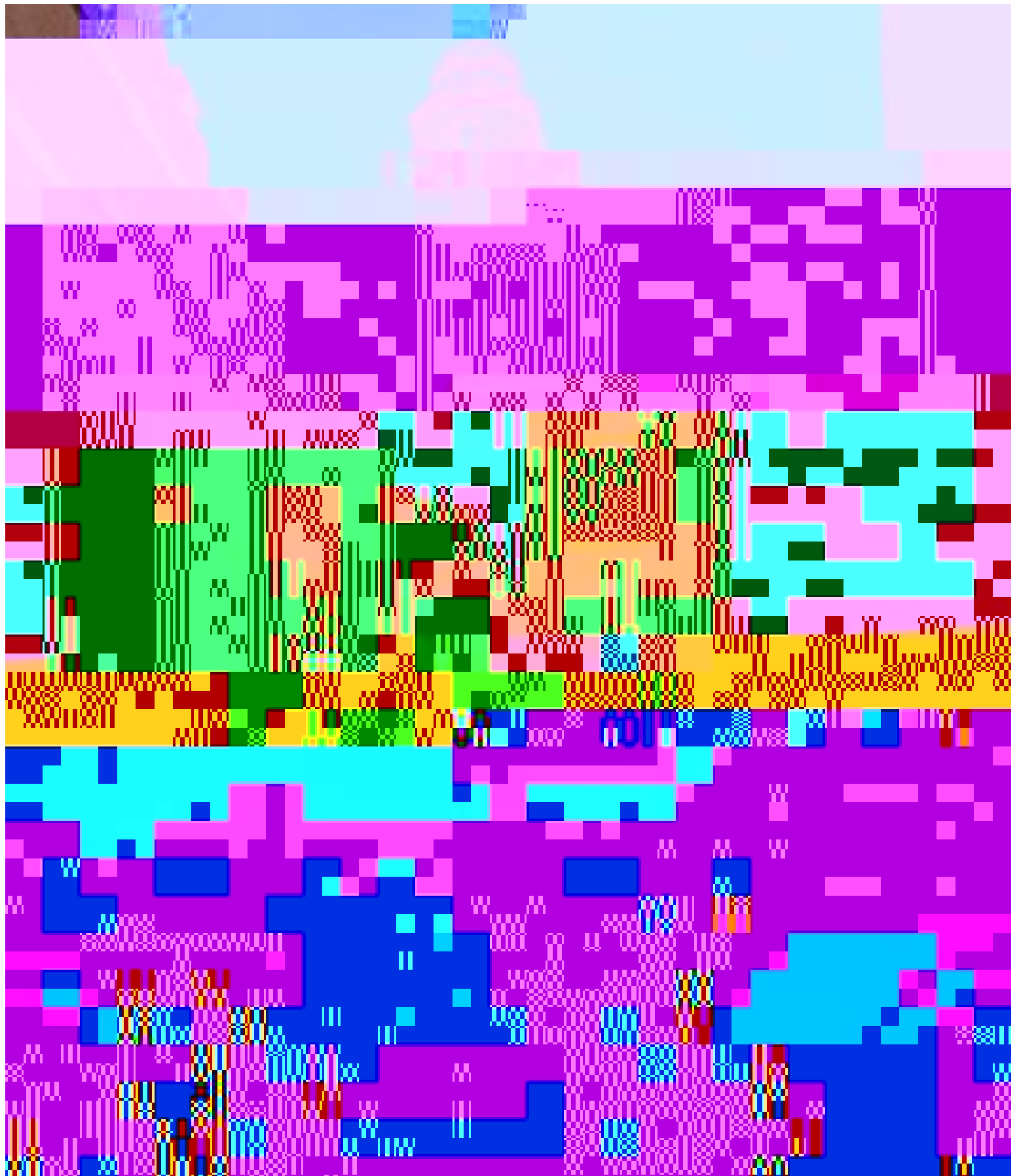
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