



COORDINATED BY: Office of Academic Affairs
ORIGINAL EFFECTIVE DATE: January 1, 1981
REVISED: September 1, 2004 Page 1 of 4

SUBJECT: Sponsored Research

I. PURPOSE

Louisiana State University in Shreveport (LSUS) will recognize and encourage sponsored research activity by its faculty members. Such activity is desirable because it falls within the role, scope, and mission of LSUS, promotes the professional development of the faculty, and results in the improvement of the quality and scope of the educational programs. This policy statement outlines procedures for university approval of proposals and applications for sponsored projects, e.g., grant requests and research proposals.

II. POLICY

- A. The university must depend on sources, other than its general fund, for the financing of various innovative programs. Faculty and staff are strongly encouraged to prepare requests for outside support including applications, proposals, and contracts. Any proposal to a potential external sponsor represents a formal offer by LSUS acting as an agency of the State of Louisiana. As such, any proposal submitted must be endorsed by the university through the institutional approval process outlined below. Under no circumstances may a proposal be submitted without prior university approval.
- B. The Office of Sponsored Research (OSR) serves as the central office for review and transmittal of all federal and nonfederal proposals. This office coordinates these activities with the LSU System Division of Federal Affairs. Contracts for training or other events conducted in the normal operation of the Division of Continuing Education and Public Service are not processed through the OSR. Two copies of all proposals and a completed institutional approval form should be submitted to the OSR for university approval. Proposals should be submitted to OSR at least three working days before the mailing deadline to permit careful consideration by all persons reviewing the proposals.
- C. Assuming approval at each review point, a grant or contract proposal is transmitted by the project director through his/her department chair and dean to the Associate Vice Chancellor for Sponsored Research, who acting upon recommendations from both the chair and dean, transmits the proposal to the Vice Chancellor for Business Affairs and then the Provost and Vice Chancellor for Academic Affairs. The

Chancellor has final authority for approving all grant and contract applications, but the Chancellor may choose to delegate the authority. The Chancellor has delegated this authority to the Provost and Vice Chancellor for Academic Affairs. Each officer who approves a proposal must be given time to review and consider its merits and impact should the proposal be funded. "Walking through" a proposal at the last minute obviates an administrator's ability to act responsibly. If disapproval is given at any point in the above procedures, the proposal is returned through channels to the project director with appropriate explanation. On proposals, the Chancellor should be designated as the Administrative Head of the Institution. The Provost and Vice Chancellor for Academic Affairs should be designated as Authorized Institutional Representative, and the Associate Vice Chancellor for Sponsored Research should be designated as the person to be notified if an award is made. The Fiscal Officer is the Vice Chancellor for Business Affairs and the person who is to receive checks which are to be made payable to Louisiana State University in Shreveport.

III. RESPONSIBILITIES AND PROCEDURES

- A. Project Director (initiating officer, principal investigator)
The Project Director holds primary responsibility for the technical conduct of the project, for administrative and budgetary management, and for compliance with all university policies and procedures. The Project Director is also responsible for complying with all contractual obligations, requirements and restrictions set by the sponsor. Charges incurred on projects which are later deemed unallowable due to sponsor restrictions are the responsibility of the Project Director's department and/or college.
1. During the planning stage and before actual proposal writing begins, the Project Director provides the OSR (in writing) the name and address of the funding agency, type of proposal, and the deadline for filing.
 2. Originates and prepares the proposal.
 3. Supplies to the department chair the following documents:
 - a. The number of copies for original signature required by the agency.
 - b. A memo of transmittal stating the name and address of the agency to which the proposal is made and listing the number of signed copies and the number and kinds of addenda required by that agency.
 - c. The university title page (cover sheet--See Attachment 1) which carries the signatures of principal investigator, department chair, the Associate Vice Chancellor for Sponsored Research, the Vice Chancellor for Business Affairs, and the Provost. The title page of multi-discipline proposals should bear the initials of other appropriate chairs and deans.
 - d. An agency title page (when required by agency).
 4. Provides the OSR one copy of all agency correspondence pertaining to

project status including preliminary proposals, letter of intent to the agency, agency letter requiring proposal revision, and final notice from agency of funding or non-funding.

5. After award, supplies information to the Director of Media and Public Relations for appropriate public dissemination.

B. Department Chair

Reviews the proposal to determine whether:

1. The activity falls within departmental goals.
2. Personnel, space, equipment, utilities, etc., are available and adequate.
3. The proposal conforms to applicable university policies.

C. Dean of the College

Reviews the proposal and the department recommendations to determine whether:

1. The activity is within the role, scope, and mission of both the department and the college.
2. Acts upon the recommendations of the department and transmits all agency copies to the OSR.

D. Associate Vice Chancellor for Sponsored Research

1. Reviews the proposal to determine whether the proposal is within the role, scope and mission of the university and whether all applicable university and system policies are followed.
2. Determines if the institutional approval form and all sponsor-required forms have been completed correctly and determines whether or not the proposal budget meets university requirements (e.g., indirect costs, fringe benefits, compensation limits).
3. Secures the approval of all appropriate campus officers.
4. Transmits a copy of the proposal to the Office of Business Affairs for a review and approval of the proposed budget.
5. Acts upon the recommendation of the dean and transmits the proposal to the Provost and Vice Chancellor for Academic Affairs.
6. Transmits the proposal to the agency with all required forms completed and signed.
7. Maintains a complete file on all proposals and their current status. (It is the project director's responsibility to keep the OSR informed of project status. When the proposal is funded, evidence from the agency should be forwarded to OSR by the project director.)

E. Provost and Vice Chancellor

1. Reviews the proposal to determine whether the proposed activities can be achieved within the various constraints of space, personnel, budget and policy.

2. Reviews and approves any request for extra compensation in a proposal.
3. As the Authorizing Official, signs for the university on all proposals and returns the proposal to the Associate Vice Chancellor for Sponsored Research for transmittal.

F. Chancellor

The Chancellor has final authority for approving all grants and contract applications, but may choose to delegate the authority. The Chancellor has delegated this authority to the Provost and Vice Chancellor for Academic Affairs.

SOURCES:

Memorandum of President M.D. Woodin, February 6, 1976, to Chancellors Copping, Efferson, Hitt, Murrill and Shipp; Policies and Procedures to Sponsored Research, Memorandum of President Allen A. Copping, April 3, 1989 to Chancellors Caffey, Firnberg, Hawkland, O'Brien and Rigby, Interim Chancellor Bogue and Acting Chancellors Guerin and Rogers; Memorandum of Vice President Marlyn L. Zimney, May 4, 2000, to President William L. Jenkins, Memorandum of President William L. Jenkins, May 10, 2000, to Chancellors Cavanaugh, Costonis, Emmert, Marsala, Nunez, O'Brien, Richardson, Trail, and Executive Director Bouchard.

AUTHORIZED

Stuart E. Mills
Stuart E. Mills
Provost and Vice Chancellor
for Academic Affairs

9-7-04

Date

APPROVED

Vincent J. Marsala
Vincent J. Marsala
Chancellor

9-7-04

Date