

## STATEMENT OF PRINCIPLES GOVERNING SPONSORED RESEARCH AND SCHOLARLY ACTIVITIES AT IOWA STATE UNIVERSITY

### INTRODUCTION

In pursuit of excellence in the areas of learning, discovery, and engagement, Iowa State is committed to establishing effective partnerships with external sponsors who support research and scholarly activities. In managing these relationships, the university must abide by certain regulations to preserve the integrity of the educational, research and scholarly activities of the university and its employees and students while also ensuring that the objectives of sponsored activities are met. Iowa State seeks collaboration with a broad range of sponsors to bring synergistic and diverse opportunities to the University. Stated below are the guiding principles used by Iowa State University when establishing sponsored research and scholarly activities.

Contact the Ames Laboratory's Office of Industrial Outreach and Technology Administration for procedures and guidelines for initiating third party sponsored research agreements independent of ISU ([www.external.ameslab.gov/oipp](http://www.external.ameslab.gov/oipp)).

For more information, please see the complete Principles & Guidelines document at [www.ospa.iastate.edu/principles\\_and\\_guidelines.htm](http://www.ospa.iastate.edu/principles_and_guidelines.htm).

- 1) **PUBLIC DISCLOSURE.** Iowa State University is committed to the appropriate disclosure of the results of its sponsored activities. In collaborative efforts, the review and input of all collaborators is desired and welcome to ensure that the proposed disclosure does not reveal sponsor confidential information or negatively impact patent filing.
- 2) **CONFIDENTIALITY.** Iowa State University encourages open discussion and exchange of ideas. At times, however, it may be necessary to provide an umbrella of protection to preserve or maintain the confidentiality of disclosed information. Exchange of information under confidentiality must respect the confidentiality of information disclosed to or by ISU and preserve the ability to publish results without undue restrictions or delays.
- 3) **INTELLECTUAL PROPERTY.** The Iowa State University Research Foundation, Inc. (ISURF), on behalf of Iowa State University (ISU), retains ownership of intellectual property invented or created by ISU employees. As a public institution, ISU is committed to the transfer of innovations from the university to the public to be used for the benefit of society. ISU is guided by the Internal Revenue Code for all sponsored activities and the principles of the Bayh-Dole Act for projects supported in whole or in part by agencies of the Federal government. For projects supported by non-Federal sources, ISU is mandated by the Iowa Board of Regents, under the patent policy, to manage intellectual property in a manner consistent with the Bayh-Dole Act.
- 4) **MATERIAL TRANSFER.** Iowa State University is committed to the appropriate receipt and transfer of biological and non-biological materials to facilitate collaborative efforts. Material transfer language is necessary to document provider's ownership in the materials, recipient's rights to possession, and related obligations associated with use of the materials, and to ensure that materials remain available for other purposes.
- 5) **RESEARCH COMPLIANCE.** Iowa State University is committed to ensuring that research conducted on or off campus, including collaborative research with third parties, is in compliance with University, local, state, federal and sponsor regulations. All research protocols involving biohazards, animals or human subjects conducted at ISU and ISU laboratories utilizing radioactive devices and/or materials require institutional review and approval.
- 6) **TERMINATION.** Iowa State University is committed to the successful completion of all collaborative agreements. Upon termination, issues to be addressed may include resolution of financial considerations, transfer of deliverables, submission of appropriate reports, property/equipment disposition, and management of any material or confidential information that has been exchanged.

- 7) **AUTHORIZED SIGNATURES.** All documents that obligate Iowa State University personnel, facilities, intellectual property, or other resources in any way require an authorized ISU signature to ensure that appropriate policies, procedures and legal requirements have been addressed and a signature from the principal investigator indicating he/she understands and agrees with the terms and conditions.
- 8) **CONFLICT OF INTEREST.** As a land-grant institution with a strategic plan focused on learning, discovery, and engagement, Iowa State University employees traditionally interact with individuals outside the university. ISU is committed to ensuring all appropriate parties are fully aware of any personal, professional, contractual, or purchasing conflicts that may influence collaborative efforts. Internal procedures exist to manage and resolve potential conflicts of interest and commitment.
- 9) **BUDGETS & AWARDS.** Iowa State University conducts sponsored research and sponsored scholarly activities on a cost-recovery basis. The Office of Sponsored Programs Administration (OSPA) administers gifts, grants and contracts in order to comply with the terms and conditions specified by the sponsor; meet state and federal reporting requirements; recover all project costs, both direct and indirect; and provide accountability for these funds.
- 10) **OVERHEAD.** Iowa State University is committed to the full recovery of all project costs, including overhead, for all externally funded projects. The basis for ISU's overhead rate is in accordance with OMB Circular A-21 "Cost Principles for Institutions of Higher Education" and negotiated with the Department of Health and Human Services.
- 11) **GOVERNING LAWS AND REGULATIONS.** Sponsored projects at Iowa State University are governed by University policy and any combination of the following: the laws of the State of Iowa, which include the Code of Iowa and the Iowa Administrative Code, the Federal Government, and/or agreements and guidelines of the sponsor.

#### CONTACT INFORMATION

Questions or comments regarding the above information can be addressed to any of the following:

##### **Office of Sponsored Programs Administration**

Thane Peterson, Director  
 2207 Pearson, Rm. 15  
 Ames, IA 50011  
 Ph: 515-294-5225  
[grants@iastate.edu](mailto:grants@iastate.edu)  
[www.ospa.iastate.edu](http://www.ospa.iastate.edu)

##### **Office of Intellectual Property and Technology Transfer & ISU Research Foundation, Inc.**

Kenneth Kirkland, Executive Director  
 Nita Lovejoy, Associate Director  
 310 Lab of Mechanics  
 Ames, IA 50011  
 Ph: 515-294-4740  
[kenk@iastate.edu](mailto:kenk@iastate.edu) ; [lovejoy@iastate.edu](mailto:lovejoy@iastate.edu)  
[www.iastate.edu/~isurf](http://www.iastate.edu/~isurf)

##### **Office of the Vice Provost for Research and Advanced Studies**

Lisa Lorenzen, Director of Industry Relations  
 2810 Beardshear  
 Ames, IA 50011  
 Ph: 515-294-0926  
[llorenze@iastate.edu](mailto:llorenze@iastate.edu)  
[www.biotech.iastate.edu/Industry\\_resources.html](http://www.biotech.iastate.edu/Industry_resources.html)

##### **For matters involving research compliance (Section 5):**

##### **Office of the Vice Provost for Research and Advanced Studies**

##### **Research Compliance Office**

Diane Ament, Research Compliance Officer  
 2810 Beardshear  
 Ames, IA 50011-2810  
 Ph: 515-294-3115  
 Fax: 515-294-7288  
 HotLine: 515-294-9264  
[dament@iastate.edu](mailto:dament@iastate.edu)

##### **For non-ISU research matters involving the U.S. Department of Energy's Ames Laboratory:**

##### **Ames Laboratory, Office of Industrial Outreach and Technology Administration**

Debra L. Covey, Program Manager  
 Ames Laboratory  
 311 TASF  
 Ames, IA 50011-3020  
 Ph: 515-294-1048  
 Fax: 515-294-4456  
[covey@ameslab.gov](mailto:covey@ameslab.gov)