



Office of Research Services (ORS)

Lakeside Campuses

1032 W. Sheridan Road | Chicago, Illinois 60660

p (773) 508-2471 | f (773) 508-8942

www.luc.edu/ors

ORS GRANT POLICY MANUAL*

Policies:

[Biosafety \(Institutional Biosafety Committee\)](#)

[Budgeting Faculty Salary Charges on Externally Funded Projects](#)

[Classified Research](#)

[Conflicts of Interest in Externally Funded Projects](#)

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*as of March 2015



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Policy Name

Biosafety (Institutional Biosafety Committee)

Link to Policy

<http://www.luc.edu/ors/ibchome.shtml>

Links to Related Information

[NIH Guidelines for Research Involving Recombinant DNA Molecules](#)

Reason for the Policy

The university has the responsibility to protect researchers, the university community and its assets, and the environment, by assuring the safe use and storage of potentially hazardous biological material in research or teaching at the University. The university also has the responsibility to assure compliance with all federal, state, and internal requirements to prevent the theft, diversion, or misuse of potentially hazardous biological agents.

History

There have been no substantive changes to the policy since it was published on the ORS website in February 2012.

Primary Contact(s)

Assistant Director for Research Compliance, ORS
Chair, Institutional Biosafety Committee



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Policy Name

Budgeting Faculty Salary Charges on Externally Funded Projects

Link to Policy

<http://www.luc.edu/ors/facultysalary.shtml>

Links to Related Information

[Grant Based Salary for Faculty](#) (policy issued by Academic Affairs)

[2 CFR 200.430](#), “Compensation for Personal Services”

Reason for the Policy

This policy outlines the conditions under which, and the extent to which, faculty may charge a portion of their salary to a grant; obtain course buyouts in exchange; and offer summer effort as cost share.

History

Updated May 2014 to add restriction on overload pay (20%).

Primary Contact(s)

Assistant Provost & Director, Faculty Administration



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Policy Name

Classified Research

Link to Policy

<http://www.luc.edu/ors/classifiedresearch.shtml>

Links to Related Information

[AAU Statement on Science and Security](#)

Reason for the Policy

Although the university does not have a facility security clearance, it is still possible that faculty will have opportunities to participate in conducting classified research, e.g., by collaborating with colleagues at institutions that do conduct classified research. This policy sets forth the procedure for securing permission to conduct classified research.

History

There have been no substantive changes to the policy since it was published on the ORS website in February 2012.

Primary Contact(s)

Director, ORS



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Policy Name

Conflicts of Interest in Externally Funded Projects

Link to Policy

<http://www.luc.edu/ors/conflictsinterestpolicy.shtml>

Links to Related Information

[LUC Disclosure of Financial Interest Form](#)

[LUC General Policies on Ethics, Conflicts of Interest and Gifts](#)

[LUC Human Resources Policy on Conflict of Interest](#)

[Public Health Service COI Rules \(45 CFR Part 94\)](#)

[National Science Foundation COI Rules \(Grant Policy Manual § 510\)](#)

Reason for the Policy

This policy is intended to ensure that covered individuals report and fully disclose financial and business interests that relate to their university responsibilities so that potential conflicts of interest can be reviewed and, where conflicts of interest are found to exist, eliminated, reduced, or effectively managed. The policy also ensures compliance with applicable federal rules governing conflicts of interest in grant-funded projects.

History

Updated August 2012 to add coverage of new PHS COI rules

Primary Contact(s)

Director, ORS



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Policy Name

Controlled Substances

Link to Policy

<http://www.luc.edu/ors/policyguidance/controlledsubstancespolicyprocedureslakesidecampuses/>

Links to Related Information

[Controlled Substances Act](#)
[DEA Implementing Regulations](#)

Reason for the Policy

State and federal governments have numerous regulations pertaining to the legal purchase and use of controlled substances. University employees and other individuals covered by this policy must comply with this policy in order to ensure that they follow all applicable regulations and safely handle and prevent diversion of controlled substances.

History

The current policy was approved by the Provost and published in April 2013.

Primary Contact(s)

Assistant Director for Research Compliance, ORS



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Policy Name

Copyright Policy

Link to Policy

<http://www.luc.edu/ors/copyrightpolicy.shtml>

Links to Related Information

[Copyright Resources](#)

[U.S. Copyright Office](#)

Reason for the Policy

Faculty, staff, and students create numerous copyrightable works in the course of their employment by, affiliation with, or attendance at LUC. It is essential to have clear rules for conditions under which ownership of the copyright vests in the author, in the university, or is jointly owned. It is also necessary to lay out procedures for dealing with copyrighted works produced with grant support. And finally the policy needs to address the issue of the distribution of any income that may be earned by the university on behalf of, or jointly with, authors who are subject to the policy.

History

Files in ORS indicate that the existing “Copyright Policy” was last updated in 2007. In 2013 a “creative works” subcommittee of the University Copyright Committee worked on developing a replacement for the 2007 policy. However, this replacement never received the approval of General Counsel’s office, primarily because it would conflict with language in the existing Faculty Handbook.

Primary Contact(s)

Director, ORS



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Policy Name

Cost Sharing and Matching Funds

Link to Policy

<http://www.luc.edu/ors/costsharingmatchingfunds.shtml>

Links to Related Information

[2 CFR 200.306, "Cost Sharing or Matching"](#)

[Faculty Salary Charges on Externally Funded Projects](#)

Reason for the Policy

Sponsors and auditors must be able to verify that funds committed to cost sharing or matching have been provided. In addition, it is essential that the use of cost sharing does not overburden departmental and university resources. Therefore, this policy has been developed to help faculty properly budget and report cost sharing and matching funds, and to indicate when administrative approvals are required at the grant proposal stage.

History

Updated June 2014 to provide for Provost's office approval for proposed cost share in excess of \$25,000 (direct costs) per grant. Updated March 2015 to add that matching amounts over \$25,000 (direct costs) also need Provost's office approval.

Primary Contact(s)

Director, ORS



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Policy Name

Data Processing Charges on Externally Funded Projects

Link to Policy

<http://www.luc.edu/ors/dataprocessing.shtml>

Links to Related Information

[Instructional Technology & Research Support \(ITRS\)](#)

Reason for the Policy

This policy is designed to ensure investigators on grant proposals adequately consider their technology needs when developing grant budgets.

History

There have been no substantive changes to the policy since it was published on the ORS website in February 2012.

Primary Contact(s)

ITRS Manager



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Policy Name

Facilities and Administrative Costs

Link to Policy

<http://www.luc.edu/ors/facostpolicy.shtml>

Links to Related Information

[LUC F&A Rates](#)

[Budgeting and Accounting for Facilities Costs on Non-Federal Awards that Restrict F&A 2 CFR 200.414, "Indirect \(F&A\) Costs"](#)

Reason for the Policy

For the economic health of the university, it is essential that all grant-related costs be reimbursed under grants, including costs related to the facilities in which the grant work is performed and the administrative services that support that work.

History

Updated June 2014 to incorporate language from "Proposal Submission" guidance

(<http://www.luc.edu/ors/proposalsubmissioninstructions.shtml>).

Primary Contact(s)

Senior Vice President for Finance and Chief Financial Officer



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Policy Name

Human Subjects in Research (IRB)

Link to Policy

<http://www.luc.edu/irb/index.shtml>

Links to Related Information

[Federal Policy for the Protection of Human Subjects \('Common Rule'\)](#)

[University's Statement of Institutional Commitment to the Protection of Human Subjects](#)

[Investigator's Guide to the IRB Review Process](#)

Reason for the Policy

The university has the responsibility to ensure that all human subjects involved in research conducted under the auspices of Loyola University Chicago are adequately protected. The university also has the responsibility to ensure that researchers comply with all federal, state, and internal requirements pertaining to the use of human subjects in research.

History

There have been no substantive changes to the policy since it was published on the ORS website in February 2012.

Primary Contact(s)

Assistant Director for Research Compliance, ORS
Chair, Institutional Review Board (IRB)



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Policy Name

Intellectual Property and Technology Transfer (Patent Policy)

Link to Policy

<http://www.luc.edu/ors/patentpolicy.shtml>

Links to Related Information

[LUC lakeside invention disclosure form](#)

[37 C.F.R. 401](#) (implementation of Bayh-Dole Act)

[U.S. Patent and Trademark Office](#)

Reason for the Policy

Faculty, staff, and students may make discoveries and inventions, or improvements to existing technology or materials, in the course of their employment by, affiliation with, or attendance at LUC. It is essential to have clear rules for conditions under which ownership of those forms of intellectual property vests in the inventor or in the university. It is also necessary to lay out procedures for dealing with inventions conceived or reduced to practice with grant support. And finally the policy needs to address the issue of the distribution of any income that may be earned by the university on behalf of inventors who are subject to the policy.

History

Finalized and published May 20, 2009

Primary Contact(s)

Director, ORS



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Policy Name

Live Vertebrate Animals in Research or Instruction (IACUC)

Link to Policy

<http://www.luc.edu/ors/iacuc/index.shtml>

Links to Related Information

[NIH Guide for the Care and Use of Laboratory Animals
Animal Welfare Act](#)

Reason for the Policy

The university has the responsibility to ensure that all live vertebrate animals used in research and teaching conducted or occurring under the auspices of Loyola University Chicago are adequately protected. The university also has the responsibility to ensure that researchers and scholars comply with all federal, state, and internal requirements pertaining to the use of laboratory animals.

History

There have been no substantive changes to the policy since it was published on the ORS website in February 2012.

Primary Contact(s)

Assistant Director for Research Compliance, ORS
Chair, Institutional Animal Care and Use Committee (IACUC)



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Policy Name

Misconduct in Scholarship

Link to Policy

<http://www.luc.edu/ors/misconductscholar.shtml>

Links to Related Information

[National Science Foundation Research Misconduct Policy](#)

[Public Health Service Research Misconduct Policy](#)

[Federal Research Misconduct Policy](#)

Reason for the Policy

The policy ensures compliance with applicable federal rules governing misconduct in grant-funded projects. It also provides that allegations of misconduct are handled in a manner that is fair both to the complainant and the respondent, and that maintains confidentiality to the maximum extent possible.

History

Finalized January 2005

Primary Contact(s)

Director, ORS



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Policy Name

Participation of University Entrepreneurs in Technology Commercialization Companies

Link to Policy

http://www.luc.edu/media/lucedu/ors/pdfsanddocs/research/LUC_Commercialization_Guidelines.pdf

Links to Related Information

[Conflicts of Interest in Externally Funded Projects \(Lakeside campuses researchers\)](#)

[Conflict of Interest \(all university employees\)](#)

[Copyright Policy](#)

[Faculty Handbook](#)

[Intellectual Property and Technology Transfer Policy](#)

Reason for the Policy

Faculty who start up companies based on technology they have developed and that is owned by the university need clear guidelines for the conditions under which such companies can license that technology from the university. There also need to be clear guidelines for the conditions under which faculty can participate in such companies while still holding positions at LUC.

History

Finalized and published in September 2010.

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Director, ORS



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Policy Name

Paying Individuals from Externally Funded Projects

Link to Policy

<http://www.luc.edu/ors/payingindividuals.shtml>

Links to Related Information

[Human Resources Policies for Recruitment and Employment](#)

[Merit Awards for Graduate Students](#)

[Faculty Salary Charges on Externally Funded Projects](#)

[Worker's Classification Procedure](#)

[Purchasing Checklist and Bid Summary Form](#)

[Payments to Research Subjects](#)

Reason for the Policy

This policy outlines the conditions under which, and the extent to which, university staff salaries, independent contractor fees (including outside consultant costs), and human subject payments may be charged to a grant. For payments to faculty, see [Budgeting Faculty Salary Charges on Externally Funded Projects](#).

History

Updated February 2013 to add competitive bidding requirements for consulting agreements over \$5,000.

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Director, ORS



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Policy Name

Proposal Submission

Link to Policy

<http://www.luc.edu/ors/proposalsubmissioninstructions.shtml>

Links to Related Information

[Flowchart of the Proposal Submission Process](#)

[Proposal Transmittal and Approval Process \(PTAP\) System](#)

Reason for the Policy

This policy states who is authorized to sign proposals on behalf of the university; when certain costs such as salaries, fringe benefits, and F&A costs, must be included in a proposal budget; and why and when the PTAP system must be used. It also provides ancillary information of use to faculty planning to submit external grant proposals.

History

Update June 2014 to add language from FAQ (<http://www.luc.edu/ors/faq.shtml>) concerning pre-proposals and LOIs.

Primary Contact(s)

Assistant Director for Research Administration, ORS



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Policy Name

Radiation Safety

Link to Policy

<http://www.luc.edu/ors/radsafetyhome.shtml>

Links to Related Information

[Illinois Emergency Management Agency \(IEMA\)](#)

Reason for the Policy

In compliance with federal and state requirements, the University holds licenses that require the University to have policies and procedures to regulate safe use and storage of radioactive materials and devices.

History

There have been no substantive changes to the policy since it was published on the ORS website in February 2012.

Primary Contact(s)

Assistant Director for Research Compliance, ORS
Radiation Safety Officer



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Beverly Kasper | 773-508-7478 | bkasper@luc.edu

Chair, Institutional Biosafety Committee:

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Chair, Institutional Animal Care and Use Committee (IACUC):

Martin Berg | 773-508-8853 | mberg@luc.edu

Chair, Institutional Review Board (IRB):

Toby Dye | 773 - 508-3018 | rdye@luc.edu

Director, ORS:

William Sellers | 773-508-2478 | wsellers@luc.edu

ITRS Manager:

Tim Walker | 773-508-2960 | twalker1@luc.edu

Radiation Safety Officer

Howard Laten | 773-508-3640 | hlaten@luc.edu

Senior Vice President for Finance and Chief Financial Officer:

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